



LEEDS  
BECKETT  
UNIVERSITY

# RESEARCH ETHICS SUB COMMITTEE

05 December 2018  
at 14:00 in G07 Old Broadcasting House,  
City Campus

**Governance & Legal Services**

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## AGENDA for the Wednesday 5 December 2018 meeting

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The Research Ethics Sub-Committee will be held at 14:00 in Room G07, Old Broadcasting House, City Campus.

14:00	<b>Part A: Preliminary Items</b>	<b>Paper</b>	<b>Led by</b>	<b>Page No</b>
	A1 Apologies		K Spracklen	
	A2 Declarations of interest		K Spracklen	
	A3 Membership	REE-2018-017	K Spracklen	4
	A4 Minutes of the last meeting held on 03 October 2018	REE-2018-018	K Spracklen	5
	A5 Matters arising	REE-2018-019	Secretary	10
14:15	<b>Part B: Items for Information &amp; Monitoring</b>	<b>Paper</b>	<b>Led by</b>	
	B1 PREVENT Update	REE-2018-020	K Spracklen	12
	B2 Research Ethics Audit outcomes: 2017/18 action plan monitoring:			
	(a) Art, Architecture & Design	NS	A Simson	
	(b) Built Environment & Engineering	REE-2018-021	N Evans	14
	(c) Computing, Creative Technology & Engineering	NS	E Abbott-Haplin	
	(d) Carnegie School of Education	REE-2018-022	J Sharp	17
	(e) Clinical & Applied Sciences	NS	R Brooks	
	(f) Cultural Studies & Humanities	REE-2018-023	H Shore	28
	(g) Film, Music & Performing Arts		P Thompson	
	(h) Health & Community Studies	REE-2018-024	F Brown	31
	(i) Leeds Business School / Leeds Law School	REE-2018-026	B Jones	36
	(j) Social Sciences	NS	J Willot	
	(k) Carnegie School of Sport	REE-2018-027	J O'Hara	39
	(l) Events, Tourism, & Hospitality	NS	A Kenyon	

15:00	<b>Part C: Items for discussion / decision</b>	<b>Paper</b>	<b>Led by</b>	<b>Page No</b>
	C1 Discussion about an away-day for research-ethics in the University	Verbal	K Spracklen	
	C2 New Research Ethics Online System	Verbal	K Spracklen	
	C3 Research Ethics Training	Verbal	K Spracklen	
15:30	<b>Part : Other Business</b>	<b>Paper</b>	<b>Led by</b>	
	D1* Schedule of meetings & business 2018/19	REE-2018-025	K Spracklen	34
	D2 Any other business		K Spracklen	
	Date of next meeting: Wednesday 6 March 2019, at 14:00 in Room G07, Old Broadcasting House, City Campus			

■ *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*

## Membership

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### ***Executive Summary***

When the Sub-Committee last met on 3 October 2018, it was agreed that the membership profile would benefit from having representation from the University Research Office.

Following the meeting, the Sub-Committee's Secretary contacted the University's Director of Research and Enterprise and the University's Head of Research to request that they put forward someone from the University Research Office to join the membership of the Sub-Committee.

At the time of writing, nobody from the University Research Office has been nominated and agreed to join the membership.

The Sub-Committee Secretary will continue to follow this up with a view to having someone from the University Research Office join the Sub-Committee in time for its meeting on 6 March 2019.

### ***Action Requested***

The report is **for information.**

### ***Appendices***

None.

### ***Author***

*Name:* Rachel Bradford  
*Job title:* Governance Services Manager  
*Date:* 26 November 2018

### ***Approval Route***

N/A

## MINUTES of the 03 October 2018 meeting

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### Present:

Professor Karl Spracklen (Chair)

Dr Neil Evans

Dr Brian Jones

Professor John Sharp

Dr Andrew Wilson\*

Dr Jessica Guth

Dr Alex Kenyon

Professor Heather Shore

Dr John Willot

Kay Nacto

Martin Watson

### In attendance:

Rachel Bradford (Secretary)

Ros Brownlow

### Apologies:

Professor Eddie Abbott-Haplin

Professor Alan Simson

Dr Niall William Richard Scott

Professor Fraser Brown

Dr Paul Thompson

Dr John O'Hara

Dr Rob Brooks

*\*Attended the meeting as indicated in the proceedings.*

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## Part A: Preliminary Items

### Declaration of interest

001.2018.REE No declarations of interest were made.

### Terms of Reference & Membership

002.2018.REE The Committee considered its Terms of Reference and Membership Profile for 2018/19 and the following points were **noted**:

- (a) Membership of the Committee has been reduced from 20 members to 18 members following the removal of the two vacant Pro Vice-Chancellor posts.
- (b) The quorum has reduced from 10 to 9 in order to reflect the reduced membership of the Committee.
- (c) Professor Karl Spracklen has been reappointed as Chair of the Committee for a further term of three years.
- (d) Professor Fraser Brown has been appointed as the School Research Ethics Co-ordinator for the School of Health and Community Studies a one-year term of office. Dr Ros Brownlow, of the same School, will attend these

CHAIR APPROVED  
REE-2018-018

meetings in 2018/19 as an observer and take over the position of School Research Ethics Co-ordinator from 1 September 2019.

- (e) Kay Nacto has joined Committee as a Research Student representative with a term of office running from 1 September 2018 to 31 August 2019.
- (f) Dr Brian Jones has replaced Dr Liz Yeomans as the School Research Ethics Co-ordinator for Leeds Business School with effect from 1 September 2018.

