

The Enquiring Teacher

ECPP7001

Session 10 & Session 11



Ethics and the Ethics Form



Ethics

Your research MUST take into consideration two documents:

1. BERA (2011) - Ethical Guidelines for Educational Research
2. UWTSD Research Ethics & Integrity Code of Practice

Ethics

1. BERA (2011) - Ethical Guidelines for Educational Research

Ethical guidelines

British Education Research Association (BERA) guidelines 2018

BERA's guidelines unequivocally recognise and celebrate the diversity of approaches in educational research, and promote respect for all those who engage with it: researchers and participants, academics and professional practitioners, commissioning bodies, and those who read and utilise the research. They are not rules and regulations, but they do represent the tenets of best ethical practice that have served our community of researchers well in the past and will continue to do so in the future. (p. ii)

Task

- ▶ Partner 1 will read the BERA guidelines
- ▶ Partner 2 will read UWTSD Research Ethics & Integrity Code of Practice
- ▶ Compare and contrast the two documents

Compliance: the General Data Protection Regulation (GDPR) and research

The core principles of GDPR are the principles of ethical research data management:

- ▶ Collect no more data than is necessary from an individual for the purpose for which it will be used;
- ▶ Obtain personal data fairly from the individual by giving them notice of the collection, and its specific purpose;
- ▶ Retain the data for no longer than is necessary for that specified purpose;
- ▶ Keep data safe and secure;
- ▶ Provide an individual with a copy of his or her personal data if they request it.

UWTSD Research Data Management Statement

- ▶ You should also refer to this document in your ethics form.

Today's Task

- ▶ Complete Ethics Form!

Monday's Tasks

1. Visit your PTE school for a staff member, usually the Headteacher or Senior Mentor, to sign your completed Ethics Form;
2. Prepare and Information sheet for pupils

Information Sheets

- ▶ what the research is trying to find out;
- ▶ the purpose of the research;
- ▶ who is carrying it out;
- ▶ exactly what will be asked of participants;
- ▶ how the information they provide will be recorded;
- ▶ what will then happen to the data;
- ▶ what degree of confidentiality and anonymity is afforded;
- ▶ how the information will be analysed;
- ▶ how the findings will be reported;
- ▶ who will see the results of the study.

On Tuesday, you will need to submit a hard copy of:

- ▶ Your ethics form;
- ▶ Your observation schedule;
- ▶ Your focus group interview questions;
- ▶ Your reflection pro-forma;
- ▶ Your information sheet.

Please submit your work:

- ▶ In one polypocket (NOT a big file) OR
- ▶ Stapled / paperclipped together

Filling in the Ethics Form

Section B

SECTION B: Approval for Research Activity

Has the research activity received approval in principle? (please check the Guidance Notes as to the appropriate approval process for different levels of research by different categories of individual)		YES	☐	Put in Date
				<i>Date</i>
If Yes, please indicate source of approval (and date where known):	Research Degrees Committee		☐	
	Faculty Research Committee		☐	
	Other (write in)		☐	

Include Name of Staff Member and their Designated Role

Approval in principle must be obtained from the relevant source prior to seeking ethical approval.

Section C

SECTION C: 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, and also any specific ethical guidelines relating to the proposed methodology). Please tick to confirm that your research adheres to these codes and guidelines.

Include UWTSD Code of Ethics plus Discipline-Specific Codes of Ethical research

	☐
	☐
	☐

Section D

No!

SECTION D: External Collaborative Research Activity

Does the research activity involve collaborators outside of the University?	YES	☐	NO	☐
If Yes, please provide the name of the external organisation and name and contact details for the main contact person:				
Institution				
Contact person name				
Contact person e-mail address				

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

Does this organisation have its own ethics approval system?	YES	☐	NO	☐
If Yes, please attach a copy of any final approval (or interim approval) from the organisation				

Section E

SECTION E: Details of

Ensure that the proposed start date is **AFTER** the Committee Ethics meeting

Indicative title:

Proposed start date:

Proposed end date:

Purpose of research activity (including aims and objectives)

Outline the purpose, aims and objectives of the research activity, including key research questions. Show briefly how existing research has informed the proposed activity and explain what the research activity will add and how it addresses an area of importance. (Maximum 300 words)

(this box should expand as you type)

Proposed methods

Provide a brief summary of all the methods that may 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. (Maximum 600 words)

(this box should expand as you type)

It is advisory to use **Bullet Points** for research aims, objectives and questions

Section E

Description of school(s), but do not name.



