

University of Sheffield School of Education RESEARCH ETHICS APPLICATION FORM

Complete this form if you are planning to carry out research in the School of Education which will not involve the NHS but which will involve people participating in research either directly (e.g. interviews, questionnaires) and/or indirectly (e.g. people permitting access to data).

Documents to enclose with this form, where appropriate:

This form should be accompanied, where appropriate, by an Information Sheet/Covering Letter/Written Script which informs the prospective participants about the a proposed research, and/or by a Consent Form.

Guidance on how to complete this form is at:

<http://www.sheffield.ac.uk/content/1/c6/07/21/24/appguide.doc>

Once you have completed this research ethics application form in full, and other documents where appropriate email it to the:

Either

Ethics Administrator if you are a member of staff.

Or

Secretary for your programme/course if you are a student.

NOTE

- Staff and Post Graduate Research (EdDII/PhD) requires 3 reviewers
- Undergraduate and Taught Post Graduate requires 1 reviewer – **low risk**
- Undergraduate and Taught Post Graduate requires 2 reviewers – **high risk**

I am a member of staff and consider this research to be (according to University definitions) : **low risk** ☒

low risk

☒

high risk

☐

I am a student and consider this research to be (according to University definitions):

low risk

☐

high risk

☐

*Note: For the purposes of Ethical Review the University Research Ethics Committee considers all research with ‘vulnerable people’ to be ‘high risk’ (eg children under 18 years of age).

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COVER SHEET

I confirm that in my judgment, due to the project's nature, the use of a method to inform prospective participants about the project (eg 'Information Sheet'/'Covering Letter'/'Pre-Written Script'?:	
Is relevant	Is <u>not</u> relevant
✓ (if relevant then this should be enclosed)	

I confirm that in my judgment, due to the project's nature, the use of a 'Consent Form':	
Is relevant	Is <u>not</u> relevant
✓ (if relevant then this should be enclosed)	

Is this a 'generic "en bloc" application (ie does it cover more than one project that is sufficiently similar)	
Yes	No
	✓

I am a member of staff

☒

I am a PhD/EdD student

☐

I am a Master's student

☐

I am an Undergraduate student

☐

I am a PGCE student

☐

The submission of this ethics application has been agreed by my supervisor

☐

I have enclosed a signed copy of Part B

☒

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PART A

A1. Title of Research Project: Lives and Careers of Caribbean Teachers in the UK

A2. Applicant (normally the Principal Investigator, in the case of staff-led research projects, or the student in the case of supervised research projects):

Title: Dr
 First Name/Initials: JENNIFER
 Last Name: LAVIA
 Post: LECTURER
 Department: EDUCATIONAL STUDIES
 Email: j.lavia@sheffield.ac.uk
 Telephone: 0114 222 8097

A2.1. Is this a student project? NO

If yes, please provide the Supervisor's contact details:

A2.2. Other key investigators/co-applicants (within/outside University), where applicable:

Please list all (add more rows if necessary)

Title	Full Name	Post	Responsibility in project	Organisation	Department
Professor	Pat Sikes	Professor of Qualitative Inquiry	Co-applicant and Joint Investigator	University of Sheffield	Educational Studies

A3. Proposed Project Duration:

Start date: September 2010

End date: August 2011

A4. Mark 'X' in one or more of the following boxes if your research:

<input type="checkbox"/>	Involves children or young people aged under 18 years
<input type="checkbox"/>	Involves only identifiable personal data with no direct contact with participants
<input checked="" type="checkbox"/>	Involves only anonymised or aggregated data
<input type="checkbox"/>	Involves prisoners or others in custodial care (eg young offenders)
<input type="checkbox"/>	Involves adults with mental incapacity or mental illness
<input type="checkbox"/>	Has the primary aim of being educational (eg student research, a project necessary for a postgraduate degree or diploma, MA, PhD or EdD)

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A5. Briefly summarise the project's aims, objectives and methodology?

