APPLICATION FOR Research Ethics Approval

Version 4 - FINAL – 27/01/15

All researchers should be familiar with the University’s Research Ethics Policy and associated procedures, available [here](https://sp.falmouth.ac.uk/sites/re/ethics/default.aspx). No element of a research project which falls under the scope of the Policy should begin before written approval has been given.

All research projects are subject to ethics approval. This form enables researchers to either:

1) declare a project out of scope. The form incorporates a short cut for this.

2) provide more detail on ethical considerations. Research ethics approval is required for research projects that:

* directly involve people in research activities, through their physical participation, eg. interviews, questionnaires, surveys, observational research, requiring the active or passive involvement of a person;
* indirectly involve people in the research activities, through their provision of or access to personal data and/or tissue
* involves people on behalf of others (eg. legal guardians of children and the psychologically or physically impaired and supervisors of people under controlled environments (eg. prisoners, school pupils).

There are special arrangements for research in the health and when it involves animals, and guidance should be sought direct from the Committee in these cases.

Convening an event, such as a conference or workshop, only requires research ethics approval where research takes place, eg. leading to an identifiable research output, and only that specific part of the event where the research is taking place.

Please note that all events (seminars, conference, workshops, etc) should be discussed with your Director of Department taking into consideration any professional ethics or reputational concerns.

IF YOU ARE UNSURE, YOU SHOULD ASSUME RESEARCH ETHICS APPLIES. IN THIS CASE SEEK GUIDANCE FROM THE COMMITTEE BEFORE CONTINUING.

