

## AGENDA for the Thursday 26 May 2022 meeting

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The Research Ethics Sub-Committee will be held at 10:00 via MS Teams.

<b>Part A: Preliminary Items</b>		<b>Paper</b>	<b>Led by</b>
A1	Apologies		Chair
A2	Declarations of interest		Chair
A3	Terms of Reference and Membership	REE-2021-047	Chair
A4	Minutes of the last meeting held on 22 March 2022	REE-2021-048	Chair
A5	Matters arising	REE-2021-049	Secretary
<b>Part B: Items for Information &amp; Monitoring</b>		<b>Paper</b>	<b>Led by</b>
B1	2021/22 Research Ethics Audit <u>action plan monitoring</u> :		
	(a) Leeds School of Arts	REE-2021-050	B Dalton
	(b) Built Environment, Engineering & Computing	REE-2021-051	M Pritchard
	(c) Carnegie School of Education	REE-2021-052	M Kakos
	(d) School of Health	REE-2021-053	A Murphy
	(e) Cultural Studies & Humanities	REE-2021-054	A Lawson
	(f) Leeds Business School	REE-2021-055	B Jones
	(g) Leeds Law School	REE-2021-056	N Pillay
	(h) Social Sciences	REE-2021-057	S Price
	(i) Carnegie School of Sport	REE-2021-058	H Fitzgerald
	(j) Events, Tourism, & Hospitality	REE-2021-059	A Kenyon
B2	PREVENT Duty update	Verbal	Chair
<b>Part C: Items for discussion / decision</b>			
C1	Update on a SLWG – Public Involvement in Research (PIR) guidance	Verbal	N Deighton-Smith
C2	Update on verbal/written consent by vulnerable people	REE-2021-060	L Gladstone

C3	Update on development of SLWG on UG ethics	Verbal	H Fitzgerald
C4	Away Day – 23 June 2022	Verbal	Chair

#### **Part D: Other Business**

#### **Led by**

D1*	Draft Schedule of meetings & business 2021/22	REE-2021-061	Chair
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Date of next meeting: **29 September 2022 TBC**

*Shaded items indicate that the Board / Committee is being asked to make a decision.*

*\*Starred items will be taken without discussion unless a member notifies the Chair or Secretary in advance that she or he wishes the item to be open for debate*



## Terms of Reference & Membership

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### *Executive Summary*

No changes to membership have taken place.

### *Action Requested*

The report is for information.

### *Appendices*

Appendix 1 – Terms of Reference

Appendix 2 – Membership

### *Author*

*Name:* Pam McLaren

*Job title:* Personal Assistant

*Date:* April 2022



# RESEARCH ETHICS SUB COMMITTEE TERMS OF REFERENCE

The University Research Ethics Sub-Committee (URESC) is responsible to the Research & Enterprise Committee for overseeing the development and implementation of the University's Policy & Procedures relating to Research Ethics.

The Committee's terms of reference are to:

- (a) oversee and monitor the implementation of, and compliance with, the University's Policy & Procedures for Research Ethics;
- (b) advise the Research & Enterprise Committee on the development of institutional policies and guidelines relating to ethical issues in research arising from teaching, research and other related institutional activities;
- (c) monitor the external research ethics environment and ensure that the University responds to all external requirements;
- (d) advise the Research & Enterprise Committee of the training & development needs of University Staff in relation to research ethics;

## **Delegated Authority**

The Research Ethics Sub-Committee has authority from the Research & Enterprise Committee to consider for approval research projects:

- (a) referred to it by a local research ethics coordinator;
- (b) that involve substantial and / or complex ethical issues;
- (c) where the consent of an external body is required;
- (d) where it is a requirement for funding by an external body.

Staff, and students and their supervisors, may be required to attend the University Research Ethics Sub-committee when their research proposals or other matters relating to the ethics of their research are being discussed.

## **Delegation**

In accordance with the Standing Orders, the Committee may establish short life working groups to perform specific tasks and in so doing must determine their terms of reference, membership (including the Chair who must be a member of this Committee), and lifespan.

## Membership Profile

Members [17]

Quorum [8]

- Director of Research (Chair) [1] – Nominated\*\*
- School Research Ethics Co-ordinators [10] – Nominated\*
- Co-opted members of staff (co-optees must have relevant experience of research ethics) [2] – Nominated\*\*
- External co-opted member [1] Nominated\*\*
- A Research Student [1] – Nominated\*\*\*
- Representative of the University Research Office [1] Nominated\*\*
- Nominated by the University Secretary [1] Nominated

*\* Nominated by Dean of School*

*\*\*Nominated by Research & Enterprise Committee*

*\*\*\* Nominated by the Students' Union*

For non-ex-officio members, terms of office should normally be three years. Students' terms of office should normally be one year.

All nominated staff will be nominated by the respective Dean of School or the Research and Enterprise Committee, unless otherwise specified.

The Constitution of the Committee is made by resolution of the Academic Board on 07 July 2021.

## Research Ethics Sub-committee 2021-2022

Membership [17]

Quorum [8]

<u>Position</u>	<u>Member</u>	<u>Start of term of office</u>	<u>Expiry of term of office</u>	<u>Elected / nominated / ex-</u>
<u>Director of Research (Chair) [1]</u>	Professor Gary Jones	01/09/2019	31/08/2022	Nominated
<u>School Research Ethics Co-ordinators [10]</u>				
Leeds Business School	Dr Brian Jones	01/09/2018	31/08/2022	Nominated
Leeds School of Arts	Dr Ben Dalton	22/05/2019	31/08/2022	Nominated
Carnegie School of Education	Dr Michalis Kakos	01/09/2019	31/08/2022	Nominated
Carnegie School of Sport	Professor Hayley Fitzgerald	01/09/2021	31/08/2024	Nominated
Cultural Studies and Humanities	Dr Andrew Lawson	01/09/2019	31/08/2022	Nominated
Leeds Law School	Dr Nirmala Pillay	31/08/2020	31/08/2022	Nominated
Events, Tourism and Hospitality Management	Dr Alex Kenyon	01/09/2016	31/08/2023	Nominated
School of Health	Dr Angela Murphy	01/09/2021	31/08/2024	Nominated
Leeds School of Social Sciences	Dr Sophia Price	01/12/2018	31/08/2022	Nominated
School of Built Environment, Engineering and Computing	Dr Martin Pritchard	09/12/2021	31/08/2024	Nominated
<u>Co-opted members of staff (must have relevant experience of research ethics) [2]</u>				
1	Dr Andrew Wilson/Dr Nova Deighton-Smith	01/09/2017/ 01/09/21	31/08/2023/2024	Nominated
2	Martin Watson	04/10/2017	31/08/2023	Nominated
<u>External co-opted member [1]</u>	Dr Peter Branney	01/09/2021	01/08/2024	Nominated
<u>One research student [1]</u>	Miriam Pelusi	01/09/2021	30/08/2022	Nominated
<u>Representative from Research &amp; Enterprise Service [1]</u>	Kelly Butterworth/Dr Tina Conkar	08/11/2019	31/08/2022	Nominated
<u>Nominated by the University Secretary [1]</u>	vacant post	01/09/2021	31/08/2024	Nominated

### **NOTES**

*Kelly Butterworth and Tina Conkar to act as representative whilst Stuart Morris is on secondment*

*Dr Nova Deighton-Smith will attend alongside Dr Andrew wilson as a co-opted member and transition to replacing over this academic year.*



## Matters Arising

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### *Executive Summary*

This paper provides an update on matters arising and on matters from previous meetings of the Committee that are not otherwise covered by items on the agenda for this meeting.

