RESEARCH ETHICS GOVERNANCE FRAMEWORK

Introduction

1. The purpose of this document is to promote awareness of ethical principles and ethical issues,clarify the rights and obligations of the staff and student body at University of Suffolk, and to outline the ethical framework for their consideration.

2. This framework applies to all subject areas and to all members of staff and students involvedin research at University of Suffolk including its staff and students conducting research outsidethe University as well as any persons not employed by the University but with permission to carry out research with the University. This Framework has been designed to encourage good conduct in research, assist researchers to meet legal and ethical requirements and help prevent research misconduct.

3. The principal ethical consideration should be to ensure the maximum benefit of the research whilst minimising the risk of actual or potential harm. Ethical procedures should seek to protect,as far as possible, all groups involved in research including participants, researchers and research teams, non-academic collaborative researchers (and organisations), funders and the wider public, throughout the lifecycle of the research. The research lifecycle includes the planning stage,

6. Each of these principles carries strong moral force, and difficult ethical dilemmas arise when they conflict. A careful and thoughtful application of the principles will not always achieve clear resolution of ethical problems. However, it is important to understand and apply the principles,because doing so helps to assure that people who agree to be research participants will be treated in a respectful and ethical manner. Nothing that is said in these principles and guidelines will absolve the responsibility of the researcher to act in accordance with the best interests of the participants.

7. These principles are to apply to research with human participants. They are intended to provide both the general principles and rules to cover situations encountered by researchers. They have as a primary aim, the welfare and protection of the individuals and groups with whom researchers work. It is the individual responsibility of each researcher to aspire to the highest possible standards of conduct in carrying out research.

8. Researchers should respect and protect human and civil rights. Some areas of experience and behaviour will be outside the reach of research for ethical reasons. These guidelines havebeen adapted from the ethical guidelines of a variety of professional and other bodies involvedin conducting research with participants. Research with a separate organisation will be dealt with by the relevant organisations' procedures,

responsibility for the approval of all research conducted at the University of Suffolk. This responsibility is subdelegated to Schools for all undergraduate and postgraduate taught student research, which may in turn devolve responsibility for approval as appropriate while retaining overall oversight of the process.

12. The schools should include an external lay member in the review of documentation and the discussion of ethical issues.

13. ln all cases of research, whether conducted by staff or students at the University of Suffolk, approval must be obtained prior to the commencement of the research from the relevant approval body.

14. Where research also requires approval from an outside body, for example, an NHS Research Ethics Committee, the research proposal shall be submitted for approval to such bodies. This will normally take place once it has been approved through the University of Suffolk procedures.

15. The schools will report to the University of Suffolk Research Ethics Committee and include asummary of their actions in relation to research ethics and any issues for consideration by the University of Suffolk Research Ethics Committee.

16. Where significant changes are subsequently made to a project it is the responsibility of staff members to ensure that further ethical review is sought. In the case of student projects, it is the responsibility of the student to bring changes to the attention of their supervisor and then (if required) the relevant review committee.

17. ln all cases researchers must consider the ethical implications of their research and the personal consequences for the participants in that research. ln conducting research, researchers should interfere with the participants or context from which data are collected onlyin a manner that is warranted by an appropriate research design and that is consistent with researchers' roles as academic researchers.

18. Researchers should recognise in terms of the participants that in a multicultural and multi-ethnic society with diverse religious belief and value systems, where investigations involve individuals of different ages, gender and social background, researchers may not have enough knowledge of the implications of any investigation for the participants.

Sanctions

19. Any deliberate or negligent breach of the University Ethics Policy, whether through omission, misdirection or fraud is a serious disciplinary matter. Significant breaches of this policy will be investigated under the relevant academic conduct regulations. Where an investigation finds that a breach has indeed occurred then the University will (in line with its contractual responsibilities) inform any relevant funders or professional associations. Additionally, where a breach concerns a staff member substantively employed elsewhere the University may pass the factual details of the case to the primary employer (this is specifically relevant to Clinical Staff with honorary/associate contracts).

Research potentially requiring ethical approval.