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| Part A – Overview of the project | | | | | | | |
| 1 | Title of the project | Developing masks as pedagogy for learning about Personality preferences, using Appreciative Inquiry (AI). | | | | | |
| 2 | Briefly summarise the project’s aims, objectives and methodology | This project is a research project done as the final part of the lead researcher’s student work on the MA in Higher Education at the University of Westminster.  The aim of the project is to collaboratively explore and develop the use of theatrical masks as pedagogy, to develop learner capability, for managing the impact of personality preferences, to more effectively lead and work with others. It is to use Appreciative Inquiry (AI) and AI process cycle stages of ‘Discovery’- ‘Dream’ – ‘Design’ – ‘Deliver’ as a methodology, with groups of staff and students from both Falmouth University and the University of Westminster, to collaboratively explore, as partners and co-creators, what is engaging us as participants in our learning with this pedagogical approach and how it might be further developed.  I want to find out:   * What specifically is perceived as ‘giving life here’ (Watkins, Mohr & Kelly, 2011) and is engaging and valuable for us as participants in the workshop design and activities using masks and sociodrama, and how and why. * How we can build in more of this into each iteration of this workshop (through the AI process cycle stages of Discovery, Dream, Design and Delivery/Destiny). * What we as participants think staff tutors can do to further enhance their/our capability to use this pedagogical approach.   The outcomes will be: 1) an improved workshop design that enhances learner engagement and capability to manage the impact of personality preferences and 2) enhanced Falmouth University and University of Westminster staff and student knowledge and capability in how to use this ‘masks and sociodrama’ approach in their teaching and learning practices.  The research process will consist of the following stages:   1. At Falmouth University: I will facilitate a workshop with a group of staff and student volunteers from Falmouth University, using masks and sociodrama to help learners develop their capability to manage personality preferences when leading and/or working with others (In AI terms, this will correspond to the AI cycle stage of ‘Delivery’) This will be followed by a focus group with participants from the workshop, where we will explore, through an AI approach, what worked well with the workshop and how we could develop this ‘masks as pedagogy’ approach, especially with regard to how we might use it with different groups of learners, particularly those who may not come from a creative industries background e.g. in a business management context. (This will correspond with the AI process cycle stages of ‘Discovery’, ‘Dream’ and ‘Design’). From that focus group I will then carry on individually with this redesign of the workshop to incorporate our learning from that focus group into that workshop design (This will continue the AI ‘Design’ stage). 2. At the University of Westminster: I will repeat the above process (consisting of the AI cycle stages of Delivery – Discover – Dream – Design), with a group of staff and student volunteers working in a business management learning context in the Westminster Business School.   In AI terms, this research project will consist of AI cycle stages of: Delivery – Discover – Dream – Design - Delivery – Discover – Dream – Design. | | | | | |
| 3 | Start and end dates | 23/09/2016 – 21/08/2017 | | | | | |
| 4 | Principal Investigator | Title:  Name: Andy Peisley  Department: FTI | | | | | |
| 5 | Other key investigators | Title | Name | Post | Role in project | Organisation | Department |
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| Part B – Does the project require research ethics approval? | | | | | | | |
| 6a | Does any part of the project constitute research, ie. a process of investigation leading to new insights, effectively shared (eg. identifiable research output)?  If you answer No to this question please provide a rationale here (max 100 words) | X❑ Yes  If Yes or don’t know, continue to 6b. If No, the project is out of scope. Go direct to 18a. | | | | | |
| 6b | Does your research involve participants of any type, ie. humans or animals, directly or indirectly? Review the questions in Part C as a guide | x❑ Yes  If Yes or don’t know, continue to Part C. If No, the project is out of scope. Go to direct to 18a. | | | | | |
| Part C – Details of the research | | | | | | | |
| 7 | Give a brief reflection/overview of the ethics issues in this project. | I do not expect any ethical issues to be raised by the above research process. This is because of the following reasons:   * I will make transparently clear to the staff and any student participants at both universities, the aims, purpose and nature of the research and that their participation in the research is entirely on a voluntary basis. They are also in control of the extent to which they want to participate e.g. if they only want to be involved in one focus group and then engage in no further research activity, that is fine, and e.g. they can withdraw at any stage of the process from the research. They are also free to not take part in the research after a workshop and before the focus group, if they wish to withdraw from the research at that point * The workshops are offered as optional, voluntary, personal development activity and as part of this research and are extra-curricular and not part of any assessed course. * The particular research methodology and underpinning values of AI (which I will explain and reinforce throughout the process) emphasise a commitment from all participants to openness, collaboration, inclusiveness of different views and perspectives, and a focus on the positive and life-affirming, generative aspects of what is being raised and developed through the research and how to build more on this (rather than focusing on elements that are not working well or engaging in any activity that causes those involved any psychological or physical harm) (Cousin, 2009; Watkins, Mohr & Kelly, 2011). The research design also encourages participants as collaborative co-creators to influence the design and delivery of the subsequent parts of the process and to finds ways in which these can more fully accommodate their concerns and needs and encourages them as participants to engage willingly in the activity involved. | | | | | |
| 8 | Who will the participants be? Identify specifically any vulnerable groups or individuals and address any special measures you intend to take to accommodate them | Staff and student adult volunteers from Falmouth University and the University of Westminster. | | | | | |
