

## **Life after PRU:**

*A critical review of the literature on reintegration into mainstream education settings following alternative provision.*

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***ECGE7002Q/P***

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## DECLARATION FORM



Name of the Programme of Study: *MA Social Education and Youth Work ETS Endorsed*

Name of Student (Capital Letters): *SAMANTHA COOPER*

### DECLARATION

I certify that the whole of this work is the result of my individual effort, and that all sources have been acknowledged.

Signed .....S.COOPER..... (Student)

Date .....07/03/2023.....

### DECLARATION

I am satisfied that this work is the result of the student's effort.

Signed .....  ..... (Lecturer)

Date .....24.04.23.....

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## ACKNOWLEDGEMENTS

Thanks go out to the colleagues across Ceredigion County Council who have supported me in the process of compiling this research document. Especially to those at Ceredigion PRU, the headteacher, teaching staff, the mentors, and the pupils. Thank you for listening to me offload everything I had read and helping me to navigate the area of discussion. Thank you for challenging my ideas and methodology when I needed it. Thank you for listening to my ideas and showing me empathy when things got challenging. Thank you for pointing me in the right direction of interesting articles to explore and ideas to delve in to and for supporting my professional development within my role at the Ceredigion Pupil Referral Unit.

Thank you to my family for offering to do childcare so that I could read, study, and develop this project. Thank you for always believing in me, when even I didn't. For pushing me when the work, life, study balance all became a bit overwhelming. For always being at the end of the phone to support me through the challenging times when it seemed easier to give up than get a volunteer placement in the midst of a global pandemic.

Thank you to my partner, Rob, for allowing me time to sit in the living room on my own to collect my thoughts and commit them to paper. Thank you for taking over the bedtime routine so that I could study after a full day of work. Thank you for always bringing pizza home when I'm working late on a Wednesday evening. Thank you for believing in me since day one and supporting me to better myself and our family, which will have doubled in size in the time it has taken me to complete this master's programme. Thank you for your support always, but especially during the difficult times we have faced together over the past three years whilst I have been studying.

Thank you to the staff at UWTSD for the guidance and advice.

Finally, thank you to all the young people who engaged in any of the studies which have been discussed in this document. Your honesty, engagement, and willingness to share experiences has been eye opening and I hope, will go towards supporting other young people to have more positive experiences with transition out of alternative provisions. Thank you to the teachers, support staff and researchers who have spent endless hours researching, developing and reflection on this particular area of study. Without the tireless work you have put in, many extremely vulnerable people would face more challenges and less opportunities.

My sincerest, thank you, to you all.

## ABSTRACT

The purpose of this study was to investigate what, if any, research has been done into the reintegration to school process, following a period of time attending alternative provision for education settings. The aim of this was to identify strengths and weaknesses in the current process and inform or adapt better practice moving forward. The researcher hoped to uncover any common themes, or links as to why reintegration into mainstream education settings is either successful or unsuccessful. It was also the aim to investigate whether this is a current topic of research or whether there is a “gap in the market” for more up to date research to be done. By undertaking a critical literature review of work on this topic currently in the public domain, the study was able to make links between common issues and find themes between different pieces of work. It is hoped that following the critical review, this study can then be used to help alternative provisions and mainstream school settings, work towards improving the success rates of children and young people who are wanting to or trying to, reintegrate fully back into the mainstream provision.

This research document highlights both the lack of and depth of research and lack of current and up-to-date research from the last 5 to 7 years, conducted on reintegration to mainstream schools. It identifies the factors that support and that fail to support successful reintegration for pupils who have spent time in alternative provisions, particularly in a PRU (pupil referral unit). Although the findings vary, there is a theme that runs throughout all the studies that shows that a lack of understanding and empathy towards pupils with SEMH (social, emotional and mental health) and BESD (behavioural, emotional and social difficulties) gets in the way of effective support. As well as this, there is clearly a significant lack of funding

across settings, staffing challenges including shortness of staff and consistency of staff, and relevant and/or appropriate training opportunities for staff members.

This study can identify areas for improvement and make some suggestions for better practice which focuses on supporting successful reintegration's. The aim is that this review of studies can help focus future and specialise research on this topic as well as help alternative provisions and mainstream education settings to reflect on and develop their processes surrounding return to mainstream school either on a full or part time basis.

## ACRONYM

ACES – Adverse Childhood Experiences

ALNCO – Additional Learning Needs Coordinator

AP – Alternative Provision

BESD – Behavioural, Emotional and Social difficulties

BPS – British Psychological Society

EOTAS – Educated Other Than at School

NEET – Not in education, employment, or training

PRU – Pupil Referral Unit

SEMH – Social, Emotional and Mental Health

## 1. INTRODUCTION

The purpose of this dissertation is to investigate and critically review the research studies that have been focused on the process involved in the reintegration of children and young people into mainstream education settings following a time of alternative provision-based education, in the hope that it can be used to better develop educational policy and inform best and better practice. This piece of research work aims to identify any common themes or links to why reintegration is a positive and successful experience or else a negative and unsuccessful experience for young people. It is also hoped that if there is an area which needs further researching, this will be highlighted in the study, perhaps leading to further research and development in the area. Ultimately, this study aims to identify potential areas for improvement and inform better educational practice moving forward as well as highlighting any specific strategies which support positive reintegration and providing a platform for these strategies and practices to be shared amongst settings.

Schools are recommended to work together to share responsibility for excluded pupils and those at risk of exclusion, so that children are at a lesser risk of becoming NEET (not in education, employment, or training). According to the Department for Education's latest statistics, published June 2022 on Gov.uk (Department for Education 2022), "6.4% of 16–18-year-olds were NEET at the end of 2021 which is 0.1% higher than the lowest percentage recorded at the end of 2016. These statistics, however, are limited to England and do not include a nationwide percentage. These statistics are also now more than 5 years old and could be considered to be outdated and no longer viable for the purpose of research. Welsh

government released data in April 2023 which indicates a small decrease in young people aged 16-18 years old who are NEET in Wales between 2011 and 2017. Data collected suggests that for the year ending 2022, “8.8% of 16–18-year-olds were estimated to be NEET, compared with 9.7% for the year ending 2021” (Welsh Government Gov.Wales).

However, it appears that there are considerable challenges to face for young people who have experienced exclusion who want to reintegrate into mainstream education. In particular, secondary school mainstream reintegration has been highlighted as particularly challenging (Parsons and Howlett 2000) and placements very often break down and fail, or support is withdrawn completely.

Reintegration is the term used to refer to the longer-term planning for a pupil to re-join the existing school community after a fixed term exclusion, or sometimes another suitable full time education provider, after permanent exclusion (DfES, 2008b).

It is therefore necessary to conduct an investigation into what the positive strategies are which support children and young people to successfully reintegrate back into mainstream education following a period in a pupil referral unit (PRU). (Atkinson, 2019) describes the lack of research into factors affecting and or influencing successful reintegration as evidence of the very low success rates of reintegration. This quote confirms the need to research more into this area so that the success rates have chance to improve, and the children and young people have a better chance of succeeding, or at least have the opportunity to maximise their full potential. The pupil referral unit is intended to be a rotating door setting, where young people attend for a set number of terms, for example a two-term placement, and then gradually integrate back into a mainstream setting, with the goal of this being a full time

single registered setting. However, this is often not the case as most young people who leave a PRU and attempt reintegration, return to the alternative provision at some stage and become self-fulfilling prophecies who are “repeat offenders”. Or young people who attend a PRU on a set timeline, then never successfully reintegrate back into the mainstream setting and schools then become unwilling to accept the pupil back, neither on a full time or on a dual registration format. The longer that young people attend a PRU, the less likely they are to experience a positive or successful reintegration into mainstream (Tootill and Spalding, 2000). It could be argued that rather than becoming “repeat offenders”, young people attending the PRU realise that they like this setting, it is better suited to them, and it better meets their SEMH and BESD needs. It could also be the case that the smaller setting of a PRU, with consistency of staff and bespoke education packages, better suit the needs of young people who are dealing with a processing trauma, and that this format and style of education better enables the young people to navigate their way up the trauma recovery model and gives them more opportunities to experience personal successes.

This research question looks to investigate what research has been carried out on this issue and aims to identify any common themes or areas which need researching further.

Future outcomes following exclusion are poor (Parsons, 1999) and there are strong educational, as well as social and moral grounds, for educating children with additional needs such as social, emotional, and behavioural difficulties, with their peers. Tootill and Spalding 2000 suggest that “it could be argued that by being segregated, categorised and labelled in their education”, children and young people “are not acquiring the knowledge and skills to take their place in the wider society in the future and instead, are becoming further removed and alienated”. Some current professionals working within the PRU would support

this statement, outlining that pupils who spend a length of time being educated in a pupil referral unit, are not building resilience or experiencing “real life “situations, and instead are becoming more reliant on constant and high level support for both their social, emotional and educational needs.

The percentage of successful reintegration is currently extremely low. According to the Estyn 2019-2020 report, “In January 2020, there were 22 registered pupil referral units (PRUs) in Wales”, one of which catered for 50 full time students at once and another had 20 full time pupils. Each one of these full-time pupils was/is a young person who was as yet considered unable to manage with a dual placement timetable and was experiencing significant social, emotional and behaviour difficulties. The question is then asked, why is the support service unable to provide a strategy which enables young people to better access dual placement and ultimately work to the goal of fully reintegrating back into mainstream education. It also raises the question of the role of the youth worker across both settings. Is there a working relationship missing which could bridge the gap between specialist intervention settings such as the PRU and the mainstream education providers. And would this role be able to be filled by a youth worker?

The Welsh Government website (Gov.Wales 2022) published the EOTAS (Educated Other Than at School) census statistics which covers pupils in local authorities place in Pupil Referral Units or other forms of alternative provisions which are referred to as EOTAS, not including children who are being home educated. The EOTAS census most recently conducted by the Welsh Government, was conducted in February 2022 after being delayed from January 2022 because of the level of COVID-19 that was still disrupting education in Wales and the Welsh government processes. The data collected in this census was updated

and published to the Welsh Government website on 8<sup>th</sup> September 2022, it has not been updated in the last 12 months and can be considered as valid and recent data for research purposes. There is currently no more recent data than this and it is the most recent reflection of children in young people in education other than in schools. The census highlights that in 2021/22, there were 825 enrolments at pupil referral units in Wales and this accounted for 43.5% of all EOTAS educational enrolments (Gov.Wales 2022). Considering that almost half of all the pupils educated outside of the school setting was accounted for by PRU, it seems that there is a significant reason for exploring and researching into the success rates for reintegrating children and young people back into the mainstream education setting.