### *Action Requested*

The report is for information. The Committee is asked to note the report.

### *Appendices*

Matters Arising.

### *Author*

*Name:* Pam McLaren  
*Job title:* Personal Assistant  
*Date:* April 2022

**Research Ethics Sub-Committee -Matters arising/Update on outstanding actions 26 May 2022**

<b>Minute</b>	<b>Matter and action required</b>	<b>Responsibility</b>	<b>Progress and status</b>
<i>064.2019.REE</i>	<b>Ethics System</b> - It was <b>noted</b> that a system called Infonetica, widely used by other institutions, would be looked at also. The Chair would attend a presentation of this software system in the near future and would report back.	Chair	<b><u>COMPLETE</u></b> - This item was updated at the meeting 22 March 2022.
<i>074.2019.REE and 013.2020.REE</i>	<b>Reviewing the Ethics Policy and Procedures –</b> Following a query regarding block approvals for UG research projects, it was agreed that an item would be discussed at the next meeting.	All/ REF and Research Policy Manager.	<b><u>COMPLETE</u></b> – The review is underway, to be completed by the end of the next academic year.
<i>071.2020.REE</i>	<b>Correct guidance for storing/deleting data –</b> Following a query raised by a Committee member.	Chair	<b><u>COMPLETE</u></b> - Correct guidelines now circulated to the Committee.
<i>072.2020.REE</i>	<b>Social media and children –</b> Following queries raised by Committee members.	Alex Kenyon	<b><u>ONGOING</u></b> - A short life working group now created, to include an external expert.
<i>028-2021.REE</i>	<b>Prevent -</b> There had been one submission, entered by mistake. <b>The Chair would liaise accordingly with Governance and consider how to improve the process.</b>		<b><u>COMPLETE</u></b> – Research Information and Governance team will now take this forward.



26 May 2022

## Leeds School of Arts ethics report

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### ***Executive Summary***

This report is an update on the Leeds School of Arts Research Ethics work.

It covers subject area Local Research Ethics Coordinator (LREC) plans, and data reporting processes.

### ***Action Requested***

This report is for information.

### ***Appendices***

N/A

### ***Author***

*Name:* Dr Ben Dalton

*Job title:* Principal Lecturer, Leeds School of Arts.

*Date:* 12th May 2022

### ***Approval Route***

## **Leeds School of Arts ethics report**

### **Introduction**

1. This report is an update on the Leeds School of Arts Research Ethics work. It covers subject area Local Research Ethics Coordinator (LREC) plans, and data reporting processes.

### **Body of report**

2. How should our ethics approval processes identify and address the ways that research is likely to be applied in potentially unethical contexts even when the justification for the research funding or project is benign? Question arose from discussions around this quote: "Research should not be designed for incorporation into weapons or weapons systems ... We encourage researchers to consider ways in which their contribution could be used to develop, support, or expand weapons systems and to take measures to forestall this outcome." from the recently published draft Code of Ethics of the NeurIPS (Neural Information Processing Systems) AI conference.

3. We invited underrepresented subject areas for LRECs to join our school ethics group so as to include at least one LREC from each subject area. We have begun to follow some other schools in the university in calling the more coordination-oriented role a 'super LREC'.

4. Subject area LREC plans. Given the period of testing of future online ethics software/platform/processes, we are continuing to advocate moving to a multi-LREC undergraduate online ethics model in subject areas in our school that currently only have a couple of LRECs, with each subject group identifying their own approach and timeline to adopting this. Our school research ethics group will support in creating of any further LRECs needed, and in research ethics data collection.

5. Progress on previously reported review of our data reporting:

- a) The Academic Quality Support Office have supplied the most recent online ethics data reports for our school to me to monitor progress. I have been delayed in coordinating analysis and reporting of the summary of this data.

### **Conclusions and recommendations**

6. This report is for information.

### **References and further information**

#### **Authors**

Dr Ben Dalton.

Principal Lecturer, Leeds School of Arts.

12th May 2022



## Research Ethics Audit Action Plan 2021/22 Monitoring Report 3: School of Built Environment, Engineering and Computing

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### *Executive Summary*

This report provides a further update on progress on completing the 2021/22 Research Ethics Action Plan. It indicates that one action has been completed, and four actions are ongoing.

### *Action Requested*

The report is for information.

### *Appendices*

### *Author*

*Name:* Dr Martin Pritchard

*Job title:* Reader

*Date:* 09/05/22

### *Approval Route*

*Not applicable*

## Introduction

The 2021/22 BEEC Research Ethics Audit for the Built Environment, Engineering & Computing subject areas was carried out during November 2021. It included an action plan for 2021/22. This report is an update on progress towards addressing the actions contained therein.

## School of Built Environment, Engineering & Computing Research Ethics - Action Plan 2021/22

Issue	Action	Responsibility	Deadline
1. The university ethics software is dated – it's hard to track and obtain accurate data with ease	Ethics sub-committee to discuss and review the best way forward	Ethics sub-committee	TBC
2. Admin support clarification due to merger of the two schools	To liaise with the School's Academic Services Manager (ASM) to determine whether Josh Bateman will look after all ethics admin issues across the school, or the role will be split between him and Andy Cohen.	SREC/ASM	Before the end of Sem 1 - 21/22
3. Ethics training for staff, researchers and students. Training is especially needed for new members of staff.	Investigate the development of a common online ethics module/quiz for the school (university), either through skills for learning or via MyBeckett.	<i>SREC/LREC/Head of Subject</i>	<i>During 2021/22</i>
4. Modules with low ethics approval submissions	Determine ways to address this issue. For example, investigate the potential of block ethics approval for technical design projects, such as Civil Engineering Major Project.	<i>SREC/LREC</i>	<i>During 2021/22</i>
5. Continue to monitor overseas franchise courses to ensure they are compliant with LBU research ethics procedures	Liaise with CD responsible for overseas franchise courses and with LBU Link tutors to ensure compliance.	SREC/LREC, Franchise course CD and franchise MLs	During 2021/22

