London Met Research Ethics Tier 2 Application

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| For STAFF ONLY |

**Tier 2 research ethics application** is for use by staff members for research projects that present potential ethical, legal or safety risks to the researcher, other persons, the University, or partner organisations. This includes most research that is not of purely a theoretical, scholarly, or archival nature. This form should be completed by the member of staff responsible for the research project (i.e. Principal Investigator and/or grant-holder) in full consultation with any co-investigators, research students and research staff before commencing the research or collecting any data.

**Understanding which form to use:**

* **Tier 1 research ethics staff applications** should be used for staff research where minimal ethical or legal issues are anticipated to arise, and where there are minimal identifiable risks (see examples above). Tier 1 applications are approved by RERP chairs.
* **Tier 2 research ethics staff applications** should be used for all other research projects by University staff. Tier 2 applications are peer reviewed by RERP panels.
* **Research student applications** should be used for all research student research projects regardless of the nature of the research or level of risk. Research student applications are reviewed by RERP panels.

# Timeline:

The aim is to assess applications within THREE weeks. The reviewers may ask for a re-submission that addresses concerns they have. Applications normally require at least one resubmission, and may require several. Please allow a further two weeks from receipt of the re-submitted form for each re-submission. Applicants should normally allow six weeks for the entire process to be completed.

# Definition of Research

Research ‘is defined as a process of investigation leading to new insights, effectively shared. […] It includes work of direct relevance to the needs of commerce, industry, culture, society, and to the public and voluntary sectors; scholarship [[[1]](#footnote-1)]; the invention and generation of ideas, images, performances, artefacts including design, where these lead to new or substantially improved insights; and the use of existing knowledge in experimental development to produce new or substantially improved materials, devices, products and processes, including design and construction. It excludes routine testing and routine analysis of materials, components and processes such as for the maintenance of national standards, as distinct from the development of new analytical techniques. It also excludes the development of teaching materials that do not embody original research.’[[2]](#footnote-2)

London Met’s Research Ethics Policyand Proceduresand [Code of Good Research Practice](https://student.londonmet.ac.uk/media/london-metropolitan-university/london-met-photos/faculty-photos/the-cass/short-course-images/short-courses-images-2/2019/London-Met-Code-of-Good-Research-Practice.pdf), along with links to research ethics online courses and guidance materials, can be found on the Research & Postgraduate Office [Research Ethics webpage](http://www.londonmet.ac.uk/research/current-students/research-ethics/):

[London Met’s Research Framework](http://www.londonmet.ac.uk/research/current-students/research-framework/). Researcher development sessions are listed on [Student Zone](https://student.londonmet.ac.uk/your-studies/mphil--phd-professional-doctorates/postgraduate-research-training-sessions/) and [Eventbrite](https://www.eventbrite.co.uk/o/research-and-postgraduate-office-26844345187).

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| **Instructions for completing the form:*** Please complete the sections A-C by typing in the unshaded boxes.
* Only submit one single document. All supplementary material should be inserted into this form and in a flat format with no requirement to hyperlink to documents (see Appendices).
* Please add your name to the beginning of the filename when *saving as.*
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This form requires the completion of the following sections:

(press CTRL + Click to jump to section in document)

* [**Section A: Applicant Details**](#_Section_A:_Applicant)
* [**Section B: The Project – Ethical Issues**](#_Section_B:_The)
* [**Section C: The Project – Risks and Benefits**](#_Section_C_–)
* [**Appendices**](#_Appendices)

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| Section A: Applicant Details |
| **A1** | Background information |
| Research project title: |
| School: |
| Subject Area: |
| REF Unit of Assessment:  |
| Date of first submission for ethics approval: |
| Proposed start date for project: |
| Proposed end date for project: |
| Ethics ID # (to be completed by RERP): T2- |
| **A2** | Principal Researcher/Applicant Member of staff at London Metropolitan University who is responsible for the proposed research project either as Principal Investigator/grant-holder or, in the case of postgraduate research student projects, as Lead Supervisor |
| Name: |  |
| Job title: |  |
| Email: |  |
| **Other Researchers**  |
| 1 | Name: |  |
| Job title:  |  |
| Email: |  |
| 2 | Name: |  |
| Job title:  |  |
| Email: |  |
| 3 | Name: |  |
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| 4 | Name: |  |
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| Section B: The Project – Ethical Issues |
| **B1** | The Research Proposal: Please insert a brief summary (max. 1,000 words) of the research project including:* **Research questions/aims/objectives**
* **Research methodology**
* Very brief background/rationale and conceptual framework of study
* Key references

If you plan to recruit participants, include information how potential participants in the study will be identified, approached and recruited; how informed consent will be obtained; and what measures will be put in place to ensure confidentiality of personal data. Please include participant consent forms and information sheets in appendices (below).  |
|  |
| **B2** | Research EthicsPlease outline any ethical issues that might arise from this study and how they are to be addressed. NB All research projects have ethical considerations. Please complete this section as fully as possible using the following pointers for guidance. Please include any additional information that you think would be helpful.

