



Research Ethics Policy and Procedures 2014

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Introduction

Affinity Teaching School Alliance is committed to the development of a professional community of enquiry in which teachers' professional learning and therefore the quality of pupils' learning is promoted through classroom-based research. This policy has been written to support teachers and system leaders within Affinity Teaching School Alliance in ensuring that the research they carry out, supervise, monitor or oversee is conducted strictly in accordance within the accepted legal and ethical framework outlined by the British Educational Research Association (BERA). BERA's 'Ethical Guidelines for Educational Research' are appended to this document and should be read by any Affinity TSA researcher. This policy outlines considerations specific to the conduct of research in the context of Affinity TSA schools and academies.

Key principles

All educational research should respect:

- The person
- Knowledge
- Democratic values
- The quality of educational research
- Academic freedom

This policy provides guidance to teachers and system leaders about their responsibilities to:

- Participants
- Sponsors of Research
- The Community of Educational Researchers
- Educational Professionals, Policy Makers and the General Public

Responsibilities to Participants in Research

Educational researchers must respect the needs and circumstances of all participants, whatever their role.

Participants in research may be pupils in lessons observed, colleagues or partners in research, classroom support staff or volunteers present at the time of a research lesson, school research leaders (Research and Innovation Champions), or other

Affinity personnel involved in the supervision, study or administration of research across the Alliance.

Key Responsibilities

Voluntary Informed Consent

Researchers must ensure that all participants understand and agree to their participation in the research before the research takes place. Clear information about research in general and specific information about the focus for schools' research projects must be provided for parents and parental consent to their children's participation must be sought.

Of course, teachers will use their professional judgement about their pupils' ability to provide informed consent in each circumstance. Clearly there will be a balance to be struck between an informal discussion with younger pupils and a more formal discussion with older pupils. As a general principle, unless there is a bona fide reason why it is impossible to gain informed consent, children should understand that they are participating in research and be happy to do so. Whether or not children themselves have provided explicit consent to participate, permission for their participation should be provided from their parents/carers.

Openness and Disclosure

Deception or subterfuge should be avoided. There are circumstances in research which require an element of subterfuge. Where researchers feel that deception is a necessary feature of their research, the reasons should be included in a Lesson Study research proposal and permission granted by the school's Headteacher.

Right to Withdraw

Participants have a right to withdraw from research at any time. They may not be able to opt out of a school learning activity, but could decide not to be involved in surveys or questionnaires.

Children, Vulnerable Young People and Vulnerable Adults

Researchers must comply with Articles 3 and 12 of the UN Convention on the rights of the child. Therefore the best interests of the child must be the primary consideration (Article 3) and children should be enabled to give fully informed consent (Article 12).

Researchers should always comply with existing school policies and procedures, codes of conduct and legal requirements relating to working with children. This includes child safeguarding procedures and 'whistle blowing' policies in cases where illegality is uncovered in the process of research.

‘Do No Harm’

In all aspects of the research process, the researchers must take all necessary steps to ensure that no participant experiences distress or discomfort of any sort as a result of their research.

Privacy

Researchers must protect the privacy and confidentiality of research participants’ data. Pupils’ names and names of other research participants must not be used in reporting.

Responsibilities to Sponsors of Research

These responsibilities are outlined in BERA guidance appended to this policy and should be followed by all Affinity Teaching School Alliance researchers where sponsorship is agreed.

Responsibilities to the Community of Education Researchers

Affinity TSA researchers must comply with the responsibilities outlined in BERA guidance.

Responsibilities to Education Professionals, Policy Makers and the General Public

It is the intention of Affinity TSA Research and Innovation Working Group to publicise research undertaken by its schools and academies using the Alliance’s Online Learning Platform and by other means as appropriate. Any research published by Affinity must have been conducted according to the guidance in this policy and according to the BERA guidelines appended to this document. Affinity researchers are asked to complete an ethical guidance declaration form with their research submission to the Affinity Research and Innovation Working Group.



Research Ethical Clearance Checklist (R1)

This form is to be used by teachers involved in research and submitted to the school's R&I Champion for approval by the school's Headteacher **before** a research project begins. No data collection should commence until approval is received from the school's headteacher. R1 forms should be included with final research reports.

