

## **Annex 1: Bath Spa University Research Ethics Approval Form**

This form forms part of the University's Process and Procedure for the Approval of Research Activity.

Approval for research in undergraduate and taught postgraduate programmes is normally dealt with at School level, through the research approval form below. Where necessary, the proposal will be referred to the School Ethics Sub-Committee.

Approval for research carried out by BSU employees and PhD students should be approved through School Ethics Sub-Committees, using the University Research Ethics Approval Form.

Where necessary, Research Ethics Approval forms will be referred to the University Research Ethics Sub-Committee for additional consideration.

Where research projects are subject to external approval, such as the NHS or professional bodies, the School responsible must ensure that this approval is sought and given. Where approval for a project has been given by a Research Ethics Committee at another university, as may be the case with a collaborative project, the School Ethics Sub-Committee must be provided with proof of this.

Research that is subject to ethical approval means all research that involves human participants or data (both existing and new) pertaining to human participants as subjects undertaken as a part of formal University activity. The phrase 'human participants' refers to persons used in all types of research. Qualitative based research projects may include personal interviews, questionnaires, interviews, focus groups, observation of groups *etc.* Quantitative and experimental research may include questionnaires, surveys, trials *etc.*

Research activities put forward for formal ethics review:

- Require ethics approval prior to commencement of the research activities
- Cannot continue if ethics approval has been withdrawn or suspended
- May have to request review during the course of the research if the research plan alters
- Must comply with the conditions set by the University or other recognised body

Decisions made by School and University Ethics Committees are binding, and failure to comply with decisions may be regarded as misconduct in research.

The process to be followed is set out below:

<b><i>Type of Activity</i></b>	<b><i>Process</i></b>
Undergraduate Student projects	Complete form and checklist and submit to supervising tutor
Postgraduate Student projects (taught programmes)	Complete form and checklist and submit to supervising tutor
Postgraduate Student projects (research programmes)	Complete form and checklist and submit to Director of Studies for consideration by the Ethics Sub-Committee
All staff engaged in research activities	Complete form and checklist and submit to Director of Research for consideration by the Ethics Sub-Committee

**Bath Spa University Research Ethics Approval Form**

Student/Staff name	Camila Fuentes Díaz
Programme and/or module	PhD in Education
Title of the proposed research project:	Exploring the impact of a short creative writing intervention for adolescents in post conflict Colombia on identity formation and recognition of the other.
Number and type of proposed participants	<p>12 participants would be ideal, no fewer than 8 and no more than 15. These participants would have the following characteristics:</p> <ul style="list-style-type: none"><li>- Currently enrolled in the public school system in the department of [REDACTED], Colombia. This region is considered safe to travel to according to the Foreign and Commonwealth UK Office (2017)*.</li><li>- 9<sup>th</sup> graders (equivalent to UK Year 11). This means these students will be generally between 14 and 16 years old.</li><li>- Have been enrolled in their school for the previous two years, so the students have a sense of the community they live in and make part of.</li><li>- Are able to read and write.</li></ul> <p>* Since signing the peace treaty with FARC in October 2016, Colombia is now considered to be at the start of a post-conflict era. This means 'post-conflict Colombia' is more of a current state given the political circumstances, rather than a particular situation affecting my participants or the development of my research.</p> <p>* The region has a 0% report of victims related to armed conflict since the year 2015 (Unidad para las Víctimas, 2018) Therefore my participants are not victims, but a general representation of students in public schools across the country.</p> <p>* [REDACTED] is situated in the outskirts of [REDACTED], [REDACTED] [REDACTED], easily accessible by car and public transportation.</p>
How is permission being sought from the participants and/or their parents/carers?	Permission will be first sought at an institutional level through the Head teacher of [REDACTED] public school. He has shown interest in bringing research initiatives into the institution.