## 2. LITERATURE REVIEW METHODOLOGY

The researcher conducting this study has worked with and seen first-hand the impact of an unsuccessful reintegration and has worked very closely with several young people accessing educational and emotional wellbeing support through placement within a pupil referral unit (PRU). The researcher conducted their first youth work and social education work-based placement within the Ceredigion Pupil Referral unit during the global COVID-19 pandemic in 2020-2021. During this time, the researcher was able to gain invaluable hands-on experience of working within the PRU and alongside established and experienced members of staff from across the authority. Pupil referral units are the most frequent form of alternative provision (McClusky, Riddell and Weedon 2015). Alternative provision was introduced in 1994 as a response to national concerns regarding social and educational outcomes of pupils who were excluded from mainstream education settings, due to challenging behaviour. Over a four-year period, the researcher has worked within a PRU with numerous young people who suffered with social emotional mental health needs (SEMH), experienced multiple ACES and who displayed challenging behaviours linked to behavioural, emotional, and social difficulties (BESD); all of which had led to their placement within the PRU and their being unable to cope, manage their emotions or experience success within a large mainstream education setting. During this time, the researcher gained valuable insight from those young people on how it feels when they return to larger mainstream settings and what the long-term effects of failing to reintegrate can be. The researcher worked with some young people who described never wanting to return to a mainstream school because the experience had just been too traumatic for them and others who felt resentment towards the staff who they deemed “responsible” for removing them

from the setting and beginning the process for enrolment into the PRU. Some young people arrived at the PRU just wanting to do whatever they could to get back to mainstream schooling and others, attended PRU after an extended period of school refusal and who would happily never set foot back in a large setting again. The young people that the researcher has worked with ranged from the age of 13 to 16, KS3 to KS4, and are a combination of full time and dual registered pupils in the PRU. The researcher's experience with these young people strongly influenced the need to reflect on the research which has been done into this area. Seeing the work that goes into supporting these young people, fall apart when pupil's experience a failed transition back into school, has driven the researcher to want to make changes to the process and be part of the development of better strategies. The researcher encountered several members of staff within mainstream settings who had extremely negative opinions of the young people within the PRU and who were somewhat abrasive and closed off to their reintegration altogether and who automatically expected that any/all reintegration would be unsuccessful. Several members of teaching and support staff used the threat of going to "the naughty boys school" as a behaviour management strategy to try and control or influence a young person's behaviour and choices. Unfortunately, this mind-set did not seem to be limited to the minority and was encountered across several different mainstream settings. Every Child Matters, (Department for Children, Schools, and Families, 2004a) placed an emphasis on the responsibility of schools in and local authorities in England to ensure measures are in place to support every child in achieving positive outcomes. "Children are entitled to receive, with a suitable peer group, a broad, balanced, and relevant curriculum, in the least restrictive environment. Wherever possible, this should be in a mainstream school, recognising that appropriate support, advice, and resources may

be necessary to achieve this” (House of Commons education and skills committee, 2006). The Department for Education states that “All pupils should be helped to fulfil their potential. Reasonable adjustments can help level the playing field by minimising the disadvantages that pupils with disabilities might face compared with their peers” (GOV.UK 2023). Within the new ALN code, this also covers the children and young people who are identified as dealing with SEMH and BESD needs and therefore, the same applies to reasonable adjustments for them. This means that “schools have a legal obligation under the Equality Act to support pupils with reasonable adjustments, making sure they can benefit from what school offers in the same way” (GOV.UK 2023) as a pupil who does not face the same sort of challenges.

The researcher is undertaking this study as part of a Masters in Youth Work and Social Education, therefore the involvement of the youth worker and the application of the principles of youth work will also be considered throughout the research piece. The Welsh Youth Work Policy outlines strategies for youth work across Wales, aiming to support young people between the ages of 11-25. The shared vision is to improve outcomes for young people and gain support from outside stakeholders to imbed the importance of this support in the community throughout Wales. National Occupational Standards summarises youth work in the following quote “The aim of youth work is to enable young people to develop holistically, working with them to facilitate their personal, social and educational development, to enable them to develop their voice, influence and place in society and to reach their full potential” (Welsh Government 2019).

Youth work in Wales begins whenever the young person recognises a need or seeks additional support to reach their full potential and voluntarily engages in a youth work

program local to them. This could therefore include if a young person was to access a youth worker's support in a school setting either before, during or after the school's teaching hours. Youth workers are committed to providing equal opportunities and inclusion for all. This may include providing opportunities for education outside of the formal setting such as wellbeing walks or socialisation opportunities or making the most of unplanned or unexpected experiences such as traveling shows or workshops in the local area. At its core, the youth work in Wales provides safe environments and support for health and well-being of young people.

Youth work in Wales encourages young people to take full advantage of opportunities provided, with the aim of helping them to meet their full potential and feel more empowered and aware of their rights. Youth work hopes to support young people through significant changes in their lives whilst developing knowledge, understanding, attitudes and values. One of the key values at the heart of all youth work in Wales is to challenge oppression and inequality whilst providing a safe and nurturing environment for young people to keep themselves safe in. This is something that the researcher experienced in their second work-based placement for youth work and social education studies, when volunteering at a local after school youth club in Ceredigion that was run by one of the churches in the town centre. The ethos of the whole group was to provide a safe space for children and young people to attend between the hours of 4pm and 6:30pm, encouraging children and young people from all backgrounds to attend and ensuring that they were offered opportunities to engage in safer activities than they may otherwise choose to engage with outside of school time. It was also a key part of the youth group that the young people were given time to discuss their worries or concerns with trusted adults and youth workers in the group. The researcher observed that

many of the young people would offload immediately with staff they had built trusted relationships with, as soon as they arrived, and then they were better equipped and more prepared to engage appropriately with their peers and engage in the activities and opportunities provided for them.

The Learning and Skills Act 2000, extending entitlement support for 11- to 25-year-olds in Wales, Direction and Guidance (2002), sought to ensure appropriate support and a set of entitlements for young people through youth work and youth work support services. A rights-based approach was strengthened through the Rights of Children and Young Persons (Wales) Measure 2011. The Welsh Children and Young People's National Participation Standards (2016) are there to ensure that young people have their voice heard and participate in making decisions that affect them. This can be seen put into practice in an education setting through the set up and regular use of student council meetings and pupil voice involvement in annual reviews and IDP (Individual Development Plans) meetings where the young people are given the opportunity to share their opinions on what is important to them, what they think is working well, what they believe their best days consist of and what they are aiming to achieve or accomplish in the future. It also provides an opportunity for pupils to make suggestions as to what might better support them or highlight areas that could be improved for them. This pupil voice involvement in the annual review and IDP writing process, enables the young people to have a first hand input on their current and future education and by completing the paperwork before the meeting as well as being invited physically into the meeting itself, the young person is given the opportunity to speak freely in person or rely on having it written down prior to being in the situation, should they become overwhelmed in the room.

Ethical considerations for undertaking this research were informed and guided by the British Psychological Society (BPS) Code of Ethics and Conduct (2009). An ethical approval form for this proposal can be found in the appendix. Undertaking a critical literature review proves very little risk to the parties involved, as all the data discussed in the project, is already available in the public domain. The thoughts and opinions expressed by the researcher are from personal experience and work that the researcher has previously submitted prior to this final research piece, has been referenced appropriately in the references section.

Review methodology for this study will follow a systematic process using three main steps; 1, literature search and screening; 2, analysis; 3, review of literature. Current literature on this area of interest was selected, screened, and read in depth. Analysis then took place on the data and themes which run throughout the literature. Review will then take place of the themes identified, the methodology used in the study and the outcomes of the investigation.

The need behind this study is to research whether there will be a link between poor and negative attitudes of staff, a lack of funding and a lack of wrap around support services, that ultimately equate to poor success rates of reintegration. Undertaking this study will aim to identify both strengths and weaknesses in the current research in this area. It will also allow the researcher to gain an in depth, critical understanding of the field of study. By identifying strengths and weaknesses in this area of research, the researcher will be able to think about what could and perhaps needs to be done to further develop and improve this research area. Strengths and weaknesses alike could be shared between education providers in order to inform policy developments in the future and to help all services involved, aim more for the same goal for the young people concerned.

### 3. LITERATURE REVIEW

#### 3.1 Introduction

A review of literature in this area highlights a lack of current, up to date studies. Of the studies which have already been commissioned, many are now out of date, more than 5 years old and focus on the opinions and experience of only one party, either the young people or the staff involved. There has been very little research conducted which includes the thoughts and experience of all supporting parties, this includes teaching staff, support staff, youth workers and the young people. There is also a lack of studies which investigate specifically why the success rates for reintegration are so poor.

Atkinson and Rowley (2019) conducted a Q methodology study which focused only on the pupil's views on what helped their reintegration to be successful. They described how the staff, teachers and parents and carers helped to develop the questions which were used in the Q set during data collection, but ultimately it was only the view of the young people which was collected and of any interest. There was no other involvement of the staff in either the mainstream or the alternative provision setting. The research would have benefitted greatly from the input and opinions from the other professionals working with the young person, such as social workers, parent's carers and/or education providers. This would have produced a more well-rounded set of data which would have been a better representation of the experiences which were discussed as well as being more reflective of the processes and people involved in the reintegration discussion. It also wasn't specific research to reintegration from a pupil referral unit, it could have been from any other alternative provision setting, this was unclear throughout the study as no specific alternative provision

was ever named. These settings were not defined or made clear to the reader; they were just referred to as alternative settings throughout the study. This is a weakness in the study as it makes it hard to compare this work and data to other more specific pieces of work and the level of alternative provision is also unclear throughout. It could be that some participants are experiencing just one morning or afternoon out of mainstream in a nurture provision, whereas other participants could be being educated in alternative settings four out of five days a week. This is unclear throughout and certainly would be identified as a weakness in the study.

However, based on the point earlier raised, that most of the research on this topic is out of date and more than five years old, it is positive that the Atkinson and Rowley study was conducted only four years ago in 2019, but it again highlights the need for more research into this area as well as the need for more in-depth research and with a wider breadth of study group participants. One of the key findings of the study was that the percentage of successful reintegration (when success was defined as a 12 week only period back in a mainstream setting), was extremely low, which limited the study to collecting the experiences, views, and opinions from just 12 young people. This very small number of participants makes the results and data collected very narrow and not a particularly good reflection of the service on a wider perspective. It also indicates clearly that the number of pupils who successfully reintegrated was extremely small, leaving only a small number of participants eligible to be included in the study group.

Other research into reintegration from PRU to mainstream education providers, explores the perspectives of education practitioners towards the process of reintegration, (Thomas, D 2014) and what they view as being factors affecting success, rather than the views and

opinions of the children and young people themselves. This research was conducted using interviews and questionnaires with education practitioners across primary, secondary and PRU establishments, and outlined that within each setting, the barriers to success were dependent on the setting but that “geographical context” was identified by staff as the biggest barrier to success. It is evident from looking at supporting documents, that there is a gap in research that looks specifically at the thoughts and views of the children and young people and provides them with a safe time and place in which to share their opinions based on their experiences. The United Nations Convention on the Rights of the Child (UNCRC) article 12 states that children “have the right to be heard” (Children's rights in Wales - GOV.WALES, 2022) and the research pieces that have currently been reflected on, do not support that the children and young people have been given the right to be heard neither prior to or following on from their experience of attempted mainstream school reintegration. The right to participation for rights respecting schools, article 12 says that “every child has the right to express their views, feelings and wishes in all matters affecting them, and to have their views considered and taken seriously” (UNICEF 2021).