This research focuses on the lives and careers of Caribbean teachers who have migrated to the UK through recruitment schemes by the UK government to fill the breach in areas of shortage within UK schools. The first wave of such migration occurred in the 1950s and the second identifiable wave has been in the 1990s. In the case of the first wave, many of these teachers have gone on to become public figures in UK politics and education and have been heralded as exemplars. Media commentaries seem to suggest that what these teachers have brought with them from the Caribbean has contributed to a unique approach to educational policy and practice that is admirable in most cases and different. Other commentaries suggest that some of the classroom practices are not congruent with the social context in which they are occurring. While others point to the idea that Caribbean teachers should position themselves as role models for 'Afro-Caribbean' students'.

Such multiple and contested representations about Caribbean teachers, their practice and their professional identity do not refer to how these practitioners account for their experience of teaching. Indeed their voices are silent. We are interested in exploring what this 'uniqueness', 'difference' and 'incongruence' means in light of the actual experiences of these teachers and so, we propose one central question for this study, that is: What insights can be gained about the practice of education from the personal and professional stories of migrant teachers from the Caribbean? This overarching key research question undergirds the aim of the study which is: to explore, the social, cultural and political factors that have influenced how Caribbean teachers in the UK have constructed and expressed their professional identity.

This study sets out to achieve the following objectives:

- To construct a social and cultural history of the movement of Caribbean teachers to the UK.
- To focus on the centrality of the teacher as a policy case by identifying the socio-historical, cultural and political factors that have shaped their professional identities in light of their transnational experiences.
- To provide insights into what might constitute 'Caribbeanness' in articulating a practice of education

Methodologically, this study employs a life history approach. Through biographical accounts participants would be engaging in 'theorising the teaching self' (Dillabough 1999 p.387) in light of social and structural relations within and beyond where the practice of education occurs. A life history approach provides the opportunity to locate the stories of the participants within the social, historical, cultural and political contexts in

which the practice occurs and it allows the researcher to turn a critical gaze to these accounts.

The specific methods of data collection will include:

- Interviews and conversations with key informants
- Interviews with identified participants from the first wave of migration (1950s)
- Focus groups with teachers from the second wave of migrant teachers (1990s)
- Documentary searches

Sampling will be non-probability, using the specific approach of snowball sampling. Snowball sampling will mean that participants will be identified initially from the key informants and then it is anticipated that referrals will be made thereafter.

A6. What is the potential for physical and/or psychological harm / distress to participants? NONE

A7. Does your research raise any issues of personal safety for you or other researchers involved in the project and, if yes, explain how these issues will be managed? (Especially if taking place outside working hours or off University premises.) NONE

A8. How will the potential participants in the project be (i) identified, (ii) approached and (iii) recruited?

- This project will involve two groups of Caribbean teachers. One group have public profiles and would have migrated to the UK within the first wave of recruited teachers from the Caribbean in the 1950s and 60s and so by virtue of this profile they are a self-selected group. A key informant from this group will be approached to participate in the study. The second group of teachers will be identified as those who have migrated to the UK in the wave of recruitment of teachers in late 1990s. A key informant from that group will be asked to assist in identifying other participants.
- The key informants will be invited formally to participate in the research by telephone followed up by email. Other participants will be approached initially by the key informants, followed by formal contact being made by the researcher. The form of contact will be determined by what is appropriate for each participant or group of participants.
- In addition to the above, participants will be formally invited by letter to participate in the research and will be given the information sheet.

A9. Will informed consent be obtained from the participants?

Yes

No

X

If informed consent is not to be obtained please explain why. Further guidance is at http://www.shef.ac.uk/content/1/c6/07/21/15/Ethics_Consent.doc Only under exceptional circumstances are studies without informed consent permitted. Students should consult their tutors.

A.9.1 How do you plan to obtain informed consent? (i.e. the proposed process?):

Consent will be obtained in two stages. The first stage will involve a formal approach to key informants. The second stage will require that each participant once identified will be asked to fill out the consent form as attached. Consent will be obtained only after participants have been formally invited to participate and have indicated their willingness to be involved in the study. In cases where participants are reluctant to give written consent, we will seek consent by audio recording their consent. Should this still be a problem, we will seek to have consent obtain in the presence of another reliable person as appropriate to the context that we will be working in.

A.10 How will you ensure appropriate protection and well-being of participants?

