Preventing Harm in Research & Innovation (Safeguarding) Policy

Examples of how the Preventing Harm in Research & Innovation (Safeguarding) Policy may apply to different types of research

For some types of research, existing processes (such as health and safety risk assessments) may provide sufficient opportunity for considering the potential risks of harm to those involved in and affected by the research, and existing routes for reporting concerns within the University (such as 'Report and Support) may be sufficient where a project involves only University staff or students.

However, for studies which **involve one or more of the following**, a specific plan should be developed (in consultation with any relevant partners, other stakeholders and communities where relevant) to enable concerns or incidents to be reported and dealt with appropriately, including identifying one or more relevant members of the research team to act as a Designated Safeguarding Contact:

- human participants, personal data or human tissue;
- external partner organisations;
- engaging with and/or coming into contact with and/or impacting upon members of the public, communities and/or other external stakeholders (even where they are not directly participating in the research).

As a PI for a research project based on campus in a University lab, involving a small team of University staff and/or students, and involving no human participants, personal data or human tissue, your safeguarding plan may involve:

- Ensuring that staff/students are made aware of the Policy and their responsibilities under it;
- Ensuring that staff/students are made aware of the routes available to them for raising a concern (see Section 5 of the Policy);
- Ensuring that relevant existing policies/processes are followed such as health and safety risk assessments.

As a PGR student planning to undertake a research project involving interviews with research participants who are adult members of the general public in the UK, your safeguarding plan may involve:

- Ensuring that careful consideration is given to designing the research in a way that respects rights of potential, or actual, victims of safeguarding incidents;
- Developing an approach to ensuring that appropriate mechanisms for reporting safeguarding concerns or incidents are available to the participants (and, if relevant, members of their family/household). This should include at least one reporting route which is clearly independent of the research team (e.g. the relevant HoD or the Research Ethics & Integrity Manager in Research Services);
- Identifying a member of the research team to act as the Designated Safeguarding Contact (e.g. primary supervisor) who will be responsible for receiving details of reported concerns or incidents and ensuring they are dealt with appropriately;
- Ensuring that as part of the ethics application, appropriate procedures are set out to meet the requirements of the Policy, as above.

- If the research will take place off campus, ensuring that a health and safety risk assessment is completed, and, if relevant, that a lone worker policy is followed.

<u>As a PI for a large collaborative research project taking place in a Lower or Middle Income Country, involving no human participants, personal data or human tissue, but where the fieldwork will be based in a local community, your safeguarding plan may involve:</u>

- Holding open discussions with all members of the research team, including members of partner organisations, to discuss and agree an appropriate approach to safeguarding in the context of the project, involving the input of the relevant community;
- Developing an approach to ensuring that there are a range of possible mechanisms for reporting safeguarding concerns or incidents, available both to those directly engaged/involved in the research, and those who are not directly involved (including at least one route which is clearly independent of the research team (e.g. the relevant HoD or the Research Ethics & Integrity Manager in Research Services). This approach should include:
    a. ensuring that details of how to report concerns or incidents are proactively disseminated to those involved in or affected by the research in their own language, and that they are able to report concerns or incidents in their own language; and
    b. ensuring that reporting mechanisms are accessible to those involved in or affected by the research (e.g. do not rely on technology that they may not have access to); and
    c. ensuring that people affected by the research can realistically be expected to use the reporting route being made available. If power differentials might inhibit this, have alternative routes been considered (e.g. a local official who might be able to act as a go-between)?
- Identifying a Designated Safeguarding Contact (DSC) (ideally someone based in the relevant country) who will be responsible for receiving details of reported concerns or incidents and ensuring they are dealt with appropriately;
- Developing a clear action plan for the DSC to follow when handling reported concerns or incidents, in line with this Policy and the local law, with sensitivity to local custom and practice;
- Ensuring that all members of the research team are made aware of this Policy and their responsibilities under it, as well as the routes available to them for raising a concern (see Section 5 of the Policy);
- Ensuring that relevant existing policies/processes are followed such as health and safety risk assessments, due diligence checks on partner organisations, and ensuring that appropriate insurance cover is in place.