# SALC Research Ethics training
## For: Staff, PGR, PGT and UGT

# Aims of today:

- To increase awareness of research ethics principles

- To encourage connections between your research projects and internationally recognised principles of research ethics

- To offer guidance on School and University research ethics procedures

'Research ethics is a world-wide set of principles governing the way any research involving interaction between the researcher and other humans or human tissue or data relating to humans, is designed, managed and conducted. In preparing a research project, the dignity, rights, safety and well-being of human participants must at all times be considered, respected and safeguarded'

**University of Manchester Research Ethics Committee (UREC)**

All projects conducted by University staff or students that involve human participants in a way that might harm, disturb or upset them (however slight the possibility) or where they can be deemed to be in a vulnerable or disadvantageous situation, must receive approval from a recognised research ethics committee.

**UREC**

# An ethics committee will assess whether:

- the research is justified, i.e. is the research likely to add to the existing knowledge base;
- it is of sufficient standard - including whether the researchers are qualified to carry out the roles proposed;
- the risk it poses to participants is outweighed by the potential benefits of the research?;
- the research appears to comply with all statutory and other guidance;
- data management and handling appears to comply with the relevant legislation;
- financial arrangements appear sound.

Autonomy

Beneficence

Non-maleficence

Confidentiality

Integrity

# In practice -

What is the research and why is it important?

Who is involved?

What are you asking people to do?

What are the ethical issues involved?

How will you manage these?

# Nuts and bolts

## Applying for ethical approval

# Steps in the process …

1.  Develop research proposal (with supervisor, if appropriate) – research questions, rationale, significance, who is going to be involved and how? Ethical issues?

2.  Decide - what level of review do I need?

3.  Complete an application via the University's online system, appropriate to the level of review required ('Ethical Review Manager' – ERM) (Use GDPR compliant PIS and consent forms if written consent is to be gathered)

4.  Submit for review – to supervisor, School or UREC – depending on level of risk

# What level of review do I need?

- Low risk – reviewed by supervisor/tutor and checked for GDPR compliance by School Research Ethics Committee
- Medium risk – review by School Research Ethics Committee
- High risk – reviewed by University Research Ethics Committee

**NOTE – ALL STAFF APPLICATIONS ARE REVIEWED BY THE UNIVERSITY RESEARCH ETHICS COMMITTEE, REGARDLESS OF LEVEL OF RISK**

# Low risk

The research engages healthy adults or children (in an accredited setting such as a cultural institution, school or youth club and accompanied by a carer or professional with a duty of care), who are able to give informed consent in a way that accords with accepted practice. The research follows standard procedures and established research methodologies, is carried out online or in a public setting that does not present risks to the researcher or research participants beyond what is normal in that setting, and does not require research participants to provide personal and sensitive information likely to compromise them, or to lead to distress **(the research topics are not contentious or sensitive, such as asking about religious beliefs, sexual preferences, political views or illegal activities, or a reasonable person would agree the topic may only result in distress in _extremely rare_ instances).**

**Student projects** deemed to be of **low ethical risk** require only the approval of the supervisor, but still need to be submitted via ERM.

# Medium risk

The research engages adults and children (**in an accredited setting** such as a cultural institution, school or youth club and **accompanied by a carer or professional with a duty of care**), follows standard procedures and established research methodologies, is carried out in a public setting that does not present risks to the researcher or research participants beyond what is normal in that setting, and does not require research participants to provide personal and sensitive information likely to lead to significant levels of distress (**the research topics are either not contentious or sensitive, or a reasonable person would agree the topic is of legitimate interest and may result in distress in _rare_ instances**).

**Medium risk applications are reviewed at School level.**

# Example 3: Why would this research project need to be assessed by the SALC Ethics Committee?

**Women and liberation theology in India** (PhD project)

*The research explores attitudes to women within liberation theology in India. 20 scholars in liberation theology working at reputable religious and educational sites across India, known for their work in this area, are invited to take part in recorded interviews exploring how contextual realities like caste, class, gender, and rights have influenced attitudes to women, and how new theoretical insights can help develop the recognition of women's rights in India.*

# High risk

**High risk:** The research focuses on groups within society in need of special support, is carried out in an unstable or volatile setting, involves non-standard methodologies or approaches, presents risks to the personal safety of the researcher or research participant beyond what is normal in the setting, or where there is a possibility the research may be distressing to the researcher or research participant in one or more ways.