### **Actions taken since February 2021:**

- Action 1: It was excellent to be informed of the developments at the last ethics sub-committee, regarding updating the university's ethics software system. If the opportunity presents, the SBEE would like to participate in the trial to pilot the new ethics software system and feedback its suitability for adoption. Also, if possible LRECs would like to find out more about the three software systems being considered (i.e. Informatica, Worktribe and Haplo), and have an input on which one should be trialled, or explore the possibility of trialling all three. For example, a different subject group could trial one of these different software programs and then feedback, which is the most suitable for adoption.
- Action 2: Confirmed in last report.
- Action 3: Training has now been undertaken for all UG/PG students due to submit this academic year. LREC has also undertaken relevant training with other staff members running dissertation modules and the alike. School specific templates, guidance notes and examples of good practise are currently being developed for the academic year 2022/23, i.e. to specifically help BEEC students complete their online ethics applications.
- Action 4: Discussions will continue to take place with relevant module leaders. Also, it appears that some modules within the school might be running assessment that require some form of 'light' ethics approval. These will be looked into, and some form of module ethics approval will be investigated rather than individual students requiring ethics approval.
- Action 5: Discussions will continue to take place with the Course Director for International Collaborations, the Franchise Coordinator, and other relevant staff to ensure that the franchise institutions continue to comply with LBU's research ethics approval procedures. Currently, no problems have developed to-date.

### **Conclusions and recommendations**

Action 2 is complete. Actions 1, 3, 4 and 5 are ongoing, however good progress has occurred in all actions.

### **References and further information**

Not applicable

### **Author**

Dr Martin Pritchard, Reader in Civil Engineering, 9<sup>th</sup> May 2022



## School of Education ethics monitoring report

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### ***Executive Summary***

- The research ethics action plan agreed in 2020 has been consolidated.
- Online training of new LRECs is ongoing. New LRECs get access to the recording of the training on research ethics applications which took place on 6<sup>th</sup> Oct 2021 for School of Education researchers and then have a short meeting with me for questions and clarifications. 8 new LRECs have been trained in this way since Nov 2021.
- The rate of submission and approval of research ethics applications follow the usual pattern for this period in the School of Education (please see table below).
- Next step in Ethics plan includes the development and testing of consent forms for research with students (consent forms to parents and head teachers)

### ***Action Requested***

This report is for information only, it does not describe the response to any actions as no such actions have been requested

### ***Appendices***

### ***Author***

*Name:* Dr Michalis Kakos

*Job title:* Reader

*Date:* 05 May 2022

### ***Approval Route***

N/A

PERIOD: 3<sup>rd</sup> February 2022 to 3<sup>rd</sup> May 2022.

	UG	PG	Research	Staff																																						
Risk 1	Approved by supervisors Total: 13	Approved by supervisors Total: 9	Approved by supervisors Total: 0	Approved by supervisors Total: 0																																						
Risk 2	<table border="1"> <tr> <td>Ktenidis, Antonis</td> <td>2</td> </tr> <tr> <td><b>TOTAL</b></td> <td><b>2</b></td> </tr> </table>	Ktenidis, Antonis	2	<b>TOTAL</b>	<b>2</b>	<table border="1"> <tr> <td>Burton Steve</td> <td>1</td> </tr> <tr> <td>Dobson Tom</td> <td>9</td> </tr> <tr> <td>Gridley, Nicole</td> <td>5</td> </tr> <tr> <td>Ktenidis Antonis</td> <td>1</td> </tr> <tr> <td>Lofthouse Rachel</td> <td>1</td> </tr> <tr> <td>Maher Antony</td> <td>1</td> </tr> <tr> <td>Van Rossum Tom</td> <td>1</td> </tr> <tr> <td><b>TOTAL</b></td> <td><b>19</b></td> </tr> </table>	Burton Steve	1	Dobson Tom	9	Gridley, Nicole	5	Ktenidis Antonis	1	Lofthouse Rachel	1	Maher Antony	1	Van Rossum Tom	1	<b>TOTAL</b>	<b>19</b>	<table border="1"> <tr> <td>Dobson Tom</td> <td>1</td> </tr> <tr> <td>Kakos Michalis</td> <td>1</td> </tr> <tr> <td><b>TOTAL</b></td> <td><b>2</b></td> </tr> </table>	Dobson Tom	1	Kakos Michalis	1	<b>TOTAL</b>	<b>2</b>	<table border="1"> <tr> <td>Beaton, Mhairi</td> <td>1</td> </tr> <tr> <td>Dobson, Tom</td> <td>5</td> </tr> <tr> <td>Kakos, Michalis</td> <td>2</td> </tr> <tr> <td>Lofthouse, Rachel</td> <td>1</td> </tr> <tr> <td>Maher Antony</td> <td>4</td> </tr> <tr> <td><b>TOTAL</b></td> <td><b>13</b></td> </tr> </table>	Beaton, Mhairi	1	Dobson, Tom	5	Kakos, Michalis	2	Lofthouse, Rachel	1	Maher Antony	4	<b>TOTAL</b>	<b>13</b>
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Risk 3	No Risk 3 UG Ethics Applications have been approved within this timeframe.	<table border="1"> <tr> <td>Dobson Tom</td> <td>1</td> </tr> <tr> <td>Maher Antony</td> <td>1</td> </tr> <tr> <td><b>TOTAL</b></td> <td><b>2</b></td> </tr> </table>	Dobson Tom	1	Maher Antony	1	<b>TOTAL</b>	<b>2</b>	No Risk 3 Research Ethics Applications have been approved within this timeframe.	No Risk 3 Research Ethics Applications have been approved within this timeframe.																																
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26 May 2022

## School Research Ethics update and audit action plan 2021-22

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### ***Executive Summary***

This report provides an update on the School research ethics group, the research ethics audit action plan for 2021-22 and research ethics generally in the School:

- The research ethics group, comprising the School Research Ethics Co-ordinator and the School's Local Research Ethics Co-ordinators (17 staff), met on 2 March 2022 and the next meeting is planned for 16 May.
- Progress has been made on actions from last year's research ethics audit.

This report was received by the School Academic Committee on 5 May 2022.

### ***Action Requested***

The report is **for information**.