Michael & Frederickson (2013) undertook a study which researched “Improving pupil referral unit outcomes: pupil perspectives”. Having been published in 2013, this is an example of another piece of research which is out of date because it is more than 5 years old. Therefore, the data and results included in this study could be deemed as no longer being a realistic representation of the study focus group. Results can become outdated as processes, policies and procedures move on and change, resulting in the outcomes no longer being relevant to current procedures. However, in a critical review of the current research in the

public domain looking at the positive and negative reintegration to mainstream education, it is important to include this study into the review. The results were able to identify 5 key themes as “enabling factors” on reintegration in the Michael and Frederickson 2013 study. These were relationships, curriculum, discipline, learning environment and self. The study also outlined three key barriers to successful reintegration as “disruptive behaviour, unfair treatment and failure to individualise the learning environment”. Within the enabling factors, specific examples were given into what it was in this factor that students found particularly supportive. Within relationships, the key relationships that young people identified as supporting positive results were with their teachers, their peers and positive family relationships. Teachers made the greatest impact when they offered effective emotional support as well as academic, highlighting the importance of pupils being in a good headspace and the need to feel cared for in order to learn. Knowing peers already in the school was a key factor to breaking down the barriers of getting back into mainstream education settings. Pupils described how knowing a couple of people who would be there, made it seem less intimidating to go back and helped them to form new friendship groups. Interestingly, a small number of young people explained how without the support from parents and carers at home, encouraging them to go into school, the young people admitted that they didn’t think they would have been self-motivated enough to attend. Receiving encouragement and support from home and knowing that they had pleased the people they cared for the most, was important to the young people and motivated them to try their best to make the reintegration work.

Wellbeing opportunities, extracurricular activities and a personalised curriculum all supported positive experiences of return to education. Having the chance to get some fresh

air, or the work being appropriately differentiated without drawing attention to the individual, being allowed to try out for the school football team regardless of previous behaviour reports. Pupils explained how these opportunities being offered to them made them “want to try hard to be good” in school. Multiple young people described how important it was for them to feel like they could succeed with a piece of work, rather than feeling overwhelmed by it and like the teachers didn’t “even want us to do good”. This area of health and well being can be well supported and developed further by the involvement of the youth worker. They can be the additional member of staff who is able to facilitate simple yet effective sessions such a wellbeing walk between lessons or as a supportive face to help a young person try a new extra-curricular activity. The involvement of the youth worker in this situation could also free up a busy member of school staff to be able to support other young people or to have a break in order to prevent burn out and therefore provide a better standard of care for themselves and the young people.

Discipline was referred to by almost all of the students included in the study group. It was an overarching factor that was extremely important to the young people and which they deemed to be a “make or break” factor. “Clear consequences” and a consistent approach were specific areas the pupils themselves said that helped them. When all staff were consistent, it made it easier for pupils to manage their own behaviours, they knew what all staff were expecting and they knew that they would be reprimanded in the same way by all, each time. Consistency is one of the basic needs with a young person who has experienced trauma and in the hectic and chaotic lives that many of the young people involved in these studies live, consistency is not only something that they crave but that they thrive on and school or the place of education, may be the only place in which the young person experiences this.

Learners were able to identify that they could manage their behaviours and cope better in smaller classrooms with a higher level of staff to pupil ratio. When the class size was smaller, and there was more than one member of staff available to support the learners, pupils said the learning environment felt safer and better met and supported their needs, leading to more positive learning and behavioural outcomes. This however, is unfortunately becoming less common across classrooms as the funding cuts and austerity throughout education impacts on the number of staff employed and the number of support staff who are the first to be let go when cuts have to be made.

The final supporting factor identified in the study was self. The young people described that they had to want to go back to school and had to want to make it work, for their transitions to be successful. Young people expressed how their “Determination and self-belief” played a big part in how they experienced mainstream school, if they didn’t want it work, the relationships broke down, if they wanted to be successful, the experiences were more positive. Youth work policy refers to the youth work support only starting when the young person themselves identifies the want or need for change or support, and this can be reflected in this final supporting factor. The young person must, themselves, want to go back to school, for the right reasons, in order for the return to school to have a chance of being successful. If the young person wants to go back to school simply to have access to a wider group of peers or to access certain areas of study only, then the reintegration stands a lot lower chance of working out successfully.

Michael and Frederickson used semi-structured interviews to conduct their research and then thematically analysed the collected responses. Participants were a collection of young people from both KS3 and KS4 PRUs in Inner and Outer London areas. By collecting the

perspectives from students in two different pupil referral units and in two different key stages, the study was able to collate the data from young people aged between 11 and 16 years old. This approach is advantageous to the study as it provides a wider range of experiences and as the pupils are in different areas of London it can be presumed that they reintegrated back into different mainstream schools, which are likely to have different procedures in place and encounter more members of staff who influence the young person's experience. A larger sample size than is necessary will be a better representative of the population and will hence provide more accurate results.

Jalali and Morgan (2017) conducted a study titled 'They won't let me back.' comparing student perceptions across primary and secondary pupil referral units (PRUs). This study comprised of semi structured interviews with 13 pupils from across three pupil referral units in three different local authorities in the southeast of England, a mixture of primary and secondary aged young people. The study aimed to explore the views of pupils on what worked well or did not work well for them within the PRU and during the transition out of alternative provision. The study focused on the SEMH outcomes of young people within the PRU and drew conclusions from the data collected that indicated that "alternative provision may exacerbate mental health difficulties" (Jalali & Morgan 2017).

### 3.2 Literature Review Theme 1

#### *Barriers to learning.*

Throughout the reviews of literature on this area, there has been a theme which has been prevalent in all the studies; barriers to learning. Participants have been able to identify barriers that they have faced when reintegrating back into the mainstream setting, factors which have not supported a positive experience, but which have made the already challenging and difficult transition, even more difficult. Throughout the studies, barriers to learning has always been one of the first things that the young people have listed. This would imply that it is the first thing that comes to mind when the young person is asked to share their opinion of their experience. That the negatives massively outweigh the positive and that the young people are sometimes unable to move on from that negativity.

Michael and Frederickson 2013 research identified three key components which impacted on reintegration being unsuccessful and negative for the young people involved. These three factors were disruptive behaviours, unfair treatment, and failure to individualise the learning environments. Disruptive behaviours of peers in classrooms with low staff to pupil ratios, made it challenging for students with BESD to be able to manage their emotions and pupils explained that when others in the classroom were acting up, it was easier to just join in rather than avoid this behaviour. Michael and Frederickson's study also outlined how pupils felt that teachers didn't understand them or the behavioural difficulties that they had, and this in turn lead to pupils "getting angry and start doing stuff" to disrupt learning.

With the behavioural challenges the young people faced in a mainstream setting, young people discussed the feeling of unfair treatment. How, several people in the classroom would

be misbehaving but only the young person who had returned from alternative provision, was reprimanded, or pulled up for their behaviours. More than one participant also described having experienced first hand how they had been unfairly blamed for other people's behaviours. One participant described an interaction they had had with a teacher where they became angrier because the member of staff had challenged them on a behaviour and the young person responded with "I haven't done this, so why am I getting blamed for it?" and the teacher just continued to apply disciplinary sanctions on the young person.

The third barrier to success that the pupils described was the lack of individualised curriculum and learning environment in the mainstream setting. Pupils transitioning from the two PRU settings had gone from personalised timetables which prioritised health and wellbeing, opportunities for experiences and studying core subjects, to a mainstream setting which had a timetable that was almost the same for every pupil in the year group, minimal if any opportunity for mental health and wellbeing check ins and made the young people feel under a lot of pressure. None of the 16 participants described any sort of phased transition, of any meetings to discuss what works well for them or what success looks like for them, instead they just returned to school and were expected to slot back in and meet expectations which in most cases, were unrealistic to the individual.

Jalali and Morgan 2017 also identified that young people felt that other people's treatment of them, influenced their poor behaviour choices and lack of ability to manage their own behaviours. Participants in the study described being "targeted by peers, feeling unsupported and disliked by teachers or being unfairly blamed". These results support those identified in the Michael & Frederickson 2013 study, students across both studies described feeling singled out by staff and peers and that this was a reason why they had experienced poor

reintegration back to mainstream education. Some pupils described their behaviours as “revenge style” behaviours in response to the way they felt they were treated in school. This type of response and justification for behaviour indicates a strong rigid belief for the need for better equality and that the lack of “flexible thinking” increased young people’s feelings of being vulnerable, singled out and targeted by others. When the trauma recovery model is consulted, these types of behaviours and thought processes reaffirm the young person’s feelings about themselves and eases the uncomfortable emotions that they feel. When a person has experienced severe trauma and carries demons from this, often they purposefully act in a way that makes people respond towards them in a way that the young person feel they “deserve” to self-justify why they are displaying these behaviours and self soothe the discomfort and pain that they feel, when the reality is that the behaviours are linked and are direct responses to the child’s ingrained fight or flight response which is permanently heightened due to adverse childhood experiences (ACES). A lack of understanding, training and empathy in this area presents as particularly challenging for both the students and the teachers. Teachers find that these individuals are difficult to manage and engage, hard to build relationships with and disruptive to a classroom. Students who face these challenges are met with overwhelming classroom situations, difficulties calming themselves enough to be able to learn and the instinctive want to break down relationships before someone can let them down. Jalali and Morgan 2017 highlight the disparity between the views of the staff and the views of the learners when a reintegration breaks down. Staff felt that they needed to be stricter and punish more behaviour in order to gain control and eradicate the bad behaviours. The pupils however, felt that this response only spurred the pupils to create more disruption as a way of pushing back and arguing with authority. When the pupils didn’t feel

listened to, heard, or valued, what was the point in doing well? Why not act out and make things as difficult for the staff as it was for them?

Relationship building is vital to the success of traumatised young people. In a small setting such as the PRU, trust building, forming relationships and being able to have an input on their timetable are much more available to the young people simply due to the staffing and pupil ratios. Although the number of pupils registered in the PRU can vary, daily numbers are often below 10 and many lessons can be taught on a small group or one to one basis by highly trained and experienced members of staff. This automatically lends itself to being a better environment for young people to form bonds and build trusting working relationships with positive role model adults. Many young people who access the PRU either on a full time or part time basis would account their better attendance, better results, and social development, to knowing which staff they have each day, being warned and prepared for changes and for being given the opportunity to voice their opinions in a safe space, daily. The smaller setting often provides better opportunities for sharing pupil voice and for the young people to see the impact that sharing their views and opinions can have. Within the PRU the researcher saw this in action when on placement and when the young people voiced that they would like to hold an online Minecraft tournament between both unit buildings, with all staff and pupils, it was then organised for later that term and the young person whose idea it was initially, took ownership of the whole thing. It was clear from the young person's body language and the whole PRU involvement, that this event was a success. It was not only successful for the young person who got to see their idea in action, but for their peers who got to see that voicing your opinion can be done in a productive and healthy manner with positive and enjoyable outcomes. This can again be reflected to youthwork policy,

supporting young people to understand their rights and have a voice to air their opinions. However, it is important to outline that if the young people do not want to voice their opinions, speak up or share ideas, they are equally under no pressure to do so. Smaller settings provide less chance to hide amongst a bit cohort of peers but youthwork advocates for voluntary inclusion, do the young people want to discuss their rights, do they want to share their thoughts, do they really want to go back to mainstream school? Do they have a chance to voice their opinion on returning to school and do they want a chance to do this?