High risk applications are reviewed by the University Research Ethics Committee (UREC) after initial screening at School level.

# Example 1: Why would this research project need to be assessed by UREC?

**Texts of 'refugee-ness'** (MA Dissertation)

*The research explores how contemporary understandings of the 'refugee experience' are produced by a range of circulating discourses. It compares the construction of the refugee experience in government policy and procedural discourse (via the analysis of legislation and procedural texts produced by government agencies), fictional narratives (in literature and poetry), and first-hand narratives gained via interviews with refugees in Manchester. The researcher intends to carry out in-depth narrative interviews with up to 10 asylum seekers currently being supported by Refugee Action as part of the research.*

# Example 2: Why would this research project need to be assessed by UREC?

**Performance in a place of war** (PhD project)

*Youth music networks in the Palestinian Territories: the research explores a network of young musicians in the Palestinian Territories, documenting and understanding how musicians are using independent music to confront and counter narratives of war in communities. The researcher intends to carry out an ethnographic study of the network, spending up to 6 months in the Palestinian Territories and engaging in interviews and observations of their practice.*

# Is my research low or medium risk?

Low risk research, typically –

- Does not focus on contentious or sensitive topics
- Does not involve collection of personal or sensitive data
- Focuses on professional practice/professional roles
- Takes place within normal working hours and in a public setting
- May involve the collection of photographs or videos of participants, but only where the researcher can guarantee controlled access to authorised viewing

# Example 4: How does this comply with the low ethics risk guidelines?

**Kinaesthetic learning in the museum** (MA Dissertation)

*The research explores a new approach to kinaesthetic learning tested out in collaboration with education teams at three museums. The researcher observes 15 groups of parents and children taking part in a 20-minute creative object-handling session in 3 museums. The researcher carries out 10-minute interviews following the session with parents and children asking for their reflections on the experience. Children are also asked to draw a picture that shows what they were thinking about and feeling during the session.*
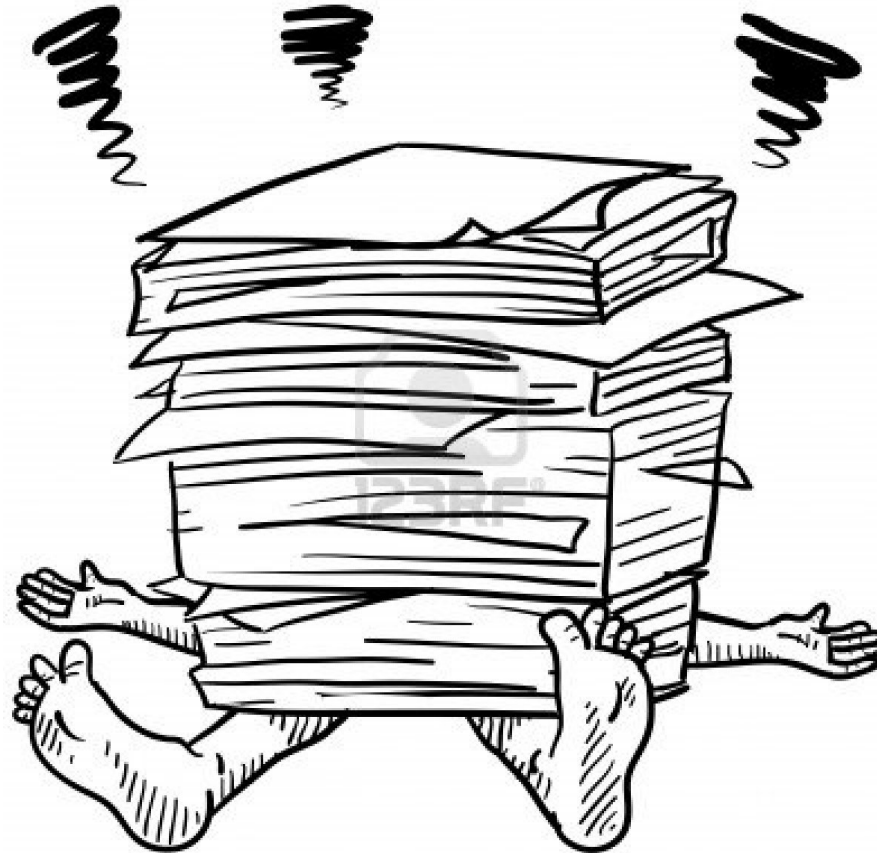
# Exercise: What risk level is your research?

