

APA citation for this resource: Parrish, D. & Lefoe, G (2006). *Distributive Leadership Project ethics application*. Retrieved <Insert Date>, from <http://www.uow.edu.au/cedir/DistributiveLeadership/>.

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Associate Professor Rebecca Albury History & Politics, Faculty of Arts Chair, Excellence, Diversity & Innovation in Teaching Subcommittee (EDITS) of the University Education Committee.		

Project Manager:

Ms Dominique Parrish, Consultant, Learning Achievements and Solutions

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4. Where will potential participants be approached by the researchers to seek their participation in the research and where will research activities involving participants be conducted:

Participants, for the initial development phase, will be recruited from the University of Wollongong (UOW) and the University of Tasmania (UTAS). An invitation will be extended to academics from UOW and UTAS to be involved in the program, the successful participants are herein referred to as Scholars (from UOW) and Fellows (from UTAS).

Recruitment of UOW Scholars will be managed, in November 2006, by way of a formal invitation disseminated through the UOW email. This callout will invite UOW academics, interested in being involved in the project, to submit an application providing relevant details to support their application (maximum of 4 pages). Applications will be reviewed by the project's steering

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committee and recommendations for candidature made to DVC Rob Castle. Call for participation is attached in Attachment 1. Successful applicants will be notified in late December, 2006.

UTAS Fellows from 2006 were offered the opportunity to be involved in this Leadership for Excellence in Learning and Teaching project in 2007. All of the 2006 Fellows have accepted this invitation.

Key research activities will be conducted at various locations including UOW and UTAS campuses, a detailed account of where the research activities will be conducted is provided below:

Key Research Activities	Where the Activity will be Conducted
Leadership training of Scholars and Fellows	Victoria – A neutral location for both UOW and UTAS participants
Scholars and Fellows to implement an authentic project for change with an assessment focus	Within University Faculty to which Scholar/Fellow belongs
A roundtable organised and facilitated by the scholars to receive feedback on their teaching research from peers	To be confirmed anticipated at either UTAS or UOW
Facilitate a cross-institution network for the dissemination of knowledge and ideas	Participation in communication and resource sharing will be managed through a collaborative space in EdNA as such this can be contributed to by the participants from their offices.
Develop resources for access by all institutions to support assessment and leadership development	Resources will be continually developed by the participants in their respective locals
Iterative evaluation of the process	Project Evaluation will be ongoing and managed by an external evaluator. It is anticipated that activities associated with this particular activity will potentially transpire wherever project activities are occurring.

Purpose and Funding of Project

5.a *This project is a Carrick Institute of Teaching and Learning n Higher education Leadership for Excellence in Learning and Teaching Priority Project addressing the area of Institutional Leadership.*

5.b **What is the source and amount of funding from all sources for this research?**

Source (Name of Organisation / Funding Scheme)	Amount

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<i>The Carrick Institute for Learning and Teaching in Higher Education Ltd.</i>	\$180,472
<i>University of Wollongong (DVC Rob Castle)</i>	\$70, 000
<i>UTAS (PVC Gail Hart)</i>	\$70,000

5.c Is there any affiliation or financial interest between the sponsor/funding body and the researcher(s) or supervisor associated with this research? If Yes, Please declare.

NO

5.d Are there any conditions placed on this research by the funding body? (please provide details) YES/NO

Yes, acknowledgement of funding from Carrick Institute in all publications.

5.e Is a copy of the HREC approval to be forwarded to the Granting Body?

NO – *Not applicable*

6. Has this research project been reviewed by any other Institutional Ethics Committee? (for example multi-centre research)

NO

7. Research Categories

Please mark the research categories relevant to this research proposal. See guidelines for descriptions of the categories. At least one category should be marked for each grouping. For "Other", please specify.

If your research only involves participants and research procedures from a-d under A Participants and B Research Procedures Used, it may be open to expedited review by the Chair of the HREC. In that case, submit only one copy of your application (please see guidelines regarding expedited review).