003.2018.REE Dr Andrew Wilson advised that Dr Nova Deighton-Smith, Senior Lecturer in Psychology at the School of Social Sciences may replace him on the Committee during the academic year.

004.2018.REE The Committee agreed that it would benefit from having a representative from Research and Enterprise and agreed to contact the area to request a representative that could join the membership. The Secretary to the Committee took an action to make enquires with the Director of Research and Enterprise.

### Minutes

005.2018.REE The Committee **AGREED** that the minutes of its meeting held on 16 May 2018 were an accurate record (paper reference REE-2017-063).

### Matters arising

006.2018.REE The Secretary presented a report on the matters arising from the minutes of the previous meeting of the Committee held on 16 May 2018 (paper reference REE-2017-064) and the following points were **noted**.

- (a) Arising from minute 035.2017.REE: It was noted that ownership of work to undertake a mapping of the University's compliance with the European Code of Conduct for Research Integrity had not been determined and therefore this piece of work remained outstanding.
- (b) *Arising from minute 049.2017.REE:* It was noted that the update on the research ethics audit plan for the School of Computing, Creative Technology & Engineering had been circulated to members of the sub-committee on Friday 7 September 2018 and this action was now closed.

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## Part B: Items for Information & Monitoring

### List of Institution/ethics committees that have been agreed for light touch approval process

007.2018.REE The Sub-Committee received a report from the Chair providing a list of institutions and ethics committees where it had been determined that a 'light touch' ethical approval was suitable (paper reference REE-2018-004).

008.2018.REE It was **agreed** that the list should be published on the Research Ethics webpages.

009.2018.REE Sub-Committee members were encouraged to contact the Chair if they became aware of any other institutions or ethics committees that they thought should be added to the list.

**Research Ethics Audit outcomes: 2017/18 action plan monitoring:**

010.2018.REE Research Ethics Audit Reports covering the academic year 2018/19 from the following Schools were considered:

- School of Computing, Creative Technology and Engineering
- Carnegie School of Education
- Carnegie School of Sport
- School of Clinical and Applied Sciences
- School of Health and Community Studies
- School of Cultural Studies and Humanities
- School of Events, Tourism and Hospitality Management
- Leeds School of Social Sciences
- School of Film, Music and Performing Arts
- Leeds Business School

011.2018.REE Verbal updates were provided for Leeds Law School and the School of Built Environment and Engineering and it was agreed that the report from Art, Architecture and Design would be circulated by email once submitted.

012.2018.REE Common themes that emerged when considering the reports were:

**(a) Concerns about data quality**

The School Research Ethics Co-Ordinators advised that data was in a less user-friendly format than it had been previously. The data pulled for the audit reports had been sent as a chronological list and some student names had appeared twice. Schools found themselves having to delete duplicates manually. The task had been time consuming for administrators who had assisted with preparing the reports, particularly in the larger schools. The School of Cultural Studies and Humanities reported that it hadn't experienced the issue regarding the duplication of data but it had experienced that some data was missing and gaps in the reports had to be filled by knowledge of student who had submitted ethics applications. The School Research Ethics Co-ordinators expressed concerns about the data quality and ownership of reporting.

**(b) Lack of understanding of need for ethical approval for certain types of activity**

It was noted by several Schools that there was a lack of awareness that ethical approval was still necessary for some desk-based research and for subjects including media, creative projects, history, law and literature. It was proposed that gaps in knowledge in this respect needed to be addressed through training.

013.2018.REE In response to a query from the research student, the Chair confirmed that postgraduate students received information and training about the requirement to obtain ethical approval at a general postgraduate induction day. It was noted that this information was also part of confirmation of registration and that tutors

would also have discussions with the students that would cover off this information.

## PREVENT update

014.2018.REE The Sub-Committee received a report from the Chair providing an overview of applications made on the on-line system for approval to undertake research that falls under the Prevent Duty in 2017-2018, and so far in 2018-2019.

015.2018.REE It was **reported** that in the academic year 2017/18 there had been nineteen Undergraduate applications submitted (six of which were submitted mistakenly), one PhD student application and two staff applications. So far in the academic year 2018/19 one application had been submitted by a staff member and one submitted by a student.

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## Part C: Items for discussion/decision

### Implementation of the Research Ethics Procedures (including obtaining confirmation that proposed studies comply with relevant legislation and regulations)

016.2018.REE The Sub-Committee received a verbal report from the Chair providing information on the implementation of the Research Ethics Procedures.

017.2018.REE It was **noted** that Research & Enterprise had been unable to produce a paper for the Sub-Committee meeting due to other commitments. The Sub-Committee expressed their disappointment and members voiced concern that the new Research Ethics online system had not yet been launched as they had been told to expect and had communicated to their Schools.

018.2018.REE The Committee agreed that as the new system was not ready they would not be able to use to for the academic year 2018/19. Conversations had already commenced with students about research projects for which ethical approval would be required and they would have to use the current system. It was strongly felt that using two separate systems in the same academic year should be avoided as it would cause confusion and there would be inconsistencies in data sets which would be problematic when conducting annual audits etc.