It is important to explore the impact of austerity and funding cuts in the Welsh Education system when looking into the barriers to success in this area. Some areas in Wales have faced funding cuts directly from the schools' budget which has a huge impact on the staffing available to the settings in the area. A recent example of this can be seen in Bridgend where in February this year (2023), the council made the decision to cut the schools budget by 2% which equated to around £2million for 60 schools (Nation.Cymru 2023). One primary school had to make 3 members of teaching staff redundant, which could have an irreversible impact on a small village school. In relation to the reintegration process from alternative provision to mainstream, this lack of staffing as a direct result of budget cuts could prove to be devastating for the young people. Expecting a young person who has accessed a bespoke education package, delivered in small groups or one to one lessons, where they have several members of staff available at any time to speak to in a quiet safe space, to transfer over to a setting where pupils outnumber staff in groups of 30:1, demands are high and support is low, is simply a recipe for disaster. Young people dealing with and processing trauma and who have attachment difficulties can then become self-fulfilling prophecies and go into "self-destruct" mode when overwhelmed and under supported. The fear of failure and want

to get rid of people first before they let you down, is engrained in their learning process and can often present in a way which would be dangerous to themselves and others in an under supported classroom or social situation. Although it is expensive, a better transition period would better enable the young person to succeed. The staff within an alternative provision such as the PRU, are much more highly trained than most teaching assistants or school support staff and have more experience of dealing with children and young people who have experienced trauma and ACES. If staff could be freed up to support the transition for the start of the process and then ween themselves away having upskilled the staff that are in the mainstream setting long term during the process, it is possible that the success rate could be higher. The youth worker role could also be utilised more in this situation. Youth workers around the county in Ceredigion are regularly attached to specific schools and cover particular parts of the county. This could mean that there is an opportunity for the youth workers to facilitate a better transition between settings, attending sessions with the young person whilst still accessing alternative provision, and then bridging the gap during the move back to mainstream. Providing the young person with a trusting relationship, bringing with them some consistency and a recognisable face and safe space amongst the many changes.

### 3.3 Literature Review Theme 2

#### *Factors that support reintegration*

Several of the journals and documents which have been reviewed as part of this study, have highlighted specific factors which participants have linked to supporting their transition into mainstream school. These were personal opinions from the participants on how their personal experience was influenced by certain environmental factor circumstantial factors.

Alternative provisions aim to provide a safe, therapeutic, and neutering environment, where young people can develop and work on their social interaction, self-regulation, and emotional literacy skills, so that they can work towards being able to cope and thrive in a mainstream setting or in post school society. Young people within a PRU can access health and well-being activities, social skills intervention and bespoke intervention packages based on the need of the child. These interventions help to build the young person's resilience and aim to give them then skills which are required to manage in society. In a study conducted by Chynna Owen, Kevin Woods and Andy Stewart 2021, participants discussed clear distinctions between the perceived inflexibility of mainstream compared to the nurturing and caring environment they had experienced in alternative provision. Young people described being met with "unsympathetic" approaches to young people in crisis or who were struggling to self-regulate their behaviours. This was in stark comparison to staff at the PRU who pupils described as giving them time to talk and who made the young people feel understood. The participants in the Owens et al 2012 study explained feeling a sense of new found self-belief as a direct result of the therapeutic support sessions that they had received in alternative provision and the support that staff had given them so that they were able to access support from psychological professionals as well.

Owens et al outlined an enabling factor which wasn't highlighted in many other pieces of research, that was the planning process for reintegration. Practitioners advocated the involvement of the young people and pupil voice in the planning process and encouraged young people to be included in the decision-making process (Gibson 2019). Pupil voice was critical to the young people feeling valued and empowered and helped them feel like they wanted the process to be successful. It was also key for the young people to feel ready to reintegrate, the timing and the preparation for this was essential to the success. If young people felt that they were being rushed back to school or felt that their opinions and feelings weren't being considered, they became less likely to engage in the process and the transition was less likely to be a success. This meant that the process needed to be individualised to each young person. It wasn't suitable for it to be a set policy of one or two terms in the alternative provision setting and then back to school, it was a completely bespoke package for each young person involved. Jalali and Morgan 2017 argue that spending too much time in a PRU has a negative impact on the young person's mental health and makes the chances of successful reintegration much lower. Data suggested that a prolonged period with such high levels of support, e.g., one to one teaching in the PRU, reduced resilience in young people and created the need for constant high levels of support which is not only unrealistic in a mainstream education setting, but also unsustainable.

### 3.4 Literature Review Theme 3

#### *Reintegration as a fresh start*

A fresh start is defined as an opportunity to start over without prejudice. A clean slate, a chance or opportunity to a possibility due to a favourable combination of circumstances. Throughout the review of literature, it has been a consistent theme that pupils do not always experience a fresh start when they reintegrate into a mainstream setting. Pupils described feeling singled out and targeted, by both staff and peers, regardless of if they started a school they had been to before, or a new setting altogether. Whilst working alongside experienced PRU and mainstream teaching staff, the researcher saw this attitude in action on several occasions, where the alternative provision are suggesting and initiating the start of the reintegration process, and the mainstream school are reluctant and unhelpful in the process. For example, poorly filling in the initial paperwork so that it has to be redone and only delays the process longer or agreeing to a young person returning to the mainstream setting for one morning a week to attend a GCSE lesson taught by a subject specialist, and then not providing any resources for the young person to prepare for or consolidate their learning. “A fresh start – it is important not to disregard the progress made at the PRU or set the student up to fail” Armstrong 2017, 135, AP Behaviour and Learning. Professionals involved in the Owen et al study, emphasised the importance of making the young people, and their families, feel welcome when joining a new school community. Often, vulnerable, and challenging young people and their families, have been met with a lot of judgement and discrimination, and it is not uncommon to see a poor relationship between both the parents and or carers and the professionals involved in with the young people. This is regularly seen when the parents and carers have themselves experienced negative communications between home and school

and still feel that they carry some resentment towards the way they were treated and the feelings that they had at the time. Children and young people who have experienced trauma can find it difficult to respect authority figures and regularly be involved with the police, social services, and youth justice support team. This can result in young people and their parents, having trust issues and difficulties in building and maintaining positive relationships. A study conducted by Blackpool Better Start on Police Adverse Childhood Experience (ACE) Awareness, outlined that ACEs were associated with the risk of negative outcomes throughout the life course including those relevant specifically to the Police (e.g, crime and substance misuse) (Blackpool Better Start 2020). The Welsh Adverse Childhood Experience (ACE) Study found that nearly 50% of the Welsh population have at least one ACE, whilst 13% had four or more, at which point the risk of detrimental outcomes is increased dramatically (Public Health Wales NHS Trust, 2015). Children who experience stressful and poor-quality childhoods are much more likely to experience poor mental health due to poor self-image and self-worth, they are also much more likely to develop attachment difficulties and have prolonged challenges with making and maintaining healthy and positive relationships. Children and young people who experience these traumatic events are more likely to adopt health harming behaviours during adolescence, perform poorly and below their potential in school and are much more likely to be involved in crime both as victims and perpetrators. People who experience numerous adverse childhood experiences as children are also much more likely to raise their own children in households where adverse childhood experiences are more common. This then becomes a cycle of childhood adversity and can become increasingly hard to break the cycle, with families feeling and believing that they are locked into generations of low achievements, poor health, and anti-social behaviour.

This then just affirms for the children who have low self-belief and self-worth, that they are just another member of the family who everyone thinks is a failure and they go on to meet those low expectations and don't believe that they can ever better themselves or work themselves out of the cycle. A new school should represent a new start, but this is not reflected in the experiences shared with the pupils involved in the study by Atkinson and Rowley 2019, neither is it that of the participants in the Jalali and Morgan 2017 study. Pupils in both of these studies described "being treated as outcasts...schools want good reputations so choose normal kids, but then people that are below that standard are treated like outcasts". For some students, this feeling of not fitting in and not being accepted in a new setting resulted in a feeling of desperation whilst others described the feeling of knowing that it was never going to work and an acceptance that everything in the future for them would be negative and fail, reaffirming the lack of self-belief and worthlessness that these young people had been working so hard to remove from their mindset.

### 3.5 Literature Review Theme 4

#### Trauma recovery model

The trauma recovery model outlines the difficulties faced by children and young people who have experienced trauma in their lifetime. It helps to explain how behaviours reflect experiences and gives a deeper understanding to why young people are presenting as they are and, ultimately, it guides professionals towards supporting those learners to be in a better place first before they can learn efficiently. It also suggests ways in which this support can best be offered.

At the bottom of the pyramid is instability and chaos. This is when the young person is in crisis. They can present extremely challenging behaviours such as absconding or self-harm; persistent risk-taking behaviours which escalate when challenged; poor hygiene and lack of self-care and inappropriate relationships such as an over reliance on peers or becoming involved in social groups out of the age range expectation.

When the needs of those in crisis begin to be met, with simple strategies such as regular bedtimes, regular meals and consistent boundaries, the young people begin to develop the readiness to build relationships with trusting adults. This then leads to the increased willingness to meet expectations and follow a routine, but still includes outbursts and over stimulation as well as inappropriate relationships with peers. However, the young person might now be more willing and open to sharing information with one or two trusted members of staff or responsible adults and may be seen to be smiling more in their setting where they feel safer. Trusted relationships are built on regular one to one basis, where the young person feels heard and validated. It is crucial for the young person to make progress, that this time is consistent and is prioritised even when the young person is acting out.

Eventually, when this consistent approach young people reach a stage when they are receptive to trauma specific therapy and when this begins, the crisis points behaviours often reoccur as the young person relives the trauma as they begin to process it. Trusted staff members or responsibly adults either feel that young people push them away during this time or become unusually clingy and needy. However, if the young person continues to attend the therapy and works with the professionals, they then start to become more self-aware and understand why they act the way they do in times of pressure or stress. This insight enables young people to take ownership over their behaviours and begin to understand why they feel

the emotions that they experience and why the things they find challenging, present this way to them and not to others.

When the young person reaches the stage of self-awareness and insight, they are then in the right place mentally to begin to set targets and make future plans which are achievable. None of this would be appropriate or realistic prior to this stage of the trauma recovery model. If the young person is struggling to manage any of the issues going on in their present day, how can they possibly plan and set targets? Targets that are set in a heightened mood are therefore often unrealistic and so as a result, the young person fails to meet the target and experiences yet another failure and feeling of disappointment. The goal of the trauma recovery model is to support the young person to reach a point where they are self-aware and confident. This in turn allows them to have a better chance of success and to become more independent and autonomous. All this groundwork takes a differing amount of time based on the needs and experiences of the young person. But if and when they are able to reach the point of being self-aware and confident, they have then set a safety net for learning. This is when the pupil can learn to the best of their ability. And some young people may never reach this point. Particularly when in a mainstream setting.

The reviews of the journals included in this study so far, highlight the lack of intense support available to pupils once they return to school from alternative provision. Moving from a PRU where classes are small, the timetable is flexible, staff are highly trained in supporting mental health and challenging behaviours and 1:1 support is available daily, to a setting where there is 30+ students in a class, 4 student services staff available for the whole school, targets are changed half termly and the timetable is rigid and strict, the young people just can not cope.

Almost every participant included in this research project, described feeling like they weren't important or caused too much work for staff in school. The negative experiences hugely outnumbered the positive. Mainstream school staff would benefit greatly from more trauma informed practice training. If they were given the insight into why these young people present such challenging behaviour, maybe they would have a better understanding and be more able to support the young people in a more effective way.