A Participants

c. Academics from UOW, UTAS and Flinders University. A further university will be invited to participate in 2007.

Expected age(s) of participants – please circle one or more

Adults (> 18)

B Research procedures used

a. X Anonymous questionnaires/ surveys

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- b. Coded (potentially identifiable) questionnaires/ surveys
- c. Identifiable questionnaires/ surveys
- d. Examination of student work, journals etc

- e. Examination of medical, educational, personnel or other confidential records
- f. Observation (overt)
- g. Observation (covert)
- h. Interviews (structured or unstructured)
- i. Telephone interviews
- j. Procedures involving physical experiments (e.g. exercise, reacting to computer images)
- k. Procedures involving administration of substances (e.g. drugs, alcohol, food)
- l. Physical examination of participants (including eg. blood glucose, blood pressure and temperature monitoring)
- m. Collection of body tissues or fluid samples
- n. Surgical procedures

- o. Other: _____

Examination of reflective journals

C Research areas

- a. Qualitative research

- d. Educational research

8.a Does the project involve the use of drugs?

NO

8.b Does the project involve the use of a surgical or other therapeutic device? (please detail)

NO

8.c If you answered YES to 8a. or 8b., is there any business or similar association between the researcher and the supplier of a drug or surgical or other therapeutic device to be used in the trial? (please detail).

If you answered YES to 8a. or 8b., please include the budget for this trial including information about capitation fees, payments to researchers, institutions or organisations involved in the research, current and consequential costs and costs which may be incurred by participants.

Please include evidence of arrangements to ensure adequate compensation to participants for any injury suffered as a result of participation in the trial. (Indemnification forms and, if the research is being undertaken in a private practice, evidence of adequate and appropriate insurance coverage)

9. Justify the design of your proposed research and describe what you want participants to do.

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Please provide an explanation, in terms understandable by a non-expert reader. For student researchers, please provide (in no more than 2 pages) the background to this project (Attach extra sheets if necessary)

The research aims to develop a framework and associated resources for leadership capacity building within higher education institutions. Current research indicates a need to address this gap in leadership capacity development within higher education sector, particularly in relationship to leadership for improving teaching. Case study methods will be used to collect data through interview, reflective journal, and anonymous surveys. Qualitative analysis will be used to determine successful methods and challenges faced by participants when using a distributive model. This will be used to inform the development of a framework for leadership development and associated resources.

The project design includes two stages: the development and implementation stage, and the cascade stage with an iterative evaluation process to support ongoing improvements. Each of these is described in turn.

Stage 1: Development and implementation

In the development phase each university will identify six participants to engage in the project. The Scholars/Fellows will develop their leadership capacity through the facilitation of a leadership project that has an assessment focus and is aligned to their faculty's strategic goals

Each institution will identify a strategic leadership coach who is a senior person in their university to support and mentor the leadership Scholars/Fellows throughout the facilitation of their project. Scholars/Fellows will also receive support from each other and from the facilitator through a cross institutional network facilitated by the researchers in an online collaborative sharing space.

As part of the reflective focus in the implementation phase the Leadership scholars/fellows will maintain a reflective journal and participate in communication and resource sharing through the cross institutional online collaborative space. An evaluation plan that includes both formative and summative activities will be collaboratively developed, with participants, by an external evaluator.

The six Scholars/Fellows from each university will come together for a three day residential leadership workshop aimed at providing the participants opportunity to:

- *develop relationships and a network with other project participants,*
- *contribute to the development of a distributive leadership development framework,*
- *formulate and develop an action plan for their authentic assessment project,*
- *participate in leadership training, and*
- *negotiate and finalize the specific details, including the explicit deliverables for the project*

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Following the three day residential workshop, participants will continue to modify the distributive leadership development framework through institutional support and cross-institutional support from collaboration that the Leadership Scholars/Fellows will encounter. This ongoing development will result in the refinement of a distributive leadership framework that will be used in the next stage, following evaluation.