019.2018.REE The Committee **agreed** to establish a short life working group which would discuss the next steps for use of the online ethics system given the committees decision that it should not wait for a new system to be rolled out mid-academic year. The suggested composition of the working group was:

- Professor John O'Hara - School of Sport Research Ethics Co-Ordinator
- Dr Jess Guth – Leeds Law School Research Ethics Co-Ordinator
- Dr Andrew Wilson - Co-opted member of the Committee
- Martin Watson – Co-opted member of the Committee

In addition, Cathy Barnes and Wendy Hopkins would be asked to join the short life working group.

*Dr Andrew Wilson left the meeting.*

### **European Code of Conduct for Research Integrity - mapping**

- 020.2018.REE     The Sub-Committee received a report from the Chair. The report contained a copy of the European Code of Conduct for Research Integrity. This had last been considered by the Committee in December 2017 and it was agreed that a more extensive mapping exercise would be required (paper reference REE-2018-015).
- 021.2018.REE     It was **noted** that, to date, ownership of this piece of work had not been allocated and therefore the extensive mapping exercise remained outstanding.  
It was **agreed** that enquiries would be made with Dr Andrew Wilson to see if he had capacity to take on this piece of work.

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

#### **Schedule of meetings and business for 2018/19**

- 022.2018.REE     The Committee received its schedule of meetings and business for 2018/19 (paper reference REE-2018-016).

#### **Date of next meeting**

- 023.2018.REE     The next meeting of the Research Ethics Sub-Committee would be held at 14:00 on 05 December 2018 in Room G07, Old Broadcasting House, City Campus.

#### **Other business**

- 024.2018.REE     No other business was raised.

Confirmed by the Committee/Board as a correct record and signed by the Chair:

Signed: \_\_\_\_\_ Date: \_\_\_\_\_

## 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*

Schedule of Actions

### *Author*

*Name:* Rachel Bradford  
*Job title:* Governance Services Manager  
*Date:* 20 November 2018

**Research Ethics Sub-Committee -Matters arising/Update on outstanding actions as at 5 December 2018**

<b>Minute</b>	<b>Matter and action required</b>	<b>Responsibility</b>	<b>Progress and status</b>
<i>035.2017.REE and 021.2018 REE</i>	<p><b>European Code of Conduct for Research Integrity</b> A fuller mapping of the European Code of Conduct for Research Integrity would now be presented at the October 2018 meeting of the Sub-Committee once the administrative support in the Research Office was in place to support this piece of work.</p>	Research Office	<b>Outstanding</b> – At the last Committee meeting on 3 October 2018 it was agreed to contact Andrew Wilson to see if he had capacity to undertake this piece of work. Andrew has advised that he does not have capacity to do this due to teaching commitments.
<i>004.2018.REE</i>	<p><b>URESC Membership</b> Make enquiries with the Research &amp; Enterprise Service to ask them to nominate a representative to join the mem</p>	URESC Secretary	<b>In Progress</b> – The Secretary contacted the Director of Research & Enterprise and the Head of Research requesting they nominate someone from their Service to join URESC as a member.
<i>008.2018.REE</i>	<p><b>List of Institution/ethics committees that have been agreed for light touch approval process</b> Arrange for list to be published on Research Ethics webpages.</p>	URESC Secretary/ Research Office	<b>In Progress</b> – URESC Secretary has contacted the Head of Research for guidance on how to facilitate this.
<i>019.2018.REE</i>	<p><b>Short Life Working Group</b> Establish a short life working group to discuss and agree next steps for use of the online ethics system in the current academic year and understand progress and plans for the new system. Suggested membership was Professor John O’Hara, Dr Jess Guth, Dr Andrew Wilson, Martin Watson, Cathy Barnes and Wendy Hopkins.</p>	URESC Members	<b>Outstanding</b> – A plan needs to be developed which includes setting meeting dates and terms of reference for the group and objectives to be achieved before the group can disband.

05 December 2018

## Prevent Update

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### ***Executive Summary***

This report provides an overview of applications made on the on-line system for approval to undertake research that falls under the Prevent Duty so far in 2018-2019.

### ***Action Requested***

The sub-committee is required to note the report.

### ***Appendices***

None.

### ***Author***

*Name: Professor Karl Spracklen*

*Title: Chair, URESC*

*Date: 26 November 2018*

### ***Approval Route***

*26 November 2018*

*Professor Karl Spracklen / Chair, URESC*

## **PREVENT UPDATE**

### **Introduction**

The Counter-Terrorism and Security Act 2015 contains a duty on specified authorities to have due regard to the need to prevent people from being drawn into terrorism. This is also known as the Prevent duty. Universities are one of the key specified authorities that have to show they comply with the remit of the Prevent Duty, and research is clearly one aspect of higher education's work where the Government requires information that we are doing all we can to assess and monitor anything considered to fall under the remit of Prevent. Our university revised the risk assessment on the research ethics system to enable 'Prevent Duty' research to be checked and approved through this sub-committee and its Chair. This has allowed us to ensure monitoring is effective while balancing academic freedom.

This report provides an overview of applications made on the on-line system for approval to undertake research that falls under the Prevent Duty in total in 2017-2018, and so far in the academic year 2018-2019.

### **2018-2019**

In the period 01 September 2017-26 November 2018 there has been one staff application, and no student ones. The lack of student applications is not surprising given the decision to remove media content analysis projects from the scope of this approval process.

### **Conclusions and recommendations**

The sub-committee is required to note the report.

### **References and further information**

None.