	<p>I have created a letter explaining what is involved in the study and the Head teacher will use this to liaise with teachers and identify potential participants.</p> <p>Permission from the participants will be sought by:</p> <ol style="list-style-type: none"> <li>1. Providing the participants with a physical copy of the information sheets and consent forms* for both students and parents or carers.</li> <li>2. Including my contact details in the consent forms and information sheets in order to be able to answer any questions that participants and their parents or carers may have.</li> </ol> <p>* Consent and information forms (See Appendices A and B) attached to this application are in English for the ethics committee to evaluate. This information will be translated and given to participants in Spanish. Once these documents are accepted by the Ethics committee, high quality translation to Spanish will be done. As I am Colombian and Spanish is my native language, I will be able to translate accurately respecting wording and meaning of all documents so they reflect what the committee has approved.</p> <p>Participants will be encouraged to participate throughout ll the data collection process. However, because this project entails multiple data collection processes, it will be made clear to them they do not need to participate of parts of the data collection process they do not feel comfortable with. Only information shared by them in the stages he or she decides to be a part of, will be used for analysis. This will be also clarified in the consent form as well.</p> <p>Although the participants will be reading one information sheet and signing one general consent form. A short consent form for each part of the data collection process will be given previous to start each session.</p>
How is participants' anonymity to be preserved?	<p>This study is a qualitative research that draws on elements from a Youth Participatory Action Research (YPAR) approach (explained later in this document), and other traditional qualitative methodologies (interviews and focus groups), which will participants to make decisions on the information they want to share and how they want to share it.</p> <p>Because of the nature of the project, participating students will be identifiable to each other, so anonymity is not possible within the group. The material they produce may</p>

	<p>be made available to their school or community if they decide to do so, and where this is the case, they can choose whether to remain anonymous or to have their work attributed to them.</p> <p>For the purposes of reporting and dissemination of the research results, all participants wishing to remain anonymous will be guaranteed anonymity by:</p> <ol style="list-style-type: none"> <li>1. Changing participant names to pseudonyms for all the data management, including transcriptions, visual and research documents.</li> <li>2. Not involving the name of the school to which they belong.</li> <li>3. Securing data gathered in encrypted documents, password protected. All printed material will be kept locked in a locked filing cabinet accessible only to the researcher.</li> </ol> <p>All this information will be given in the information sheet and consent forms (See Appendices A and B).</p>
<p>Describe the research methods proposed (e.g. interviews, classroom observations)</p>	<p><b>Three</b> research methods will be used (explained below).</p> <ul style="list-style-type: none"> <li>○ <u>Life story interview</u>: Gives a voice to participants' perspectives (Ritter, 2015); allows exploration of big topics with little guidance; and informs the researcher of further interventions to support the participants' well-being (Kidger et al., 2009 in Noble-Carr et al., 2014). The life story interview is individual to each participant; it will cover three main topics outlined in the research design documentation (See Appendix C) focusing on perceptions of self and others around them, such as family, school and community. Each interview will last around 30 minutes.</li> <li>○ <u>Focus groups</u>: Allow the participants to share opinions, perceptions and attitudes on guided topics and common experiences, feeding into and complementing their answers from each other. (Gibson, 2007; Bryman, 2012). Two focus groups will take place throughout the research process as follows: <ul style="list-style-type: none"> <li>▪ Focus group 1: Done at the beginning of the process. The focus group will explore the basic ground rules students participating in the study consider important, as well as expectations of our time together. Duration: 45 minutes approximately.</li> <li>▪ Focus group 2: Exploring their experience in the research as a process: before, during and after. It will explore perceptions of their process as a group,</li> </ul> </li> </ul>