#### 4. DISCUSSION

Reintegration readiness was highlighted as the biggest barrier to learning and barrier to reintegration success. It is crucial that there is a person-centred approach to planning and facilitating reintegration, rather than just planning for it when the short-term placement is due to come to an end. If the pupil does not yet feel ready or well enough equipped to attempt reintegration, then this should be taken into the highest consideration. The involvement and importance of the pupil voice can not be ignored here. Before any part of the reintegration process begins, the pupil themselves should be approached and in a safe and neutral ground, the question should be asked as to if they want to or if they feel ready to try and go back to the mainstream school placement. The youth work policy highlights the importance of young people engaging voluntarily into the support and this should be reflected in the reintegration process, the process should not begin if the pupil or young person is as yet, unwilling to engage in the return.

Staff within the PRU shared experiences of mainstream staff holding grudges on pupils who were transitioning back into school. They said that even in the meetings that are held in the planning process, the tone of voice used and expectations of what the pupils will present like, are negative and disheartening. When honest reports about pupil behaviours are given, mainstream school staff are immediately defensive that the pupil's needs cannot be met and that these challenges will be detrimental to other school users. If staff can see that mainstream teachers and members of senior leadership are not open and welcoming towards young people from alternative provisions, then the young people are met with this as soon as they arrive back in school, it does not set them up well to succeed in the new placement.

Pupils who had experienced this described feeling like they couldn't please anyone, that they

were pulled up for things that other pupils weren't (such as uniform misdemeanours) and that they were getting the impression that staff just didn't want them in school, that things were easier when they weren't there. Although these young people find it extremely hard to trust many adults and to form the much needed relationships which support success, initial meetings and first impressions like this only add to the barriers and challenges that face them.

Many of the factors which have been highlighted in this study, are consistent with more out of date studies such as O'Regan 1999 who identified that "positive relationships with teachers" was a predominant factor in successful reintegration. When the pupils felt that they were supported emotionally and academically by the teaching staff, they were much more likely to want the transition to be successful and try to remain in control of their behaviours. When they felt like people were invested in them and that they were wanted to succeed, they didn't want to let themselves or their trusted adults down. Michael and Frederickson 2013 did however find that pupil wellbeing and the opportunity to do extracurricular activities and gain experiences, was also an important factor in achieving success. This has not previously been highlighted in the studies included in this research project nor in studies which are out of date. Having the time and space to be heard and seen as well as being given the opportunities to try new extracurricular activities and experiences is one of the core ethos of the national youthwork guidelines.

In a 2022 survey of children and young people's mental health, 18% of children aged 7-16 had a probable mental health disorder, Baker & Kirk-Wade (2023). This was a shocking rise of 5.9% since 2017. The impact of the Covid-19 pandemic is still being felt in the mental health sector as in January 2021, moderate to severe depression symptoms had risen from

10% in 2019 to 21%. These statistics are vital to take into consideration the importance of health and wellbeing opportunities being offered to children in school. Being outside, engaging in exercise and realising endorphins all helps to combat poor mental health and in the pressure that young people are feeling in our modern-day society and in school especially, this need for fresh air and movement, must be prioritised. This will not only benefit the young people who are transitioning from an alternative provision, but everyone in the school community, including the staff.

The change in the national curriculum, to the curriculum for Wales, better supports all learners in a less “academic” way and a more wholesome well-rounded form of education. The four key purposes aim to develop ambitious and capable learners, enterprising and creative contributors, healthy and confident individuals, and ethical informed citizens. The aim is to provide learning through opportunity and experience and to be able to transfer skills through all the different areas of learning in a school day. This approach much better suits the needs of many learners, especially those who struggle to meet the “national standards” and who are more practical learners rather than visual or auditory learners. Applying this across schools, should make the transition from PRU to mainstream easier for young people as this less pressured approach to delivering learning, is more like the intense support and flexibility that they have experienced in AP. Curriculum for Wales aims to be a more inclusive education curriculum and provide more life skills along the way. This approach much better supports alternative provisions and as this rolls out across education settings in Wales, it will be interesting to assess the effect this has on young people facing reintegration and to reassess again in a few years once the curriculum is fully embedded within settings.

## 5. CONCLUSION AND RECOMMENDATIONS

Ideas for change – one of the most prevalent areas for improvement throughout the review of studies, has been the learning environment. Providing young people with a safe learning environment where they feel safe and considered, where the young people feel enabled and supported and where the young people can take pride and ownership over their learning. The general feedback from all research included in this review, is that the mainstream setting does not sufficiently support the needs for children and young people who have SEMH and BESD. Classrooms are overfilled with learners, the demands on all pupils are extremely high and there is a lack of appropriate differentiation in both work and expectations. Young people are met by staff who have already stereotyped them based on their paperwork and history, instead of staff with a nurturing approach and who have the time to sit and listen to their pupils. Schools are oversubscribed and underfunded. Funding is being pulled from student support services resulting in a lack of emotional and mental health support being available to pupils.

The importance of feeling heard, listened to, and understood. The mainstream staff must be upskilled to enable them to support and appropriately manage the children coming into these large settings with various and often limiting, SEMH and BESD needs. Without the support, knowledge, and training, we are not only setting the pupils up to fail but also failing the staff and expecting them to get young people to reach unrealistic goals.

Future studies and research would benefit from including the perspectives from more of the professionals and adults involved in the reintegration process. The perspectives of the young people and the staff are important, but there are so many more people included in the process

than that, and the review of literature in these area highlights the lack of their involvement in the research. The thoughts, opinions, and experiences of the parents, the carers, social workers, support staff, youth workers; results would be more representative of the study group if all these people were included or invited to take part in any further research studies. Several of the studies reviewed in this document, used a semi structured interview method of collecting data.

Pupil referral units are designed to be a “revolving door” setting where students who have been excluded from school or who have refused to attend school for an extended amount of time, can get a short time placement, receive a high level of intervention and specialist support, and re-join a mainstream setting. PRU’s were not designed for long term placements. The level of support provided in these settings is neither sustainable nor realistic. It does not provide learners with the opportunity to develop independence and coping strategies outside of the bespoke setting they find themselves in. Even when the PRU provide outreach support to mainstream schools, and support the young person’s transition back, many of the young people only manage to stay in mainstream for a short amount of time and due to behaviour, end up being excluded and return to the pupil referral unit. These pupils then become long term and full-time students in the PRU and the revolving door, short term “triage” that was intended, is not achieved. All the studies reviewed in this research document, identify that the longer a young person stays in a PRU or other alternative setting, the less likely they are to achieve a successful reintegration into a mainstream education provision.

In order to tackle this issue, there must firstly be a deeper level of understanding of ACES and trauma recovery practice amongst staff in a mainstream school as well as a better

support network around mental health in schools, and not just for pupils who present as challenging, but for all young people under the stress of today's society. This relies heavily on the importance for funding in these areas being recognised at a leadership, management, and governing body level. Without the backing of SLT and the governors, and the insistence to local authorities that funding in areas such as mental health and emotional wellbeing support are important, there will remain to be a downfall in support available in these areas. It is simply not good enough to say that there isn't enough money to provide these services, something needs to be done about it for success rates to increase.

Reintegration to mainstream from alternative provision would also benefit from a better transition process. The process described in the Atkinson & Rowley 2019 study is short and swift. By extending this transition, providing staff from within the alternative provision and allowing them to support the young person as they build relationships with trusted members of staff in school, would greatly benefit not only the student, but also the new staff who will be teaching or supporting in the new setting. Sharing best practice, passing on experiences and learning from each other, would equip the mainstream staff with more skills to try and make the move work.

This review of literature highlights the low number of good studies which have been conducted in this area of interest. Many of the studies which have been conducted are out of date and they vary hugely in the methodological way they have been conducted, providing a low quality of results. A weakness amongst all the studies was the number of young people, as well as professionals and adults, who were included in the data collection. This is reflective of the low level of successful reintegration into mainstream from AP, but it is an area that could easily be improved in further studies. Including the experiences of staff who

have supported transition, would provide very informative data, and allow for more progress to be made. It would also benefit for future studies to consider including the experiences from young people who's transition to mainstream has failed. The participants included were those who had managed to remain in school for more than 12 weeks, but what experiences did the young people who did not meet this threshold have? A larger pool of research subject would improve the results of all of the studies reviewed in this document.

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## 7. APPENDICES

### THE TRAUMA RECOVERY MODEL

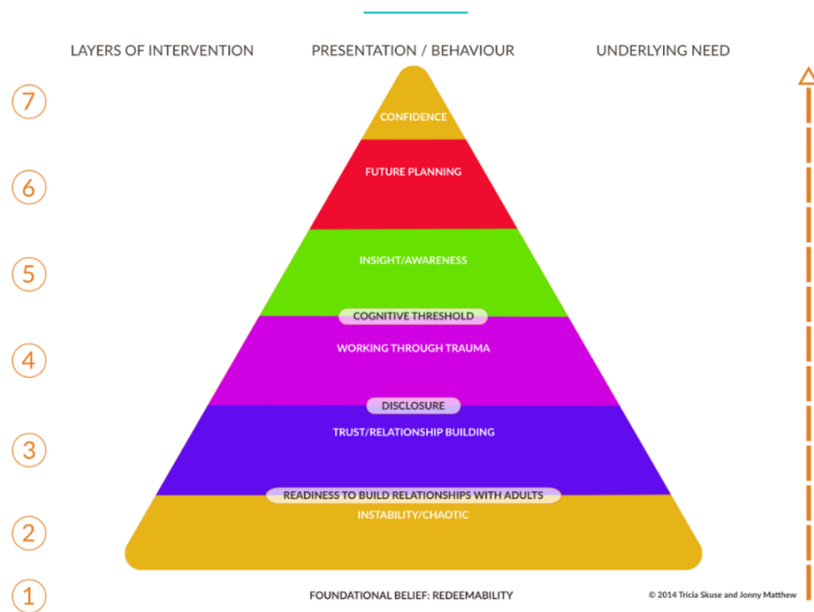


Figure 1, sourced from the TRMacademy.com

## 7.1 Appendix 1: Ethics Form

## APPLICATION FOR ETHICAL APPROVAL

**In order for research to result in benefit and minimise risk of harm, it must be conducted ethically. A researcher may not be covered by the University's insurance if ethical approval has not been obtained prior to commencement.**

The University follows the OECD Frascati manual definition of **research activity**: “creative work undertaken on a systematic basis in order to increase the stock of knowledge, including knowledge of man, culture and society, and the use of this stock of knowledge to devise new applications”. As such this covers activities undertaken by members of staff, postgraduate research students, and both taught postgraduate and undergraduate students working on dissertations/projects.

The individual undertaking the research activity is known as the “principal researcher”.

Ethical approval is not required for routine audits, performance reviews, quality assurance studies, testing within normal educational requirements, and literary or artistic criticism.

**Please read the notes for guidance before completing ALL sections of the form.**

**This form must be completed and approved prior to undertaking any research activity.** Please see Checklist for details of process for different categories of application.