Where participants will be interviewed individually this will take place at a location that is mutually agreed and that will allow for privacy and safety for both participant and researcher. In the case of the focus groups, safety of the location of the sessions will be ensured by the researcher. At the start of all focus groups ground rules will be set to inform participants of the need for confidentiality. As the researchers we will be alert to any breaches in the ground rules and will intervene if such breaches occur. Both the interviews and focus groups will be held in comfortable surroundings that will put all participants at ease.

A.11 What measures will be put in place to ensure confidentiality of personal data, where appropriate?

We intend to use pseudonyms for all participants. All recorded material will be secured so that only the researcher has access to the data except where transcriptions may be done by someone else. No actual names of the participants will be audio-recorded so that the identities of participants will not be known to the transcribers.

A.12 Will financial / in kind payments (other than reasonable expenses and compensation for time) be offered to participants? (Indicate how much and on what basis this has been decided.)

Yes

No

X

A.13 Will the research involve the production of recorded or photographic media such as audio and/or video recordings or photographs?

Yes

X

No

A.13.1 This question is only applicable if you are planning to produce recorded or visual media:

How will you ensure that there is a clear agreement with participants as to how these recorded media or photographs may be stored, used and (if appropriate) destroyed?

The participant information sheet and the consent form have items that make the participants aware of the procedures and processes involved in the research. They will have the opportunity to formally indicate whether or not they agree with these. We have also inserted an additional item on the consent form which reads:

‘I understand that my responses will be audio recorded and I agree/disagree (*delete as appropriate*) to having this done’

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PART B - THE SIGNED DECLARATION

Title of Research Project: 'Lives and Careers of Caribbean Teachers in the UK'

Name of Applicants: Dr Jennifer Lavia and Professor Pat Sikes

I confirm my responsibility to deliver the research project in accordance with the University of Sheffield's policies and procedures, which include the University's '*Financial Regulations*', '*Good research Practice Standards*' and the '*Ethics Policy for Research Involving Human Participants, Data and Tissue*' (Ethics Policy) and, where externally funded, with the terms and conditions of the research funder.

In signing this research ethics application I am confirming that:

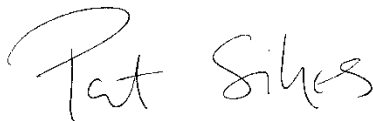
1. The above-named project will abide by the University's Ethics Policy for Research Involving Human Participants, Data and Tissue': <http://www.shef.ac.uk/content/1/c6/07/21/15/Tissue.doc>
2. The above-named project will abide by the University's 'Good Research Practice Standards': www.shef.ac.uk/content/1/c6/03/25/82/collatedGRP.pdf
3. The research ethics application form for the above-named project is accurate to the best of my knowledge and belief.
4. There is no potential material interest that may, or may appear to, impair the independence and objectivity of researchers conducting this project.
5. Subject to the research being approved, I undertake to adhere to the project protocol without unagreed deviation and to comply with any conditions set out in the letter from the University ethics reviewers notifying me of this.
6. I undertake to inform the ethics reviewers of significant changes to the protocol (by contacting my supervisor or the Ethics Administrator as appropriate
7. I am aware of my responsibility to be up to date and comply with the requirements of the law and relevant guidelines relating to security and confidentiality of personal data, including the need to register when necessary with the appropriate Data Protection Officer (within the University the Data Protection Officer is based in CICS).
8. I understand that the project, including research records and data, may be subject to inspection for audit purposes, if required in future.

9. I understand that personal data about me as a researcher in this form will be held by those involved in the ethics review procedure (eg the Ethics Administrator and/or ethics reviewers/supervisors) and that this will be managed according to Data Protection Act principles.
10. If this is an application for a 'generic'/'en block' project all the individual projects that fit under the generic project are compatible with this application.
11. I will inform the Chair of Ethics Review Panel if prospective participants make a complaint about the above-named project.

Name of the Co- Investigators:

Dr Jennifer Lavia and Professor Pat Sikes

Signature of Principal Investigator:



Date: 17 April 2010

Email the completed application form and provide a signed, hard copy of 'Part B' to the course/programme secretary

**For staff projects contact the Ethics Secretary, Colleen Woodward
Email: c.woodward@sheffield.ac.uk for details of how to submit**