Discuss with your neighbour:

• Your research proposal

• whether the questions and topics you are exploring are contentious or sensitive

• whether you will need to involve human subjects who may be from vulnerable groups

• the settings and methods of your research

• the potential risks to you as researcher

Is the category: HIGH, MEDIUM, LOW?

If you are in any doubt about the level of risk, please email salc.ethics@manchester.ac.uk

# The application process

ALL applications are now made via the 'Ethical Review Manager' (ERM) – the University's new online system for processing applications

[https://submission-ethicalreview.manchester.ac.uk](https://submission-ethicalreview.manchester.ac.uk)

(University log in required)

# test1                                    **1107** ?

| Form Status | Review Reference | Date Modified |
|---|---|---|
| Not Submitted | N/A | 17/02/2017 15:06 |

☑ Show Inactive Sections

# Ethics Application

| Section | Questions |
|---|---|
| Filter Questions | START HERE A0-3  A4-5 |
| Contact Information | B1-2 |
| Insurance Questions | C1-5 |
| General Information | D1-5 |
| UREC Questions | E1-3  E4  E5  E6  E7-8  E9-10  E11-14  E15-23  E24-25  E26-29  E30-37  E38-40  E41-47  E46-48  E49-52  E53 |
| Centre for Occupational and Environmental Health | G1-10  G11-18  G19-25  G26-28  G29-34  G35-37  G38-43  G44 |
| School of Computer Science | K1-6  K7-8  K9-10  K11-17  K18-22  K23-26  K27-33  K34-36  K37 |
| Shared Template for School Review | L1-3  L4-13  L14-18  L19-23  L24-28  L29-34  L35-36  L37-38  L39-40  L41-42  L43  L44 |
| School of Mechanical, Aerospace & Civil Eng | N1  N2-5  N6-10  N11-15  N16-17  N18-19  N20-24  N25-28  N29-30  N31  N32 |
| Psychology Research | P1-4  P5-7  P8-12  P13-22  P23-26  P27  P28 |
| Eurolens Research, Optometry | R1-4  R5  R6-9  R10-13  R14-18  R19-22  R23-26  R27-33  R34-41  R42-43  R44-46  R47-51  R52  R53 |
| Required Signatures | S1 |

## Decision Tree

A4.  I confirm that this research project is being conducted by a:

- ◉ Student
- ○ Member of Staff
- ○ Member of Eurolens Research, Optometry Staff

**IMPORTANT:** Your answer to **Question A5** will lead you to the correct application form for ethical review and it is important that you answer this question carefully.

Please ensure you read the guidance notes carefully **BEFORE** answering this question and for student projects, discuss the details with your supervisor.

*The guidance notes can be found in the Help Bubble (small blue circle with the white letter 'i') to the right of Question A5.*

Answering this question incorrectly will result in **SIGNIFICANT** delays to the review process and will result in you needing to **re-apply** for ethical review.

A5.  Please select how you will be applying for ethical review:
- ◉ Division/School Review
- ○ University Research Ethics Committee (UREC) Review
- ○ University Research Ethics Committee (UREC) Review-Eurolens Research ONLY

IMPORTANT: You have indicated that you are seeking ethical approval by Division/School review. Please note that **ONLY** the following Divisions/Schools currently have a template for the review of low/medium risk projects (with any restrictions listed in brackets):

- Alliance Manchester Business School
- Centre for Occupational and Environmental Health (students **only**)
- Division of Human Communication, Development & Hearing (students **only**)
- Division of Neuroscience & Experimental Psychology (students **only**)
- Division of Pharmacy & Optometry: Pharmacy (students **only**)
- Division of Psychology & Mental Health (students **only**)
- School of Arts, Languages and Cultures (students **only**)
- School of Computer Science
- School of Environment, Education and Development (students **only**)
- School of Law (students **only**)
- School of Mechanical, Aerospace and Civil Engineering (students **only**)
- School of Social Sciences (students **only**)

If your Division/School is not listed above, you **MUST** seek ethical review via **UREC**. In addition, if you are a member of staff you **MUST** seek ethical review via **UREC unless** you are from the Alliance Manchester Business School or the School of Computer Science.