### SECTION A: About You (Principal Researcher)

|   |                            |                          |                             |                                     |                               |
|---|----------------------------|--------------------------|-----------------------------|-------------------------------------|-------------------------------|
| 1 | Full Name:                 | Samantha Cooper          |                             |                                     |                               |
| 2 | Tick all boxes that apply: | Member of staff:         | <input type="checkbox"/>    | Honorary research fellow:           | <input type="checkbox"/>      |
|   | Undergraduate Student      | <input type="checkbox"/> | Taught Postgraduate Student | <input checked="" type="checkbox"/> | Postgraduate Research Student |
|   |                            |                          |                             |                                     | <input type="checkbox"/>      |

|   |                                       |                               |
|---|---------------------------------------|-------------------------------|
| 3 | Institute/Academic Discipline/Centre: | Children, Youth and Education |
| 4 | Campus:                               | Carmarthen                    |
| 5 | E-mail address:                       | 2015413@student.uwtsd.ac.uk   |
| 6 | Contact Telephone Number:             | 07971845913                   |

|   |                                 |                                    |
|---|---------------------------------|------------------------------------|
|   | <b><i>For students:</i></b>     |                                    |
| 7 | Student Number:                 | 2015413                            |
| 8 | Programme of Study:             | MA Youth work and social education |
| 9 | Director of Studies/Supervisor: | Angharad Lewis                     |

## SECTION B: Approval for Research Activity

|                              |                                                                                                                                                                                                              |                                     |                                     |             |                                     |
|------------------------------|--------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|-------------------------------------|-------------------------------------|-------------|-------------------------------------|
| 1                            | Has the research activity received approval in principle?<br>(please check the Guidance Notes as to the appropriate approval process for different levels of research by different categories of individual) | YES                                 | <input checked="" type="checkbox"/> | NO          | <input checked="" type="checkbox"/> |
|                              |                                                                                                                                                                                                              |                                     |                                     | <b>Date</b> |                                     |
| 2                            | If Yes, please indicate source of approval (and date where known):<br><b>Approval in principle must be obtained from the relevant source prior to seeking ethical approval</b>                               | Research Degrees Committee          | <input type="checkbox"/>            |             |                                     |
| Institute Research Committee |                                                                                                                                                                                                              | <input type="checkbox"/>            |                                     |             |                                     |
| Other (write in)             |                                                                                                                                                                                                              | <input checked="" type="checkbox"/> | <b>DW 23.02.23</b>                  |             |                                     |

## SECTION C: Internal and External Ethical Guidance Materials

|                                                                                                                                                                                                                                                                                                                                                                                                                                          |                                                                                                            |
|------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|------------------------------------------------------------------------------------------------------------|
| Please list the core ethical guidance documents that have been referred to during the completion of this form (including any discipline-specific codes of research ethics, location-specific codes of research ethics, and also any specific ethical guidance relating to the proposed methodology). Please tick to confirm that your research proposal adheres to these codes and guidelines. You may add rows to this table if needed. |                                                                                                            |
| 1                                                                                                                                                                                                                                                                                                                                                                                                                                        | <a href="#">UWTSD Research Ethics &amp; Integrity Code of Practice</a> <input checked="" type="checkbox"/> |
| 2                                                                                                                                                                                                                                                                                                                                                                                                                                        | <b>UWTSD Research Data Management Policy</b> <input checked="" type="checkbox"/>                           |
| 3                                                                                                                                                                                                                                                                                                                                                                                                                                        | <i>[BERA Guidelines for Ethics in Educational Research (2018)]</i> <input checked="" type="checkbox"/>     |

## SECTION D: External Collaborative Research Activity

If there are external collaborators then you should gain consent from the contact persons to share their personal data with the university. If there are no external collaborators then leave this section blank and continue to section E.

|   |                                                                                                             |                                                                         |                          |                          |                          |                          |
|---|-------------------------------------------------------------------------------------------------------------|-------------------------------------------------------------------------|--------------------------|--------------------------|--------------------------|--------------------------|
| 1 | Institution                                                                                                 |                                                                         |                          |                          |                          |                          |
| 2 | Contact person name                                                                                         |                                                                         |                          |                          |                          |                          |
| 3 | Contact person e-mail address                                                                               |                                                                         |                          |                          |                          |                          |
| 4 | Is your research externally funded?                                                                         | YES                                                                     | <input type="checkbox"/> | NO                       | <input type="checkbox"/> |                          |
| 5 | Are you in receipt of a KESS scholarship?                                                                   | YES                                                                     | <input type="checkbox"/> | NO                       | <input type="checkbox"/> |                          |
| 6 | Are you specifically employed to undertake this research in either a paid or voluntary capacity?            | Voluntary                                                               | YES                      | <input type="checkbox"/> | NO                       | <input type="checkbox"/> |
| 7 |                                                                                                             | Employed                                                                | YES                      | <input type="checkbox"/> | NO                       | <input type="checkbox"/> |
| 8 | Is the research being undertaken within an existing UWTSD Athrofa Professional Learning Partnership (APLP)? | If YES then the permission question below does not need to be answered. | YES                      | <input type="checkbox"/> | NO                       | <input type="checkbox"/> |
| 9 | Has permission to undertake the research has been provided by the partner organisation?                     | (If YES attach copy)<br>If NO the application cannot continue           | YES                      | <input type="checkbox"/> | NO                       | <input type="checkbox"/> |

Where research activity is carried out in collaboration with an external organisation

|    |                                                                                                                                                 |     |                          |    |                          |
|----|-------------------------------------------------------------------------------------------------------------------------------------------------|-----|--------------------------|----|--------------------------|
| 10 | Does this organisation have its own ethics approval system?                                                                                     | YES | <input type="checkbox"/> | NO | <input type="checkbox"/> |
|    | If Yes, please attach a copy of any final approval (or interim approval) from the organisation (this may be a copy of an email if appropriate). |     |                          |    |                          |

## SECTION E: Details of Research Activity

|   |                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                          |                                                                                                                              |                    |            |  |
|---|--------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|------------------------------------------------------------------------------------------------------------------------------|--------------------|------------|--|
| 1 | Indicative title:                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                        | Life after PRU: an investigation into the literature on reintegration to mainstream settings following alternative provision |                    |            |  |
| 2 | Proposed start date:                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                     | February 2023                                                                                                                | Proposed end date: | April 2023 |  |
|   | <p><b>Introduction to the Research (maximum 300 words per section)</b></p> <p><b>Ensure that you write for a <u>Non-Specialist Audience</u> when outlining your response to the points below:</b></p> <p><i>Purpose of Research Activity</i><br/> <i>Proposed Research Question</i><br/> <i>Aims of Research Activity</i><br/> <i>Objectives of Research Activity</i></p> <p>Demonstrate, briefly, how <b><u>Existing Research</u></b> has informed the proposed activity and explain</p> <p><i>What the research activity will add to the body of knowledge</i><br/> <i>How it addresses an area of importance.</i></p> |                                                                                                                              |                    |            |  |
| 3 | <p><b>Purpose of Research Activity</b></p> <p>Explore the current literature on reintegration into mainstream settings following a period in an alternative provision. The purpose of the research is to perform a critical literature review and to identify any common themes into why reintegration is successful or unsuccessful. This in turn, can be used to inform better practice.</p> <p>(this box should expand as you type)</p>                                                                                                                                                                               |                                                                                                                              |                    |            |  |
| 4 | <p><b>Research Question</b></p> <p>Life after PRU: an investigation into the literature on reintegration to mainstream settings following alternative provision</p> <p>(this box should expand as you type)</p>                                                                                                                                                                                                                                                                                                                                                                                                          |                                                                                                                              |                    |            |  |
| 5 | <p><b>Aims of Research Activity</b></p> <p>This literature review study aims to explore and identify the factors which both children and young people and educational professionals, link to the successful mainstream reintegration of pupils who</p>                                                                                                                                                                                                                                                                                                                                                                   |                                                                                                                              |                    |            |  |

|   |                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                   |
|---|-----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|
|   | <p>have spent a period of time in a pupil referral unit as alternative provision. The aim is also to assess the level of research in this area and complete a critical literature review on this.</p> <p>(this box should expand as you type)</p>                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                 |
| 6 | <p><b>Objectives of Research Activity</b></p> <p>The aim is to perform a literature review on current research into the area of reintegration into mainstream education settings to help identify areas of development for future young people. By reviewing current documentation, it is hoped that some suggestions can then be made for reintegration development plans withing specific PRU settings.</p> <p>(this box should expand as you type)</p>                                                                                                                                                                                                                                                                                                                                                                         |
|   | <p><b>Proposed methods (maximum 600 words)</b></p> <p>Provide a brief summary of all the methods that <b>may</b> be used in the research activity, making it clear what specific techniques may be used. If methods other than those listed in this section are deemed appropriate later, additional ethical approval for those methods will be needed. You do not need to justify the methods here, but should instead describe how you intend to collect the data necessary for you to complete your project.</p>                                                                                                                                                                                                                                                                                                               |
| 7 | <p>The study will involve a structured critical review of the extant literature.</p> <p>(this box should expand as you type)</p>                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                  |
|   | <p><b>Location of research activity</b></p> <p>Identify all locations where research activity will take place.</p>                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                |
| 8 | <p>Ceredigion PRU</p> <p>(this box should expand as you type)</p>                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                 |
|   | <p><b>Research activity outside of the UK</b></p> <p>If research activity will take place overseas, you are responsible for ensuring that local ethical considerations are complied with and that the relevant permissions are sought. Specify any local guidelines (e.g. from local professional associations/learned societies/universities) that exist and whether these involve any ethical stipulations beyond those usual in the UK (provide details of any licenses or permissions required). Also specify whether there are any specific ethical issues raised by the local context in which the research activity is taking place, for example, particular cultural and/or legal sensitivities or vulnerabilities of participants. If you live in the country where you will do the research then please state this.</p> |
| 9 |                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                   |

|  |                                      |
|--|--------------------------------------|
|  | (this box should expand as you type) |
|--|--------------------------------------|

|    |                                                                                                                                                                                                                                                                                                      |            |                                     |
|----|------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|------------|-------------------------------------|
| 10 | Use of documentation not in the public domain: Are any documents <b><u>NOT</u></b> publicly available?                                                                                                                                                                                               | <b>NO</b>  | <input checked="" type="checkbox"/> |
|    |                                                                                                                                                                                                                                                                                                      | <b>YES</b> | <input type="checkbox"/>            |
| 11 | If Yes, please provide details here of how you will gain access to specific documentation that is not in the public domain and that this is in accordance with the current data protection law of the country in question and that of England and Wales.<br><br>(this box should expand as you type) |            |                                     |

|    | Does your research relate to one or more of the seven aims of the Well-being of Future Generations (Wales) Act 2015?                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                    | YES                                 | NO                       |
|----|-----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|-------------------------------------|--------------------------|
| 12 | A prosperous Wales                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                      | <input type="checkbox"/>            | <input type="checkbox"/> |
| 13 | A resilient Wales                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                       | <input checked="" type="checkbox"/> | <input type="checkbox"/> |
| 14 | A healthier Wales                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                       | <input type="checkbox"/>            | <input type="checkbox"/> |
| 15 | A more equal Wales                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                      | <input checked="" type="checkbox"/> | <input type="checkbox"/> |
| 16 | A Wales of cohesive communities                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                         | <input checked="" type="checkbox"/> | <input type="checkbox"/> |
| 17 | A Wales of vibrant culture and thriving Welsh language                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                  | <input type="checkbox"/>            | <input type="checkbox"/> |
| 18 | A globally responsible Wales                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                            | <input type="checkbox"/>            | <input type="checkbox"/> |
| 19 | If YES to any of the above, please give details:<br><br>A resilient Wales – helping to develop the resilience in young people facing challenging around mainstream and bespoke education packages<br>A more equal Wales – investigating the choices given to and made by young people facing reintegration, enabling better choice making and ensuring equal rights and opportunities are given to all young people<br>A Wales of cohesive communities – is it still a taboo subject that young people in a PRU are “out of sight out of mind”, can we improve this and change the mindset?<br><br>(this box should expand as you type) |                                     |                          |

