ARMA-UKRIO
Guidance for Research Ethics Processes and Structures

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RCUK Policy and Guidelines on Governance of Good Research Conduct

Research Organisations (ROs)

Research should be conducted to the highest levels of integrity, including appropriate research design and frameworks, to ensure that findings are robust and defensible. Researchers should also adhere to the highest level of research ethics, in line with requirements set out by national and international regulatory bodies, professional and regulatory research guidance and research ethics frameworks issued in appropriate areas.

The onus lies (a) with the researcher to establish that s/he always meets the highest standards that could reasonably be expected, and (b) with the employing institution to ensure that systems are in place to support and reinforce this.

Research organisations (ROs) which employ or train researchers are expected to have in place systems to promote best practice; these systems apply to all the research within the RO, irrespective of funding source.

ESRC Framework for Research Ethics

Research should be conducted with integrity and transparency

RECs should ensure that they fulfil their role and responsibilities with integrity and record their decisions and feedback in a transparent way.

Lines of responsibility and accountability should be clearly defined
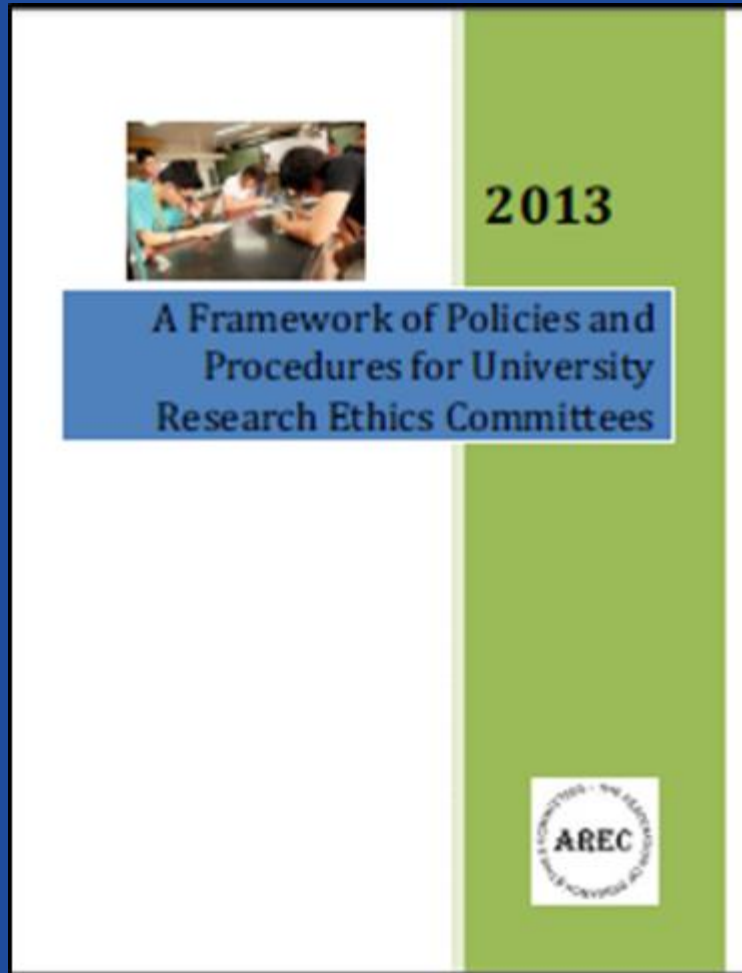
The remit and responsibilities of the RECs should be clear; RECs should be committed to training and development to enable them to fulfil their role. Where the REC feels that it does not have the expertise to review a proposal, it should seek the help of independent bodies or external members. The REC's performance is subject to review by the research organisation.

ESRC Framework for Research Ethics

The independence of research should be maintained, and where conflicts of interest cannot be avoided they should be made explicit

RECs should be able to conduct ethics review in a wholly independent and impartial manner without any conflicts of interest and with a focus clearly on the ethics of research proposals. Independence can be achieved by a committee composed of members from a wide range of disciplines and includes external members, within a policy and governance structure that establishes the right of the REC to pass opinions free of influence.

AREC Framework

2013

A Framework of Policies and Procedures for University Research Ethics Committees

AREC

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AcSS Framework

https://www.acss.org.uk/wp-content/uploads/2015/05/Adopted-Generic-Ethical-Principles-with-AcSS-Logo1.pdf