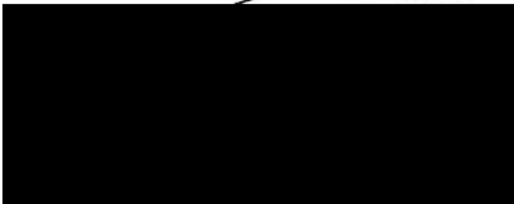
	<p>their perceptions of each other, of themselves and of others outside the group. Duration: 90 minutes approximately.</p> <ul style="list-style-type: none"> <li>○ <u>Creative writing laboratory (Kroll, 2013)</u>: 'the members ... innovate and produce results, generating work that contributes to the collective stock of knowledge and culture' (Kroll, 2013: 103) through questions and reflections that have been generated by the group (Kroll, 2013). Participants will discuss the set texts, design and write their own creative texts, and share their process and final product with the group. The laboratory will be designed in 12 sessions of no more than two hours each. <ul style="list-style-type: none"> <li>▪ All of these will be led by me.</li> <li>▪ They will happen within school premises during school hours at times previously agreed with the head teacher.</li> <li>▪ A detailed calendar of the fieldwork can be found in the research design documentation (See Appendix C).</li> </ul> </li> </ul>
<p>List the ethical issues and potential risks associated with the research methods outlined above (e.g. confidentiality) and how you propose to deal with each of these.</p>	<p>The following ethical issues and potential risks with research methods and how each will be dealt with, aim to cover all concerns outlined in the <b>BERA Ethical Guidelines for Educational Research</b> (2011).</p> <p><b>1. Imbalance in power between researcher and young participants:</b> To mitigate this risk, elements of Participative Action Research approach will be adopted. A <u>Youth Participatory Action Research (YPAR)</u> approach encourages genuine engagement, helps elicit the voices of vulnerable young people, and minimises power differences between researcher and participants, as the participants actively make decisions on what and how they want to research with the researcher (Mallan and Greenway, 2011; Noble-Carr et al., 2014). Central to this approach is the establishment of a Participant Reference Group. Formed by all research participants, general ground rules and the process of research and outcomes are agreed among everyone as a starting point for the data collection process. This is commonly used when working with oppressed or vulnerable communities, and is based on the following principles (Cammarota and Fine, 2008; Mallan and Greenway, 2011; Noble-Carr et al., 2014):</p> <ul style="list-style-type: none"> <li>i. Adolescents are not subjects of research but participants in the research process, as they have a say and an insider view of the questions and areas to be covered.</li> <li>ii. Knowledge gained from the research process</li> </ul>