### ***Appendices***

n/a

### ***Author***

Name: Dr Angela Murphy  
Job title: School Research Ethics Co-ordinator  
Date: May 2022

### ***Approval Route***

n/a



**SCHOOL OF HEALTH Research ethics audit action plan 2021-22**

	<b>Issue in 2020-21</b>	<b>Action in 2021-22</b>	<b>Responsibility</b>	<b>Deadline</b>	<b>Progress at May 2022</b>
1	Aligning of research ethics processes in the new School of Health in 2021-22	We will review our processes to ensure these are aligned, e.g., data protection information, risk assessments.	School Research Ethics Co-ordinator/ LRECs/ research ethics administrator	Semester 2, 2021-22	<p>We have advised 'SHCS' staff of the new processes for applications (student and staff) where personal data is being collected for the submission of a Data Protection Checklist and the requirement of including details of and the link to the LBU Research Participant Privacy Notice in all Participant Information Sheets (or equivalent).</p> <p>Staff have also been advised about the Risk Assessment form requirement for category 2 and 3 projects. This includes text and links relating to Covid-19 for face-to-face research.</p> <p>We will align the additional text in Research module handbook for research ethics breaches and academic integrity processes in 2022/23 and guidance for the maximum number of student submissions. If it comes to light that there are other processes not aligned during the year, they will be reviewed then.</p>
2	Data management information provided by students for Q7 (Personal Data, Anonymity and Confidentiality) of the application form (SHCS)	Research module leaders and research supervisors to be asked to highlight the requirements of this question to students. A short School prompt will be provided. We will also revisit the information provided on Participant Information Sheets and consent forms regarding GDPR and data management.	School Research Ethics Co-ordinator/ research ethics administrator/ research module leaders/ research supervisors	November 2021 for prompt	<p>A prompt for the answer for Q7, Personal Data, Anonymity and Confidentiality has been added to the Data Protection Checklist. We will review its usage as part of this year's audit and have asked for feedback from research supervisors and LRECs.</p> <p>There is an outstanding query with Quality Assurance Services and the Information Compliance team regarding students on franchise courses based outside of the UK regarding the security requirements for storing personal data, when students do not have access to LBU file storage, and their usage of our Data Protection Checklist.</p>

	<b>Issue in 2020-21</b>	<b>Action in 2021-22</b>	<b>Responsibility</b>	<b>Deadline</b>	<b>Progress at May 2022</b>
3	Increase in social media usage in research	In view of the increase in projects using social media, to review the guidance provided to students.	School Research Ethics Co-ordinator/ Research module leaders/ research supervisors/ research ethics administrator	December 2021	This is an agenda item for LREC meetings, establishing current practice across the School of Health. We await the updated report from the University Research Ethics Sub-committee's short life working group on social media usage for research projects. In the meantime, external guidance is available for research supervisors in the School's research ethics folder together with the Carnegie School of Sport's guide to social media research.
4	LRECs' workloads and significant increase in students undertaking dissertation modules in 2021-22	This is to be monitored regularly in the relevant subject groups and to be discussed at LRECs meetings.	LRECs and Course Directors	Throughout 2021-22	LRECs have also been asked to monitor if projects are requiring resubmissions due to the requirements for GDPR (data protection checklist and privacy notice) and/or risk assessment forms which would therefore be adding to their workloads as to the number of times a project is being reviewed. Since 1 September 2021, the School LRECs have reviewed 198 Category 2 and 3 applications and resubmissions from students and 42 applications and resubmissions from staff.
5	Courses new to research ethics embedding research ethics procedures (SHCS item)	The course teams of courses new to research ethics processes to advise their LRECs, Link Tutor, the SREC and the research ethics administrator, of any support and training required in 2021-22 for the embedding of procedures.	Research module leaders/ LRECs/ School Research Ethics Co-ordinator/ research ethics administrator/ Link tutor	October 2021	The research module leaders for new courses have confirmed that students have been informed about the research ethics requirements and no further support is required. Students are following the processes and submitting applications.
6	Staff training sessions (SHCS item)	To resume ethics training for new and interested staff.	School Research Ethics Co-ordinator	Semester 1, 2021-22	Sessions took place on 20 October and 16 December 2021 (total 22 staff attended). A recorded presentation is also saved in the School research ethics folder for staff unable to attend the sessions.
7	School LREC meetings (SHCS item)	To organise regular LREC meetings.	School Research Ethics Co-ordinator/ LRECs	Semester 1, 2021-22	Meetings took place 13 October and 8 December 2021 and 2 March 2022. The next meeting is planned for 16 May 2022.

## CSH 2021-22 Action Plan Monitoring Report

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### ***Executive Summary***

This report for the University Research Ethics Sub-Committee summarizes progress on actions identified in the 2012 Audit Report.

### ***Action Requested***

None

### ***Appendices***

None

### ***Author***

*Name:* Andrew Lawson  
*Job title:* Reader in English  
*Date:* 16/5/22

### ***Approval Route***

<Date><Month><Year> <Approving Person / Body>  
<Date><Month><Year> <Approving Person / Body>  
<Date><Month><Year> <Approving Person / Body>

## School Research Ethics Audit 2021/22 action plan monitoring

### School of Cultural Studies and Humanities

Issue	Action	Responsibility	Deadline
Improve guidance to students on making applications in dissertation module guides and include warnings about non-compliance. Make this uniform and consistent across subject areas.  Include Panopto talk on research ethics application process on MyBeckett for all UG courses.	Ongoing.	Andrew Lawson/Module Tutors	1/9/21
Improve applications by new PGR students	Students were written to individually with reminders in the first week of November 2021; DoS copied in.	Andrew Lawson	5/11/21

Andrew Lawson

16/5/22

## Leeds Business School Research Ethics monitoring report

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### ***Executive Summary***

This report records the progress being made in addressing the LBS Research Ethics 2021-22 action plan.

### ***Action Requested***

Feedback and discussion are welcome.

### ***Introduction***

An LBS LREC meeting was held in March and issues pertaining to the school were discussed. The option for LBS to be involved in the piloting phase of a new Research Ethics system was welcomed and is something to be explored and taken forward.

In May all LBS academic colleagues were emailed to remind them to progress applications for Research Ethics and were updated on the most recent guidance from the Chair of URESC on in-person research. Since the last meeting a handful of issues/queries have been raised by LBS colleagues and these have been resolved.

The January to May period is a busy time for UG submission of research ethics applications and these were processed in a timely manner. The period from April to June is a busy time for PG submission of research ethics applications and these are being kept under review.

### ***Appendices***

N/A

### ***Author***

*Name:* Brian Jones

*Job title:* Senior Lecturer

*Date:* 12-5-22

A Brief Overview of Research Ethics applications:

**2021/22 Applications and Statistics:**

UG Ethics Applications

School	Title	Student Numbers	Apps Submitted	% Apps Submitted	Apps Approved	% Apps Approved	Apps Not Submitted
PRJ	PR Dissertation	15	11	73%	8	53%	4
PRJ	Journalism Project	16	16	100%	16	100%	0
AccFin	Accounting Dissertation	10	9	90%	6	60%	1
BSOE	Business Studies Dissertation	5	5	100%	5	100%	0
BSOE	BAHIB Dissertation	5	4	80%	3	60%	1
BSOE	UG Consultancy Project	471	384	82%	343	73%	87
LGPM	HR Research Skills	27	22	81%	21	78%	5
Mktg	Marketing Consultancy Project	29	29	100%	29	100%	0
BSOE	DA Open C1 OIP	10	7	70%	6	60%	3
BSOE	DA Open C2 OIP	10	9	90%	9	90%	1
BSOE	DA Wakefield OIP	12	11	92%	11	92%	1
	<b>Total</b>	<b>610</b>	<b>507</b>	<b>83%</b>	<b>457</b>	<b>75%</b>	<b>103</b>

PG Ethics Applications

BSOE	PG Dissertation - Jan 21 starts	115	106	92%	92	80%	9
BSOE	PG Dissertation - Sept 21 starts	138	29	21%	10	7%	109
BSOE	Live Commercial Project	13	13	100%	11	85%	0
PRJ	PR Dissertation	7	7	100%	7	100%	0

BSOE	Grad MBA	44	39	89%	33	75%	5
PRJ	PR Project?	26	5	19%	1	4%	21
BSOE	Live Commercial Project	3	3	100%	3	100%	0
<b>Total</b>		346	202	58%	157	45%	144

Please note where PG modules have low approval, these are modules to be submitted in September 2022 so just entering the ethics process now.