At the end of the implementation phase, the scholars/fellows and the facilitators will coordinate and facilitate a roundtable, involving:

- *other academic staff from their own and other universities,*
- *leaders in the field identified through professional associations, and*
- *invited participants from other universities who indicate an interest in participating in the next stage of the project.*

Finally, the first generation Scholars/Fellows will become key supporters and mentors for the second generation of project participants by providing mentoring for the next iteration of the program.

Stage 2: Cascade

The Scholars/Fellows from each of the first stage universities will mentor and support implementation of the development and implementation stage in two new partner universities. The second stage of the program will ensure the knowledge and understandings for both leadership development and the authentic tasks will be cascaded to a further two institutions. This stage of the program will be based on the distributive leadership framework resource developed during the developmental stage, which will be continuously evaluated and validated during this second iteration of the project.

- 10. Please provide a brief statement of the ethical considerations relevant to the proposed research; specifically in relation to the participants' welfare, rights, beliefs, perceptions, customs and cultural heritage both individual and collective. (Attach an extra sheet if necessary)**

The details of this project will be explained to all participants and their voluntary participation will be sought. Participants even after they have volunteered to be involved will be advised that they may choose not to participate and that they have the respective right to withdraw from involvement in the data gathering procedures.

Information collected from participants will remain confidential and be presented in the form of aggregated data or anonymous quotations with any potentially identifying detail removed. Participants will be advised that the information they provide will not be disclosed to any other member of the organisation they represent.

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- 11. Referring to the categories of participants to be involved in this project identified in question 7, above, What is the rationale for selecting participants from this/these group/s?**

In the first stage Scholars/Fellows identified to participate in this project will be academics from either UOW or UTAS. Scholars/Fellows will be selected from these universities because the project is being supported by these universities .In the second stage two further universities will participate including Flinders University and one other yet to be identified.

- 12. How will potential participants be approached initially and informed about the project? Please explain in detail and include copies of any letters, advertisements or other recruitment information. (e.g. direct approach to people on the street, mail-out to potential participants through an organisation, posters or newspaper advertisements, etc)**

Participants from UTAS will be verbally invited by the PVC(T&L) to continue in the fellows program they have been members of throughout 2006.

UOW participants will be invited to participate in this project through UOW all_academic staff email. See Attachment 2

- 13. How many participants in total do you anticipate will be involved in the project? If the research has several stages involving different participants, please provide the total number of participants expected as well as the number of participants involved in each stage.**

There will be an anticipated 24 participants undertaking leadership projects across a 2-year period of the project's implementation. In the first year there will be 6 participants from UTAS and 6 participants from UOW, which will run from 2006 - 2007. An anticipated further 3 participants from 2 other universities totaling 6 participants will be involved in the second stage of the project which will be implemented from 2007 - 2008.

- 14. Participant Consent**

Attach copies of any letters of invitation, information packages, consent forms, proxy/substitute consent forms, debriefing information, identification cards, contact detail cards, etc.

See Attachment 3 for a copy of the Participant Information Sheet and Attachment 4 for a copy of the Consent Form.

- 14 a. Is it anticipated that all participants will have the capacity to consent to their participation in the research?**

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Yes

If NO, please explain why (e.g. children, incompetent participants, etc.) and explain how proxy or substitute consent will be obtained from the person with legal authority to consent on behalf of the participant (see Guidelines).

14 b. For participants who have the capacity to consent, how does the process ensure that informed consent is freely obtained from the participant?

The call out invitation disseminated to UOW academics in November will indicate that involvement in the project is entirely voluntary. In the dialogue communicated to participants they will be reminded that their participation in the project is voluntary. The Participant Information Sheet that is provided to participants will also reinforce that their participation is voluntary.

14 c. Will written consent from participants be obtained?