	<p>should aim to generate positive impact for the participants and their community. Therefore, the participants become beneficiaries of the research (Pittaway et al., 2010; Betancourt et al., 2016)</p> <ul style="list-style-type: none"> <li>iii. It empowers the participants and the community involved to continue or put in action strategies for further development. Research remains active through empowerment of the community.</li> <li>iv. ‘YPAR fosters the kind of institutional changes needed for more equitable social relations.’ (Cammarota and Fine, 2008: 9).</li> </ul> <p><b>2. Anonymity and Confidentiality:</b> In addition to what is mentioned in the section <i>How is participants’ anonymity to be preserved?</i>:</p> <ul style="list-style-type: none"> <li>a. The Participant Reference Group will end with a contract signed by participants and researcher that guarantees a process of mutual respect and confidentiality.</li> <li>b. For participants, anonymity will be optional, given that the work derived from research could be used for the community should the participants choose to do so. They will have the choice to use their own name or a pseudonym for their written work and interviews.</li> <li>c. Participants will be able to change their mind on whether to preserve their anonymity at any point during the research. As the researcher, I guarantee to preserve anonymity in reporting on the research.</li> <li>d. Participants will be made aware through the consent form and information sheet that interactions (Participant Reference Group, Interviews, Focus groups, writing workshop) will be audio-visually recorded. The purpose of this will be made clear to participants as follows: <ul style="list-style-type: none"> <li>i. to prevent loss of information and for me, as the researcher, to be able to transcribe it for research purposes maintaining confidentiality and anonymity</li> <li>ii. to generate visual material that could accompany the dissertation results and the dissemination process for the community (photography and written pieces). Visual material will be used with participant consent.</li> </ul> </li> <li>e. Participants will be informed that recordings will be kept safe by for a year after the study concludes and will then be destroyed.</li> </ul> <p><b>3. Risk of exposing participants to harm:</b></p> <ul style="list-style-type: none"> <li>a. I have a current and valid DBS to work with</li> </ul>
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	<p>underage populations, as well as a clean criminal record in Colombia, which is required to work with this population as well. Criminal record and official translation was sent to, seen and approved by [REDACTED] in 2016.</p> <ul style="list-style-type: none"> <li>b. A Participant Reference Group will be put in place before the data gathering takes place, which makes the adolescents active participants of the research process, allowing them to make decisions on what they want to share;</li> <li>c. They will not be asked to share sensitive information and no question posed by me will directly or indirectly pursue this purpose;</li> <li>d. Research aims will be clearly explained, both verbally, and through the consent forms and information sheet (See Appendices A and B);</li> <li>e. Options on anonymity and confidentiality will be emphasised;</li> <li>f. The research will take place inside one public urban school in [REDACTED] and support systems are in place for participants for the duration of the study and beyond the life of the study.</li> <li>g. <u>Disclosure:</u> <ul style="list-style-type: none"> <li>i. Before data gathering takes place, I will be informed about the school's policies on supporting students they identify as vulnerable or at risk;</li> <li>ii. During the data collection process, if a participant appears to be distressed or at risk during the data collection process, I will be able to action the school support systems in place to support the student. Participants will be informed prior to the data collection phase that if any information they disclose might be putting them or others at risk, such information will be shared with the school counsellor to provide appropriate support.</li> </ul> </li> <li>h. <u>Debrief:</u> (See Appendix D) After collecting the data, a debrief session will be done with the participants to: <ul style="list-style-type: none"> <li>i. Thank them again for their participation and the importance of taking part;</li> <li>ii. Review the aims we had set at the beginning and how they see they were met;</li> <li>iii. Share visuals to choose material that can be used for the dissertation;</li> <li>iv. Discuss interest in a plan to disseminate their work with the school and/or community;</li> </ul> </li> </ul>
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	<p>v. Assess how they are feeling and inform of the follow-up procedures available at the school on my return to the UK.</p> <p><b>4. Risk of exposing myself to harm:</b></p> <p>a. <u>Working outside the UK:</u> I will travel to Colombia to a region and city considered ‘safe to travel to’ according to the Foreign and Commonwealth UK Office (2017), and work within the school’s premises. In the unlikely case the region becomes unsafe at any point, I will not travel to it, and will change the area of work to a public school in [REDACTED].</p> <p>b. <u>Building a support system:</u> I will be in constant contact with my family, and with my DoS and second supervisor (through email and video). Working in Colombia means I have a wide network of trusted contacts, including family, friends, and colleagues that can offer help if needed.</p> <p>c. <u>Travelling to and from the sites of research:</u> Transportation to the school will be done by car during day time.</p> <p>d. <u>Others:</u> Before travelling to Colombia, I will provide my DoS with a detailed schedule of when and where the fieldwork will take place, as well as my number and contact in case of emergency, both in the UK and in Colombia.</p> <p><b>5. Respect for autonomy of the participants:</b> I will work with a school that has shown interest in being part of my research. Those interested will receive the information sheet and consent forms for them and their parents (See Appendices A and B). Participation is voluntary, and neither the school nor I will force anyone into participating. The consent forms clearly state they can decide to withdraw their participation from the study at any point (See Appendices A and B).</p> <p><b>6. Fair practice:</b> All students involved in the study will be treated with respect. Discriminatory vocabulary will be avoided at all costs.</p>
Describe how your findings will be reported or disseminated	<ol style="list-style-type: none"> <li>1. Doctoral thesis.</li> <li>2. Publication of articles in relevant journals of chapters, partial findings, or methodology used, among others, not only in the UK but aim to publish inside Colombia and Latin America as well.</li> <li>3. Participating with papers on my research in relevant conferences and seminars.</li> <li>4. Giving lectures and participating of other informal spaces the Graduate College provides to speak about my</li> </ol>