| 9 | How will participants be recruited and how many will be involved? | Participants will be contacted face to face and via email and asked if they would like to participate in the project. They will be given a participant information sheet (see attached) telling them clearly about the project, and what would be involved regarding them if they choose to participate in it. The form will include telling them about their right to withdraw at any time, the way in which their data will be handled, etc (see attached participant information and consent form for detail about this) | | | | | |
| 10 | What will participants be asked to do? | In the 2 workshops I will be inviting participants to:  Look at, reflect on, discuss, put on, and do some gentle physical movement while wearing, some theatrical masks based on Jungian Personality Types. Consider some information about theory/research relevant to these sets of Jungian personality preferences.  Use these masks as a stimulus and vehicle for role play exploration of different strategies for working with these Personality ‘Types’.  I am inviting participants to engage in the above activities, but participating is purely on a voluntary basis. Participants are free not to engage in any of the above activities at any time during any of the iterations of the workshop.  In the focus groups we will be asking:  What is working well in this workshop in terms of engaging us in our learning and how and why?  How we could modify the approach in the future so that the workshop has even more of what is working well in it? | | | | | |
| 11 | What potential risks to the interests of participants do you foresee and what steps will you take to minimise those risks? A participant’s interests include their physical and psychological well-being, their commercial interests; and their rights of privacy and reputation | I do not foresee any likely risks to the participant volunteers, given what I have said about the process and research approach in the sections above. I am an experienced workshop facilitator and have run these workshops before with a range of different learners with no previous issues. I will however stay mindful and alert to any potential sensitivities and remind participants that they do not have to do any learning activity in the workshops that they do not feel comfortable with and are free to stop or withdraw from this at any time. In the focus groups I will stay alert and mindful to any issues, although I do not foresee any likely difficulties around this, given the nature of the questions being explored in the focus groups, and given the key focus in AI process on maintaining and nurturing free collaboration and inclusivity with regard to all voices present and keeping the focus on the positive, life generative aspects and ‘what is giving life here’. | | | | | |
| 12 | Will you be obtaining personal information from any of the participants? E.g. name, personal opinions, address, recorded images or audio, date of birth, notes and observations. | Yes  I will be gathering information from the participants in the focus groups – by gathering what they say and produce in the focus groups and using this to inform the next iteration of the workshop. But this information will be anonymised at an early stage (i.e. at the information gathering stage), to make sure that individuals cannot be identified from any data that is reported in any outputs from the research, and personal identification of particular individuals to what they say is not required or relevant to the aims of the research. (please also see attached participant information sheet re this) | | | | | |
| 13 | What potential risks to yourself or other members of the research team do you foresee and what steps will you take to minimise those risks? Eg. does your research raise issues of personal safety for you or others involved in the project, especially if taking place outside working hours or off University premises | I do not foresee any likely risks regarding this. | | | | | |
| 14 | What potential risks to the environment do you foresee and what steps will you take to minimise those risks, eg. does your research involve plants or soil | I do not foresee any likely risks regarding this. | | | | | |
| 15 | Will payments or in-kind contributions be made to participants? | ❑x NO  *If YES, please state amount and whether payment is for out-of-pocket expenses, or a fee* | | | | | |
| 16 | If the project is to receive financial support (real or in-kind) from outside the University, please give details, including any restrictions that have been imposed upon the conduct of the research. Please discuss this with RIO. Financial propriety, protection of commercial rights and reputation are important for you, the University and other third parties (eg. sponsors, participants etc.) | This research is not receiving any financial support | | | | | |
| 17 | Will any restrictions be placed on the publication of results? | ❑x NO  *If YES, please state the nature of the restrictions, (eg. details of any confidentiality agreement)* | | | | | |
| 18a | Declaration of Principal Investigator if activity is out of scope | I confirm that the form is accurate and complete to the best of my knowledge and belief and it does not fall under the scope of the Research Ethics Policy.  Signature:  Date: | | | | | |
| 18b | Declaration of Principal Investigator if activity is in scope | I confirm my responsibility to deliver the project in accordance with the University’s Research Ethics Policy and Guidelines on Good Research Practice and, where externally funded, with the terms and conditions of the research funder. In signing this form I am also confirming that:   1. The form is accurate and complete to the best of my knowledge and belief. 2. There is no potential material interest that may, or may appear to, impair the independence and objectivity of researchers conducting this project. 3. I undertake to conduct the project as set out in the application unless deviation is agreed by the University and to comply with any conditions. 4. I agree to keep all ethics issues in the project under review and to re-submit a new application for ethics approval should any new issue arise or significant change occurs. 5. I understand and accept that the ethical propriety of this project may be monitored by the University. 6. I have included the following documents:   ❑ An information sheet (compulsory)  ❑ A consent form (compulsory)  ❑ Copy of the full proposal/application (compulsory)  ❑ Other relevant information  Signature: Andy Peisley  Date: 1/11/2016 | | | | | |
| 19 | Support from Director of Department | I have reviewed the project with the applicant and confirm it either does not fall under the scope of the Research Ethics Policy or I support it.  Full Name: Tracy Pritchard  Signature:  Date: | | | | | |
| 20 | REC use only |  | | | | | |