[Note: Please click in the 'Yes'/'No' boxes as appropriate to indicate your answer]

Section A: Research Project Details

School/Academy	
Researchers' Names	
Research Subject:	
Research Focus:	
R&I Champion	
Date of Research (Half Term/year)	
Year Group	
Brief outline of the research enquiry to be undertaken:	
Please outline the nature of the data to be collected and how this data will be collected ethically.	

Section B: Participants and Methodology & Procedures

Vulnerable Groups

B.1 Your research involves 'vulnerable participants' i.e. children. Please indicate whether you are knowingly involving participants from other vulnerable groups.

	Yes	No
People over 65 years of age	<input type="checkbox"/>	<input type="checkbox"/>
Pregnant women	<input type="checkbox"/>	<input type="checkbox"/>
People with mental illness	<input type="checkbox"/>	<input type="checkbox"/>
Other vulnerable group (please specify ...)	<input type="checkbox"/>	<input type="checkbox"/>

(If 'Yes' to any of the questions below you are confirming that you have addressed the School's Ethical Guidelines in your research proposal and that your declaration has been submitted before research has commenced. In some cases the school's R&I Champion may require further information to clarify the nature of the research and the ethical approaches taken).

B.3 To the best of your knowledge, please indicate whether the proposed research:

	Yes	No
Involves procedures which are likely to cause physical, psychological, social or emotional distress to participants	<input type="checkbox"/>	<input type="checkbox"/>
Is designed to be challenging physically or psychologically in any way (includes any study involving physical exercise)	<input type="checkbox"/>	<input type="checkbox"/>
Exposes participants to risks or distress greater than those encountered in their normal lifestyle	<input type="checkbox"/>	<input type="checkbox"/>
Involves use of hazardous materials	<input type="checkbox"/>	<input type="checkbox"/>

Section C: Observation/Recording and Consent & Deception

- | | Yes | No |
|---|--------------------------|--------------------------|
| C.1 Does the study involve data collection, observation or recording of participants? | <input type="checkbox"/> | <input type="checkbox"/> |

(If 'No', please go straight to Section D)

- | | | |
|--|--------------------------|--------------------------|
| C.2 Will those contributing to the data collected, being observed or being recorded, or those of the appropriate authority, be informed that the observation and/or recording will take place? | <input type="checkbox"/> | <input type="checkbox"/> |
|--|--------------------------|--------------------------|

(If you have answered 'No' to this question further information needs to be provided for the research and submitted to the school's R&I Champion)

Informed Consent

- | | Yes | No |
|---|--------------------------|--------------------------|
| C.3 Will all participants give informed consent freely? | <input type="checkbox"/> | <input type="checkbox"/> |

(If 'Yes' please complete C.4-C.6 below. If 'No' please submit further information to the school's R&I Champion)

- | | | |
|--|--------------------------|--------------------------|
| C.4 Will all participants be fully informed of the objectives of the investigation and all details disclosed (preferably at the start of the study but where this would interfere with the study, at the end)? | <input type="checkbox"/> | <input type="checkbox"/> |
|--|--------------------------|--------------------------|

- | | | |
|--|--------------------------|--------------------------|
| C.5 Will all participants be fully informed of the use of the data collected (including, where applicable, any intellectual property arising from the research)? | <input type="checkbox"/> | <input type="checkbox"/> |
|--|--------------------------|--------------------------|

- | | | |
|---|--------------------------|--------------------------|
| C.6 For employees, students and other persons judged to be under duress, will care be taken over gaining freely informed consent? | <input type="checkbox"/> | <input type="checkbox"/> |
|---|--------------------------|--------------------------|

Deception

- | | Yes | No |
|---|--------------------------|--------------------------|
| C.7 Does the study involve deception of participants (i.e. withholding of information or the misleading of participants)? | <input type="checkbox"/> | <input type="checkbox"/> |

*(If 'Yes' please complete the **Deception** section below, if 'No' please go straight to Section D)*

- | | | |
|--|--------------------------|--------------------------|
| C.8 Is deception an unavoidable part of the study? | <input type="checkbox"/> | <input type="checkbox"/> |
|--|--------------------------|--------------------------|

(If you have answered 'No' to this question further information needs to be provided for the research and submitted to the school's RI Champion)

C.9 Will the deception potentially harm or exploit participants?

