RESEARCH ETHICS

ASSURANCE TEAM

UNIVERSITY OF SURREY

Three things to remember

1 – You cannot start to collect new data from humans, animals, take data from social media or use secondary data in your research unless you have completed the correct process.

2 – Ethics review makes your research better and is about protecting you and anyone involved with your research.

3 - You are a professional researcher.

Websites

- Epigeum professional research ethics course (code - 4b17d65e)
- MySurrey Ethics Pages ('How to guides)
- Ethics RM

What is research ethics?

- **Historical reasons** – Nuremberg Code (1947), Helsinki Declaration (1964), Human Tissue Act (2008).

- **You are a professional researcher!** – We want you to learn from this experience – Skills you can take into the workplace – Funding/publishing in journals (research is a privilege, this process helps you be accountable).

- **Wellbeing and safety** – you and your participants.

- **Governance** – insurance, data (GDPR) Health and Safety.

NHS Research

If you are thinking of involving the NHS in any way in your research, including their staff, patients, tissue or data then your research may require sponsorship by the university beforehand.

You must check if you need to complete this process before submitting an application on Ethics RM by completing the HRA tool kit and contacting assurance@surrey.ac.uk

Good Clinical Practice (required for NHS REC, update every three years)

- Introduction to Informed Consent from Global Health Training Centre
- Good Clinical Practice from National Institute for Health and Care Research

Research involving animals

If you are thinking of involving animals in your research (research involving animals, animal-derived materials, or their data) then your research must be assessed for ethical and governance issues *before* recruitment or data collection commences.

Self-Assessment Governance and Ethics – Animal Research (SAGE - AR)

Animal Welfare and Ethical Review Body (AWERB) - The AWERB is legally mandated to perform ethical review of activities involving animals that fall under the Animals (Scientific Procedures) Act 1986 as amended in 2012 by European Directive 2010/63/EU (hereafter referred to as 'ASPA').

NASPA is a sub-committee of AWERB and reports to them on a regular basis. NASPA is tasked with performing ethical and governance review of activities that involve the use of animals, animal-derived materials, or their data, that fall outside the scope of ASPA.

The University Ethics Committee (UEC)

The University Ethics Committee at the University of Surrey is a body responsible for reviewing research studies that involve human participants, human tissue, and human participant data to ensure they meet ethical, legal, and safety standards.

- **Core function**: To review and approve research projects involving human participants, tissue, or data to protect the rights, safety, and well-being of individuals.
- **Oversight**: The committee operates under the authority of the Research Integrity and Governance Committee (RIGC), which has overall responsibility for research integrity at the University of Surrey.

Secondary data is…

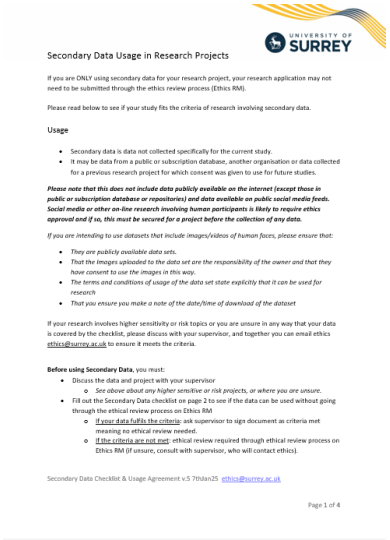
Pre-existing data that anyone can access without a log-in

- Online newspapers sites.
- Company reports.
- Journal articles.
- Previously published research.
- Data sets from Kaggle etc.
- Commercial social media posts.
- Topics and themes from social media.
- Government Stats.

Just because the data has already been collected, it doesn't mean its secondary data – you may need permission/data sharing agreement.

Secondary Data Checklist

If your project only involves secondary data, you need to read and complete the Secondary Data Checklist and ask your supervisor to sign it before you start.



Secondary Data Usage in Research Projects

If you are ONLY using secondary data for your research project, your research application may not need to be submitted through the ethics review process (Ethics RM).

Please read below to see if your study fits the criteria of research involving secondary data.