Progress is being made with the LBS research ethics action plan.

***Appendices***

N/A

***Author***

Brian Jones  
Senior Lecturer  
12-5-22

***Approval Route***

N/A

# RESEARCH ETHICS SUB-COMMITTEE

26 May 2022

## Leeds Business School Research Ethics - Action Plan 2021/22

Issue	Action	Responsibility	Deadline
Guidance and monitoring of franchise/overseas applications. The link tutor allocated to MBA programmes will work with them to ensure ethics process is followed appropriately.	To ensure all relevant module/course leaders, course directors, supervisors and LRECS are aware of the off-line process, we will: <ol style="list-style-type: none"> <li>I. Identify all programme leads</li> <li>II. Circulate up to date policies and procedures</li> <li>III. Provide additional training and support to programme leads</li> <li>IV. Report progress at each SREG</li> </ol>	SREG Co-ordinator, Research Ethics Support and LRECs	<ol style="list-style-type: none"> <li>I. End November 2021</li> <li>II. End December 2021</li> <li>III. End February 2022</li> <li>IV. Quarterly</li> </ol>
Increase completion rates of home UG and PG applications	To ensure all UG and PG students are compliant, we will: <ol style="list-style-type: none"> <li>I. Identify all programme leads</li> <li>II. Circulate up to date policies and procedures</li> <li>III. Provide additional training and support to UG programme leads</li> <li>IV. Report progress at each SREG</li> </ol>	SREG Co-ordinator, Research Ethics Support and LRECs	<ol style="list-style-type: none"> <li>I. End November 2021</li> <li>II. End December 2021</li> <li>III. End February 2022</li> <li>IV. Quarterly</li> </ol>
Ensure all staff remain aware of Data Storage Procedures	To ensure all staff comply with Data Storage requirements, we will: <ol style="list-style-type: none"> <li>I. Circulate guidance and template</li> <li>II. Offer specific training for research active staff and LRECs</li> <li>III. Review and provide additional guidance as necessary</li> <li>IV. Report progress at each SREG</li> </ol>	SREG Co-ordinator and Research Ethics Support	<ol style="list-style-type: none"> <li>I. End October 2021</li> <li>II. End January 2022</li> <li>III. From end of November 2021</li> <li>IV. Quarterly</li> </ol>



Remind staff of the importance of GDPR changes affecting research practices	<p>To ensure staff and students are aware of new regulations, we will:</p> <ul style="list-style-type: none"> <li>I. Review current practices and consider the implications of GDPR on these</li> <li>II. Schedule a series of training sessions to outline the new requirements</li> <li>III. Provide ad hoc support and guidance as necessary</li> <li>IV. Review progress at each SREG</li> </ul>	SREG Co-ordinator and Research Ethics Support	<ul style="list-style-type: none"> <li>I. End November 2021</li> <li>II. End December 2021</li> <li>III. End June 2022</li> <li>IV. Quarterly</li> </ul>
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# RESEARCH ETHICS SUB-COMMITTEE

26 May 2022

## **Conclusions and recommendations**

Research ethics is kept under review and issues that arise are addressed and where necessary advice is sought. The focus remains on improving the results from 20-21.

## **References and further information**

N/A

Brian Jones, Senior Lecturer, 12-5-2022

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# RESEARCH ETHICS SUB-COMMITTEE

26 May 2022

REE-2021-055  
OPEN



## Leeds Law School 2021-22 Research Ethics Action plan monitoring

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### ***Executive Summary***

This report is for information.

### ***Action Requested***

### ***Appendices***

N/A

### ***Author***

*Name:* Dr N Pillay (*Reader and Postgraduate Course Director Academic*)  
*Job title:* School Research Ethics Group Coordinator  
*Date:* May 2022

### ***Approval Route***

N/A

## Research Ethics Report: School of Law May 2022

<b>Name of School:</b>	School of Law
<b>Author of School Report:</b>	Dr Nirmala Pillay
<b>Outcomes / Actions carried over from the last audit undertaken via the old faculty structure:</b>	
<p>All dissertation students submit an ethics application form but 20 and 40 credit dissertation students do not apply for approval for risk levels 2 and 3. This has made the ethics process easier and clarified for the students the kinds of research that can be undertaken for their degree level.</p>	
<b>What is the impact of the changes implemented as a result of the action plan?</b>	
<p>The outcome of embedding research ethics in module handbooks and the timelines of the each module, including in the distance learning modules, and the close monitoring of ethics completion rates meant that there was a very high degree of compliance with the ethics requirements system from both students and staff.</p>	
<p>Recently there were some problems with the online system and this was raised at the last University Ethics meeting.</p>	

### 2021/22 Applications and Statistics:

Discuss the number of ethical applications made and the categories in which they were submitted. Tables 1, 2 and 3.

The LREC and administrator conducted a complete audit in January of all the courses requiring a piece of independent study to be submitted in January. In those cases, where no applications were made by students the submission dates are in May.

There is a high degree of compliance with the process. Students are reminded on a very regular basis to complete the ethics application process. Undergraduate and Masters level applications are at very low levels of risk.

**Do these figures demonstrate anything which the sub-committee may need to be aware of?**

No

### Overview of Staff Development and Attendance at Staff Development:

Ethics compliance has been part of the discussion in the law School through various forums.

Supervision of UG and PG dissertations are undertaken by most of the law staff and the module leaders of the courses involving independent study ensure that supervisors are aware of the ethics requirements and the dates for form compliance. This has been embedded into every module.

Outcomes of the Sampling Exercise and School Academic Committee scrutiny:

The LREC reports to the School Research Committee on rate of compliance with the ethics process.

Research ethics and student projects undertaken outside of the UK:

Provide a review of what Schools have in place to assure themselves that international students are complying with the University's Research Ethics Policy and procedures.

We have no international students registered this year requiring ethical approval

Information provided to students regarding non-compliance with the Research Ethics Policy:

Provide a review of the guidance provided by each School in the module handbooks concerning the consequences of failing to adhere to the University policy & procedures for research ethics.

At present the handbooks state the mandatory nature of obtaining ethical approval and indicates that dissertations may not be considered if there is failure to comply. The consequences for non-completion of the ethics process is under review.