### **Author**

Professor Karl Spracklen, Chair, URESC, 26 November 2018

## Research Ethics Audit Action Plan 2018/19 Monitoring Report: School of Built Environment and Engineering

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### *Executive Summary*

This report provides an update on progress on completing the 2018/19 Research Ethics Action Plan. It indicates that four out of five actions have been completed, while the fifth one concerned with overseas franchise courses is still ongoing.

### *Action Requested*

The report is for information.

### *Appendices*

Not applicable

### *Author*

*Name: Dr Neil Evans*

*Job title: Course Director BA Human Geography / Human Geography and Planning*

*Date: 27 November 2018*

### *Approval Route*

*Not applicable*

# 2018/19 Research Ethics Audit Action Plan Monitoring Report for School of Built Environment and Engineering

## Introduction

The 2017/18 BEE Research Ethics Audit was completed in September 2018. It included an action plan for 2018/19. This report is an update on progress towards addressing the actions contained therein.

### School of Built Environment and Engineering Research Ethics - Action Plan 2018/19

Issue	Action	Responsibility	Deadline
1. A high level of non-compliance within the Civil Engineering Group	Liaise with CDs and Dissertation Module Leaders to ensure all staff are aware of the need to engage with the University research ethics procedures	SREC	Oct/Nov 2018
2. Some pockets of non-compliance within the Surveying Group UG courses	Liaise with CDs and Dissertation Module Leaders to ensure full compliance	SREC	Oct/Nov 2018
3. Need for research ethics staff training, particularly for new staff	Hold training event(s) in course groups	SREC	2018/19 Semester 1
4. Need to ensure students on overseas franchise courses are compliant with Leeds Beckett research ethics procedures	Liaise with CD responsible for overseas franchise courses and with LBU Link tutors to explain need to ensure compliance. If necessary provide relevant information and guidance to Module leaders at franchise institutions	SREC and LREC	2018/19 Semester 1
5. Research ethics data reports not user-friendly	Report this at next URESC meeting	SREC	3 Oct 18

#### Actions taken since 1<sup>st</sup> September

1. Action 1 has been completed.
2. Action 2 has been completed.
3. Action 3 has been completed – the SREC carried out staff training for the Surveying, Construction and Project Management Group on 12 November and the LREC carried out staff training for the Civil Engineering Group soon after. The SREC subsequently carried out bespoke training for the new member of staff in the Planning, Housing and Human Geography Group

4. Action 4 is ongoing. A start has been made in liaising with some link tutors and significant progress has been made with the Asian Institute of Built Environment in Hong Kong, who are well on the way to becoming fully compliant.
5. Action 5 has been completed.

### **Conclusions and recommendations**

Actions 1, 2, 3, and 5 have been completed, while Action 4 is still ongoing.

### **References and further information**

Not applicable

### **[Author(s)]**

Dr Neil Evans, Course Director BA Human Geography / Human Geography and Planning, 27 November 2018

## Research Ethics Audit Outcomes: 2017/18 action plan monitoring: Carnegie School of Education

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### *Executive Summary*

Audit monitoring summary – Carnegie School of Education

### *Action Requested*

The report is **for information.**

### *Appendices*

Appendix 1

### *Author*

Name: Professor John G. Sharp

Job title: Director of Research

Date: 26 November 2018

### *Approval Route*

N/A



## Research Ethics Audit Process – 2017-18

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### Introduction

- 1 The terms of reference for the University Research Ethics Sub-Committee ('URESC') expect the sub-committee to oversee the implementation of the University Policy & Procedures for Research Ethics and monitor ethical approval within the Schools. The Schools are required to submit an annual audit report to the URESC outlining and reviewing how the Policy is being implemented whilst also recommending where improvements should be made.

### Audit Process

- 2 The proposed template (Appendix 1) covers all the elements required by the Policy and the terms of reference of the University Research Ethics Sub-Committees and the responsibilities of the Schools.
- 3 The Schools are asked to:
  - (a) Provide details about how the recommendations made in the outcomes of the previous audit at the older, relevant, faculty level have been addressed through the action plan;
  - (b) Provide a summary of all ethical authorisations and approvals during 2017/18 as set out in the Policy and Procedures for Research Ethics (using the attached template);
  - (c) Provide statistical details of *all* research ethics staff development training undertaken within the School during 2017/18 (including details of the number of staff that have attended training sessions);
  - (d) 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.
  - (e) 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.

- (f) Provide an action plan to be implemented during 2018/19 which will be reviewed as an element of any audit of research ethics covering the 2018/19 academic term.

## Timescales

- 4 The following timescales and deadlines are proposed to ensure the relevant reports can be fully considered at School and University Level

<u>Task</u>	<u>Deadline</u>
Agreed Audit process released	Following consideration by and agreement of Research Ethics Sub-Committee  March 2018
Collation of data / statistics	July & August 2018
Production of School Research Ethics Report and consideration / discussion by School Academic Committee (or School Research Ethics Forum if one is in place)	First School Academic Committee of 2018/19 and before end of September 2018 deadline for submission to University Research Ethics Sub-Committee)
Deadline for submission of final School Research Ethics Report to University Research Ethics Sub-Committee	End September 2018
Consideration of School Research Ethics Audit Reports by University Research Ethics Sub-Committee.	October 2018

## Research Ethics Audit Report Covering 2017/18 – Carnegie School of Education

<b>Name of School:</b>	Carnegie School of Education
<b>Author of School Report:</b>	Professor John Sharp
<b>Outcomes / Actions carried over from the last audit:</b>	
All actions reported for 2016-17 were completed.	