Usage

- Secondary data is data not collected specifically for the current study.
- It may be data from a public or subscription database, another organisation or data collected for a previous research project for which consent was given to use for future studies.

Please note that this does not include data publicly available on the internet (except those in public or subscription database or repositories) and data available on public social media feeds. Social media or other on-line research involving human participants is likely to require ethics approval and if so, this must be secured for a project before the collection of any data.

If you are intending to use datasets that include images/videos of human faces, please ensure that:

- *They are publicly available data sets.*
- *That the images uploaded to the data set are the responsibility of the owner and that they have consent to use the images in this way.*
- *The terms and conditions of usage of the data set state explicitly that it can be used for research*
- *That you ensure you make a note of the date/time of download of the dataset*

If your research involves higher sensitivity or risk topics or you are unsure in any way that your data is covered by the checklist, please discuss with your supervisor, and together you can email ethics ethics@surrey.ac.uk to ensure it meets the criteria.

Before using Secondary Data, you must:

- Discuss the data and project with your supervisor
  - *See above about any higher sensitive or risk projects, or where you are unsure.*
- Fill out the Secondary Data checklist on page 2 to see if the data can be used without going through the ethical review process on Ethics RM
  - If your data fulfils the criteria- ask supervisor to sign document as criteria met meaning no ethical review needed.
  - If the criteria are not met- ethical review required through ethical review process on Ethics RM (if unsure, consult with supervisor, who will contact ethics).

Secondary Data Checklist & Usage Agreement v.5 7thJan25 ethics@surrey.ac.uk

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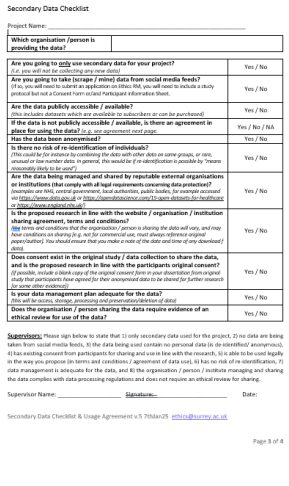

Secondary Data Checklist

Project Name: _____

Which organisation /person is providing the data?	

Are you going to only use secondary data for your project? *(i.e. you will not be collecting any new data)*	Yes / No
Are you going to take (scrape / mine) data from social media feeds? (If so, you will need to submit an application on Ethics RM, you will need to include a study protocol but not a Consent Form or/and Participant Information Sheet.	Yes / No
Are the data publicly accessible / available? *(this includes datasets which are available to subscribers or can be purchased)*	Yes / No
If the data is not publicly accessible / available, is there an agreement in place for using the data? *(e.g. see agreement next page)*	Yes / No / NA
Has the data been anonymised?	Yes / No
Is there no risk of re-identification of individuals? *(This could be for instance by combining the data with other data on some groups, or rare, unusual or low number data. In general, this would be if re-identification is possible by "means reasonably likely to be used")*	Yes / No
Are the data being managed and shared by reputable external organisations or institutions (that comply with all legal requirements concerning data protection)? *(examples are NHS, central government, local authorities, public bodies, for example accessed via https://www.data.gov.uk or https://opendatascience.com/15-open-datasets-for-healthcare/ or https://www.england.nhs.uk/)*	Yes / No
Is the proposed research in line with the website / organisation / institution sharing agreement, terms and conditions? *(the terms and conditions that the organisation / person is sharing the data will vary, and may have conditions on sharing (e.g. not for commercial use, must always reference original paper/author). You should ensure that you make a note of the date and time of any download / data).*	Yes / No
Does consent exist in the original study / data collection to share the data, and is the proposed research in line with the participants original consent? *(If possible, include a blank copy of the original consent form in your dissertation from original study that participants have signed for their anonymised data to be shared for further research (or some other evidence))*	Yes / No
Is your data management plan adequate for the data? *(this will be access, storage, processing and preservation/deletion of data)*	Yes / No
Does the organisation / person sharing the data require evidence of an ethical review for use of the data?	Yes / No

Supervisors: Please sign below to state that 1) only secondary data used for the project, 2) no data are being taken from social media feeds, 3) the data being used contain no personal data (is de-identified/ anonymous), 4) has existing consent from participants for sharing and use in line with the research, 5) is able to be used legally in the way you propose (in terms and conditions / agreement of data use), 6) has no risk of re-identification, 7) data management is adequate for the data, and 8) the organisation / person / institute managing and sharing the data complies with data processing regulations and does not require an ethical review for sharing.