20. The following potentially requires ethical approval

a. Potentially vulnerable people, for example children and young people, those with a learning disability or cognitive impairment, or potentially vulnerable individuals in a dependent or unequal relationship.

b. People who lack capacity to make decisions or who during the research project come to lack capacity. Such research should be reviewed by an appropriate body operating under theMedical Capacity Act 2019.

c. Potentially sensitive topics, for example participants' sexual behaviour, illegal or political behaviour, experience of violence, abuse or exploitation, mental health, their personal or familylives, or their gender or ethnic status. Elite interviews may also fall into this category.

d. Deceased persons. Researchers should adhere to relevant legislation e.g., Human Tissue Act 2004 Human Tissue Authority and to the relevant NHS policy requirements for REC reviews.

e. Administrative or controlled data. Appropriate approval within the relevant governance regime(s) is needed for use of these datasets. In many cases a light-touch review confirmingthat researchers have met these requirements will be enough. Issues however may arise whendata are linked and where it may be possible to identify participants.

f. Individuals or groups where permission of a gatekeeper is normally required for initial or continued access to participants. This includes research involving gatekeepers such as adult professionals (e.g. those working with children or the elderly), or research in communities (in the UK or overseas) where access to research participants is not possible without the permission of another adult, such as another family member (e.g. the parent or husband of the participant) or a community leader, and research where participants are in a dependent relationship with the gatekeeper (e.g. employees recruited through their workplace). Permission for access to other Ethical Framework for conducting research with humans and animals may also need to be requested from a data producer who controls

access to the group.

g. Justified deception or research conducted without participants' valid and informed consent at the time the study is carried out. It is recognised that there are occasions when the use of covert research methods is necessary and justifiable, and consent may need to be managedat a point beyond the completion of research fieldwork.
h. Access to records of personal or sensitive confidential information, including genetic or other biological information, concerning identifiable individuals.
i. Intrusive interventions or data collection methods, for example the administration of substances; vigorous physical exercise; or techniques where participants are persuaded to reveal information which they would not otherwise disclose during everyday life. Also, researchwhich would or might induce psychological stress, anxiety, or humiliation, or cause more thanminimal distress.
j. Risk to the safety of the researcher, for example researchers working in the field and international research assistants

a. Choice: The researcher should always provide participants with clear choices about the content of their work including the right to withdraw from part or all of project activities.
b. Creativity: Creativity is the essence of participatory photography projects. The creative space needs to be protected and respected for projects to flourish.
c. Partnership: The researcher understands their participants needs; can provide ongoing support to participants throughout the project; and that is committed to the participatory process.
d. Cultural Sensitivity: Ensure that all projects are culturally sensitive and appropriate (trained photographer to use locally relevant images; use culturally sensitive codes of behaviour and language in workshops; and be sensitive to local customs around image content and image taking).
e. Ownership: Many projects culminate in a public or targeted exhibition of participanpad(in)Tj7ar7ar0 Tc 0

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and security.

40. Researchers should consider how data will be gathered, analysed, and managed, andhow and in what form relevant data will eventually be made available to others, at an early stage of the design of the project.

41. Researchers should collect data accurately, efficiently, and according to the agreed design of the research project and ensure that it is stored in a secure and accessible form.

Incentives for participation in Research

Payments for research volunteers

42. The guidance for using incentives for participation in research is provided to support researchers in adopting best practice when using incentives for research participants. Principal Investigators conducting research involving human participants have a responsibility to treat participants fairly and withrespect. Research participants may be reasonably remunerated for their time, expenses and potential inconvenience while participati2.6 cwed for

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45. Researchers should never deceive research participants about significant aspects that would affect their willingness to participate, such as physical risks, discomfort, or unpleasant emotional experiences.

46. Any other deception that is an integral feature of the design and conduct of an experiment must be explained to participants as early as is feasible, preferably at the conclusion of their participation, but no later than at the conclusion of the research.

Withdrawal from the study

47. At the outset of the study researchers should make it clear to participants that they have the right to withdraw and stipulate clearly when they can withdraw from the study and withdraw their data.

48. In the light of the experience of the research, or because of debriefing, the participants have the right to withdraw retrospectively any consent given, and to require that their own data, including recordings, be destroyed.

49. Researchers must take measures to honour all commitments they have made to research participants.

Protection of participants

50. Researchers have a primary responsibility to protect participants from physical or mental harm during the investigation. Normally the risk of harm must be no greater than in ordinary life i.e., participants should not be exposed to risks greater than or additional to those encountered in their normal lifestyles. Participants must be asked about any factors in the procedure that may create a risk, such as pre-existing medicalconditions, and must be advised of any special action that they should take to avoid risk.

