**Suggested template safeguarding plan**

This suggested form can be used to help you consider the safeguarding issues relevant to you project and to document how you will address them. This may be of particular use for projects which do not require ethical review as they do not involve human participants, personal data or human tissue. Keep your safeguarding plan under regular review and update it as required.

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| **Project title:** |
| **Principal Investigator:** |
| **Which groups either involved in, or potentially affected by, the project need to be considered for safeguarding purposes?** *Internal research team (staff/students)? External research team/members of partner organisations? Research participants? Others who may be affected by the research activities (e.g. members of research participants’ families/households; members of broader communities)?*  |
| **For each relevant group identified (delete sections if not relevant):** |
| 1. **Internal research team members (University of Sheffield staff/students):**
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| **What risks of harm are relevant for this group?** *(Risk of harm encompasses all forms of injury or abuse including bullying, exploitation, psychological abuse, physical violence, and any sexual exploitation, abuse or harassment).* |
| **How will these risks be mitigated as far as possible?** *(This might include: informing individuals of their responsibilities under the Preventing Harm in Research & Innovation (Safeguarding) policy and setting clear expectations regarding conduct across the research team; undertaking a departmental risk assessment; applying for ethics approval where relevant; implementing a lone worker policy where relevant; provision of relevant training; ensuring appropriate insurance is in place, undertaking DBS checks or equivalent where relevant; following the Security Sensitive Research Policy and Process where relevant, etc.)* |
| **How will individuals be informed of the mechanisms available to them for reporting an incident or concern?** *(See policy sections 5.1-5.3).* |
| 1. **External research team/members of partner organisations:**
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| *The below should be discussed openly and sensitively with partner organisations, and an agreed approach documented in writing.* *Where relevant, plans should be also be developed in consultation with other stakeholders and communities.* |
| **What risks of harm are relevant for this group?** *(Risk of harm encompasses all forms of injury or abuse including bullying, exploitation, psychological abuse, physical violence, and any sexual exploitation, abuse or harassment).* |
| **How will these risks be mitigated as far as possible?** *(This might include: setting clear expectations regarding conduct across the research team and responsibilities to report incidents/concerns; undertaking a departmental risk assessment, applying for ethics approval where relevant; implementing a lone worker policy where relevant; provision of relevant training; ensuring appropriate insurance is in place, undertaking DBS checks or equivalent where relevant etc.)* |
| **Who will be the Designated Safeguarding Contact(s) (DSC) in the research team?** *(For research undertaken outside the UK, ideally DSCs should be based in the relevant country/ies).* |
| **What other route(s) (e.g. an alternate DSC outside the research team) will be available to the external members of the research team if they need to report an incident or concern?** *(At least one route should be clearly independent of the research team, e.g. Head(s) of relevant academic department(s), senior member(s) of partner organisation(s); University of Sheffield Research Ethics & Integrity Manager).* |
| **How will all relevant individuals be informed of the mechanisms available to them for reporting an incident or concern?**  |
| **How will reported incidents/concerns be handled and escalated?** (*This should take into consideration the regulatory, statutory or legislative frameworks applicable to the partner organisation(s) and where the research is being carried out, as well as the requirements of the University’s policy on Preventing Harm in Research & Innovation (Safeguarding).* |
| 1. **Research participants: (NB. If your research involves research participants you will need to obtain** [**ethics approval**](https://www.sheffield.ac.uk/rs/ethicsandintegrity/ethicspolicy/approval-procedure/routes)**. If applying for University of Sheffield ethics approval you will be able to consider and document your safeguarding plan as part of your ethics application so you will not need to maintain a separate plan)**
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| **What risks of harm are relevant for this group?** *(Risk of harm encompasses all forms of injury or abuse including bullying, exploitation, psychological abuse, physical violence, and any sexual exploitation, abuse or harassment).* |
| **How will these risks be mitigated as far as possible?** *(This might include: setting clear expectations regarding conduct across the research team; consultation with key stakeholders/representatives of communities to be involved in the research; undertaking a departmental risk assessment, applying for ethics approval (considering key issues such as  power dynamics; informed consent arrangements; maintaining participant confidentiality, feedback of research results); provision of relevant training for researchers; undertaking DBS checks or equivalent where relevant etc.).* |