Supervisor Name: _____ Signature: _____ Date:

Secondary Data Checklist & Usage Agreement v.5 7thJan25 ethics@surrey.ac.uk

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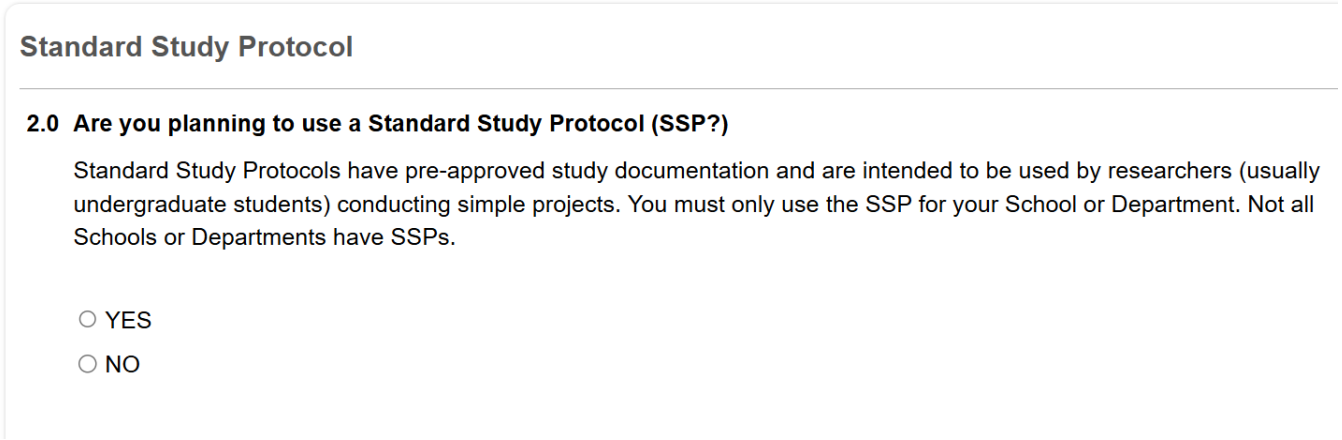
Ethics RM

- https://ethicsandgovernanceapplications.surrey.ac.uk/
- Answers provided will guide applicant through process and tell you what documents to upload.
- All communications are through the platform, including automated acknowledgements.
- Literature reviews, autoethnographic research and creative writing does not require an ethics application (you still need to think about your positionality to your research with your supervisor).

Standard Study Protocol (SSP)

- An SSP involves pre-approved low-risk research activity such as interviews and online surveys.
- You must check with your supervisor first that your project is covered by an SSP.
- You need to submit an ethics application on Ethics RM and have it approved by your supervisor.
- You must use the templates provided by the University and your supervisor.

Standard Study Protocol (SSP)



Standard Study Protocol

2.0 Are you planning to use a Standard Study Protocol (SSP?)

Standard Study Protocols have pre-approved study documentation and are intended to be used by researchers (usually undergraduate students) conducting simple projects. You must only use the SSP for your School or Department. Not all Schools or Departments have SSPs.

- ○ YES
- ○ NO

You need to include a Study Protocol, Participant Information Sheet, Consent Form, Data Management Plan, Gatekeeper approval and recruitment material.

Research methods / ethics help guides

Interviews - Online or in person? How will you record/transcribe?

