



Senate

Paper Title	Proposed Queen Mary Policy on Research Integrity
Outcome requested	A new QM policy on research integrity is being developed under the auspices of the Ethics of Research Committee. Senate is invited to comment on the attached draft policy (annexe A) to input to its development. The final draft will be put to Senate for approval at its meeting in June 2014.
Points to note and further information.	<p>The Ethics of Research Committee is developing a new QM policy on research integrity. It will incorporate the existing research ethics policy concerning all research involving human participants and materials derived from human participants. There is no substantial change to the policy on research with human participants. The impetus for the development of the policy on research integrity comes from a number of sources: in the external policy environment the publication of the new national Concordat to Support Research Integrity has been endorsed by the UK Research Councils and other funding bodies, and by HEFCE; internally Senate approved the broadening of the remit of the committee leading to a change to its name (formerly the Research Ethics Committee) and terms of reference. The committee's terms of reference now include oversight responsibility for ethical standards in all aspects of research.</p> <p>It is proposed that there should be an overarching statement of general principles (this is Part A) and that a suite of sub-policies will be developed over time to address particular topics linked to integrity in research, or other existing research policies will be referenced from the policy through web links. For example, part B shows the draft sub-policy for research with human participants. Other relevant policies that will be linked to include the policies on intellectual property, research data access and management, and research misconduct.</p>
Questions to consider.	The committee welcomes Senate's comments on the attached draft policy on research integrity annexed at A.
Regulatory/statutory reference points and links to College strategy.	<ul style="list-style-type: none"> • QM policy on research ethics involving human participants • QMERC Terms of Reference June 2013 • QM Strategic Plan 2010-2015 • The Concordat to Support Research Integrity (Universities UK). This provides a national framework for

	<p>good research conduct and its governance. Institutions in receipt of research grant from HEFCE are required to provide assurance of their compliance with the Concordat through the annual assurance return to HEFCE and following any other guidance that the Council may provide.</p>
Strategy and Risk	<p>HEFCE has confirmed that compliance with the concordat to support research integrity is now a condition of HEFCE grant funding, and compliance will be monitored. QM must be able to demonstrate full compliance with the Concordat with effect from 2014-15. The Ethics of Research Committee and Vice-Principal's Research Advisory Group have decided that a Task and Finish Group should carry out a mapping exercise to demonstrate how QM meets the commitments in the concordat and to identify action that may be needed. The development of this policy and its implementation contribute to QM's actions to ensure compliance with the concordat.</p>
Reporting/consideration route (if applicable)	<p>Senate's comments will be incorporated into the draft policy as appropriate. The revised policy will then be discussed at the Vice-Principal's Research Advisory Group and reconsidered by the Ethics of Research Committee at its next meeting on 12 March 2014. The final draft of the policy will be presented to Senate at its meeting on 12 June 2014 with a summary of the outcomes of the Concordat mapping exercise. At this point Senate would be asked formally to adopt the commitments of the concordat.</p>
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Sponsor (if applicable)	<p>Elizabeth Hall, Chair, Ethics of Research Committee Vice-Principal (Research)</p>

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DRAFT FOR DISCUSSION

Proposed Queen Mary Policy on Research Integrity

PART A - Overarching Policy / Statement of General Principles

Queen Mary is committed to producing and promoting high quality research which is conducted according to the highest standards of integrity. To support these aims, in all fields of research, Queen Mary has adopted the commitments of the UUK "Concordat to support research integrity"¹ which are:

- Maintaining the highest standards of rigour and integrity in all aspects of research;
- Ensuring that research is conducted according to appropriate ethical, legal, and professional frameworks, obligations, and standards;
- Supporting a research environment that is underpinned by a culture of integrity and based on good governance, best practice, and support for the development of researchers;
- Using transparent, robust, and fair processes to deal with allegations of research misconduct should they arise;
- Working together to strengthen the integrity of research and to reviewing progress regularly and openly.

These commitments form an integral part of Queen Mary's ethical policy framework which underpins its mission and values. These are set out in the Queen Mary strategy [*text will be added here relating to the new strategy*]

All Queen Mary research policies require that ethical risks should be minimised; risks should be appropriately and adequately managed where they cannot be eliminated.

Research must be demonstrably independent.

Conflicts of interest should be avoided; if a conflict cannot be avoided, it should be clearly declared to all those involved in the study, its publication, and any work resulting from it.

The Queen Mary Ethics of Research Committee has been authorised by Senate to advise on all research policies, to oversee their ethical content, and to provide advice on ethical and related issues arising from their implementation. This includes training of researchers, data management, research misconduct, discrimination, confidentiality, and acceptance of funding.

The Senate has granted authority to the Queen Mary Ethics of Research Committee to establish criteria, processes, and procedures to enact this policy and to grant approval to research according to its terms.

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<http://www.universitiesuk.ac.uk/highereducation/Pages/Theconcordattosupportresearchintegrity.aspx#.UpN4tdJSgqo>

When the policy is returned to Senate for approval, Senate will be asked formally to adopt the commitments of the Concordat to Support Research Integrity.

PART B – Sub-policies

Note. It is proposed that a suite of sub-policies will be developed over time to supplement the overarching statement of general principles in Part A. These sub-policies will address particular topics linked to integrity in research, and other existing research policies will be referenced from the policy through web links. For example here, part B shows the draft sub-policy for research with human participants (largely unchanged from the existing statement). Other relevant policies that will be linked to include the policies on Intellectual Property, Research Data Access and Management, and Research Misconduct.

Example sub-policy

Research with human participants

All research involving human participants must have ethical approval. The Ethics of Research Committee is responsible, under authority delegated by Senate, for approving the ethical standards of research involving human participants or materials derived from human participants. All such projects throughout Queen Mary should be submitted to the Committee for approval, except those research studies which fall within the remit of the NHS Research Ethics Committee, or similarly specialist committee such as that covering social care.

Research must be conducted with honesty, integrity, and due care for the rights of participants and researchers. Ethical requirements include:

- That participants are treated with care, dignity, and compassion at all times;
- Research should not be intrusive nor otherwise compromise the integrity of the participants or those related to them, or their physical or emotional environment;
- Any incentives offered should not be such as to influence a potential participant to do anything which would be contrary to their best interests;
- Specific permission to make the research enquiries should be obtained and recorded unless it would be unreasonable to do so; that permission should cover the research methodology, the content of the enquiries, and the evidential handling of the research data or findings;
- The research aims and methodology should be clearly and comprehensively explained in writing to each participant at the initial approach, and the participant's written consent must be obtained and should be worded accordingly;
- Anonymity if promised must be safeguarded at all times, as must confidentiality: if the research requires that responses will not be confidential the participant's agreement to this must be specifically and clearly recorded;
- Proposed use of the research material must be clearly stated, including possible publication and the form such publication might take;
- Research with people under the age of 17, and those who may not be able to give informed consent, must only be carried out with the consent of a parent or guardian (unless there are exceptional circumstances which must be approved)²;
- Research with children or any vulnerable groups must be conducted with the guidance and supervision of expert intermediaries.

The Senate has granted authority to the Queen Mary Ethics of Research Committee to establish criteria, processes, and procedures to enact this policy and to grant approval to research according to its terms.

² The age specified in this point is subject to further consideration.