(If you have answered 'Yes' to this question further information needs to be provided for the research and submitted to the school's RI Champion)

C.10 Will all be de-briefed and the true object of the research revealed at the earliest stage upon completion of the study?

(If you have answered 'No' to this question further information needs to be provided for the research and submitted to the school's RI Champion)

C.11 Has consideration been given to the way that all participants and those of the appropriate authority, will react to the withholding of information or deliberate deception? If yes, how?

(If you have answered 'No' to this question further information needs to be provided for the research and submitted to the School's RI Champion)

Section D: Withdrawal

	Yes	No
D.1 Will all participants be informed of their right to withdraw from the investigation at any time and to require their own data to be destroyed?	<input type="checkbox"/>	<input type="checkbox"/>

Section E: Storage of Data and Confidentiality

	Yes	No
E.1 Will all information on all participants be treated as confidential and not identifiable unless agreed otherwise in advance, and subject to the requirements of law?	<input type="checkbox"/>	<input type="checkbox"/>

(If you have answered 'No' to this question further information needs to be provided for the individual research and submitted to the school's RI Champion)

E.2 Will storage of data comply with the Data Protection Act 1998?

(If you have answered 'No' to this question further information needs to be provided for the individual research and submitted to the school's RI Champion)

E.3 Will data (including video/audio recordings) of all participants be kept in a secure place and not released for use by third parties? Yes No

(If you have answered 'No' to this question further information needs to be provided for the individual research and submitted to the school's RI Champion)

E.4 Will data (including video/audio recordings) be destroyed within six years of the completion of the investigation? Yes No

(If you have answered 'No' to this question further information needs to be provided for the individual research and submitted to the school's RI Champion)

Section F: Incentives

F.1 Have incentives (other than those contractually agreed, salaries or basic expenses) been offered to the investigator to conduct the investigation? Yes No

F.2 Will incentives (other than basic expenses) be offered to potential participants as an inducement to participate in the investigation? Yes No

(If you answered 'Yes' to this question further information needs to be provided for the individual research and submitted to the school's RI Champion)

Section G: Compliance with Ethical Principles

By signing below you are confirming that you have completed this checklist to the best of your knowledge, and that your research will be consistent with the Affinity TSA Research Ethics Policy and Procedures.

Please submit the completed checklist to your school's RI Champion

Signature of Teacher-Researcher/s:		Date
Signature of school R&I		

Champion:		
Signature of Headteacher:		



School Logo

Research Lesson Study- Information for Parents

In our school, research is an important part of teachers’ professional learning and development and our teachers take part in ‘Research Lesson Study’ as an integral part of their career-long professional learning. Lesson Study started many years ago in Japan and is now used in many countries throughout the world. Teachers meet together regularly in Lesson Study teams to research an area of teaching and learning that they want to improve. They work together to plan a ‘*Research Lesson*’, then one of them teaches the lesson, while the other members of the team observe closely the learning of a small group of pupils in the class, making notes of any difficulties or success in learning. After the lesson, the team meets again to discuss their observations and to think about how the lesson could be improved. They may decide to repeat the cycle and teach the lesson again, incorporating the improvements they have agreed.

Research Lesson Study teams write up their research findings in a final report which is then ‘published’ on the school’s secure online learning platform with the plan for the lesson they worked to improve. These Research Lesson Study reports provide important information for other teachers, in our school and in other schools, to help them in their professional learning and to improve their teaching. We may publish information about our research to parents, for example, to keep them informed about the work we are doing. We may also submit our school-based research to Affinity Teaching School Alliance, to help in the work of improving pupil learning more widely.

Confidentiality

Research in Lesson Study is carried out in strict accordance with national ethical educational research guidelines. Children’s confidentiality is protected at all times, so for example, they are never named and steps are taken to ensure that they cannot be identified in the report.