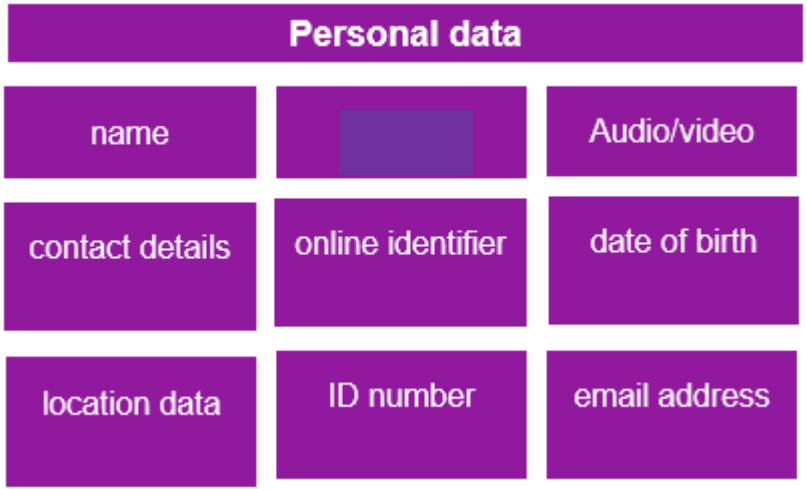
Surveys - Can only use UoS Qualtrics or UoS MS Forms, how will you share the survey? Is it anonymous? Have you included Participant documents?

Focus groups – Online or in person? How will you record/transcribe? What does withdrawal mean?

Personal Data

Personal data is information relating to natural persons who:

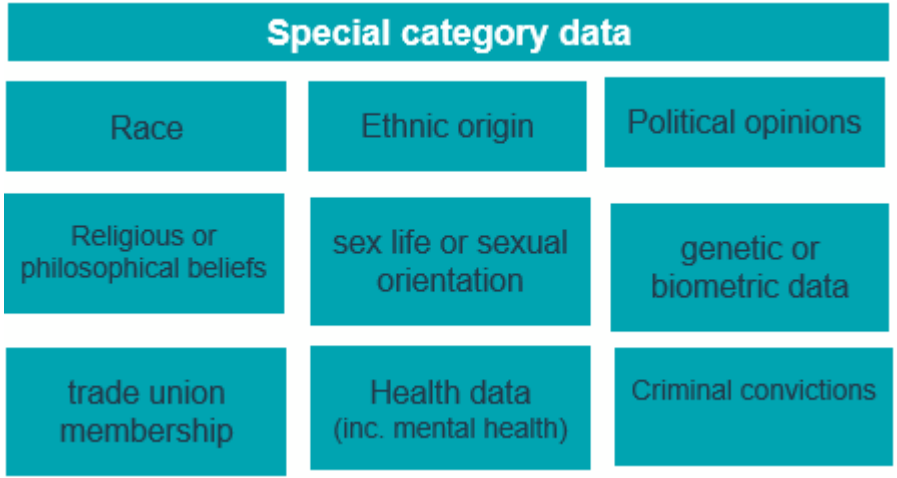
- Can be identified or who are identifiable, directly from the information; or
- Can be indirectly identified from that information in combination with other information



Special Catagory Data

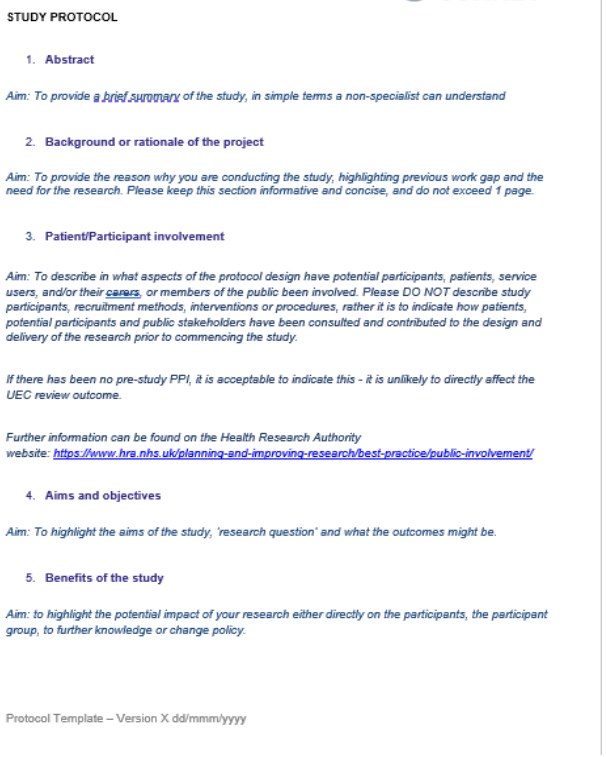
Special Category Data is personal data that is more sensitive in nature and Requires a higher level of protection