51. During the research, a researcher may obtain information about, or evidence of physical, medical, or psychological problems of which the participant is unaware. In such a case, the researcher has a duty to inform the participant if the researcher believes that by not so doing, the participant's future well-being may well be endangered.

52. If during the research a participant solicits advice or help from the researcher, caution should be exercised. If the issue is serious, and the researcher is not qualified to offerhelp, then

the appropriate source of professional advice should be recommended.

53. Participants should be informed of procedures for contacting the researcher within a reasonable time following participation, should stress, potential harm, or related questions, or concerns arise despite the precautions required by these principles and guidelines. Where research procedures might result in undesirable consequences for participants, the researcher has the responsibility to detect and remove or correct these consequences.

54. Where research may involve behaviour or experiences that participants may regard as personal and private, the participants must be protected from stress by all appropriatemeasures, including the assurance that answers to personal questions need not be given. There should be neither concealment nor deception when seeking information that encroaches on this privacy.

55. ln conducting research with children, great caution should be exercised when discussing the results with parents, carers, en.edn72 0 Td[(w 0.,)(r)-6 ores2611.4 (at)] Tcnforcond nv(c)-2 (c)-2 (cw 0.2e

Procedures) Act 1986 - ASPA - regulates experimentation that is likely to cause distress to non-human animals. Persons and institutions performing defined procedures under licenses (issued by the Home Office) are immune from prosecution under the animal cruelty laws. To obtain a license a range of home Office requirements must be met. Researchers must be trained, and premises must be constructed and maintained to high standards. Home Office inspectors can advise on whether a license is needed. Details of the law on scientific researchand testing involving animals, and guidance on applying for licenses may be found on the Home Office Website.

b. Replacement, reduction, and refinement will be sought wherever possible: This means that University of Suffolk staff and students will show a respect for all life forms. Under this well- established principle, replacement means that more sentient species should be replaced by less sentient species or by non-animal alternatives wherever possible. Reduction means that the minimum number of animals should be used (usually achievable by careful experimental design and statistical analysis).
c. Husbandry of all non-human animals must show compliance with defined welfare standards.The very public nature of any educational establishment means that confusion must not arisebetween husbandry practices and experimental procedures. University of Suffolk will respondto any concern about the welfare of the non-human animals in its care: Given the sensitivity of research into animals other than humans, University of Suffolk staff and students or members of the public with concerns about the welfare of non-human animals at University of Suffolk will be able to raise these concerns directly with the Research Ethics Committee.

Procedures

75. Researchers should list the work of all contributors who do not meet the criteria for authorship in an acknowledgements section.

76. Researchers must clearly acknowledge all sources used in their research and seek permission from any individuals if a significant amount of their work has been used in the publication.

77. Researchers must adhere to any conditions set by funding or other bodies regarding the publication of their research and its findings in open access repositories within a set period.

78. Researchers should declare any potential or actual conflicts of interest in relation to their research when reporting their findings at meetings or in publications.

79. Researchers should be aware that submitting research reports to more than one potential publisher at any given time (i.e., duplicate submission) or publishing findingsin more than one publication without disclosure and appropriate acknowledgement of any previous publications (i.e., duplicate publication) is unacceptable.

80. Researchers who are discouraged from publishing and disseminating their research orits findings or subjected to attempts to influence the presentation or interpretation of findings inappropriately, should discuss this with the appropriate person(s) in their organisation so that the matter can be resolved.

Useful Links

- ARMA and UKRIO, 2020. Research Ethics Support and Review in Research Organisations [online]. Available from: https://ukrio.org/publications/
- Code of Practice for Research: Publication and authorship.
- NHS Health Research Authority et al., 2020. UK Policy Framework for Health and Social Care Research [online]. Available from: https://www.hra.nhs.uk/planning-and-improving research/policies-standards-legislation/uk-policy framework-health-social-care-research/
- Royal Society and UK Research Integrity Offices, 0[illegible]

- Universities UK et al., 2019. The Concordat to Support Research Integrity [online]. Available from: https://www.universitiesuk.ac.uk/policy-and_analysis/reports/Pages/the-concordat-for-research integrity.aspx
- Vitae, 2019. The Concordat to Support the Career Development of Researchers [online]. Available from: https://www.vitae.ac.uk/policy/concordat