Location of research activity

Identify all locations where research activity will take place.

(this box should expand as you type)

Research activity outside of the UK

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 sensitivities or vulnerabilities of participants.

(this box should expand as you type)

Section F

Any boxes ticked **YES**
should be commented
upon in the
Methodology (Section
E)

SECTION F: Scope of Research Activity

Will the research activity include:		
Use of a questionnaire or similar research instrument?	☐	☐
Use of interviews?	☐	☐
Use of diaries?	☐	☐
Participant observation with their knowledge?	☐	☐
Participant observation without their knowledge?	☐	☐
Use of video or audio recording?	☐	☐
Access to personal or confidential information without the participants' specific consent?	☐	☐
Administration of any questions, test stimuli, presentation that may be experienced as physically, mentally or emotionally harmful / offensive?	☐	☐
Performance of any acts which may cause embarrassment or affect self-esteem?	☐	☐
Investigation of participants involved in illegal activities?	☐	☐
Use of procedures that involve deception?	☐	☐
Administration of any substance, agent or placebo?	☐	☐
Working with live vertebrate animals?	☐	☐
Other primary data collection methods, please explain in this box	☐	☐

Section G

Participant numbers and source

Provide an estimate of the expected number of participants. How will you identify participants and how will they be recruited?

this box should expand as you type)

Give number of participants and say **HOW** you will identify participants

Section H

SECTION H: Anticipated Risks

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.	
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.	
Full risk assessment completed and appended?	
Yes	☐
No	☐
Risks to participants	
For example: emotional distress, financial disclosure, physical harm, transfer of personal data, sensitive organisational information	
(this box should expand as you type)	
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)	
Risks to investigator	
For example: personal safety, physical harm, emotional distress, risk of accusation of harm/impropriety, conflict of interest	
(this box should expand as you type)	
University/institutional risks	
For example: adverse publicity, financial loss, data protection	
(this box should expand as you type)	
Adverse outcomes	
List measures put in place to limit any adverse effects or outcomes of research activity where appropriate. Include any emergency protocols.	
(this box should expand as you type)	

All research carries risk if it involves participants ensure that risks are identified
Do not put **'Not applicable'**

All research carries risk, ensure that risks are identified.
Do not put **'Not applicable'**

All research carries risk, ensure that risks are identified.
Do not put **'Not applicable'**

Any Risk identified in the section above needs mitigation explained here

Section I

Researchers are required to indicate in the ethics form that consent forms are given to all participants and, if this work involves minors (under 18 in line with UWTSD), that parents/guardians are also asked for their consent.

SECTION I: Feedback, Consent and Confidentiality

Feedback

What feedback will be provided to participants, how will this be done and when?

(this box should expand as you type)

Informed consent

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.

(this box should expand as you type)

Confidentiality / Anonymity

Outline how anonymity of participants and confidentiality will be ensured in any outputs. If anonymity is not being offered, explain why this is the case.

(this box should expand as you type)

Make explicit reference to **HOW** informed consent, confidentiality and anonymity will be achieved

Demonstrate the difference between anonymity and confidentiality
How will participants withdraw from the study?

Section J

Personal data are data which relate to a living individual who can be identified from that data or from that data and other information which is in the possession of, or is likely to come into the possession of, the data controller and includes any expression of opinion about the individual and any indication of the intentions of the data controller. This includes any other person in respect of the individual (Data Protection Act 1998).

Sensitive Personal Data are defined in the Data Protection Act 1998 as data pertaining to a person's race, ethnic origin, political opinion, religious or similar beliefs, trade union membership, physical or mental health or condition, sexual life, commission or alleged commission of an offence, proceedings for an offence (alleged to have been) committed, disposal of such proceedings or the sentence of any court in such proceedings.