UoS recognise Gender as Special Category Data



Study Protocol

- The Study Protocol is compulsory.
- States what you are doing and why.
- Helps you to plan and understand your research before you start.
- You must complete all the sections provided and give detailed information, so that it is clear what the research includes (but does not read like a dissertation).



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STUDY PROTOCOL

1. **Abstract**

Aim: To provide a brief summary of the study, in simple terms a non-specialist can understand

2. **Background or rationale of the project**

Aim: To provide the reason why you are conducting the study, highlighting previous work gap and the need for the research. Please keep this section informative and concise, and do not exceed 1 page.

3. **Patient/Participant involvement**

Aim: To describe in what aspects of the protocol design have potential participants, patients, service users, and/or their carers, or members of the public been involved. Please DO NOT describe study participants, recruitment methods, interventions or procedures, rather it is to indicate how patients, potential participants and public stakeholders have been consulted and contributed to the design and delivery of the research prior to commencing the study.

If there has been no pre-study PPI, it is acceptable to indicate this - it is unlikely to directly affect the UEC review outcome.

Further information can be found on the Health Research Authority website: https://www.hra.nhs.uk/planning-and-improving-research/best-practice/public-involvement/

4. **Aims and objectives**

Aim: To highlight the aims of the study, 'research question' and what the outcomes might be.

5. **Benefits of the study**

Aim: to highlight the potential impact of your research either directly on the participants, the participant group, to further knowledge or change policy.

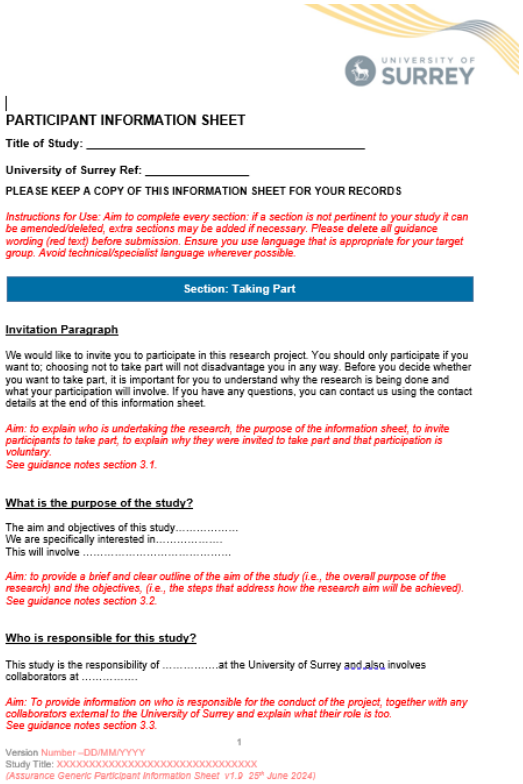
Participant Information Sheet

This document gives your participants all the information they need about you and your research. You should tell them:

- Who you are.
- What you are doing.
- Why you are doing it.
- How you will look after them.
- What you will do with their data.
- How they can withdraw from the research and up to what point.
- Who they contact if they have any questions/concerns.

Participant Information Sheet

- The Participant Information Sheet is compulsory!
- Adapt the template to your research.
- Delete/add information as required.



PARTICIPANT INFORMATION SHEET

Title of Study: _____

University of Surrey Ref: _____

PLEASE KEEP A COPY OF THIS INFORMATION SHEET FOR YOUR RECORDS

Instructions for Use: Aim to complete every section: if a section is not pertinent to your study it can be amended/deleted, extra sections may be added if necessary. Please delete all guidance wording (red text) before submission. Ensure you use language that is appropriate for your target group. Avoid technical/specialist language wherever possible.