	<p>experiences of working abroad, results, limitations, among other topics considered relevant to the Institute for Education, my research and the Graduate College.</p> <p>5. Participating in the 3MT Competition in 2019.</p> <p>6. Contacting well-known universities in Colombia to work with, publish and disseminate results:</p> <p>a. <i>Universidad de La Sabana</i>: currently applying to become part of the GALA network;</p> <p>b. <i>Universidad de Los Andes</i>: I am an alumna. It is currently ranked as the 8th best university in Latin America, and ranked 272nd in the world (QS Top Universities, 2017). Currently the university counts with 11 indexed journals, including one in Latin American education studies:  <a href="https://vocesysilencios.uniandes.edu.co/index.php/vs/index">https://vocesysilencios.uniandes.edu.co/index.php/vs/index</a></p>
Funding – Detail the funding and projected costs of your project	No funding is being sought for the data collection process, nor will it be sought for its analysis. I have the financial means to cover all travel and accommodation expenses for the data collection process.
RSA – State the amount of RSA time to be allocated to your project	N/A
<p><i>I have read the University's Process and Procedure for the Approval of Research Activity</i></p> <p>(please sign and date)</p>	<div style="text-align: center;">   Camila Fuentes Díaz </div> <div style="text-align: right;"> 26/05/2017   25/01/2018 </div>

### Ethical Review of Research Projects – Checklist

<i>Supervising Tutor/ Director of Studies Approval level required (Y/N)</i>			
a)	proposals using human participants for research	Y	
b)	proposals for research that intends to use undergraduate students as participants		N

<b><i>School Ethics Sub-Committee approval required</i></b>			
c)	procedures involving any risk to a participant's health (for example intrusive physiological or psychological procedures)		N
d)	research involving the donation of bodily material, organs and the recently deceased		N
e)	proposals which involve financial payments or payments in kind to participants above reimbursement of expenses		N
f)	proposals wishing to use children under the age of 16 or those over 16 who are unable to give informed consent (e.g. people with learning disabilities; see Mental Capacity Act 2005) as participants	Y	
g)	research proposals to be carried out by persons unconnected with the University, but wishing to use staff and/or students as participants		N
h)	proposals which investigate existing working or professional practices at the researcher's own place of work (including staff surveys)		N
i)	research where the safety of the researcher may be in question;		N
j)	proposals which require participants to take part in the study without their knowledge and consent at the time		N
k)	research involving prisoners and young offenders		N
<b><i>University Ethics Sub-Committee approval required</i></b>			
l)	research involving access to records of personal or sensitive confidential information, including genetic or other biological information, concerning identifiable individuals		N
m)	surveys, questionnaires and any research, the nature of which might be offensive, distressing or <u>deeply personal</u> for the particular target group	Y	

### **Document checklist for submission**

<b><i>I have completed and include the following documents with this form</i></b>	<b>✓</b>
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Information Sheet (See Appendices A and B)	✓
Consent Form (See Appendices A and B)	✓
Debriefing (See Appendix D)	✓
Research design documentation e.g. interview schedule; questionnaire (See Appendix C)	✓

## References:

Betancourt, T., Smith Fawzi, M.C., Stevenson, A., Kayanganzi, F., Kirk, C., Ng, L., Mushashi, C., Bizimana, J.I., Beardslee, W., Raviola, G., Smith, S., Kayiteshonga, Y., and Binagwaho, A. (2016) 'Ethics in Community-Based Research with Vulnerable Children: Perspectives from Rwanda. *PLoS ONE*, 11 (6). doi: 10.1371/journal.pone.0157042.

British Educational Research BERA (2011) *Ethical Guidelines for Educational Research*. Available at: <https://www.bera.ac.uk/wp-content/uploads/2014/02/BERA-Ethical-Guidelines-2011.pdf> [Accessed on 19 May 2017].

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Colombia Aprende (2005) ¿Qué son poblaciones vulnerables? [Online] Available from: <http://www.colombiaaprende.edu.co/html/mediateca/1607/article-85443.html> [Accessed on 2 May 2017].

Creswell, J.W. (2007). *Qualitative inquiry and research design: Choosing among five approaches* (2<sup>nd</sup> Ed.). Thousand Oaks, CA: Sage.

Foreign and Commonwealth UK Office (2017) *Foreign Travel Advice: Colombia*. [Online] Available from: <https://www.gov.uk/foreign-travel-advice/colombia> [Accessed on 8 May 2017].

Gibson, F. (2007) 'Conducting focus groups with children and young people: strategies for success'. *Journal of Research in Nursing*, 12 (5): 473 - 483.

