

Framework for Delegated Authority for Research Ethics

POLICY

Department of Computer Science
Department of Library and Information Science
City, University of London

1. INTRODUCTION AND SCOPE

This document sets out the arrangements for undertaking ethical review of research in the **Department of Computer Science (CS)**, and the **Department of Library and Information Science (LIS)** in line with the Departments' **PROCEDURES** for Delegated Authority for Research Ethics.

This includes research undertaken by staff and students in their capacity as members of City, University of London, irrespective of whether the research is funded and or the source of any funding. It also applies to research carried out in CS and LIS by persons visiting the Department (e.g. visiting staff, visiting researchers etc.).

Central to this activity is the **Computer Science Research Ethics Committee (CSREC)**.

The Departments of Computer Science and Library and Information Science require all research activity involving human participation to undergo formal ethical peer review.

'Human participation' covers direct data collection from people. This can result from many different methods, including surveys, interviews, observation, video, photography and physiological measurement. It also includes using personal identifiable data from individual records such as case notes and large data sets from which individuals may be identified.

Secondary analysis of anonymised data that is published or otherwise disseminated does not require ethical approval. Analysis of routinely collected anonymised data that does not contain personal information and through which individuals cannot be identified does not need approval either, as long as permission has been given by the data owner. Literature reviews or reviews of published or otherwise disseminated material do not require ethical approval.

This document does not cover arrangements for ethical review of research in other parts of the School of Mathematics, Computer Science and Engineering (SMCSE).

*This **POLICY** was developed from the CSREC Research Governance documentation produced by Stephanie Wilson and colleagues. Their important contributions are acknowledged. Updates have been made in light of changes to research governance processes at City, University of London, with revisions agreed through discussion with members of City's SREC and advice from Research & Enterprise.*

2. TERMS OF REFERENCE

The CSREC has delegated power of authority from the Senate Research Ethics Committee (SREC).

Its terms of reference align with the delegated authority conferred by SREC and are:

1. To consider the ethical implications of research carried out in the Departments of Computer Science and Library and Information Science. Specifically, to consider research involving human participants, research involving identifiable personal data and research that may entail risk to the researcher.
2. To review and approve low-risk research ethics applications through a proportionate process of peer review.
3. To review and approve other research ethics applications that are deemed to lie within the remit of the CSREC through full application to the CSREC.
4. The CSREC is not responsible for considering the ethics of research that falls within the categories considered to be of "*potential higher risk*" by the SREC Framework for Delegated Authority. This includes, but is not limited to: research that falls under the auspices of the NHS Research Ethics Service; research that involves participants who fall under the auspices of the Mental Capacity Act; research that involves participants who fall under the auspices of the Criminal Justice System; research involving animals, obscene or illegal material, sensitive subjects, intrusive procedures, the administration of drugs or other substances, participants who are unable to provide informed consent, the researcher travelling to countries where there is an active travel warning from the Foreign and Commonwealth Office.
5. To consider and approve amendments to research that has been previously approved by the CSREC.
6. To make available application forms, guidelines and background documentation to staff and students in the departments.
7. To advise staff and students in the departments on research ethics and the process for obtaining ethical approval for research.
8. To report to the Senate REC on the activities of the CSREC as required – records of all decisions, conditions and correspondence will be retained. Minutes of all decisions and any meetings will be submitted to SREC

3. COMPOSITION

The CSREC consists of a Chair, a member of academic staff from each research centre in the Department of Computer Science, a member of academic staff from the Department of Library and Information Science, at least one research student from the Departments and two external members.

Appointment to CSREC is made by the Head of Department and will normally be for a period of two years and rarely for more than three years. One member of CSREC is designated as responsible for handling the proportionate review process for staff and research students; this responsibility rotates on a yearly basis.

The Chair of the CSREC is responsible for coordinating applications made to CSREC in line with CSREC policies and procedures, for maintaining records of the work of the CSREC, for reporting to the Board of Studies and the Senate REC. The Deputy Chair takes on such responsibilities in the Chair's absence or where a conflict of interested is deemed to occur. The Chair and Deputy Chair are responsible for knowledge transfer as the committee develops expertise and a case history.

Membership is as follows - effective from 15/09/2017:

Name		Dept	RC	Role	From (sept)	To (sept)	Role at City
Jason	DYKES	CS	giCentre	Chair	2017	2019	Professor
Simone	STUMPF	CS	HCID	Deputy; Prop Review	2014	2018	Senior Lecturer
Tillman	WEYDE	CS	ML		2017		Lecturer
David	BAWDEN	LIS	LIS		2015	2019	Professor
Nikos	KOMNINOS	CS	CSR		2017		Lecturer
Johannes	LIEM	CS	giCentre	PhD	2016	2019	Research Student
Maria	KROTSIANI	CS	CeNACS		2017		Post-Doc
Anna	RAMBERG	R&E		Ext	2014		Senate REC
	VACANT	??		Ext	2017		Another School

4. REVIEW

This policy is reviewed every two years, with the terms of reference considered by the committee on an annual basis.

Composition of the committee is reviewed each year with a need to balance expertise, continuity, the need for new perspectives and workload.

**Jason Dykes
Simone Stumpf
David Bawden**

September 2017