Section: Taking Part

Invitation Paragraph

We would like to invite you to participate in this research project. You should only participate if you want to; choosing not to take part will not disadvantage you in any way. Before you decide whether you want to take part, it is important for you to understand why the research is being done and what your participation will involve. If you have any questions, you can contact us using the contact details at the end of this information sheet.

Aim: to explain who is undertaking the research, the purpose of the information sheet, to invite participants to take part, to explain why they were invited to take part and that participation is voluntary.
See guidance notes section 3.1.

What is the purpose of the study?

The aim and objectives of this study.....
We are specifically interested in.....
This will involve .....

Aim: to provide a brief and clear outline of the aim of the study (i.e., the overall purpose of the research) and the objectives, (i.e., the steps that address how the research aim will be achieved).
See guidance notes section 3.2.

Who is responsible for this study?

This study is the responsibility of .....at the University of Surrey and also involves collaborators at .....

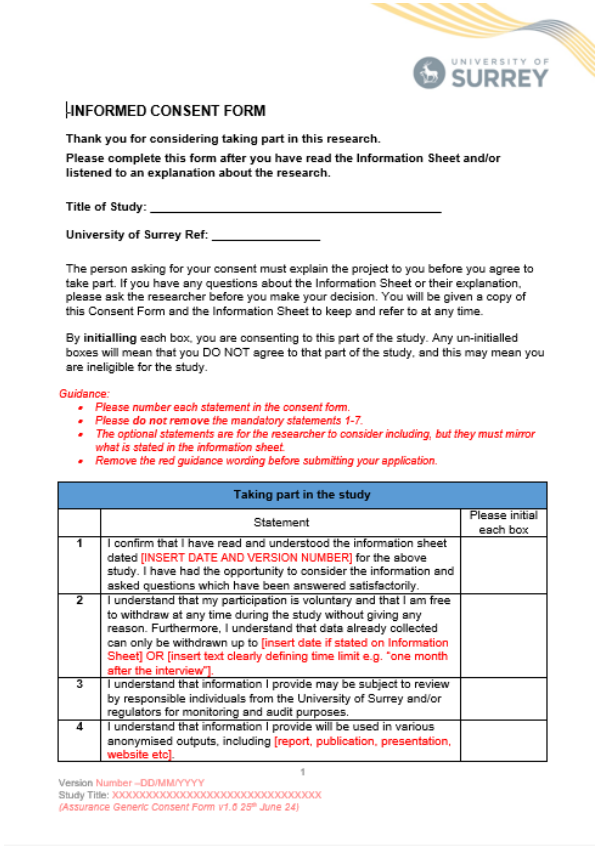
Aim: To provide information on who is responsible for the conduct of the project, together with any collaborators external to the University of Surrey and explain what their role is too.
See guidance notes section 3.3.

1

Version Number –DD/MM/YYYY
Study Title: XXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXX
(Assurance Generic Participant Information Sheet v1.9 25th June 2024)

Consent Form

- The Consent Form is compulsory!
- This form allows your participants to make an informed choice about taking part in the research, and what information you collect from them.
- Adapt the template to your research.
- Delete/add information as required.
- Keep the tick boxes and add 'I agree to take part in this study' as the last consent item.



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INFORMED CONSENT FORM

Thank you for considering taking part in this research.

Please complete this form after you have read the Information Sheet and/or listened to an explanation about the research.

Title of Study: _____

University of Surrey Ref: _____

The person asking for your consent must explain the project to you before you agree to take part. If you have any questions about the Information Sheet or their explanation, please ask the researcher before you make your decision. You will be given a copy of this Consent Form and the Information Sheet to keep and refer to at any time.

By **initialling** each box, you are consenting to this part of the study. Any un-initialled boxes will mean that you DO NOT agree to that part of the study, and this may mean you are ineligible for the study.