Yes

If NO, please explain why it would be inappropriate or unethical to seek written evidence of consent to this project.

15. Are any participants in a dependant relationship with the researcher, the institution or the funding body (for example the researcher's clinical clients or students; employees of the institution; recipients of services provided by the funding body)? If so, what steps will be taken to ensure that participants are free to participate or refuse to participate in the research?

Participants are in a dependent relationship with their institutions as employees. Involvement in the project is by self-nomination and as such, participation is entirely voluntary. The call out invitation and dialogue communicated to participants will reinforce the fact that participation in the project is voluntary.

16. How does the project address the participants' freedom to discontinue participation? Will there be any adverse effects on participants if they withdraw their consent and will they be able to withdraw data concerning themselves if they withdraw their consent?

Participants will be informed prior to their involvement in the project both in writing and verbally that they are in no way obliged to be involved in the project and that they will not be disadvantaged should they choose to withdraw from the project. Participants will not encounter any adverse consequences should they choose to withdraw from the project.

17. Does the project involve withholding relevant information from participants or deceiving them about some aspect of the research?

No

If YES, what is the justification for this withholding or deception and what steps will be taken to protect the participants' interest in having full information about their participation?

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- 18. Will participants be paid or offered any form of reward or benefit (monetary or otherwise) for participation in the research? If so, please detail and provide a justification for the payment, reward or benefit.**

At UOW participants will receive a financial contribution of \$10,000 each to reduce their current workload in recognition of the time required to participate and complete their individual action learning projects. UTAS is providing equivalent workload release from current duties. All participants travel, accommodation, and food for the three day workshop will be provided. Participants will have a 10 hour research assistance allocation to support their project.

- 19. Confidentiality:
What measures will be taken to protect the privacy of individual subjects in terms of the test results and other confidential data obtained (both in recording the data and in its publication)?**

Information collected from participants will remain confidential and be published only with their consent. Information that might identify participants may be used ONLY with the permission of the participant.

- 20. Will information collected from data or interview be published?**

Yes

If YES, please indicate what form this will take (Please note that any further use of information which may identify a participant is conditional upon the participant's permission for such use):

Possible forms of publication include:

Project Report

Journal articles

Conference papers

Book chapters

Information that might identify participants may be used if permission has been granted by the participant for that use.

- 21. Will any part of the research activities be placed on an audiotape, film, photograph or video-tape?**

Yes

To what purpose will the audiotape, film, photograph or video-tape be used?

Interviews will be audio-taped (with permission) to provide data for analysis.

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For what audience(s) will the audiotape, film, photograph or video-tape be exhibited?
Audio data will be used for transcription and checking purposes only

22. **How will the data (including questionnaires, surveys, computer data, tapes, transcripts and specimens) be held securely, during and on completion of the project?**

The data will be stored securely in computer files on the Project Leader's computer and in a locked secure location in the Project Leader's office in CEDIR at the University of Wollongong. The data will be stored at this location for the duration of the project and on completion may be transferred to a secure storage location.

Please confirm that original data will be held securely for a minimum of 5 years (15 years for clinical research).

Yes

If NO, please give reasons why it would be unethical to store the data for this period.

23. **Does the project involve the use of invasive procedures (e.g. blood sampling) or the risk of physical harm or emotional distress?**

No

If YES, give details:

Explain how the risks of harm or distress will be minimised. In the case of risks of emotional distress, what provisions have been made for an exit interview or the necessity of counselling?

24. **Does this project involve obtaining information (e.g. data) of a private nature from any Commonwealth/State/Local Government Department or any other Agency, including health records from Area Health Services.**

No

If YES, which Department (s)/Agency?

Please include copies of any correspondence regarding permission to access this information from a responsible officer of the Agency and complete a Privacy Guideline Form (available from Ethics Officer).

25. **Does the research intend to determine whether illegal activity has occurred or anticipate that participants may reveal information about criminal activity ?**

No

If YES, how do you propose to respond to the legal issues raised?