Children are told when Lesson Study is taking place. They are also told that they do not have to be part of a research focus group in a research lesson if they do not want to be. (*see Lesson Study Pupil Information Sheet*)

Filming a Research Lesson

Occasionally, research lessons are recorded so that teachers can study the learning again, after the lesson, as part of their evaluation. Care is taken not to name children in recordings; films are kept securely in school and are not shared without the explicit consent of all participants.

We hope that you support our determination to strive for continuous improvement in teaching and learning through Research Lesson Study at _____ school/academy.

Please complete and sign the consent slip overleaf.



school logo

Parental Consent for Pupil Participation in Research Lesson Study (R2)

	Yes	No
I have read the Parents Information Sheet about Research Lesson Study at _____ School/Academy		
I understand that teachers in _____ school/academy undertake Research Lesson Study as part of their professional learning.		
I understand that teacher/researchers at _____ school/academy follow strict ethical guidelines for the conduct of lesson study research and that children's confidentiality is protected at all times.		
I understand that information about the research findings from lesson study is published in a final report, which can be shared with people e.g. teachers, other educational professionals, parents outside the school.		
I understand that, having given consent for my child to take part in Research Lesson Study, I can change my mind and withdraw my consent at any time.		
I give my consent for my child to participate in Research Lesson Study while a pupil at _____ school.		
Name:		
Signed:		
Date:		

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Parental Consent for their child to be filmed for the purposes of Research Lesson Study. (R3)

	Yes	No
I have read the Parents Information Sheet about Research Lesson Study at _____ School/Academy		
I understand that teachers in _____ school/academy undertake Research Lesson Study as part of their professional learning.		
I understand that teacher/researchers at _____ school/academy follow strict ethical guidelines for the conduct of lesson study research and that children’s confidentiality is protected at all times.		
I understand a filmed recording of learning during lesson study can be included in a published final report, which can be shared with people e.g. teachers, other educational professionals, parents outside the school.		
I understand that, having given consent for my child to be filmed as part of a Research Lesson Study, I can change my mind and withdraw my consent at any time. In this case the recording will not be used for this research.		
I give my consent for my child to be filmed as part of Research Lesson Study while a pupil at _____ school		
Name:		
Signed:		
Date:		



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Parental Consent for use of a filmed recording of their child to be used in a published Research Lesson Study final report. (R4)

	Yes	No
I have read the Parents' Information Sheet about Research Lesson Study at _____ School/Academy		
I understand that teachers in _____ school/academy undertake Research Lesson Study as part of their professional learning.		
I understand that teacher/researchers at _____ school/academy follow strict ethical guidelines for the conduct of lesson study research and that children's confidentiality is protected at all times.		
I understand a filmed recording of learning during lesson study can be included in a published final report, which can be shared with people e.g. teachers, other educational professionals, parents outside the school.		
I understand that, having given consent for my child to be filmed as part of Research Lesson Study, I can change my mind and withdraw my consent at any time. In this case the recording will be destroyed.		
I give my consent for the use of a filmed recording of my child to be used as part of Research Lesson Study published final report.		
Name:		
Signed:		
Date:		

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Research Lesson Study - Pupil Information Sheet (R5)

In our school, teachers sometime work together to plan and teach lessons to find way to make learning better. This is called 'Research Lesson Study'.

One teacher teaches the lesson while other teachers watch pupils learn. They watch a small group of pupils carefully to see what kind of things help pupils to learn and what kind of things pupils might have problems with. After the lesson, they talk about what they saw to try to think of ways to improve things in other lessons.

We would like you to be part of this important research. Sometimes you might just be in the classroom where a Research lesson is happening. Sometimes you might be a member of the small group that the teachers are watching.

Of course you have to be part of the lesson, because that is part of being at school. If you don't want to be part of the small group, you don't have to be. Your teacher will ask you and you will be able to say whether you want to or not.

Pupil Name:	Yes	No
I understand what Research Lesson Study is and I am willing to be part of a Research Lesson Study pupil focus group.		
Signed:		
Date:		
Teacher Declaration: I have explained as fully as possible what Lesson Study is and the implications of participating in it, to _____ and I am satisfied that he/she understands and is willing to participate in a pupil focus group.		
Name:		
Signed:		
Date:		



Research Lesson Study – Information for Teacher Researchers and Affinity System Leaders about the use of Affinity TSA schools’ research information.