Guidance:

- *Please number each statement in the consent form.*
- *Please **do not** remove the mandatory statements 1-7.*
- *The optional statements are for the researcher to consider including, but they must mirror what is stated in the information sheet.*
- *Remove the red guidance wording before submitting your application.*

Taking part in the study		
	Statement	Please initial each box
1	I confirm that I have read and understood the information sheet dated [INSERT DATE AND VERSION NUMBER] for the above study. I have had the opportunity to consider the information and asked questions which have been answered satisfactorily.	
2	I understand that my participation is voluntary and that I am free to withdraw at any time during the study without giving any reason. Furthermore, I understand that data already collected can only be withdrawn up to [insert date if stated on Information Sheet] OR [insert text clearly defining time limit e.g. "one month after the interview"].	
3	I understand that information I provide may be subject to review by responsible individuals from the University of Surrey and/or regulators for monitoring and audit purposes.	
4	I understand that information I provide will be used in various anonymised outputs, including [report, publication, presentation, website etc].	

1

Version Number –DD/MM/YYYY
Study Title: XXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXX
(Assurance Generic Consent Form v1.6 25th June 24)

Recruitment material

The recruitment material is compulsory!

It should be in the format of how you will use it (online post, email, poster).

It should state:

- Who you are.
- What you are doing.
- How long it takes.
- That your project has been through an ethics review.
- Your UoS email as a contact .

Also include...

- A draft version of your survey (you still need to include a Participant Information Sheet and Consent Form).
- A draft version of your questions – interviews.
- Gatekeeper approval email or letter.
- Team summary and participant pathway (if relevant).
- Your ethics application number on all participant-facing documents (found within Ethics RM)

Social Media

- Using social media for research is more complex than it seems – we can't assume consent.
- People have a right to be different people online.
- If you are an UG/PGT student and you are conducting low risk research (SSP etc.) you may use your personal social media accounts to recruit participants. If not – you need to create new ones using your UoS email.
- You can’t use WhatsApp/Signal/Telegram/WeChat for research.
- Check and read the Social Media Guidance before starting.

Artificial Intelligence

If you are using AI in your research in any context you need to:

- State what you ‘mean; by AI (generative AI or different) and what platform is involved.
- State clearly what data will be shared with the platform and if you have permission to do so.
- Tell any participants what platform their data will be shared with and provide a link to any terms and conditions (as a rule – don’t upload any identifiable information into any AI/LLM platform)

Do not use generative AI to write your ethics application!

Talk to us!

- ethics@surrey.ac.uk

- Mysurrey ethics pages (templates and help guides).

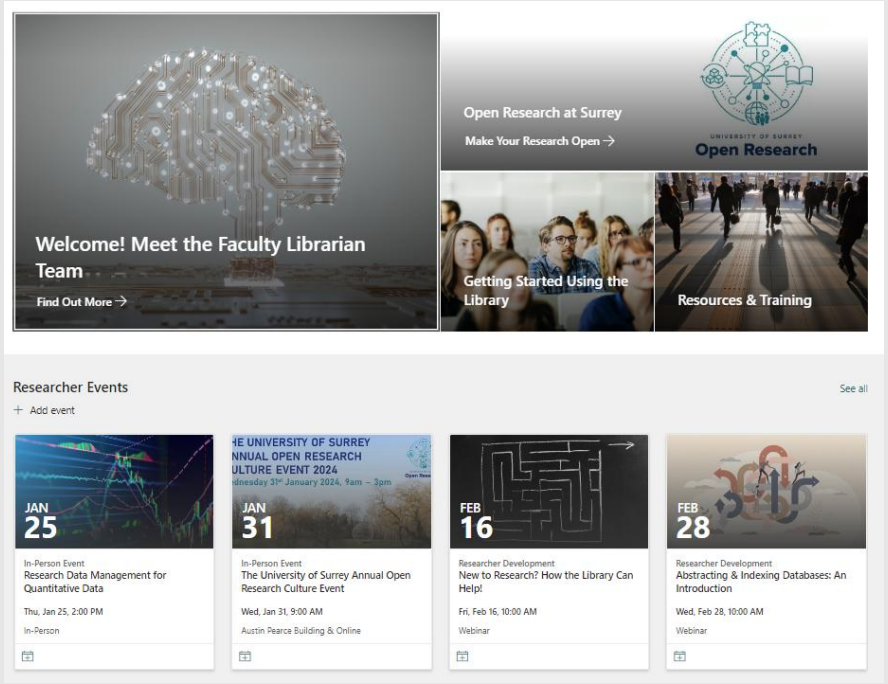
- Marie Bovell, Senior Assurance Officer (Integrity and Culture).
- Joanna Nixon, Ethics Officer.
- Tim Parkinson, Ethics Officer.