26. **Period of Research Clearance Requested (Please specify as near as possible 'start' and 'finish' dates for the conduct of research):**

FROM: 01/11/2006.

TO: 31/12/2008

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27. Any research project that involves the collection of data should be designed so that it is capable of providing information that can be analysed to achieve the aims of the project. Usually, although not always, this will involve various important statistical issues. It is important that the design and analysis be properly planned in the early stages of the project. You should seek statistical advice. The University of Wollongong has a Statistical Consulting Service that provides such advice to research students and staff undertaking research.

Are statistical issues relevant to this project?

No

If so, have you discussed this project with the Statistical Consulting Service?

YES/NO

28. Does this project involve the collection or use of personal health information or information relating to the provision of a health service to an individual? This includes general information such as a gymnasium would collect as well as information collected for a medical purpose.
If so, you need to complete the Initial Application Form Part 2 – Privacy Addition for Health Information. For additional information regarding this please read the document ‘Health Records and Privacy Act’ and the NSW Privacy Commissioners’ Statutory guidelines on research. Both documents are available from the HREC webpage.

No

29. Comments. If you would like to make any comment about the application or the application process please do so.

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DECLARATION BY CHIEF INVESTIGATOR

I, the undersigned, have read the current National Statement on Ethical Conduct in Research Involving Humans:

<http://www.health.gov.au/nhmrc/publications/synopses/e35syn.htm>

and accept responsibility for the conduct of the research activities detailed in this application in accordance with the principles contained in the National Statement and any other conditions laid down by the University of Wollongong's Human Research Ethics Committee.

Chief Investigator's signature/s:

Date:

If the Chief Investigator is a student include:

Supervisor's signature:

Date:

Signature/s of other researcher/s: (The first named researcher will assume responsibility for the project in the absence of the Chief Investigator)

Date:

DECLARATION BY HEAD OF UNIT

As Head of Unit I have responsibility for ensuring that Occupational Health and Safety (OHS) issues surrounding research in the Unit are addressed.

(please tick all relevant boxes)

- I am satisfied that a general risk assessment for the research project addressed in this application has been completed adequately
- I will ensure that a risk assessment specific to this application will be completed prior to commencing the activities described in this application
- I will ensure that there exist appropriate mechanisms to address potential OHS issues that may arise and I have responsibility for implementing those mechanisms
- I will ensure that mechanisms exist for ongoing assessment of the OHS issues related to this research
- This research involves use of radiation, chemicals or biohazards. A Risk Assessment has been conducted and is attached to this application

Head of Unit's Signature.....Date.....

NOTE: RESEARCH MUST NOT COMMENCE UNTIL APPLICATION HAS BEEN FULLY APPROVED.
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CHECKLIST

Applications should be sent to the Ethics Officer, Human Research Ethics Committee, Office of Research, University of Wollongong, Northfields Ave, Wollongong NSW 2522

- _____ Original Ethics Application plus appropriate number of copies (See Guidelines)
- _____ Consent Form(s)
- _____ Participant Information Sheet/Package
- _____ Copies of Questionnaire(s)/Survey(s) or Interview Questions
- _____ Copies of all documents and other material used to inform potential participants about the research including advertisements and letters of invitation.
- _____ Evidence of permission to conduct research in locations not associated with the University of Wollongong
- _____ Evidence of approval/rejection by other HREC(s), including comments and requested alternations to the protocol
- _____ Any form requiring signature by the HREC (one copy)
- _____ For Clinical Trials : Application Form (original +14 copies), Patient Information Package (14 copies), Consent Forms (14 copies), Indemnity Form (14 copies), Protocols (14 copies), Advertisement (14 copies), Summary Sheet (14 copies), Budget (14 copies), Insurance information (if in Private Practice) (14 copies), Investigator's Brochure (5 copies), CTN or CTX Form (1 original copy)