### School of Law Research Ethics - Action Plan 2021/22

<b>Issue</b>	<b>Action</b>	<b>Responsibility</b>	<b>Deadline</b>
1. Consequences of non-compliance with ethics processes	Consultation for consideration by the Law School Research Group	LREC	30 May 2022
2. Staffing – administration support for Ethics processes	Completed action	School Management	30 October 2021






**Table 2 Postgraduate Taught course Research Ethical Authorisation and Approval for the Academic Year 2021/22**

Subject Group/School	Courses / Modules	Number of ethical authorisations	Number of local level ethical approvals	Number of School level ethical approvals	Number of University Level ethical approvals	Number of students expected to apply for Ethical authorisation or approval	Difference in number of students enrolled and decisions made	Comments on figures by course.
LLM IRLP						<i>(how many students in a L7 cohort expected to undertake a Major Independent Study project or similar)</i>		Deadline not yet passed for the ethics applications. This will be in the next report.
GDL IRLP								

**Table 3 – Postgraduate Research Ethical Authorisation and Approval for the Academic Year 2021/22**

Subject Group/School	Number of ethical authorisations	Number of local level ethical approvals	Number of School level ethical approvals	Number of university level ethical approvals	Total number of ethical authorisations / approvals required for new students	Difference in number of students enrolled and decisions made	Comments
PhD	1	1	1	None	1	No difference	Risk level 2/3 approved

**Table 4 – Staff Ethical Authorisation and Approval for the Academic Year 2021/22**

Subject Group/School	Number of local level ethical approvals	Number of School level ethical approvals	Number of university level ethical approvals	Total number of ethical approvals required for staff projects.	Difference in number of students enrolled and decisions made	Comments
Law	2	2	None	2	None	On one of the applications there was amendment to a previous application to include more participants.



## LSSS Research Ethics Report 2021-2022

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### ***Executive Summary***

Research Ethics Report, May 2022

### ***Action Requested***

N/A

### ***Appendices***

N/A

### ***Author***

***Name : Dr Sophia Price***

***Job : Head of Politics and International Relations***

***Date : 12<sup>th</sup> May 2022***

### ***Approval Route***

<Date><Month><Year>      <Approving Person / Body>

<Date><Month><Year>      <Approving Person / Body>

<Date><Month><Year>      <Approving Person / Body>

## Research Ethics Report Covering 2021/2022 May – Leeds School of Social Sciences

<b>Name of School:</b>	School of Social Sciences		
<b>Author of School Report:</b>	Dr Sophia Price		
<b>School of Social Sciences Research Ethics - Action Plan 2020/21</b>			
<b>Issue</b>	<b>Action</b>	<b>Responsibility</b>	<b>Deadline</b>
1	Review ethics procedure and best practice for research undertaken in prison	SRECs and LRECs	August 2022
2	Update Covid related guidance to School re undertaking research overseas	LREC	Completed
3	Undertake initial audit of UG research ethics approval	LREC	Completed

### Applications and Statistics:

An initial audit of 2021-2022 research ethics approvals has been completed. The data is complete and final for UG approvals, with the audit for PG approvals to be completed by September 2022.

Course	Approved Supervisor	Approved LREC	Approved LREC	Approved School	Approved School	PREVENT	Total Ethical Approvals	Total Expected	Diff	Notes
	Cat 1	Cat 2	Cat 3	Cat 2	Cat 3	UREC				
PSYCHOLOGY & SOCIETY (BASOP)	16	17	0	0	0	0	33	39	-6	
POLITICS & IR	67	1	0	0	0	0	68	68	0	
CRIMINOLOGY; CRIMINOLOGY PSYCHOLOGY (CRIME/BACWP)	235	17	0	0	0		252	265	-13	14 with mits
SOCIOLOGY (BASPS/BASCR /SOCIY)	55	34	0	0	0	0	89	100	-11	
PSYCHOLOGY	26	104	46	0	0	0	176	177	-1	
<b>TOTAL</b>	<b>405</b>	<b>175</b>	<b>46</b>	<b>0</b>	<b>0</b>	<b>0</b>	<b>618</b>	<b>649</b>	<b>-31</b>	

It should be noted that the significant rise in Risk Cat 3 approvals relates to the advice to L6 applicants in Psychology ( particularly in relation to undertaking research in sensitive subjects )

Impact of Covid-19 restrictions upon research ethics: Updated advice has been given to staff following the ending of Covid Restrictions.

Overview of Staff Development and Attendance at Staff Development: None held

Outcomes of the Sampling Exercise and School Academic Committee scrutiny:

The SREC has undertaken a review of a number of student applications throughout the year as part of the ongoing review process.

#### Research ethics and student projects undertaken outside of the UK:

The possibilities for student research to be undertaken outside of the UK are perhaps most evident within the School's distance learning provision. Both Social Sciences courses that are delivered online (MSc Psychology and MA International Relations) have compulsory research methods modules. Within these modules students are required to undertake the same training and processes as campus based students, including training on data storage and risks. Students on MSc Psychology (Distance Learning) are not permitted to undertake Category 3 projects, and are advised to use the UK-based online questionnaire system (Qualtrics), which sits within the UK data protection framework.

Where research is being undertaken outside the UK we have required that research ethics application include evidence of local regulations and guidance on Covid to ensure that the students are operating within the domestic regulations where they are resident. These requirements have also been applied to staff applications for research work in collaboration with overseas partners, including the use of overseas research assistants

#### Information provided to students regarding non-compliance with the Research Ethics Policy:

All appropriate modules (usually the Dissertation/Independent Project/ Research Methods module) include training on Research Ethics. Module handbooks and the VLE contain links to Research Ethics Online system. LRECs within the School have focussed on ensuring that the regulations on non-compliance are clear to both students and supervisors. A guide produced for Students and Supervisors has been produced by the Research Ethics Sub Committee, and was disseminated in the October 2019 School training event.

#### School of Social Sciences Research Ethics - Action Plan 2020/21

<b>Issue</b>	<b>Action</b>	<b>Responsibility</b>	<b>Deadline</b>
1.	Review ethics procedure and best practice for research undertaken in prison	SRECs and LRECs	August 2022
2.			
3.			