LIBRARY RESEARCH HUB

Find more information on how Library and Learning Services can support you as a researcher by visiting our Library Research Hub.

Here you'll find information about:

- Getting started using the Library
- Your dedicated Faculty Librarian
- Upcoming training opportunities and events
- How to make your research 'Open'
- Resources and tools to help with your research (including reference management)
- Systematic reviews
- Resources on Research Analytics



The Open Research Team:

Who are we and what do we do?

We provide guidance and training in a variety of topics on open research such as:

- Creating and maintaining Researcher Profiles
- Making papers open access
- Linking papers to UN Sustainable Development Goals (SDGs)
- Curation of records in the Open Research institutional repository
- Research Data Management, including plans
- Copyright
- Managing UKRI Open Access and BHF funds
- Research Analytics and Responsible Use of Metrics
- Review transitional agreements and publication models
- UKRN training programmes

THE OPEN RESEARCH TEAM

Dr Eleonora Gandolfi
Associate Director (Research and Innovation)

Dr Maria de Montserrat Rodriguez-Marquez
Open Research Manager (Infrastructure and Content)

Dr Michelle Willows
Research Data Librarian

Emma Lynden
Open Research Analyst

Dr Felix Pedrotti
Open Research Officer

Greg Tank
Content Coordinator (Open Access)

openresearch@surrey.ac.uk

Use this QR code to know more about Open Research

SUPPORT(WEBSITE)

GETTING STARTED WITH OPEN RESEARCH | UNIVERSITY OF SURREY

LIBRARY > OPEN RESEARCH

Introduction | Getting started | Open Research in Practice module | Teams | Open Access | Preprints More

UNIVERSITY OF SURREY
Open Research

OPEN RESEARCH

Open Research - used interchangeably with Open Science - is a set of values and practices that seek to make research easily discoverable, transparent, publicly available and re-usable. The aim of our Open Research initiative is to foster a collaborative and inclusive research culture; to spur innovation and creativity; and, where applicable, to support the reproducibility of research findings.

Research Data Management Training & Support

RDM Training workshops:

- **Research Data Management for Qualitative Data** (which may involve acquiring personal data, gaining consent from participants and de-identifying / anonymising data) is running on **Wednesday 22nd April from 10:00-11:30** (as an in-person event), OR
- **Research Data Management for Quantitative Data** (which may involve more complex folder structures, file naming, formatting, version control and metadata, etc.) on **Wednesday 29th April from 10:00-11:30** (as an in-person event)

Please book only ONE workshop via the Doctoral college, as by the end of EITHER session, you will:

- understand what Open Data is and why you should practice Open Research,
- explore key aspects of the Research Data Management (RDM) lifecycle and why RDM is important to increasing demands to control, share and preserve data,
- become familiar with best practices for file management, documentation, storage, sharing and security of data.

RDM 1:1 Drop-in sessions:

- Every **Tuesday morning from 8:30am to 1pm** at Library (Level 1, opposite Entrance Gates), or
- Book a **1:1 session** with Michelle Willows here: Open Research,
- Or email openresearch@surrey.ac.uk to arrange an online Teams meeting on another day.

Help can be provided with:

- managing your Research Data,
- creating/reviewing Data Management Plans,
- consent, collection, sensitivity levels, storage/security, sharing/publishing, archiving/preserving, & future re-use of data,
- …and many more data related activities from how to collect, store and share qualitative/quantitative data….. to advice on uploading datasets (or metadata) into our University Repository (Esploro).