



Senate

Paper Title	Ethics of Research: new policies on Research Integrity and Research with Human Participants
Outcome requested	Senate is asked to consider and approve the above policies.
Points for Senate members to note and further information	<p>The Ethics of Research Committee has prepared the attached new policy on research integrity (annexe A) and has reviewed its policy concerning research involving human participants (annexe B). These two policies will replace the existing Queen Mary policy on research ethics in the QMUL and Barts Health NHS Trust joint Research Management Policies Handbook available on the ARCS Policy Zone and at http://www.bartshealth.nhs.uk/research/strategy-and-policy/research-policies/</p> <p>The impetus for the revision to the existing QMUL policy on research ethics comes from several sources. Senate approved the broadening of the remit of the Ethics of Research 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. In the external policy environment the new national Concordat to Support Research Integrity has been endorsed by HEFCE, the UK Research Councils and other funding bodies. HEFCE requires compliance with the concordat to support research integrity as a condition of grant funding.</p> <p>The new Research Integrity Policy provides an overarching statement of general principles, and makes clear that Queen Mary adopts the principles of the Research Integrity Concordat. Other QMUL research policies address particular issues linked to integrity in research, such as the policies on intellectual property, research data access and management, and research misconduct. These policies will be linked together through the research ethics webpages.</p> <p>For the new policy concerning research involving human participants (annexe B), the main elements in the current QMUL Policy on Research Ethics have been retained, and the main change is to provide more direction on the form of consent required for research with children and young people. The new guidance is divided into two age groups based on guidance from the National Children's Bureau.</p> <p>Senate was previously invited to comment on earlier drafts of the policies at its meeting on 5 December 2013 (paper SE2013.27 refers).</p>
Questions for	Senate is asked to consider and approve the policies, and to

Senate to consider.	<p>adopt formally the commitments of the Concordat to Support Research Integrity set out in the policy on research integrity.</p> <p>Senate is asked to note that the research integrity policy makes reference to the new statement of QMUL values recently approved by Council.</p>
Regulatory/statutory reference points and links to College strategy.	<ul style="list-style-type: none"> • QMERC Terms of Reference • QMUL Strategic Plan 2014 Aims and Objectives http://connect.qmul.ac.uk/docs/Governance/future/132969.pdf • The Concordat to Support Research Integrity (Universities UK). This provides a national framework for good research conduct and its governance.
Strategy and Risk	<p>HEFCE requires compliance with the Concordat to Support Research Integrity as a condition of grant funding. Compliance is monitored through the annual assurance return to HEFCE. Institutions must be able to demonstrate full compliance with the concordat with effect from 2014-15. The development of the new research integrity policy and its implementation contribute to QMUL's actions to ensure compliance with the concordat.</p>
Reporting / consideration route (if applicable)	For approval by Senate.
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Sponsor (if applicable)	Ms Elizabeth Hall, Chair, Ethics of Research Committee Vice-Principal (Research)

Senate
POLICY FOR APPROVAL

Queen Mary Policy on Research Integrity

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 approach to the ethical conduct of research, its mission and values. The Queen Mary Strategy and the statement of our values are published at [*weblink to be inserted*].

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>

Senate

POLICY FOR APPROVAL

Queen Mary Policy on 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 other such recognised bodies.

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, methodology and risks, and the approach to data management, 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;
- Research data should be managed in compliance with the QMUL Research Data Management Policy;
- Proposed use of the research material must be clearly stated, including possible publication and the form such publication might take.
- Research with children and young people
 - (i) Research with children and young people under the age of 16, and those who may not be able to give informed consent, should only be carried out with the explicit assent of a parent or guardian and with the consent of the child, unless there are exceptional circumstances which must be approved by the relevant QMUL Ethics of Research Committee;
 - (ii) Researchers working with young people aged 16 years and under 18 years should consider the potential risks involved in participating in the research. Research proposals should include an assessment of the environment in which the research is being carried out and any potential risks to participants in order to determine whether assent should be obtained from a parent or carer as well as the consent of the participant. For particularly vulnerable 16–18 year olds (for example if they have a learning disability) and those who may not be able to give informed consent, or if the research is on an exceptionally sensitive or troubling topic, it may be appropriate to consider if parental assent should be sought.

- (iii) Research with children or any vulnerable groups must be conducted with the guidance and supervision of expert intermediaries, and should be conducted in line with relevant external safe-guarding policies.

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.