### 2017/18 Applications and Statistics:

Across its undergraduate programmes as a whole, the School received and authorised 246 applications for independent study projects in the main. From an anticipated number of 250 (98.4%) in total, the effectiveness of the ethics application and approval system remains high since rationalising and reducing the number of LRECs to two in the 2016-17 academic year (this has now increased due to the appointment of new Professors and the internal promotion of one Reader). Only four anticipated applications were missing due to the students involved deferring or withdrawing from study altogether. Across taught Mater's provision the School received and authorised 75 applications from an anticipated 83 (90.4%). 8 anticipated applications were missing due to mitigation. The effectiveness of the system remains high for similar reasons. Information for Tables 3 and 4 was unavailable at the time of writing.

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

Bespoke staff development was undertaken for all of our new Professors and Reader (Shirley Tate, Rachel Lofthouse, Jonathan Glazzard, Shona Hunter) and all have been added to the online approval system. A similar training programme was also arranged for and completed by Dr Tom Dobson who recently took over the School's taught master's awards. Staff have been kept up to date with respect to developments and changes to the online applications system.

All staff were reminded by email of the importance of adhering to institutional procedure associated with students wishing to undertake overseas fieldwork and that all institutional guidelines must be followed to ensure compliance.

### Outcomes of the Sampling Exercise and School Academic Committee scrutiny:

The sampling exercise undertaken within the School is reported as an attachment to this report. Research ethics reporting is now a standing item at School Research and Enterprise and School Academic Committees where reports and developments are received and discussed as appropriate.

Research ethics and student projects undertaken outside of the UK:

One non-UK project was recorded. This involved an undergraduate student wishing to work in her place of residence. The student was directed to contact relevant authorities within the institution to comply with insurance and other risk assessment requirements as well as being directed to the draft European Code of Conduct for Research Integrity produced by ALLEA (2017).

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

All undergraduate and postgraduate course and module handbooks contain information relevant to research ethics and ethics applications, and general ethical considerations are relayed to students during associated lecture sessions when required. All undergraduate and taught Master's students are reminded by way of an introductory lecture of the requirements for ethical approval of all work regardless of its nature. The consequences of not applying when required, as well as failing to adhere to policy and practice, is reinforced. This applies particularly to Level 6 MIS projects which require due care and attention as these involve large sections of the academic staff group within the School and provide the greatest opportunity for the system to be overlooked or conducted inappropriately.

**Carnegie School of Education Research Ethics - Action Plan 2018/19**

<b>Issue</b>	<b>Action</b>	<b>Responsibility</b>	<b>Deadline</b>
1. Continued development of a School-wide training and development programme for ethics training wherever and whenever appropriate in order to improve the quality of applications and minimise rejection at first application.	Session to be included in the staff research seminar series.	Director of Research.	June, 2019.
2. To monitor and identify any areas of non-compliance and to take any remedial action considered appropriate to minimise the opportunity for repeated events.	Constant monitoring by supervisors and LRECs and SREC. Reporting to Director of Research for intervention and clarification.	Director of Research.	June, 2019.
3. To monitor and evaluate the inclusion of ethics education at all levels within the School, addressing where appropriate.	Audit and monitoring by Heads of Subject and programme leads. Reporting to Director of Research.	Heads of Subject, Programme leads, Director of Research.	June, 2019.
4. To undertake an annual review of the ethics application process across the School including an evaluation of the quality of applications and decisions.	Preparation and submission of report to the Research Ethics Subcommittee and School Academic Board.	Director of Research.	June, 2019.

## Research Ethics Audit 2017-18

Carnegie School of Education:

**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 2017/18**

Subject Group/School	Courses / Modules	Number of ethical authorisations	Number of local level ethical approvals (Risk 1)	Number of School level ethical approvals (Risk 2 and 3)	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.
DU	BA (Hons) Childhood Studies CHILD (11333) BA (Hons) Early Childhood Education (leading to QTS) BAECE; ECPBQ (11333)	120	73	38 (Risk 2) 9 (Risk 3)	123	3	Students deferred or withdrew and not completed the year.
DU	BAH Primary Education QTS BAPEQ (13507)	77	77	0	77	0	
DU	BA (Hons) Education Studies BAHES (12833)	49	0	47 (Risk 2) 2 (Risk 3)	50	1	Student deferred. Did not complete the year.

**Table 2 Postgraduate Taught course Research Ethical Authorisation and Approval for the Academic Year 2016/17**

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.
DU	MA Achievement in City School MACCS (12235)	4	0	4	0	4	0	
DU	MA Childhood Studies & Early Years MACHE (12501)	44	23	18	3	48	4	Mitigation Resubmission
DU	MA Leadership and Management MALME (12475)	1	0	1	0	1	0	
DU	MA Education MAEDC (16394)	17	2	14	1	21	4	Mitigation Resubmission
DU	MA Drama and Creative Writing in Education MDCWE (15744)	9	3	4	2	9	0	

**Table 3 – Postgraduate Research Ethical Authorisation and Approval for the Academic Year 2016/17**

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							
EdD							
MRes							
External projects							

**Table 4 – Staff Ethical Authorisation and Approval for the Academic Year 2016/17**

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
Education (DU)						