Honneth, A. and Anderson, J. (1996) *The struggle for recognition: The moral grammar of social conflicts*. Cambridge, MA: Polity Press.

Kroll, J. (2013) 'The Creative Writing Laboratory and its Pedagogy'. In Kroll, J. and Harper, G. Eds. *Research Methods in Creative Writing*. London: Palgrave MacMillan: 102-132.

Mallan, K., and Greenway, R. (2011) "Radiant with possibility": Involving young people in creating vision for the future of their community'. *Futures*, 43:374-386.

Noble-Carr, D., Barker, J., McArthur, M. and Woodman, E. (2014) 'Improving practice: The importance of connections in establishing positive identity and meaning in the lives

of vulnerable young people'. *Children and Youth Services Review*, 47: 389-396.

Pittaway, E., Bartolomei, L., and Hugman, R. (2010) "Stop stealing our stories": The Ethics of Research with Vulnerable Groups'. *Journal of Human Rights Practice*, 2 (2): 229-251.

QS Top Universities (2017) *QS Top University Rankings: Latin America: 2016*. Available from: <https://www.topuniversities.com/university-rankings/latin-american-university-rankings/2016> (Accessed on 21 March 2017).

Ritter, C. (2015) 'Unveiling the unspoken in life story interviews: The dynamics of storytelling in the Lutheran congregation in Belfast. *Civilisations*, 64: 102-113.

SED del Quindío (2017) *Caracterización Matrícula Global*. Available from: <http://www.sedquindio.gov.co/perfil-sector-educativp> (Accessed on 10 March 2017).

Unidad para las Víctimas (2018) *Registro único de víctimas*. Available from: <http://www.unidadvictimas.gov.co/registro-unico-de-victimas-ruv/37394> (Accessed on 22 January 2018).

**Supervising Tutor/Director of Studies/Director of Research use only:**


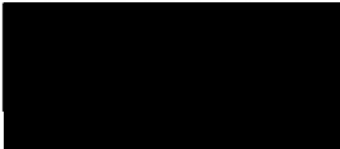
Comments on the ethical issues raised by the proposed research:		
Either:	I am satisfied that the ethical issues raised by the proposed research project have been addressed and give approval for the project to go ahead	
Or:	The ethical issues raised by the proposed research project require referral to the School Ethics /Research Committee.	✓

Signature and Date:		5 <sup>th</sup> June 2017
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**A copy of this form should be sent to the Director of Research in the School**

**School Ethics Sub-Committee Use Only:**

Comments on the ethical issues raised by the proposed research and how well they have been addressed	<p>This is a very thoughtful and comprehensive consideration of the ethical issues involved with this project. A strength is how the methodology chosen is centred around empowering this group of participants and directly addresses the ethical issues by positioning the participants as researchers. It is worth holding in mind that you are still the researcher who has the defining agenda and most power.</p> <p>The following issues were raised and have been addressed:</p> <ul style="list-style-type: none"> <li>• The researcher has indicated that she is fluent in Spanish and will be able to provide high quality translations of the documentation for participants.</li> <li>• There is an explanation regarding the participants experience of being in a post-conflict country and its potential impact on findings.</li> <li>• DBS and criminal record checks are held by the researcher which have applicability for working in Colombian schools (see attached).</li> </ul> <p>All ethical issues have now been addressed.</p>	
<b>PASS</b>	I am satisfied that the ethical issues raised by the proposed research project have been addressed and give approval for the project to go ahead	<b>PASS</b>  ✓

<b>CONDITIONAL PASS</b>	The ethical issues raised by the proposed research project have not been adequately addressed and require re-submission to the IfE Ethics Sub-Committee. The following adjustments need to be made:	
<b>REFERRAL</b>	The ethical issues raised by the proposed research project require referral to the University Ethics Sub-Committee.	
Signature and Date: (Chair of School level committee)		21/06/2017
Signature and Date: (Associate Dean of School on behalf of Dean)		21/06/2017

**A copy of this form should be retained by the Director of Research in the School**