**Appendices: Research Ethics Audit Report Covering 2020/21 – School of Social Sciences**

**Table 1 – Undergraduate Research Ethical Authorisation and Approval for all courses that have a Major Independent Study, dissertation, research project or equivalent for the Academic Year 2020/21**

Course	Approved Supervisor	Approved LREC	Approved LREC	Approved School	Approved School	PREVENT	Total Ethical Approvals	Total Expected	Diff	Notes
	Cat 1	Cat 2	Cat 3	Cat 2	Cat 3	UREC				
PSYCHOLOGY & SOCIETY (BASOP)	16	17	0	0	0	0	33	39	-6	
POLITICS & IR	67	1	0	0	0	0	68	68	0	
CRIMINOLOGY; CRIMINOLOGY & PSYCHOLOGY (CRIME/BACWP)	235	17	0	0	0		252	265	-13	14 with mits
SOCIOLOGY (BASPS/BASCR /SOCIY)	55	34	0	0	0	0	89	100	-11	
PSYCHOLOGY	26	104	46	0	0	0	176	177	-1	
<b>TOTAL</b>	<b>405</b>	<b>175</b>	<b>46</b>	<b>0</b>	<b>0</b>	<b>0</b>	<b>618</b>	<b>649</b>	<b>-31</b>	



**Table 2 Postgraduate Taught course Research Ethical Authorisation and Approval for the Academic Year 2020/21**

Course	Approved by supervisor	Approved by LREC		No. of local level ethical approvals	No. of School level ethical approvals	No. of university level ethical approvals	Prevent	Total ethical approvals	Total no. enrolled	Difference in no. of students enrolled and decisions made	Comments
	C1	C2	C3				UR EC				
MSc Psychology	5	31	1			0	0	37			
MSc Speech and Lang ( MSPLT)	3	21	5					29			
MSc Criminology (CRIMI)	6	2				0	0	8			
PIR L7	1	1				0	0	2			
MA Interdisciplinary psychology						0	0				
<b>TOTAL</b>						0	0				

**Table 3 – Postgraduate Research Ethical Authorisation and Approval for the Academic Year 2020/21**

**NB incomplete data**

Subject Group	No. of ethical authorisations	Approved by supervisor	Approved by LREC		No. of local level ethical approvals	No. of School level ethical approvals	No. of university level ethical approvals	Total no. of existing ethics approvals	Total no. of ethics approvals	Total no. of approvals required for new students	Total no. enrolled	Difference in no. of students enrolled and decisions made
		C1	C2	C3								
PHD Psychology	<b>13</b>	5	5	3			<b>0</b>					
MRES Psychology	<b>0</b>	0	0	0	<b>0</b>	<b>0</b>	<b>0</b>					
MRES SLT	<b>0</b>	0		0		<b>0</b>	<b>0</b>					
PHD Sociology/ Criminology	<b>0</b>	0					<b>0</b>					
PHD PIR	0	0		0		<b>0</b>	<b>0</b>					
<b>TOTAL</b>							<b>0</b>					

**Table 4 – Staff Ethical Authorisation and Approval for the Academic Year 2018/19**

NB incomplete data

Subject Group/School	C1	C2	C3	Number of local level ethical approvals	Number of School level ethical approvals	Number of university level ethical approvals	Total decisions	Percentage of Staff group with ethical approval*	Comments
LSSS	13	25	13	<b>51</b>	<b>0</b>	<b>0</b>	<b>51</b>		
<b>Total</b>					<b>0</b>	<b>0</b>			

- **Staff percentages = TBC**

26 May 2022

## 2021/ 2022 Research Ethics Audit Outcomes – Action Plan Monitoring (Carnegie School of Sport)

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### *Executive Summary*

An update on the 2021 / 2022 Research Ethics Action Plan from the Carnegie School of Sport.

### *Appendices*

Appendix 1. Action Plan and Progress to Date

### *Author*

*Hayley Fitzgerald*

*Professor of Disability and Youth Sport*

*13<sup>th</sup> May 2022*

# RESEARCH ETHICS SUB-COMMITTEE

26 May 2022

**Appendix 1: School of Sport: Research Ethics - Action Plan 2021/22**

Issue	Action	Responsibility	Deadline	Progress
1. Continue to ensure staff and students are aware of the research ethics policy and procedures.	Provide training on research ethics policy and procedures for staff where appropriate.  Continue to ensure all students have ethical approval for work submitted.	Chair/ Academic Lead LREC's/Local LREC's/MIS Co-ordinators	31/07/22	Training has been delivered to Super LREC's focussing on the risk assessment dimension of research ethics.  Super LREC's have cascaded this risk assessment training within Academic Groups and also offered more general ethics training to new staff within the School.  Training will be an on-going action throughout the year.
2. To support staff/LRECs with resources	Provide exemplar ethics applications, especially UG applications.	Chair/LRECs/ Supervisors	31/07/22	This is an on-going item, which is discussed at each advisory group meeting.
3.To continue to provide feedback to URESC on the University Policy, Procedures and Online system	Written and verbal communications to the Chair of URESC and the committee.	Chair	31/07/22	Ongoing.
4. Sampling procedure for UG/PG ethics applications.	To undertake appropriate sampling of ethical submissions.	Chair/SREG	31/07/22	Ongoing.
5. Annual Review of 'Best Practice'.	Delivery of relevant workshops, discussing our 'Best Practice'.	Chair/SREG	31/07/22	Ongoing.

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6. SLREC succession Planning	Discuss with Course Directors about succession planning for SLREC's, with a local mentoring system.	Chair	31/07/22	Succession planning will be an agenda item at the next SoS Advisory Group meeting.
7. Review and updating research ethics guidance documents	Review and where appropriate update research ethics guidance documents	Chair	31/07/22	Currently a working group is reviewing the Invasive Procedures guidance (led by Dr Harry Theocharis)
8. Facilitate discussions about UG research ethics	Initiate meetings with SLECs and UG module leaders to establish views on UG research ethics expectations and process	Chair	31/07/22	Conducted three meetings with 20 SoS members of staff. Will report initial observations at May university Research Ethics Sub-Committee

26 May 2022

## School of Events, Tourism and Hospitality

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### ***Executive Summary***

Research Ethics forms were updated in September 2021. An audit is taking place in June 2022 for UG, PG, PhD and Staff via the documents posted via Research Ethics Online.

Key reading and documentation for Social Networking Sites (SNS) and Social Media and Storage of and Deletion of: Research Data has been shared with all colleagues. Training on Social Media Sites and Social Media research is taking place at Planning Days during May/June 2022

Storages of and Deletion of: Research Data has been shared with colleagues.

This report provides the Audit for the Academic Year 2021/22 ETHM Staff.

### ***Action Requested***

N/A

### ***Appendices***

2021/22 Staff Research Ethics Audit by number. An audit of documents will take place in June 2022.