## SECTION F: Scope of Research Activity

|   | Will the research activity include:                    | YES                      | NO                                  |
|---|--------------------------------------------------------|--------------------------|-------------------------------------|
| 1 | Use of a questionnaire or similar research instrument? | <input type="checkbox"/> | <input checked="" type="checkbox"/> |
| 2 | Use of interviews?                                     | <input type="checkbox"/> | <input checked="" type="checkbox"/> |
| 3 | Use of focus groups?                                   | <input type="checkbox"/> | <input checked="" type="checkbox"/> |
| 4 | Use of participant diaries?                            | <input type="checkbox"/> | <input checked="" type="checkbox"/> |
| 5 | Use of video or audio recording?                       | <input type="checkbox"/> | <input checked="" type="checkbox"/> |
| 6 | Use of computer-generated log files?                   | <input type="checkbox"/> | <input checked="" type="checkbox"/> |

|    |                                                                                                                                                 |                          |                                     |
|----|-------------------------------------------------------------------------------------------------------------------------------------------------|--------------------------|-------------------------------------|
| 7  | Participant observation with their knowledge?                                                                                                   | <input type="checkbox"/> | <input checked="" type="checkbox"/> |
| 8  | Participant observation without their knowledge?                                                                                                | <input type="checkbox"/> | <input checked="" type="checkbox"/> |
| 9  | Access to personal or confidential information without the participants' specific consent?                                                      | <input type="checkbox"/> | <input checked="" type="checkbox"/> |
| 10 | Administration of any questions, test stimuli, presentation that may be experienced as physically, mentally or emotionally harmful / offensive? | <input type="checkbox"/> | <input checked="" type="checkbox"/> |
| 11 | Performance of any acts which may cause embarrassment or affect self-esteem?                                                                    | <input type="checkbox"/> | <input checked="" type="checkbox"/> |
| 12 | Investigation of participants involved in illegal activities?                                                                                   | <input type="checkbox"/> | <input checked="" type="checkbox"/> |
| 13 | Use of procedures that involve deception?                                                                                                       | <input type="checkbox"/> | <input checked="" type="checkbox"/> |
| 14 | Administration of any substance, agent or placebo?                                                                                              | <input type="checkbox"/> | <input checked="" type="checkbox"/> |
| 15 | Working with live vertebrate animals?                                                                                                           | <input type="checkbox"/> | <input checked="" type="checkbox"/> |
| 16 | Procedures that may have a negative impact on the environment?                                                                                  | <input type="checkbox"/> | <input checked="" type="checkbox"/> |
| 17 | Other primary data collection methods. Please indicate the type of data collection method(s) below.                                             | <input type="checkbox"/> | <input type="checkbox"/>            |
|    | Details of any other primary data collection method:<br><br>(this box should expand as you type)                                                |                          |                                     |

If NO to every question, then the research activity is (ethically) low risk and **may** be exempt from **some** of the following sections (please refer to Guidance Notes).

If YES to any question, then no research activity should be undertaken until full ethical approval has been obtained.

## SECTION G: Intended Participants

If there are no participants then do not complete this section, but go directly to section H.

|   | Who are the intended participants:                                                                                 | YES                      | NO                       |
|---|--------------------------------------------------------------------------------------------------------------------|--------------------------|--------------------------|
| 1 | Students or staff at the University?                                                                               | <input type="checkbox"/> | <input type="checkbox"/> |
| 2 | Adults (over the age of 18 and competent to give consent)?                                                         | <input type="checkbox"/> | <input type="checkbox"/> |
| 3 | Vulnerable adults?                                                                                                 | <input type="checkbox"/> | <input type="checkbox"/> |
| 4 | Children and Young People under the age of 18? (Consent from Parent, Carer or Guardian will be required)           | <input type="checkbox"/> | <input type="checkbox"/> |
| 5 | Prisoners?                                                                                                         | <input type="checkbox"/> | <input type="checkbox"/> |
| 6 | Young offenders?                                                                                                   | <input type="checkbox"/> | <input type="checkbox"/> |
| 7 | Those who could be considered to have a particularly dependent relationship with the investigator or a gatekeeper? | <input type="checkbox"/> | <input type="checkbox"/> |
| 8 | People engaged in illegal activities?                                                                              | <input type="checkbox"/> | <input type="checkbox"/> |
| 9 | Others. Please indicate the participants below, and specifically any group who may be unable to give consent.      | <input type="checkbox"/> | <input type="checkbox"/> |

|  |                                                                                      |  |  |
|--|--------------------------------------------------------------------------------------|--|--|
|  | Details of any other participant groups:<br><br>(this box should expand as you type) |  |  |
|--|--------------------------------------------------------------------------------------|--|--|

|    |                                                                                                                                                                         |                                      |  |
|----|-------------------------------------------------------------------------------------------------------------------------------------------------------------------------|--------------------------------------|--|
|    | <b>Participant numbers and source</b><br>Provide an estimate of the expected number of participants. How will you identify participants and how will they be recruited? |                                      |  |
| 10 | How many participants are expected?                                                                                                                                     | (this box should expand as you type) |  |
| 11 | Who will the participants be?                                                                                                                                           | (this box should expand as you type) |  |
| 12 | How will you identify the participants?                                                                                                                                 | (this box should expand as you type) |  |

|    | Information for participants:                                                                                                                       | YES                      | NO                       | N/A                      |
|----|-----------------------------------------------------------------------------------------------------------------------------------------------------|--------------------------|--------------------------|--------------------------|
| 13 | Will you describe the main research procedures to participants in advance, so that they are informed about what to expect?                          | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> |
| 14 | Will you tell participants that their participation is voluntary?                                                                                   | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> |
| 15 | Will you obtain written consent for participation?                                                                                                  | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> |
| 16 | Will you explain to participants that refusal to participate in the research will not affect their treatment or education (if relevant)?            | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> |
| 17 | If the research is observational, will you ask participants for their consent to being observed?                                                    | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> |
| 18 | Will you tell participants that they may withdraw from the research at any time and for any reason?                                                 | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> |
| 19 | With questionnaires, will you give participants the option of omitting questions they do not want to answer?                                        | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> |
| 20 | Will you tell participants that their data will be treated with full confidentiality and that, if published, it will not be identifiable as theirs? | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> |
| 21 | Will you debrief participants at the end of their participation, in a way appropriate to the type of research undertaken?                           | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> |
| 22 | If NO to any of above questions, please give an explanation                                                                                         |                          |                          |                          |
|    | (this box should expand as you type)                                                                                                                |                          |                          |                          |

|    | Information for participants:                                                                         | YES                      | NO                       | N/A                      |
|----|-------------------------------------------------------------------------------------------------------|--------------------------|--------------------------|--------------------------|
| 24 | Will participants be paid?                                                                            | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> |
| 25 | Is specialist electrical or other equipment to be used with participants?                             | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> |
| 26 | Are there any financial or other interests to the investigator or University arising from this study? | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> |

|    |                                                                                                                                                    |                          |                          |                          |
|----|----------------------------------------------------------------------------------------------------------------------------------------------------|--------------------------|--------------------------|--------------------------|
| 27 | Will the research activity involve deliberately misleading participants in any way, or the partial or full concealment of the specific study aims? | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> |
| 28 | If YES to any question, please provide full details                                                                                                |                          |                          |                          |
|    | (this box should expand as you type)                                                                                                               |                          |                          |                          |

## SECTION H: Anticipated Risks

|   |                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                               |                                                                                             |                                     |
|---|-------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|---------------------------------------------------------------------------------------------|-------------------------------------|
|   | <b>Outline any anticipated risks that may adversely affect any of the participants, the researchers and/or the University, and the steps that will be taken to address them.</b><br><br>If you have completed a full risk assessment (for example as required by a laboratory, or external research collaborator) you may append that to this form.                                                                                                                                                                                                                           |                                                                                             |                                     |
| 1 | Full risk assessment completed and appended?                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                  | Yes                                                                                         | <input type="checkbox"/>            |
|   |                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                               | No                                                                                          | <input checked="" type="checkbox"/> |
| 2 | <b>Risks to participants</b><br>For example: sector-specific health & safety, emotional distress, financial disclosure, physical harm, transfer of personal data, sensitive organisational information                                                                                                                                                                                                                                                                                                                                                                        |                                                                                             |                                     |
|   | Risk to participants:<br><br>(this box should expand as you type)                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                             | How you will mitigate the risk to participants:<br><br>(this box should expand as you type) |                                     |
| 3 | If research activity may include sensitive, embarrassing or upsetting topics (e.g. sexual activity, drug use) or issues likely to disclose information requiring further action (e.g. criminal activity), give details of the procedures to deal with these issues, including any support/advice (e.g. helpline numbers) to be offered to participants. Note that where applicable, consent procedures should make it clear that if something potentially or actually illegal is discovered in the course of a project, it may need to be disclosed to the proper authorities |                                                                                             |                                     |
|   | (this box should expand as you type)                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                          |                                                                                             |                                     |
| 4 | <b>Risks to the investigator</b><br>For example: personal health & safety, physical harm, emotional distress, risk of accusation of harm/impropriety, conflict of interest                                                                                                                                                                                                                                                                                                                                                                                                    |                                                                                             |                                     |
|   | Risk to the investigator:<br><br>                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                             | How you will mitigate the risk to the investigator:<br><br>                                 |                                     |

|   |                                                                                                          |                                                                                                      |
|---|----------------------------------------------------------------------------------------------------------|------------------------------------------------------------------------------------------------------|
|   | <i>(this box should expand as you type)</i>                                                              | <i>(this box should expand as you type)</i>                                                          |
| 5 | <b>University/institutional risks</b><br>For example: adverse publicity, financial loss, data protection |                                                                                                      |
|   | Risk to the University:<br><br><i>(this box should expand as you type)</i>                               | How you will mitigate the risk to the University:<br><br><i>(this box should expand as you type)</i> |
| 6 | <b>Environmental risks</b><br>For example: accidental spillage of pollutants, damage to local ecosystems |                                                                                                      |
|   | Risk to the environment:<br><br><i>(this box should expand as you type)</i>                              | How you will mitigate the risk to environment:<br><br><i>(this box should expand as you type)</i>    |

|   |                                                                                                                                                                                                                   |                          |                                     |                          |
|---|-------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|--------------------------|-------------------------------------|--------------------------|
|   | <b>Disclosure and Barring Service</b>                                                                                                                                                                             |                          |                                     |                          |
|   | If the research activity involves children or vulnerable adults, a Disclosure and Barring Service (DBS) certificate must be obtained before any contact with such participants.                                   | <b>YES</b>               | <b>NO</b>                           | <b>N/A</b>               |
| 7 | Does your research require you to hold a current DBS Certificate?                                                                                                                                                 | <input type="checkbox"/> | <input checked="" type="checkbox"/> | <input type="checkbox"/> |
| 8 | If YES, please give the certificate number. If the certificate number is not available please write "Pending"; in this case any ethical approval will be subject to providing the appropriate certificate number. |                          |                                     |                          |