## **Carnegie School of Education: Moderation of ethics applications 2017-18**

**Professor John G. Sharp**

**6 June, 2018**

### **Details**

Participants: Professor John Sharp, Professor Rachel Lofthouse, Professor Shirley Tate,  
Professor Jonathan Glazzard

Number of applications evaluated: 9

Levels: Selection of L2 (six) and L3 (three). L3 applications in particular were particularly sensitive probing mental health, LGBTQi and race issues. Level 1 applications were of a relatively straight forward and conventional 'review' type and not moderated in detail

Nature: Research students, staff applications, external agencies via funded research

### **Summary of outcomes**

#### *Level 3*

Thorough applications with all research documentation provided. Category 3 appropriate given nature and sensitivities of participants/projects/locations. Appropriate documents considered (e.g. University ethics policy/BERA ethical guidelines for education). Attention to detail throughout. Appropriate documentation appended (e.g. information letters, informed consent). Applications adjusted following relevant feedback ensuring that the documents demonstrated ethical integrity.

#### *Level 2*

Thorough applications with all research documentation provided. Category 2 appropriate given nature and sensitivities of participants/projects/locations. Appropriate documents considered (e.g. University ethics policy/BERA ethical guidelines for education). Attention to detail throughout. Appropriate documentation appended (e.g. information letters, informed consent). Applications adjusted following relevant feedback ensuring that the documents demonstrated ethical integrity.

#### *Critical evaluation*

- Exercise care when dealing with external organisations requesting, for example, project evaluations (e.g. have they undertaken an ethical evaluation, has this been seen and considered by the applicant, has it been attached to be reviewed as part of the application process, have sufficient safeguards been established when dealing with children, young adults and vulnerable groups).
- Ensure sufficient detail concerning the exact nature of the research being undertaken and its implications in information letters (including the right to withdraw at any time).
- Ensure consistency in obtaining informed consent in regular as well as online research activities (e.g. a 'universal' proforma with scope for alteration).
- Ensure methodology presented in sufficient detail to evaluate potential ethical issues arising.
- Particularly sensitive projects may require an additional risk assessment to be undertaken prior to initiation.

One weaknesses in the system may be that not all research can be as easily pre-determined and this may restrict some researchers from gaining approval or perhaps limit there thinking about more iterative methods / methodologies. A simple example might be that a researcher might feel obliged to plan questions being used in a focus group that is part of a mixed methods study, which when the time comes to run the group need to be more responsive to the data already gathered. An inexperienced researcher may be anxious about deviating from their approved plan. Easily addresses in CPD provision.

The online form is quite repetitive and there is scope for some streamlining / clarity of purpose of sections (in progress).

## Research Ethics Audit Outcomes: 2017/18 action plan monitoring: School of Cultural Studies and Humanities

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### ***Executive Summary***

Audit monitoring summary – School of Cultural Studies and Humanities.

Update on Ethics compliance within the School of Cultural Studies and Humanities, since 03.10.18.

### ***Action Requested***

The report is **for information.**

### ***Appendices***

None

### ***Author***

*Name:* Professor Heather Shore

*Job title:* Professor of Cultural Studies and Humanities

*Date:* 26 November 2018

### ***Approval Route***

N/A

**Research Ethics Audit Report Covering 2017/18 – School of Cultural Studies and Humanities**

***Action Requested***

<b>Issue</b>	<b>Action</b>	<b>Responsibility</b>	<b>Deadline</b>
1. Non-compliance with the system (i.e. not signing of students applications) by staff member in History	LREC discussed with Line managers (Subject Lead) in case of specific individual.	Line manager – Subject Head for History	Completed.
2. Non-compliance of staff generally, with staff research ethics	To arrange meeting with other LRECs to talk about strategy going forwards. Meeting took place in November 2018. LRECs to cascade to subject colleagues.	LRECs	Completed.
3. Annual reminder to colleagues supervising dissertations to check students ethics compliance	LRECs to contact supervisors/course directors in their subject area.	LRECs	Completed.
4. Non-compliance of students in History, Media and English and Media.	LREC to talk to course directors. This has been undertaken informally. However, a reminder has been sent to colleagues by LRECs for each subject (History, English, Media).	LRECs	November 2018
5. School Secretary (Adele Jackson) requires full access to Online Ethics System, if she does not have this.	Raised at the University Research Ethics Sub-Committee October 2018.	LREC; Chair URESC	Ongoing

## **Ethics Update for School of Cultural Studies and Humanities**

### **Introduction**

This report outlines compliance and developments in Ethics policy since February

### **Report**

Since my last report, Professor Karl Spracklen has addressed the School meeting about staff research ethics compliance. I have continued to communicate with Course Directors and dissertation tutors across the School to ensure UG and PG compliance. The audit will demonstrate whether that has had the desired impact. I also addressed the PG Social History students about Research Ethics compliance for their dissertation.

### **Conclusions and recommendations**

LREC needs to ensure that colleagues in English and Media have spoken to their PG students about ethics compliance for their dissertations (due late Summer).

### **References and further information**

N/A

### **Author**

Heather Shore  
Professor of History  
13/02/18



# RESEARCH ETHICS SUB-COMMITTEE

5 DECEMBER 2018

## School of Health & Community Studies Research Ethics audit action plan monitoring 2018-19

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### ***Executive Summary***

This report is an update on progress towards addressing the actions for 2018-19 from the School's Research Ethics audit report for 2017-18. A query has arisen on the action related to research data management and the research Data Management Plans to be submitted by staff with research ethics applications, and guidance on reviewing these DMPs.