Best Practice Guidance for Research Ethics Processes and Structures

guidelines designed to help research organisations develop the quality of their policies/ procedures for managing ethics issues in research.
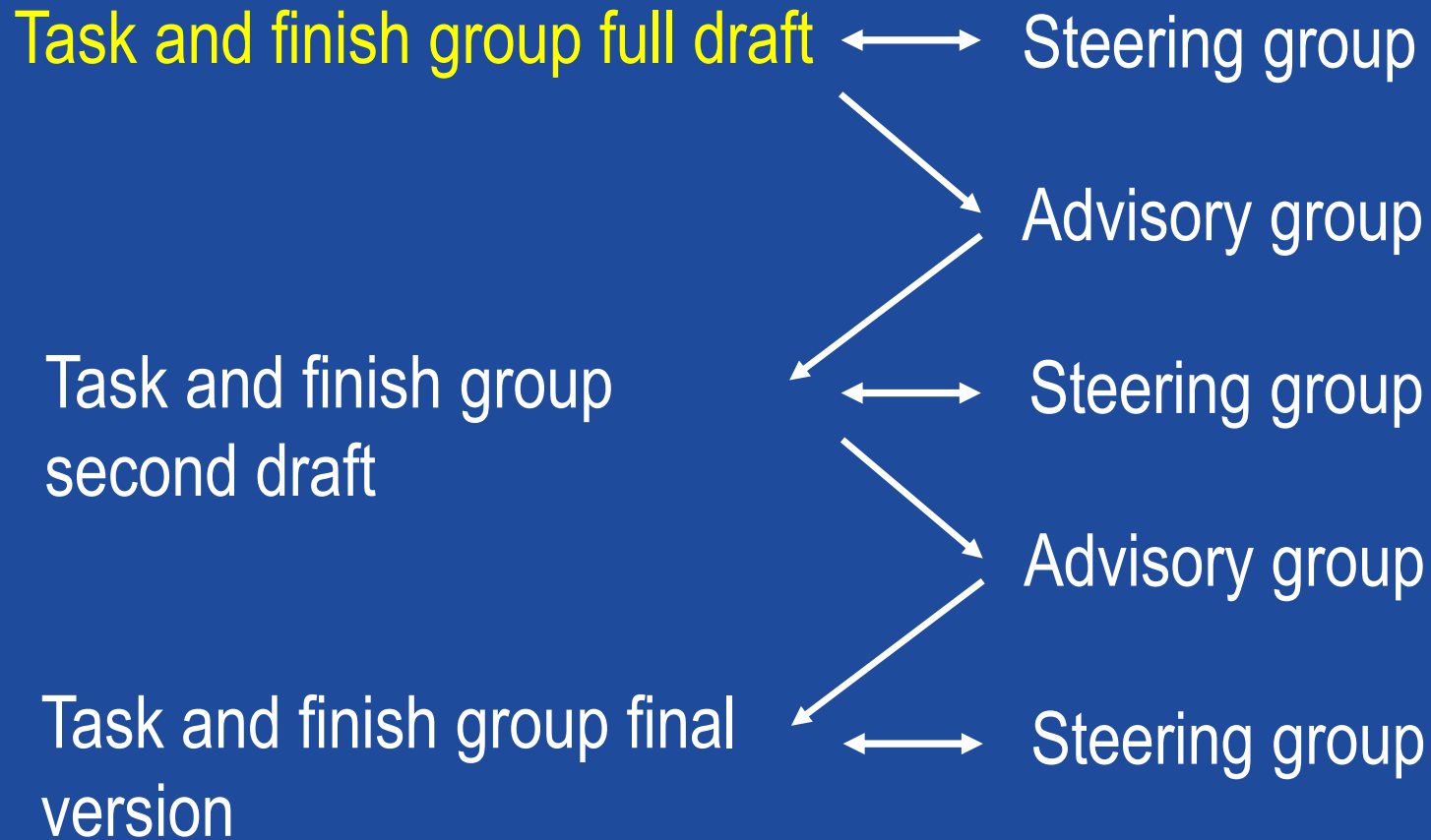
AIMS

- Provide benchmark policies and processes which organisations can use to create or revise institutional processes to support the functions of Research Ethics Committees.

- Encourage continued reflection, evaluation and development towards a set of common best practice standards, while reflecting the autonomy of organisations to determine how best to apply them in their particular research environment.

- Be a means of evidencing the ways in which these standards are demonstrated in the specific practices of individual research organisations.

AIMS

- Complement other relevant initiatives such as *The Concordat on Research Integrity*, guidance from UKRIO and other bodies, the expectations of funding bodies, etc.

- Harmonise with research ethics expectations and practices in Europe and more widely, as appropriate.

- Reflect the lessons learned from the use and application of the first edition of the *Framework* and other developments in research ethics, research integrity and related fields.

- Be applicable to all disciplines of research, drawing on approaches and experiences from across the disciplinary spectrum but dominated by no single perspective.

CONTENTS (1)

- Ethics and universities

- Ethics in research

- Principles for the ethics and integrity of research

- The 'Belmont Principles'

- International standards

- The Core Principles

PRINCIPLES

- Independence

- Competence

- Facilitation

- Transparency and accountability

CONTENTS (2)

- Data
- Maintaining ethical standards within a research governance framework
- Constitution and Terms of Reference for a Research Ethics Committee
- Training and development of committee members
- Standard Operating Procedures
- Accountability and quality assurance
- Appendix 1: REC Review Panel checklist for application
- Appendix 2: Risk assessment matrix

Research virtues throughout the research cycle

phase	vice of deficit	virtue	vice of excess
framing	cowardice	courage	recklessness
negotiating	manipulativeness	respectfulness	partiality
generating	laziness	resoluteness	inflexibility
creating	concealment	sincerity	exaggeration
disseminating	boastfulness	humility	timidity
reflecting	dogmatism	reflexivity	indecisiveness

(Macfarlane 2009)

Ethics throughout the research cycle

phase
framing
negotiating
generating
creating
disseminating
reflecting

advice, education

← pre-emptive (formal) ethics review

reporting back, critical incident support

advice, review, audit

PRO-RES: PROmoting integrity in the use of RESearch results

The UK Academy of Social Sciences (AcSS) is a partner in a €2.8 million project with 13 European scientific institutions aiming to build an ethics/integrity framework for all non-medical research

The PRO-RES project, coordinated by the European Science Foundation (ESF), France, aims at building a research ethics and integrity framework devised cooperatively with the full range of stakeholders. It seeks the same reach that the Oviedo and Helsinki frameworks have in the medical field. But this ambitious project will cover all non-medical research fields.

https://cordis.europa.eu/news/rcn/129342_en.html

COMMENTS

DISCUSSION

Advances in Research Ethics and Integrity

emerald **books**

New series

New series from Emerald Publishing

https://www.emeraldinsight.com/series/arei

THANK YOU