## SECTION I: Feedback, Consent and Confidentiality

|   |                                                                                                                                                                                                                                  |
|---|----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|
| 1 | <b>Feedback</b><br>What de-briefing and feedback will be provided to participants, how will this be done and when?                                                                                                               |
|   | <i>(this box should expand as you type)</i>                                                                                                                                                                                      |
| 2 | <b>Informed consent</b><br>Describe the arrangements to inform potential participants, before providing consent, of what is involved in participating. Describe the arrangements for participants to provide full consent before |

|   |                                                                                                                                                                                                      |
|---|------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|
|   | data collection begins. If gaining consent in this way is inappropriate, explain how consent will be obtained and recorded in accordance with prevailing data protection legislation.                |
|   | <i>(this box should expand as you type)</i>                                                                                                                                                          |
| 3 | <b>Confidentiality / Anonymity</b><br><br>Set out how anonymity of participants and confidentiality will be ensured in any outputs. If anonymity is not being offered, explain why this is the case. |
|   | <i>(this box should expand as you type)</i>                                                                                                                                                          |

## SECTION J: Data Protection and Storage

|   |                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                           |                          |                          |
|---|---------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|--------------------------|--------------------------|
|   | Does the research activity involve personal data (as defined by the General Data Protection Regulation 2016 “GDPR” and the Data Protection Act 2018 “DPA”)?                                                                                                                                                                                                                                                                                                                                                                                                               | YES                      | NO                       |
| 1 | <b>“Personal data”</b> means any information relating to an identified or identifiable natural person (‘data subject’). An identifiable natural person is one who can be identified, directly or indirectly, in particular by reference to an identifier such as a name, an identification number, location data, an online identifier or to one or more factors specific to the physical, physiological, genetic, mental, economic, cultural or social identity of that natural person. Any video or audio recordings of participants is considered to be personal data. | <input type="checkbox"/> | <input type="checkbox"/> |
|   | If YES, provide a description of the data and explain why this data needs to be collected:                                                                                                                                                                                                                                                                                                                                                                                                                                                                                |                          |                          |
| 2 | <i>(this box should expand as you type)</i>                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                               |                          |                          |
|   | Does it involve special category data (as defined by the GDPR)?                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                           | YES                      | NO                       |
| 3 | <b>“Special category data”</b> means sensitive personal data consisting of information as to the data subjects’ –<br>(a) racial or ethnic origin,<br>(b) political opinions,<br>(c ) religious beliefs or other beliefs of a similar nature,<br>(d) membership of a trade union (within the meaning of the Trade Union and Labour Relations (Consolidation) Act 1992),<br>(e) physical or mental health or condition,<br>(f) sexual life,<br>(g) genetics,<br>(h) biometric data (as used for ID purposes),                                                               | <input type="checkbox"/> | <input type="checkbox"/> |
|   | If YES, provide a description of the special category data and explain why this data needs to be collected:                                                                                                                                                                                                                                                                                                                                                                                                                                                               |                          |                          |

|   |                                                    |
|---|----------------------------------------------------|
| 4 | <p><i>(this box should expand as you type)</i></p> |
|---|----------------------------------------------------|

|    | Will data from the research activity (collected data, drafts of the thesis, or materials for publication) be stored in any of the following ways?                                                                                   | YES                      | NO                                  |
|----|-------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|--------------------------|-------------------------------------|
| 5  | Manual files (i.e. in paper form)?                                                                                                                                                                                                  | <input type="checkbox"/> | <input checked="" type="checkbox"/> |
| 6  | University computers?                                                                                                                                                                                                               | <input type="checkbox"/> | <input checked="" type="checkbox"/> |
| 7  | Private company computers?                                                                                                                                                                                                          | <input type="checkbox"/> | <input checked="" type="checkbox"/> |
| 8  | Home or other personal computers?                                                                                                                                                                                                   | <input type="checkbox"/> | <input checked="" type="checkbox"/> |
| 9  | Laptop computers/ CDs/ Portable disk-drives/ memory sticks?                                                                                                                                                                         | <input type="checkbox"/> | <input checked="" type="checkbox"/> |
| 10 | “Cloud” storage or websites?                                                                                                                                                                                                        | <input type="checkbox"/> | <input checked="" type="checkbox"/> |
| 11 | Other – specify:                                                                                                                                                                                                                    | <input type="checkbox"/> | <input checked="" type="checkbox"/> |
| 12 | For all stored data, explain the measures in place to ensure the security of the data collected, data confidentiality, including details of backup procedures, password protection, encryption, anonymisation and pseudonymisation: |                          |                                     |
|    | <p><i>(this box should expand as you type)</i></p>                                                                                                                                                                                  |                          |                                     |

|    | Data Protection                                                                                                                                                                                               |                          |                                     |
|----|---------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|--------------------------|-------------------------------------|
|    | Will the research activity involve any of the following activities:                                                                                                                                           | YES                      | NO                                  |
| 13 | Electronic transfer of data in any form?                                                                                                                                                                      | <input type="checkbox"/> | <input checked="" type="checkbox"/> |
| 14 | Sharing of data with others at the University outside of the immediate research team?                                                                                                                         | <input type="checkbox"/> | <input checked="" type="checkbox"/> |
| 15 | Sharing of data with other organisations?                                                                                                                                                                     | <input type="checkbox"/> | <input checked="" type="checkbox"/> |
| 16 | Export of data outside the UK or importing of data from outside the UK?                                                                                                                                       | <input type="checkbox"/> | <input checked="" type="checkbox"/> |
| 17 | Use of personal addresses, postcodes, faxes, emails or telephone numbers?                                                                                                                                     | <input type="checkbox"/> | <input checked="" type="checkbox"/> |
| 18 | Publication of data that might allow identification of individuals?                                                                                                                                           | <input type="checkbox"/> | <input checked="" type="checkbox"/> |
| 19 | Use of data management system?                                                                                                                                                                                | <input type="checkbox"/> | <input checked="" type="checkbox"/> |
| 20 | Data archiving?                                                                                                                                                                                               | <input type="checkbox"/> | <input checked="" type="checkbox"/> |
| 21 | If YES to any question, please provide full details, explaining how this will be conducted in accordance with the GDPR and Data Protection Act (2018) (and any international equivalents, where appropriate): |                          |                                     |
|    | <p><i>(this box should expand as you type)</i></p>                                                                                                                                                            |                          |                                     |
| 22 | List all who will have access to the data generated by the research activity:                                                                                                                                 |                          |                                     |

|    |                                                                                                                                                                                                                                            |     |                          |
|----|--------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|-----|--------------------------|
|    | <i>(this box should expand as you type)</i>                                                                                                                                                                                                |     |                          |
| 23 | List who will have control of, and act as custodian(s) for, data generated by the research activity:                                                                                                                                       |     |                          |
|    | <i>(this box should expand as you type)</i>                                                                                                                                                                                                |     |                          |
| 24 | Give details of data storage arrangements, including security measures in place to protect the data, where data will be stored, how long for, and in what form. Will data be archived – if so how and if not why not.                      |     |                          |
|    | <i>(this box should expand as you type)</i>                                                                                                                                                                                                |     |                          |
| 25 | Please indicate if your data will be stored in the UWTSD Research Data Repository (see <a href="https://researchdata.uwtsd.ac.uk/">https://researchdata.uwtsd.ac.uk/</a> ). If so please explain. <i>(Most relevant to academic staff)</i> |     |                          |
|    | <i>(this box should expand as you type)</i>                                                                                                                                                                                                |     |                          |
| 26 | Confirm that you have read the UWTSD guidance on data management (see <a href="https://www.uwtsd.ac.uk/library/research-data-management/">https://www.uwtsd.ac.uk/library/research-data-management/</a> )                                  | YES | <input type="checkbox"/> |
| 27 | Confirm that you are aware that you need to keep all data until after your research has completed or the end of your funding                                                                                                               | YES | <input type="checkbox"/> |

## SECTION K: Declaration

|   |                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                 |          |                                |
|---|-----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|----------|--------------------------------|
|   | <p>The information which I have provided is correct and complete to the best of my knowledge. I have attempted to identify any risks and issues related to the research activity and acknowledge my obligations and the rights of the participants.</p> <p>In submitting this application I hereby confirm that I undertake to ensure that the above named research activity will meet the University's Research Ethics and Integrity Code of Practice which is published on the website: <a href="https://www.uwtsd.ac.uk/research/research-ethics/">https://www.uwtsd.ac.uk/research/research-ethics/</a></p> |          |                                |
| 1 | <b>Signature of applicant:</b>                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                  | S.Cooper | <b>Date:</b><br><br>22/02/2023 |

### For STUDENT Submissions:

|   |                                 |            |                              |
|---|---------------------------------|------------|------------------------------|
| 2 | Director of Studies/Supervisor: | D Williams | <b>Date:</b><br><br>22.02.23 |
| 3 | Signature:                      | D Williams |                              |

### For STAFF Submissions:

|   |                                    |  |              |
|---|------------------------------------|--|--------------|
| 4 | Academic Director/ Assistant Dean: |  | <b>Date:</b> |
| 5 | Signature:                         |  |              |

**Checklist:** Please complete the checklist below to ensure that you have completed the form according to the guidelines and attached any required documentation:

|                                     |                                                                                                                                                                                                                                                            |
|-------------------------------------|------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|
| <input checked="" type="checkbox"/> | I have read the guidance notes supplied before completing the form.                                                                                                                                                                                        |
| <input checked="" type="checkbox"/> | I have completed <b>ALL RELEVANT</b> sections of the form in full.                                                                                                                                                                                         |
| <input type="checkbox"/>            | I confirm that the research activity has received approval in principle                                                                                                                                                                                    |
| <input type="checkbox"/>            | I have attached a copy of final/interim approval from external organisation ( <b>where appropriate</b> )                                                                                                                                                   |
| <input type="checkbox"/>            | I have attached a full risk assessment (where appropriate) <b>ONLY TICK IF YOU HAVE ATTACHED A FULL RISK ASSESSMENT</b>                                                                                                                                    |
| <input checked="" type="checkbox"/> | I understand that it is my responsibility to ensure that the above named research activity will meet the University's Research Ethics and Integrity Code of Practice.                                                                                      |
| <input checked="" type="checkbox"/> | I understand that before commencing data collection all documents aimed at respondents (including information sheets, consent forms, questionnaires, interview schedules etc.) must be confirmed by the DoS/Supervisor, module tutor or Academic Director. |

**RESEARCH STUDENTS AND STAFF ONLY**

All communications relating to this application during its processing must be in writing and emailed to [pgresearch@uwtsd.ac.uk](mailto:pgresearch@uwtsd.ac.uk) , with the title 'Ethical Approval' followed by your name.

You will be informed of the outcome of your claim by email; therefore it is important that you check your University and personal email accounts regularly.

**STUDENTS ON UNDERGRADUATE OR TAUGHT MASTERS PROGRAMMES** should submit this form (and receive the outcome) via systems explained to you by the supervisor/module leader.

**This form is available electronically from the Academic Office web pages:**

<https://www.uwtsd.ac.uk/academic-office/appendices-and-forms/>