### ***Action Requested***

The report is **for discussion**.

### ***Appendices***

n/a

### ***Author***

*Name:* Professor Fraser Brown  
*Job title:* School Research Ethics Co-ordinator  
*Date:* 22 November 2018

### ***Approval Route***

REE-2018-024  
OPEN

## School of Health & Community Studies

### Research ethics audit action plan monitoring 2018-19

	Issue in 2017-18	Action in 2018-19	Responsibility	Deadline	Progress
1	<u>Data management</u> : For projects where personal data is collected, the data management information is to be clearly articulated in applications, and in participant information sheets and consent forms, in line with the requirements of the General Data Protection Regulation (GDPR) and Data Protection Act 2018 for research data.	Request that supervisors and LRECs review in particular the section 7 of the application regarding data management (e.g., security, retention, access and destruction) in line with the main principles for research data of GDPR (lawfulness, purpose, data minimisation, accuracy, storage, access, security, overseas transfer, accountability) and the new Data Protection Act 2018. <i>This action will be checked as part of the sampling exercise in the 2018-19 audit.</i>	SREC to advise academic staff	Sept 2018	School staff were advised on 26 September 2018 of this action.  School staff were contacted on 22 November 2018 regarding the University's new Data Management Policy for staff. Queries has arisen on reviewing DMPs as part of the research ethics application, and guidance on reviewing these plans.
2	<u>Supporting documentation</u> : Adequate supporting documentation to be submitted with an application, to reduce the number of submissions made to obtain approval for a project.	To remind research supervisors of the support provided for students in the Research Ethics Procedures regarding the production of supporting documentation, to help reduce the number of submissions made to obtain approval for a project. <i>This action will be checked as part of the sampling exercise in the 2018-19 audit.</i>	SREC to advise academic staff	Sept 2018	School staff were advised on 26 September 2018 of this action.

3	<p><u>Maximum number of versions submitted in order to obtain approval for a project:</u> To limit the number of versions that can be submitted to obtain ethical approval for a student project.</p>	<p>Supervisors and LRECs to consider limiting the number of versions of an application that can be submitted (eg, three versions), if version 3 cannot still be approved without major revisions (at this point, students would have received feedback from a supervisor and/or LREC at least twice). Students can then undertake a literature review instead of primary research (submitting a new research ethics application for this). If agreed, this will need to be included in the module handbook so students are aware. <i>This action will be checked as part of the sampling exercise in the 2018-19 audit.</i></p>	SREC to advise research supervisors and LRECs	Sept 2018	School staff were advised on 26 September 2018 of this action.
4	<p><u>Staff training:</u> Sessions to be arranged and opportunities to discuss research ethical issues.</p>	<p>The School will deliver staff training sessions in semester 1 and 2, 2018-19. Dates to be advised to staff as soon as possible. Staff will be asked if there are specific topics they would like to discuss. <i>For this action, attendance will be monitored for next year's audit.</i></p>	SREC and secretary	Sept 2018	An ethics training session was held on 9 October 2018, attended by three staff members. A second session is planned for semester two.
5	<p><u>Research undertaken outside of the UK:</u> Guidance for student overseas research</p>	<p>Student overseas research projects guidance will be reviewed again when the proposed University checklist for research being undertaken outside of the UK is available, including reference to indemnity cover.</p>	SREC and secretary	when available	The proposed University checklist is awaited.

## Schedule of meetings and business 2018/19

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### ***Executive Summary***

The report presents the Sub-Committees schedule of meetings and business for 2018/19.

### ***Action Requested***

The report is **for information and discussion**. The Sub-Committee is invited to note its schedule of meetings and business for 2018/19.

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:* Rachel Bradford  
*Job title:* Governance Services Manager  
*Date:* November 2018

### ***Approval Route***

n/a

**Research Ethics Sub-Committee: Schedule of meetings and business for 2018/19**

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<b>03 October 2018</b> Deadline – 19 September 2018	<b>05 December 2018</b> Deadline – 28 November 2018	<b>06 March 2019</b> Deadline – 25 February 2019	<b>22 May 2019</b> Deadline – 08 May 2019
School Research Ethics Audits 2017/18	2017/18 Research Ethics Audit outcomes – action plan monitoring	2017/18 Research Ethics Audit outcomes – action plan monitoring	2017/18 Research Ethics Audit outcomes – action plan monitoring
List of institutions/ethics committees that have been agreed for light touch approval process	Discussion about an away-day for research-ethics in the University	Feedback from away-day for the management of ethics in the University	
Overview of the management of Research Ethics at School level	New Research Ethics Online System	Proposal for School Research Ethics Audit Process for 2018/19	
Implementation of the Research Ethics Procedures	Research Ethics Training		
European Code of Conduct for Research Integrity – mapping			
<b>Standing items</b>			
Membership & terms of reference (first meeting only)	PREVENT update		
Declarations of interest			
Minutes of the last meeting			
Matters arising			
Schedule of business			



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# RESEARCH ETHICS SUB-COMMITTEE

5 DECEMBER 2018

## Leeds Business School Research Ethics Audit Outcome and Monitoring Plan

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### *Executive Summary*

This report is an update on progress towards addressing the actions for 2018-19 from the School's Research Ethics audit report for 2017-18.

### *Action Requested*

The report is for discussion.

