EXECUTIVE SUMMARY

This statement has been prepared to advise researchers on the steps to take when considering safeguarding in their research, and should be considered by researchers as part of the research design process. Whilst specific guidance is available elsewhere concerning the [safeguarding of children, young people and vulnerable adults](#), the University recognises that research activities have the potential to raise specific issues and areas of concern. This statement pulls together best practice and key guidance to assist in the development of a strong safeguarding approach. Following reading the guidance, researchers should take time to consider the content and discuss with a wider group of researchers and colleagues as relevant.

Human research, and research involving volunteers or fieldworkers, is particularly likely to raise safeguarding concerns, especially when taking place overseas and in lower- or middle-income countries (LMICs), and special attention should be paid to the guidance in such cases.

A robust safeguarding approach involves identifying and mitigating risk as far as possible (2.1), ensuring an awareness of appropriate reporting procedures and embedding these within the research project (2.2), and fully considering the underlying principles of safeguarding, including the balancing of power dynamics and protection of the vulnerable (3). Further practical advice is given in (3), including information on training. Individuals with concerns should contact the [Lead Safeguarding Officer](#) (LSO), or [Zoe Clarke](#) (Research Strategy & Policy Officer for Integrity) where queries relate to policy compliance.

This statement specifically addresses safeguarding in relation to research. The University recognizes its safeguarding responsibilities and is committed to taking all reasonable steps to prevent harm to those involved in research. This Statement, which will be updated as appropriate to reflect best practice within the sector, covers:

a)   y   [Code of Practice on Research Integrity](#).
b) All those involved in research, which in practice means the groups specified in the Code of Practice on Research Integrity plus research participants, communities, volunteers, workers and all those that study in the research sector. This includes local fieldworkers and interpreters.
c) @   concerns where researchers have concerns not directly associated with their work.

When considering safeguarding in the context of research, you should aim to:
 Promote a healthy research culture;
 Establish robust reporting routes; and
 Take swift action when cases do emerge.

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approach is currently under review, and this section will be updated to reflect new requirements and expectations as they are identified.

Within Research Projects

When designing a research project, appropriate reporting routes should be identified and agreed by the research team, researcher and relevant colleagues, and approved by the relevant ethics committee prior to beginning the research. Depending on the size and scope of the project, especially in relation to collaborative projects, this may involve identifying a named individual as a liaison between the participants and the research team, making details of an independent reporting route available, or working in partnership with the research community to understand their preferred reporting process. All those involved in a project should be made aware of relevant procedures. See section 3 for more on how this might be achieved in an operational sense.

Where these reporting routes have failed, this should trigger a case or policy review, conducted by the RSPO in co-operation with the relevant project team. To counter this risk, however, researchers should seek appropriate guidance (such as from the Global Engagement Team where relevant) to identify potential risks and reporting routes. All projects should have opportunities for reporting and feedback which are designed and identified with the project in mind.

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reporting procedure should be followed. However, the due diligence process mentioned
                                              es are sufficiently robust.

Bullying & Harassment

Safeguarding covers bullying and harassment, which is handled via separate procedures for staff and students at York (more information here). Currently, the B

Research Integrity, with referral to the [research misconduct policy](). Alleged breaches which fall outside the definition of research misconduct set out in the Research Misconduct Policy ·h   ·y   [Disciplinary Procedure and Guidelines]() and/or its [Capability Procedure]().

3: Involving Relevant Individuals

The reporting proc

Identify and address the risks associated with power imbalances between individuals, especially when related to issues of consent. Remember that variations in size, scope and content of research projects means that each project can raise its own issues when it comes to safeguarding, and the implications of power dynamics within a project should be continually considered and reassessed. When accessing a community through an authority figure or gatekeeper, consider who might be accepted as a representative of the community and how this might affect the research.

Pay attention to gender, class, race, sexuality, age, disability, faith, and other dynamics of vulnerability to harm. Be aware of potential risks for all members of the research team, for example the different levels of threat faced by female and male individuals in particular settings the Social Research Association (SRA) has prepared a [Code of Practice for the Safety of Social Researchers](#), which indicates how best to prepare and conduct a research project.

Ensure that the approach is based on victims and survivors, with a commitment to rights and needs. It is good practice to continually review safeguarding mechanisms and approaches throughout the lifetime of a project, particularly following a breach of safeguarding, to identify issues and ensure they remain fit for purpose.

Actively consider how cultural sensitivity can be maintained, including how best to handle overseas contexts. Take time to fully consider the context in which the work is being conducted

[Trafficking](#), researchers have a responsibility to ensure those involved with your research (including volunteers, participants, and fieldworkers) have not been coerced. Develop a whistle-blowing procedure to aid in identifying and responding to concerns, with a focus on supportive, confidential and accountable mechanisms.

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