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| Does the project involve potentially deceiving participants?  | **Yes/No** |
| Will you be requiring the disclosure of confidential or private information?  | **Yes/No** |
| Is the project likely to lead to the disclosure of illegal activity or incriminating information about participants?  | **Yes/No** |
| Does the project involve participants under the age of 18? | **Yes/No** |
| Does the project require a Disclosure and Barring Service (DBS) check for the researcher? | **Yes/No** |
| Is the project likely to expose participants to distress of any nature?  | **Yes/No** |
| Will participants be rewarded for their involvement?  | **Yes/No** |
| Are there any potential conflicts of interest in this project?  | **Yes/No** |
| Are there any other potential concerns?  | **Yes/No** |

**If you answered yes to any of the points above, please explain.** |
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| **B3** | Does the proposed research project involve:

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| The direct or indirect collection of new data from humans (e.g. interviews, observations, photos, surveys, samples)?  | Yes/No |
| The production and/or analysis of physical data (including computer code, physical entities and/or chemical materials) that might involve potential risks to humans, the researcher(s) or the University | Yes/No |
| The analysis of existing data, artefacts or performances that are not already in the public domain (i.e. that are published, freely available or available by subscription)?  | Yes/No |
| The collection of existing data in the public domain where a tacit of explicit expectation of privacy may apply (e.g. social media, blogs, discussion forums)? | Yes/No |
| The collection or use of existing personal data in the public domain of identifiable individuals (e.g. email addresses, names, occupations, etc) | Yes/No |
| The direct or indirect collection of new data from animals? | Yes/No |
| Sharing of data with other organisations? | Yes/No |
| Export of data outside the UK or EU? | Yes/No |

**If you answered yes to any of the points above, please explain below. Please note that for research in any country outside the UK, research ethics is conditional on fully complying with the university policy on travel aboard.** |
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| **B4** | Research outside of the UK:

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| Will the proposed research be conducted in any country outside the UK? | Yes/No |
| If all or part of the research is conducted in any country outside of the UK, are there independent research ethics regulations and procedures that do not recognise research ethics review approval from UK-based research ethics services? and/or  | Yes/No |
| Require more detailed applications for research ethics review than would ordinarily be conducted by the University’s Research Ethics Review Panels and/or other UK-based research ethics services?  | Yes/No |

**If you answered yes to any of the points above, please explain below. Please note that for research in any country outside the UK, research ethics is conditional on fully complying with the university policy on travel aboard.**  |
|  |
| **B5** | Does the proposed research involve:

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| The collection and/or analysis of body tissues or fluids from humans or animals?  | Yes/No |
| The administration of any drug, food substance, placebo or invasive procedure to humans or animals?  | Yes/No |
| Any participants lacking capacity (as defined by the UK Mental Capacity Act 2005)?  | Yes/No |
| Relationships with any external statutory-, voluntary-, or commercial-sector organisation(s) that require(s) research ethics approval to be obtained from an external research ethics committee or the UK National Research Ethics Service (this includes research involving staff, clients, premises, facilities, and data from the UK National Health Service (NHS), Social Care organisations and some other statutory public bodies within the UK)?  | Yes/No |

If you answered yes to any of the points above, please contact your school’s RERP chair for further guidance. |
| **B6** | Does the proposed research involve:

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| Accessing / storing information (including information on the web) which promotes extremism or terrorism? | Yes/No |
| Accessing / storing information which is security sensitive (e.g. for which a security clearance is required)? | Yes/No |

**If you answered yes to any of the points above, please explain below. To comply with the law, researchers seeking to use information in these categories must have appropriate protocols in place for the secure access and storage of material. For further guidance, see the Universities UK publication** [**Oversight of Security Sensitive Research Material in UK Universities**](http://www.universitiesuk.ac.uk/highereducation/Pages/OversightOfSecuritySensitiveResearchMaterial.aspx) **(2012).** |
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| Section C: The Project – Risks and Benefits |
| **C1** | **Risk Assessment** |
| Please outline:

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| The risks posed by this project to both researcher and research participants |
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| The ways in which you intend to mitigate these risks |
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| The benefits of this project to the applicant, participants, and any others |
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| Any foreseeable ethical and/or reputational risks of this research to the researcher, university, or other agencies |
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| Ethical impact statement:Please provide a brief statement (**max. 100 words)** addressing how you to intend to ensure the ethical dissemination, use and impact of your research. Research impact is defined as "the provable effects of research in the real world." (Bayley & Phipps, 2023: <https://doi.org/10.1108/EOR-03-2023-0005>) |
|  |
| Has a University Risk Assessment been carried out? |
| No  | [ ]  |  |  |
| Yes | [ ]  | Reference number:  |  |
| Date: |  |
|  |  | Please include the University Risk assessment in the Appendices |

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# Appendices

**(please insert below additional supplementary material, e.g. consent forms, debrief statements, distress protocols, interview questions and advertisements)**

**Table Of content**

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| ***Appendix*** | ***Title*** | ***Page number*** |
| ***A*** |  |  |
| ***B*** |  |  |
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| ***G*** |  |  |

***Insert new rows as necessary***

***Appendix A***

***Appendix B***

***Appendix C***

***Please ensure that you have completed Sections A, B, and C and attached a Research Proposal before submitting to your School Research Ethics Review Panel (RERP)***

Please sign this form and submit it as an email attachment to the Chair of your school’s Research Ethics Review Panel (RERP) and cc all of the staff and students who will be involved in the proposed research.

You can find more information on [Research Ethics](http://www.londonmet.ac.uk/research/current-students/research-ethics/) on Student Zone.

Research ethics approval can be granted for a maximum of 4 years or for the duration of the proposed research, whichever is shorter, on the condition that:

* The researcher must inform their school’s Research Ethics Review Panel (RERP) of any changes to the proposed research that may alter the answers given to the questions in this form or any related research ethics applications
* The researcher must apply for an extension to their ethics approval if the research project continues beyond 4 years.

**Declaration**

**I confirm that I have read London Met’s *Research Ethics Policy and Procedures* and *Code of Good Research Practice* and have consulted relevant guidance on ethics in research.**

**I confirm that I will carry out risk assessment before embarking on my research and if any risks are identified I will submit a report to Health and Safety.**

**I confirm that, before doing research abroad, I will carry out risk assessment incl. observing** [**UK Government travel advice**](https://www.gov.uk/foreign-travel-advice)**. Ethics approval is conditional on fully complying with the University’s policies on travel abroad.**

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| **Principal Researcher/Applicant signature:** |
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| **Date:** |  |

# Feedback from Ethics Review Panel

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| ***Date of First Reviews:*** |
| ***Reviewers ONLY*** |
|  | ***Approved*** | ***Feedback where further work required*** |
| **Section A** |  |  |
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| **Applicant’s Response***(Please highlight changes in the colour indicated for each version)* |
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| ***Reviewers ONLY*** |
|  | ***Approved*** | ***Feedback where further work required*** |
| **Section A** |  |  |
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| **Section C** |  |  |
| **Applicant’s Response***(Please highlight changes in the colour indicated for each version)* |
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|  | ***Approved*** | ***Feedback where further work required*** |
| **Section A** |  |  |
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| **Applicants Respons’e***(Please highlight changes in the colour indicated for each version)* |
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|  | ***Approved*** | ***Feedback where further work required*** |
| **Section A** |  |  |
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| **Section C** |  |  |
| **Applicant’s Response***(Please highlight changes in the colour indicated for each version)* |
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|  | ***Approved*** | ***Feedback where further work required*** |
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| **Applicant’s Response***(Please highlight changes in the colour indicated for each version)* |
| Version\*: | **~~1~~** | **~~2~~** | **~~3~~** | **~~4~~** | Other: |  |

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If more tables are needed (1) insert a page break (2) copy and paste the last table above.

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| **Date of approval** |  |
| NB: The Researcher should be notified of the review outcome within two weeks of the submission of the application. If the outcome is re-submission of the application because of requests for further information or suggested adjustments of the project, a further two weeks from receipt of the re-submitted application applies, and so on. A copy should be sent to rpo@londonmet.ac.uk. |
| **Signature of RERP chair** |  |
| **Appeals and feedback** | If you have any concerns about the conduct of this review, would like to provide confidential feedback about the process, or would like to appeal the outcome of the review, please email: researchethics@londonmet.ac.uk |

1. ’Scholarship for the REF is defined as the creation, development and maintenance of the intellectual infrastructure of subjects and disciplines, in forms such as dictionaries, scholarly editions, catalogues and contributions to major research databases.’ [↑](#footnote-ref-1)
2. REF 2021, Guidance on Submissions (2019/01), p. 90 [↑](#footnote-ref-2)