SECTION J: Data Protection and Storage

In completing this section refer to the University's Research Data Management Policy and the extensive resources on the University's Research Data Management web pages (<http://uwtisd.ac.uk/library/research-data-management/>).

	YES	NO
Does the research activity involve personal data (as defined by the Data Protection Act)? <i>"personal data" means data which relate to a living individual who can be identified—</i> <i>(a) from those data, or</i> <i>(b) from those data and other information which is in the possession of, or is likely to come into the possession of, the data controller, and includes any expression of opinion about the individual and any indication of the intentions of the data controller or any other person in respect of the individual.</i>	☐	☐
If YES, provide a description of the data and explain why this data needs to be collected: (this box should expand as you type)		
Does it involve sensitive personal data (as defined by the Data Protection Act)? <i>"Sensitive personal data" means personal data consisting of information as to –</i> <i>(a) the racial or ethnic origin of the data subject,</i> <i>(b) his political opinions,</i> <i>(c) his religious beliefs or other beliefs of a similar nature,</i> <i>(d) whether he is a member of a trade union (within the meaning of the Trade Union and Labour Relations (Consolidation) Act 1992),</i> <i>(e) his physical or mental health or condition,</i> <i>(f) his sexual life,</i> <i>(g) the commission or alleged commission by him of any offence, or</i> <i>(h) any proceedings for any offence committed or alleged to have been committed by him, the disposal of such proceedings or the sentence of any court in such proceedings.</i>	☐	☐
If YES, provide a description of the data and explain why this data needs to be collected: (this box should expand as you type)		

Section J

Electronic transfer of data means communicating data between electronic devices e.g. one database to another.

This does **NOT** mean saving work to a USB stick

Will you archive the data?

Will the research activity involve any of the following activities:	YES	NO
Electronic transfer of data in any form?	☐	☐
Sharing of data with others at the University?	☐	☐
Sharing of data with other organisations?	☐	☐
Export of data outside the European Union or importing of data from outside the UK?	☐	☐
Use of personal addresses, postcodes, faxes, emails or telephone numbers?	☐	☐
Publication of data that might allow identification of individuals?	☐	☐
Use of data management system?	☐	☐
Data archiving?	☐	☐
If YES to any question, please provide full details, explaining how this will be conducted in accordance with the Data Protection Act (and/or any international equivalent):		
(this box should expand as you type)		

Section J

This **ONLY** applies to **RAW DATA** and you should consider carefully who should have access
Normally this would be the researcher

Under normal circumstances, raw data should be destroyed at the first opportunity e.g. after transcription.

The key principle for researchers to consider is protecting the anonymity of participants.

SECTION J: Data Protection and Storage

List all who will have access to the data generated by the research activity:

(this box should expand as you type)

List who will have control of, and act as custodian(s) for, data generated by the research activity:

(this box should expand as you type)

Give details of data storage arrangements, including where data will be stored, how long for, and in what form. Will data be archived – if so how and if not why not.

(this box should expand as you type)

Section K

SECTION K: Declaration

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.

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](#)

Signature of applicant:

Date:

For students:

Director of Studies/Supervisor:

Signature:

Date:

Remember to
include the
Date

For staff:

Head of School/Assistant
Dean:

Signature:

Date:

General Issues

Remember . .

Ensure that you
Indicate either
'YES', 'NO' or N/A
For all that require
a cross

[illegible]

Finally . . .

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

☐	I have read the guidance notes supplied before completing the form.
☐	I have completed ALL RELEVANT sections of the form in full.
☐	I confirm that the research activity has received approval in principle
☐	I have attached a copy of final/interim approval from external organisation (where appropriate)
☐	I have attached a full risk assessment (and have NOT completed Section H of this form) (where appropriate)
☐	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.
☐	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 Head of School.

This box is often marked in error



Remember!

Delete the instructions
from the bottom of the form
before sending or printing it.