### ***Author***

*Dr Alexandra Kenyon*

*Job title: Course Director*

*Date: 13<sup>th</sup> May 2022*

### ***Approval Route***

<Date><Month><Year> <Approving Person / Body>

<Date><Month><Year> <Approving Person / Body>

<Date><Month><Year> <Approving Person / Body>

## Research Ethics Audit Report Covering 2020/21

<b>Name of School:</b>	<b>School of Events, Tourism and Hospitality Management</b>
<b>Author of School Report:</b>	<b>Dr Alexandra Kenyon</b>
<p>Outcomes / Actions carried over from the last audit undertaken:</p> <p><b>Item 1</b> <b>Research Ethics Submitted Document Audit Planned Training as Necessary</b> An Audit of Research Ethics forms submitted Online from UG, PG, PhD and Staff will take place in June 2022. In Academic Year 2021/22 Research Ethics documentation was updated; if errors/poor documentation identified further training will take place.</p> <p><b>Item 2</b> <b>Research Ethics Social Networking Sites (SNS) and Social Media Reading and Documentation</b> Research Training taking place at Planning Days during May/June</p> <p>The documents; via the shared link, will be shared with all via our School of ETHM School Academic Committee Minutes and announced at Team Meetings.</p> <p>The SNS and Social Media Research Ethics Suggested Reading and examples of documentation are available via <a href="#">Research Ethics Social Networking Sites and Social Media</a></p> <p>The suggested reading and documentation has been shared University-wide from the Research Ethics Committee and Governance. Updates will be added when appropriate.</p> <p>Training will take place with staff during Planning Days June/July 2022.</p> <p><b>Item 3</b> <b>Storage of and Deletion of: Research Data</b> The document and information regarding the sharing of and deletion of data is now shared via the link below, have been shared with all via our School of ETHM School Academic Committee and also communicated School-wide.</p> <p>Guidance regarding Storage and Deletion of Research Data is detailed under tab 9. Research. <a href="https://www.leedsbeckett.ac.uk/-/media/files/policies/information-governance/upig_records_retention_schedule.xlsx">https://www.leedsbeckett.ac.uk/-/media/files/policies/information-governance/upig_records_retention_schedule.xlsx</a> Updates will be added when appropriate by Compliance.</p> <p><b>Item 4</b> The appendix shows a Postgraduate and Undergraduate</p>	

**Overview of Staff Development and Attendance at Staff Development:**



**Research Ethics Training**

There are 2 members of staff joining our School; Research Ethics Training will take place.

**Research ethics and student projects undertaken outside of the UK:**

Supervisors in Leeds and Nepal are aware of research ethics for student projects outside the UK; Nepal supervisors were made fully aware of this, and compliance shown in the Research Ethics forms. Continuous.

**Information provided to students regarding non-compliance with the Research Ethics Policy:**

Non-Compliance is rare because:

Each area of the School of ETHM provide information in the module handbooks concerning the consequences of failing to adhere to the University policy and procedures for research ethics.

Deadline dates are provided to ensure all students complete the necessary documentation in a timely manner.



26 May 2022

Research Staff Ethics Audit 2021/22

School: Events, Tourism and Hospitality Management

Staff Ethical Authorisation and Approval for the Academic Year 2021/22

Subject Group/School	Number of local level ethical approvals	Number of School level ethical approvals	Number of university level ethical approvals	Total number of ethical approvals required for staff projects.	Difference in number of applications and decisions made	Comments
Events Management	0	12	1	13	0	1 application rejected but approved on resubmission.
Tourism and Hospitality Management	0	3	0	3	0	



## Update on verbal/written consent by vulnerable people

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### ***Executive Summary***

Views of a member of the Equality, Diversity and Inclusion group have been sought.

### ***Action Requested***

The report is for information.

### ***Appendices***

N/A

### ***Author***

*Name:* Lorna Gladstone  
*Job title:* Head of Information Governance  
*Date:* May 2022

### ***Approval Route***

N/A

## **EDI Views – Obtaining consent from vulnerable groups**

### **Introduction**

Following a presentation delivered to the last Research Ethics Sub-Committee relating to obtaining consent from vulnerable groups there was an action to obtain the views of a member of the Equality, Diversity and Inclusion group.

A discussion took place between Kate Cunningham, Acting Head of Disability, Student Services and Lorna Gladstone, Head of Information Governance where Kate provided a few more pointers for consideration from an EDI perspective when obtaining consent from vulnerable groups. These are listed below:

- The type of vulnerability will depend on the approach taken when obtaining consent. Different approaches on how consent is explained and handled may be required for different individuals / groups;
- Always provide a relevant discussion beforehand and talk through the consent form to ensure the individuals are fully informed and understand what they are consenting to.
- Provide a contact for the individuals / groups for any further help and advice.
- Clearly need to explain what needs to be done if they want to change their minds and remove consent.
- Always use plain English in consent forms and documentation. The Plain English Campaign, who have crystal marked thousands of documents for clarity, have published a series of plain English guides [Free guides \(plainenglish.co.uk\)](https://www.plainenglish.co.uk) to support organisations in writing public facing documentation.
- Need to make sure you have thought about the various diversity pro nouns to be used in your discussions and documentation.
- Include a statement to inform individuals that consent forms can be made available in alternative formats including audio, braille, various languages.

- Consider including a standard statement containing details of who to contact for further help or support. The types of support could be collated, and emerging trends could determine service improvement.
- Legal services have a 3<sup>rd</sup> party consent form for use if LBU need to obtain consent from a third party.

26 May 2022

## Schedule of meetings and business 2021/22

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### ***Executive Summary***

The report presents the Sub-Committee's schedule of meetings and business for 2021/22.

### ***Action Requested***

The report is for information and discussion. The Sub-Committee is invited to note its schedule of meetings and business for 2021/22.

Should any additional items be identified that are agreed to come to future meetings then these items will be added to the schedule.

Please contact the Chair and Secretary of the meeting if you wish to propose additional items of business.

### ***Appendices***

None

### ***Author***

*Name:* Pam McLaren  
*Job title:* Personal Assistant  
*Date:* May 2022

## Research Ethics Sub-Committee: Schedule of meetings and business for 2021/22

<b>28 September 2021</b> Deadline – <b>14 September 2021</b>	<b>09 December 2021</b> Deadline – <b>25 November 2021</b>	<b>03 March 2022</b> Deadline – <b>17 February 2022</b>	<b>26 May 2022</b> Deadline – <b>12 May 2022</b>
School Research Ethics Audits Outcomes 2020/21	2021/22 Research Ethics Audit – action plan monitoring	2021/22 Research Ethics Audit – action plan monitoring	2021/22 Research Ethics Audit – action plan monitoring
Research Ethics online application process and Multi-Factor Authentication – B Jones	2021/22 Annual PREVENT Update	IT discussion of online ethics system	Update on a SLWG – Public Involvement in Research (PIR) guidance
University position on face-to-face research for this academic year	Update on SLWG Social media – A Kenyon	Update on SLWG – PPI	Update on verbal/written consent by vulnerable people
Review of ethics policy and procedures	External ethics training- reflection	Verbal/written consent by vulnerable people – Lorna to look at examples	Update on development of SLWG on UG ethics
Longstanding issue with research ethics being inaccessible to students who do not automatically roll into the next academic year.	UG ethical review	Update on SLWG on UG ethics	Away Day – 23 June 2022
	Upgrading or patching the online ethics system	Face-to-face away day dates before end of academic year 2022	
	Patient public involvement (PPI) and ethics in research		
<b>Standing items</b>			
Membership & terms of reference (generally first meeting only but also should feature on the agenda when there are any changes proposed to the TOR or Membership profile)	PREVENT update (Plus 2021/22 Annual PREVENT Update (G Jones))		
Declarations of interest			
Minutes of the last meeting			
Matters arising			
Schedule of business			