(Teacher Researchers; R&I Champions; Subject Leaders; Headteachers; LLEs; NLEs; Members of Affinity Working Groups)

Affinity Teaching School Alliance wants to encourage participation in research into teaching and learning, especially through Research Lesson Study. We want to publish teachers’ reports and lesson plans to support the professional learning of all our teachers and practitioners and ultimately our pupils’ learning. We hope that lessons can be learned from the study and analysis of teachers’ research. In order for Affinity’s system leaders to be able to use Lesson Study reports, research findings, film footage, results etc on behalf of the Alliance and to ensure that the outcomes of our research to have professional credibility, we must ensure that nationally recognised ethical guidelines have been strictly followed.

It is the role of each individual headteacher to ensure that any research carried out in their own school is done so according to ethical principles and this policy aims to inform everyone involved in the leadership of research about those principles. However, in order for any research outcomes of Lesson Study to be published or shared in any way by Affinity TSA, the Affinity Research and Innovation Working Group must be satisfied that researchers have followed this policy and that **all participants** in the original research have given their consent; the researchers themselves must consent to their work, and reference to it, being used for further Affinity research. This is because, when school based ‘*original*’ research is subsequently used by Affinity for ‘*secondary*’ research, the *researchers* become *research participants* and need the same protection from ethical procedures as their original research participants enjoyed.

Teacher researchers are asked to include two Affinity forms when they submit their final reports, associated resources and research findings to the Research and Innovation Working Group via the Affinity RI Specialist Leader in Education for publication on the Affinity VLE:

1. Affinity Teaching School Alliance Ethics Policy Declaration Form (R6)

A panel of at least three members of the RI Working Group considers each submission to confirm that the research has been carried out according to the ethical principles outlined in this policy. Once confirmed, the research is accepted for publication on Affinity’s VLE.

2. Affinity Teaching School Alliance Use of Lesson Study Research Consent Form (R7).

Where the researchers have completed form R7, giving consent for their research to be used by Affinity TSA in further research and analysis, the related research can then be used in this way. It must be made clear to research participants that consent for the further use of their research by Affinity is not a condition for publication and that they are under no obligation to agree to the use of their research in this way.

N.B. Should any Affinity system leader wish to make use of school based research held by Affinity or published on Its Learning, in their own research, they must ensure that the original researchers are fully informed about the intended research, have given their consent for their research findings

and resources to be used in this way PRIOR to the research being carried out, and that they are clearly credited in any publication relating to this research. Ethical approval for this research to be carried out must be granted by the R&I Working Group before such research projects can start.



Affinity TSA Ethical Procedures for Research Declaration Form R6

School	
Researchers	
Research Project	
Date of Project	
Declaration	
We declare that all the principles of the Affinity TSA Research Ethics Policy were applied in the conduct of our research project.	
Signed:	Name:
Signed	Name:
Signed:	Name:
Signed:	Name:
<i>*Please include copies of all relevant research participant consent forms related to this research project with your submission.</i>	
Research and Innovation Working Group Comments	

On behalf of Affinity R&I Working Group

Signed:

Date:



Affinity TSA Researchers – consent for research report, linked resources and research findings to be included in further research and analysis by Affinity Teaching School Alliance (Form R7)

School	
Researchers	
Research Project	
Date of project	
I have read the Affinity Teaching School Alliance Research Ethics Policy.	
I give consent for the details of my research project, final report, results, findings and linked resources to be used by Affinity Teaching School Alliance to inform further research and analysis.	
I understand that provision of this consent is not a condition for the publication of my research on the Affinity Its Learning VLE.	
I understand that I am free to withdraw my consent at any time and that if I do, inclusion of my research in any secondary Affinity study will be halted and my research removed from that study.	
Should any individual researcher linked to Affinity wish to use my research findings as part of an individual research project, I understand that I will be consulted separately by the researcher before any such use of my research is made.	
Signed:	Name:
Signed	Name:
Signed:	Name:

Signed:	Name:
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