| **Who will be the Designated Safeguarding Contact(s) (DSC) in the research team if not already documented in previous section?** |
| **What other route(s)/mechanism(s) (e.g. an alternate DSC outside the research team) will be available to the research participants if they need to report an incident or concern if not already documented in previous section?** *(At least one route should be clearly independent of the research team, e.g. a trusted member of the researched community, Head(s) of relevant academic department(s), senior member(s) of partner organisation(s), University of Sheffield Research Ethics & Integrity Manager). Contacts and mechanisms for reporting should be appropriate for the participants and ideally agreed through consultation with representatives of researched communities (mechanisms for reporting may include email, phone, social media, comments boxes (potential for anonymous reporting should be considered). Careful consideration should be given to the potential barriers to reporting of concerns and how these can be addressed. Potential barriers may include real or perceived power imbalances, language barriers, and fear of retribution/negative consequences. For example, community members may feel more comfortable with reporting a concern to a community leader with whom they are already familiar (who will then escalate the concern in accordance with a defined procedure), or via an anonymous reporting mechanism (either virtual or physical) rather than having to directly contact a member of the research team.* |
| **How will all participants be informed of the mechanisms available to them for reporting an incident or concern?** *(E.g. via participant information sheets, posters, web pages, oral delivery of information at community talks).* |
| **How will reported incidents/concerns be handled and escalated, if not already documented in previous section?** (*This should take into consideration the regulatory, statutory or legislative frameworks applicable where the research is being carried out, as well as the requirements of the University’s policy on Preventing Harm in Research & Innovation (Safeguarding)).* |
| 1. **Others who may be affected by the research activities (e.g. members of research participants’ families/households; members of broader communities; other external stakeholders e.g. organisations who are not formal project partners, attendees at a public engagement event)**
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| **What risks of harm are relevant for this group?** *(Risk of harm encompass all forms of injury or abuse including bullying, exploitation, psychological abuse, physical violence, and any sexual exploitation, abuse or harassment).* |
| **How will these risks be mitigated as far as possible?** *(This might include: setting clear expectations regarding conduct across the research team; undertaking a departmental risk assessment, consultation with key stakeholders/representatives of communities to be involved in the research regarding how best to communicate mechanisms for reporting concerns; applying for ethics approval where relevant, provision of relevant training for researchers; undertaking DBS checks or equivalent where relevant etc.), making appropriate provision at events for those who may have medical conditions/disabilities)* |
| **Who will be the Designated Safeguarding Contact(s) (DSC) in the research team if not already documented in previous sections?** |
| **What other route(s)/mechanism(s) (e.g. an alternate DSC outside the research team) will be available to individuals if they need to report an incident or concern, if not already documented in previous section(s)?** *(At least one route should be clearly independent of the research team, e.g. a trusted member of the researched community, Head(s) of relevant academic department(s), senior member(s) of partner organisation(s), University of Sheffield Research Ethics & Integrity Manager). Contacts and mechanisms for reporting should be appropriate for the research community and ideally agreed through consultation with relevant representatives/stakeholders (mechanisms for reporting may include email, phone, social media, comments boxes (potential for anonymous reporting should be considered). Careful consideration should be given to the potential barriers to reporting of concerns and how these can be addressed. Potential barriers may include real or perceived power imbalances, language barriers, and fear of retribution/negative consequences. For example, community members may feel more comfortable with reporting a concern to a community leader with whom they are already familiar (who will then escalate the concern in accordance with a defined procedure), or via an anonymous reporting mechanism (either virtual or physical) rather than having to directly contact a member of the research team.* |
| **How will individuals be informed of the mechanisms available to them for reporting an incident or concern, if not already documented in previous section(s)?***(E.g. posters, web pages, oral delivery of information at community talks).* |
| **How will reported incidents/concerns be handled and escalated, if not already documented in previous section?** (*This should take into consideration the regulatory, statutory or legislative frameworks applicable where the research is being carried out, as well as the requirements of the University’s policy on Preventing Harm in Research & Innovation (Safeguarding)).* |