School of Science and Sport

Research and scholarship ethics guidelines

Introduction

The school of Science and Sport Ethics committee is constituted under regulation 14 of the university regulatory framework (http://www.uws.ac.uk/regulatoryframework/#.VH2q9Cg_heU). The current membership of the school ethics committee is listed on the school's information moodle site (http://moodle.uws.ac.uk/course/view.php?id=5576&section=10).

Consideration of the potential ethical implications/issues associated with research or scholarship is an essential first step in planning our activities in this area. The university ethics committee has established "Guidelines for Ethical Practice in Research and Scholarship" (http://www.uws.ac.uk/about-uws/overview/university-ethics/).

All staff and students must consider the potential ethical implications of their research and scholarship activities. The school safety checklist document (http://moodle.uws.ac.uk/course/view.php?id=5576&section=14) contains a question regarding the need for ethical approval of the work; this is an opportunity for staff/students to consider if their work does require ethics approval (see criteria below and flowchart at the end of these guidelines).

The university guidelines state that research and scholarship involving animals, human participants, personal data or risk to the investigator not adequately controlled by proper application of school/university health and safety policies/procedures requires independent ethical scrutiny. The school of science and sport requires that risk to the investigator is considered and eliminated, or at least minimised, during the health and safety risk-assessments for the proposed work.

Animals

Research or scholarship involving captive or temporarily captive living vertebrates or cephalopods requires ethical scrutiny. For work on such animals regulated under the terms of the Animals (Scientific procedures) Act, 1986 (ASPA)(https://www.gov.uk/research-and-testing-using-animals), this ethical approval should be obtained from the university Animal Welfare and Ethical Review Body (AWERB). For work on such animals not regulated under the terms of ASPA ethical approval should be obtained from the school of science and sport ethics committee (see below for details).

Research involving animals which does not fall into the above categories, e.g., observational studies of wild animals should be assessed and any animal welfare considerations involved in this should be considered and eliminated or minimised during the fieldwork risk-assessment for the work (http://www.uws.ac.uk/about-uws/departments/health-and-safety/policies-and-procedures/).

Human participants

All research and scholarship involving human participants (other than the investigator(s)) or personal data must have **prior** approval from the school ethics committee. The school ethics committee **will not** grant retrospective approval to any study.

Research or scholarship involving personal data may not always require ethical approval, e.g., where the data being used is already in the public domain. The school ethics committee is happy to provide advice on whether proposed research or scholarship requires a full application to the committee (ScienceandSportEthics@uws.ac.uk).

Procedure for applying for ethical approval of research and scholarship

1. The investigator(s) should complete the online application form (https://uws.forms.ethicalreviewmanager.com). Training materials to help with completion of the form are available on the following moodle site (http://moodle.uws.ac.uk/course/view.php?id=4021) and in the application form itself. Where the investigator is a student, the application should be reviewed and approved by the student's supervisor/director of studies and signed by both parties to confirm that this process has taken place. Staff applicants should ask colleagues within their research institute to peer-review their application prior to submission.

2. The application and supporting documents (e.g., participant information sheet, copies of any questionnaires, letters of invitation, advertising etc., that the investigator is proposing to use) are submitted via the online system. Applicants should note that once an application is submitted it cannot be altered/amended or added to until after the review process, so please ensure that you have supplied the "final"/correct version of all documents before submitting. Where the investigator feels that the work or procedures to be used are complex or of a highly technical nature, they may suggest a reviewer to the committee (ScienceandSportEthics@uws.ac.uk). This suggested reviewer must have no part in the proposed work nor can they have any formal relationship with any of the investigators (e.g., supervisor, line manager/line managed by the investigator(s)).

3. The ethics committee will send the application out for independent review. The number of reviewers (1 or 2) will depend on the likely risk associated with the proposal. "Higher-risk" or complex applications will be assessed by two independent school reviewers before being sent to the university ethics committee (UEC) for a further opinion. The UEC ethics guidelines (http://www.uws.ac.uk/about-uws/overview/university-ethics/) give information on what might constitute "higher risk" proposals. Applicants proposing to carry out such work can and should use their application to explain the measures they have put in place to mitigate the risk.

4. The committee will endeavour to assess applications within 30 days but complex applications may take longer (particularly where the opinion of the UEC or other external body is required). Applicants should factor these timelines into their research planning. Where the committee needs to send an application back to the author(s) for further work/information the 30 day timescale will apply from the date of resubmission by the applicant.

5. The reviewers will assess the application and will give a recommendation to the committee as follows;

>   Approved: the project can proceed

>   Approved with conditions: the project can proceed provided the compulsory changes are made or requirements met

>   Not approved: the project cannot proceed for the reasons clearly specified

>   No decision: the project requires further clarification or further review

6. The committee will communicate the outcome of the review to the applicant. Where "No decision" has been reached the applicant should address the comments/feedback provided and resubmit the proposal. Where the decision involves "conditions" the applicant or, in the case of a student, their supervisor/director of studies should inform the committee chair that the conditions have been met prior to the commencement of the work.

   Once approval has been given for a study, applicants are reminded that it must be carried out in accordance with the application submitted and in compliance with any conditions of approval. Any modifications to the study must be notified to the school ethics committee immediately and <u>before</u> they are implemented. This can be done by submitting an amendment request to the approved study on the online system (https://uws.forms.ethicalreviewmanager.com).

7. In the case of a rejected application, the applicant may appeal the decision to the university ethics committee by completing an appeal form on the online system (https://uws.forms.ethicalreviewmanager.com).

Oversight of research

In addition to being charged with scrutinising and approving applications for research or scholarship the school ethics committee is also responsible for oversight of the research being carried out. To facilitate this role the school ethics committee requires applicants to report back to the committee at the conclusion of the research project or 1 year after approval (whichever is the sooner) on the outcome/progress of the work. In the case of UG and PG projects this is fulfilled by the submission of the student's dissertation/thesis. In the case of staff applications the committee requires a report describing the conduct of the research and reflecting on how it had been carried out and any issues which had arisen. A form for such reports is available here (http://moodle.uws.ac.uk/course/view.php?id=5576&section=10).

Is ethical approval required for my work? Where should I go to get it?

Does your research/scholarship involve animals (see definition above), human participants or personal data?

N → No ethical approval required. Please note this evaluation and keep it for your records.

Y

Y

Animals

Does your work involve procedures regulated under the terms of the Animals (scientific procedures) Act (ASPA)?

Humans and/or personal data?

Y

N

Y

Is your work approved as part of an existing home office licence?

Submit your ethics application to the school ethics committee

Y

N

No further approval is required.

Submit your application to the university AWERB