### *Appendices*

n/a

### *Author*

*Name:* Brian Jones  
*Job title:* School Research Ethics Co-ordinator  
*Date:* 28 November 2018

### *Approval Route*

REE-2018-026  
OPEN

**LBS Research Ethics Action Plan 2018-19**

Issue	Action	Responsibility	Deadline
Increase completion rates of UG franchise/ overseas applications	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. Identify good practice from PG programmes</li> <li>III. Provide additional training to UG leads</li> <li>IV. Report progress at each SRERG</li> </ol>	SRERG Co-ordinator, Research Ethics Support and LRECs	<ol style="list-style-type: none"> <li>I. End November 2018</li> <li>II. End December 2018</li> <li>III. End February 2019</li> <li>IV. Quarterly</li> </ol>
Work is ongoing on this issue, with the results of programme lead and identification to be presented at the meeting of the School Research Ethics Group in December 2018.			
Ensure all new DA cohort staff and students are aware of the Ethics Procedures	To ensure all DA ethics applications are submitted, we will: <ol style="list-style-type: none"> <li>I. Liaise with the Course Director to identify upcoming delivery</li> <li>II. Offer specific ethics training support during block delivery periods and appoint a LREC for DA provision</li> <li>III. Review and provide additional guidance as necessary</li> <li>IV. Report progress at each SRERG</li> </ol>	SRERG Co-ordinator and Research Ethics Support	<ol style="list-style-type: none"> <li>I. End October 2018</li> <li>II. End November 2018</li> <li>III. From end of November 2018</li> <li>IV. Quarterly</li> </ol>
No further delivery requiring research ethics input is expected until May. Plans for this will be developed in 2019.			
Raise awareness and usage of the new online ethics system once rolled out	To ensure the smooth transition from the old system to the new, we will: <ol style="list-style-type: none"> <li>I. Schedule a series of training sessions to introduce the new system</li> <li>II. Provide ad hoc support and guidance as necessary</li> <li>III. Monitor usage, feedback and report any issues to URESC</li> <li>IV. Review progress at each SRERG</li> </ol>	SRERG Co-ordinator and Research Ethics Support	<ol style="list-style-type: none"> <li>I. TBC (depending on when the new system is available)</li> <li>II. TBC</li> <li>III. TBC</li> <li>IV. Quarterly</li> </ol>

N/A following the disappointing announcement regarding the new system.

Reduce common pitfalls which can result in applications being rejected/revisions requested	<p>To assist with common issues and improve support available, we will:</p> <ul style="list-style-type: none"> <li>I. Develop one-page good practice guidance for staff and students</li> <li>II. Provide templates where necessary</li> <li>III. Review progress at each SREG</li> </ul>	SREG Co-ordinator and Research Ethics Support	<ul style="list-style-type: none"> <li>I. End October 2018</li> <li>II. End October 2018</li> <li>III. Quarterly</li> </ul>
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One-page good practice has been developed and will be presented for sign off at the next School Research Ethics Review Group in December 2018.



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# RESEARCH ETHICS SUB-COMMITTEE

05 December 2018

## 2017/ 2018 Research Ethics Audit Outcomes – Action Plan Monitoring (Carnegie School of Sport)

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### *Executive Summary*

An update on the 2018 / 2019 Research Ethics Action Plan from the Carnegie School of Sport.

### *Appendices*

Appendix 1. Action Plan and Progress to Date

### *Author*

*John O'Hara*

*Professor of Sport and Exercise Physiology*

*4<sup>th</sup> December 2018*

REE-2018-027  
OPEN

# RESEARCH ETHICS SUB-COMMITTEE

05 December 2018

**Appendix 1: School of Sport: Research Ethics - Action Plan 2017/18**

Issue	Action	Responsibility	Original Deadline	Progress
1. Increase staff and student's awareness of research ethics policy and procedures in preparation to make all staff LRECs.	Provide training on research ethics policy and procedures for staff where appropriate.	Chair/LRECs	31/07/18	Training has been delivered by the 'Super' LREC's to the staff who are new this academic year to supervising dissertations.
2. To support staff/LRECs with resources	Provide exemplar ethics applications, especially UG applications	Chair/LRECs/ Supervisors	31/07/18	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 communications to the Chair of URESC	Chair	31/07/18	On-going
4. Recruitment a Deputy Chair	Advertise, shortlist and appoint a Deputy Chair	Chair/Director of Research	01/11/2018	Expressions of interested to be obtained in the coming weeks.
5. Sampling procedure for UG/PG ethics applications.	To undertake appropriate sampling of ethical submissions.	Chair/SREG	31/07/18	No action required as yet.
6. Annual Review of 'Best Practice'.	Delivery of relevant workshops, discussing our 'Best Practice'.	Chair/SREG	31/07/18	On-going
7. Appoint new LREC with specific Strength and Conditioning Expertise	Recruit relevant academic staff member	Chair	01/09/2018	Alex Dinsdale was appoint the 1 <sup>st</sup> September 2018.

REE-2018-027  
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8. Appoint a new external member	Make contact with appropriate contacts and recruit a new external member of the committee.	Chair	01/10/2018	Shaunna Burke from Leeds University has been appointed.
9. Develop and implement new and relevant GDPR and IT security measures.	Work with the University to develop appropriate policies, to be disseminated to staff and students.	Chair/SREG	01/12/2018	<p>We sort support and advice from Governance who have helped developed key information to be contained within participant information sheets and consent forms. Final version to be approved.</p> <p>IT – In progress.</p>