If the above is correct and you wish to continue with the answer selected, please click the **Next** button in the upper left hand corner of the screen. Otherwise, please change your answer to **Question A5** before continuing.

# Selecting 'University Research Ethics Committee Review' will take you to the UREC form (questions B,C D and E1 – 53):

- Research question
- Academic justification
- Details of what you are going to do – interviews, focus groups, questionnaires, other
- Numbers of participants and recruitment processes
- Key questions (E11 and E12) – 'What do you consider to be the main ethical issues which may arise with the proposed study?' & 'What steps will be taken to address the issues raised in the question above?'
- Procedures for informed consent
- Risks and safeguards
- Data management
- Reporting and dissemination
- Conflict of interest/funding

For low/medium risk projects, select 'Division/School Review' (at A.5) - this will take you to general and insurance questions. Under D5.2 – which asks for your School/Division – select 'School of Arts, Languages and Cultures'

# Ethics Application

## SALC ethics form (questions L1 – 44)

**Project Specification: L1-3**

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**WARNING**: You are now completing the ethical review form for the **School of Arts, Languages and Cultures (SALC)**. If you are not affiliated with **SALC**, then please return to **Question D5.2** and select your correct Division/School from the list of options.

**Please note:** This template allows SALC to provide ethical approval for research projects that comply with its terms and conditions.

It should **only be used** for **low and medium risk** research projects conducted by **undergraduate students, postgraduate taught students and postgraduate research students**. If you are conducting a **high risk** research project, you must submit go to the **University Research Ethics Committee (UREC) for review**.

If you are a member of **SALC staff** you **must** submit your research project to the **University Research Ethics Committee (UREC)** for review.

**This form covers research that:**

- Involves only participants who are non-vulnerable adults able to give informed consent
- Involves children and young people in an educational setting/accredited organisation who have an opportunity to assent and where parental/guardian consent can be provided
- Will obtain informed consent (or assent) from all participants
- Does not involve physically invasive procedures
- Does not involve activities that pose a significant risk of causing physical harm or more than mild discomfort
- Does not involve activities that pose a significant risk of causing psychological stress or anxiety
- Does not require participants to take part in activities that pose a significant risk of having an adverse effect on their personal well-being (e.g. physical and psychological health), social well-being (e.g. social standing, social connectedness) or economic well-being (e.g. employment, employability, professional standing)
- Does not involve collecting or revealing data that enables individuals, groups or organisations to be identified in such a way that they could experience significant negative effects on their personal, social or economic well-being
- Does not involve activities that pose a significant risk of harming the researcher(s)

**This form does not cover** research that:

- Involves data from NHS patients
- Involves data relating to NHS staff that is not limited to non-sensitive questions about their professional role
- Involves users of other UK Health Department services
- Involves prisoners or young offenders

\* Please confirm the following:

☐ I declare that this project is being conducted by a student under the supervision of a University of Manchester member of staff.

L1. Please provide the name of your discipline area:

[                                                                ]

# Question L3

L3.  Please clarify whether your project or study is classed as low or medium risk:

*Please see the Help Bubble to the right of this question for detailed information about medium and low risk research projects.*

- ○ Medium Risk
- ○ Low Risk

# Low risk template

Research question

Academic justification

Number of participants

Fieldwork and risk assessment (see below)

Tick box lists to confirm low risk nature of the research

Fewer questions, quicker and easier to fill out

# Medium risk template

The key sections are the same as the UREC (high risk) form but with more pre-written answers and tick box lists.

Key question – L20

**What do you consider to be the main ethical issues raised by the methodology and how will you address them?**

Consider –

•how you will communicate information about the study, so that your participants can give 'informed consent' – think about the clarity and comprehensive of the participant information sheet

•How you will recruit participants in way that they do ot feel coerced to participate

•How participants will engage in the research at a place and time that is convenient.

•The limits of confidentiality/anonymity involved

•How you will use and store personal data – you must make sure storage of data is compliant with University regulations!

READ: http://www.staffnet.manchester.ac.uk/services/rbess/governance/data-management-and-protection/

•Issues of researcher and research participant safety

# Supporting documentation (not all documents are needed for all projects)

1. Risk assessment. Template available on https://www.alc.manchester.ac.uk/student-intranet/support/research-ethics/

2. Participant information sheet (PIS) – **MUST be GDPR compliant!** Template available on https://www.alc.manchester.ac.uk/student-intranet/support/research-ethics/

3. Consent form for participants - **MUST be GDPR compliant!** Template available on https://www.alc.manchester.ac.uk/student-intranet/support/research-ethics/

4. Consent letters from third parties

5. Additional documents (e.g. questionnaires, interview questions, invitation letter to participants, advertisements)

# Risk and risk assessments – key areas

- Causing offence (issues of access/ inclusion; discussing topics that may provoke strong responses)
- Lone working
- Working in private residences
- Working in international sites
- Health and safety

# The risk assessment …

- Any research conducted off-campus requires a risk assessment, whether or not your research involves human subjects

- There are two LOW risk assessment templates available on the SALC ethics website – one for UK 'Generic Risk Assessment Form A'), one for international projects ('Generic Risk Assessment Form A=B' . Please read these and highlight sections relevant to your research. Upload the risk assessment to your online application.

- IMPORTANT NOTE: You may need to add to the risk assessment any particular risks associated with the location or nature of your research that are not already covered by the form.

If your research takes place in countries on the list that the FCO advises against 'all or all but essential travel to' you must apply through UREC.

http://www.alc.manchester.ac.uk/studentintranet/research/researchethics/ (log in required – scroll down for the risk

# Participant information sheet and consent form …

You will find a template for your PIS/consent form that you can tailor to your project's specifications on the UREC website. **These must be GDPR compliant**

**You can find GDPR compliat templates on this page:**

https://www.alc.manchester.ac.uk/student-intranet/support/research-ethics/

•The document has been designed for you to communicate clearly to your participants the answers to key ethical issues that may concern them.

•No personal personal mobile numbers or emails should be included, only university contact details.

•Not all categories are required (e.g. delete the subheading and text related to Criminal Record Checks if you will not be working with unsupervised children or vulnerable adults).

# Letters from third parties and additional documents

- If you are conducting research within an external institution or a private company you will need to verify that you have their approval to do so.

- If you are conducting questionnaires or interviews, or if you are advertising for participants, these documents need to be approved by a committee (UREC or SALC) or by your supervisor.

- We realise that sometimes these will not be finalised at the time of application - near-complete drafts can be approved (although substantial changes will require further approval).

# Final pointers …

# Data Management (D3.3)

All research projects now have to have a data management plan - outlining the storage and life cycle arrangements for any data collected

http://www.library.manchester.ac.uk/using-the-library/staff/research/services/research-data-management/

## When filling in the form:

- Be succinct – short, clear answers are more effective than long explanations. Don't cut and paste wholesale from research proposals …

- Make sure your application makes sense to an interested layperson – avoid technical terms and jargon

- Be pragmatic – we need to know what you are going to do, why, with whom, when and where (we don't need extended critical or theoretical explanation, however interesting this is!)

- PGR/PGT – you need supervisor approval prior to submission, and supervisors should help you draft the application

# What happens after submission?

Low risk – supervisor review and approval, and checked for GDPR compliance by School Ethics Committee – reviewed within 15 working days of submission to ERM.

Medium risk – School ethics committee will review and respond within 21 working days. The applicant will receive an email either confirming approval or asking for amendments

High risk - UREC will invite the applicant to a committee meeting to discuss queries arising from the application (it takes up to 3 weeks to process a UREC application)

# Deadlines

(PGR and staff applications reviewed/screened throughout the year)

**Postgraduate students on MA programmes** applying for ethical approval for Dissertation research will receive a notification in advance of the required deadline for submission.

This deadline helps the School Ethics committee manage the high volume of MA applications.

MA students applying for ethical approval for research activities taking place as part of a taught course can submit applications throughout the year.

# Useful links

## School Research Ethics  webpages:

http://www.alc.manchester.ac.uk/staffintranet/research/researchethics/ and
http://www.alc.manchester.ac.uk/studentintranet/research/researchethics/

## University Research Ethics webpages:

http://www.staffnet.manchester.ac.uk/services/rbess/governance/ethics/

Training guides and videos are available on the ERM are available here -
http://www.staffnet.manchester.ac.uk/services/rbess/governance/ethics/new-online-system-for-ethics-review-erm/

# Q&A