

To: Research Committee and Management Board

Subject: Research Ethics and Integrity – Annual Report - 2023 2024

From: Research Ethics Committee

Date: September 2024

---

## Overview

Ensuring that research affiliated with London Business School is conducted in an ethical manner that protects the School, including its faculty, and research participants stands behind the School's commitment to Research Integrity.

As part of our commitment to Research Integrity, the School is wholly committed to the principles outlined in the Concordat to Support Research Integrity published in October 2019 by Universities UK and supports research that is properly conducted and of the highest quality. Research Integrity at LBS is overseen by the Research Committee, with the support of the Research Ethics Committee in matters related to research ethics. Acting in accordance with the five specific Concordat principles, the School endorses:

- Maintaining the highest standards of research integrity
- Ensuring that research is conducted according to appropriate ethical, legal and professional frameworks, obligations and standards.
- Embedding a culture of research integrity, by supporting a research environment that is underpinned by a culture of integrity and based on good governance, best practice and support for the development of researchers.
- Using transparent, timely, robust and fair processes to deal with allegations of research misconduct, should they arise.
- Working together, to strengthen the integrity of research and to reviewing progress regularly, and openly.

Research Ethics at LBS is overseen by the Research Ethics Committee. The terms of reference and members of the committee for the academic year 2023-24 are detailed under Appendix 1. The School's REC held 5 meetings during academic year 2023-24 (Planning meeting for academic year 2023/24 in July, followed by meeting in September, December, March and June).

## Ethical procedures in practice Academic Year 2023-24

At the end of the 2021-22 year, the incoming Deputy Dean (Faculty) proposed to change the composition of REC and way of operation. The key changes were to reduce the membership from representation from all seven subject areas to representation from the four areas who currently conduct the vast majority of research involving human participants (Marketing, Management Science and Operations, Organisational Behaviour and Strategy and Entrepreneurship); and to share the load of reviewing ethical applications

among all the faculty on the committee, in line with best practice. Preparatory work for this activity was carried out in 2022/23, and the changes implemented in 2023/24.

Appendix 2 provides an overview of the number of studies approved and the yearly activity of the REC for the last 7 years. Appendix 3 provides the definition for each 'Track'.

## **Research Integrity and Ethics Key activities in 2023-24**

The following outlines some key activities from the business of the REC in 2023-24:

Research Ethics Reviewer Training: In supporting the implementation of the new process for reviewing applications at LBS, such that all members of REC have been required to review applications in 2023/24, the importance of training for reviewers was identified. A series of training initiatives were undertaken, including:

- Internal knowledge sharing by the members of the Research Ethics Committee.
- Training delivered by an external training (David Carpenter) who is an independent trainer and consultant in research ethics, and who is a chair and member of several ethics committees, including being the chair of a busy NHS REC which was responsible for the ethics reviews of all the main vaccine studies conducted by the Oxford Vaccine Group.
- Knowledge Sharing activity with the University of Southampton's Research Ethics Administrative team.

Research Ethics Digitisation: Over 2023/24 members of REC and the Ethics Admin team, in collaboration with colleagues in technology, have overseen the successful implementation of a new online ethics system. This was launched on the 1<sup>st</sup> August 2024, and the new process is now live. Good feedback has been received in this regard.

Research Data Privacy: Following the external review of supporting research data privacy in 2022/23, responsibility for research data privacy has now been decoupled from research ethics review. Although the research ethics process, still supports research data privacy as part of the co-delivery operational model, the role of the research ethics process is to identify the need for a Data Privacy Impact Assessment (DPIA). Where a DPIA is needed, the Research Support Team (RFO) will then work with the relevant researcher and the School's Data Privacy Manager (Dean's Office) to support approval of the DPIA in parallel with ethics approval. It is recognised that not all research that might have data privacy concerns necessarily goes through the research ethics process. Through a process of advocacy this gap has been reduced over 2023/24, and at least 1 DPIA was completed through this avenue. However, it is recognised that this might still be a gap.

Research Ethics Policy and Guidance: In line with changes in the operation of REC the existing research ethics related policies have been updated.

- Research Ethics and Integrity Policy (LBS-RFO-POL-01)
- Research Ethics Review Guidelines and Procedures (LBS-RFO-GD-01)
- Code of Conduct for Research (LBS-RFO-GD-05).

New guidance notes have also been developed, namely around:

- Collaborative research with partner organisations and individuals outside the School (LBS-RFO-GD-01 – Section 7).
- Disclosures by participants in a research project (LBS-RFO-GD-01 – Annex B).

These policies will be progressed through the approval process (Research Committee and Management Board) in 2024/25.

Behaviour Lab Activity: In the period up until August 2024, 52 studies were carried out with 1 study outstanding before the Academic year ends.

Investigations of Research Misconduct: No allegations of academic misconduct were received by LBS.

### **Research Integrity and Ethics Key activities and initiatives planned for 2024-25**

REC Meetings: In 2024/25, it is expected that the number of meetings for the REC will reduce, now that the new ways of operation have been established. It is expected that the REC will go back to a minimum of 2 meetings in the coming year. Outside of these meetings, review of ethics applications will continue on an ongoing basis, through virtual means by using the new online ethics system.

REC Membership: In 2024/25, REC will welcome a new member of committee (Dafna Goor) to replace Jonathan Berman who has been integral to the activity of REC over the past years. REC sincerely thank Jonathan for his input over the past years. A handover process to support Dafna in her new role has already been put in place. Another member of committee, Daniel Effron, will also be on sabbatical for part of the year, and it was agreed that other members of the committee will share the load in this period.

Review the new online ethics application system: 2024/25 will be the first year of operation of the new online ethics system. An ongoing process of review will be carried out.

Research Ethics Policies and Guidance: The updated research ethics policies and guidance will be progress for approval.

UKRIO Membership: LBS has become a member of the UK Research Integrity Office (UKRIO). UKRIO is an advisory body that provides advice and guidance related to research integrity and research good practice that runs across all research disciplines and regulatory remits. Membership of UKRIO will be maintained and further activity related to research integrity planned for the upcoming year.

Alignment to the Concordat to support research integrity: To ensure ongoing alignment to the concordat to support research integrity, the Research Support Manager will conduct a gap analysis through the UKRIO self-assessment tool for the Concordat to support research integrity. This has been postponed from 2023/24.

**To note:** Appendix 4 includes an extract of this report to form part of the Annual Statement on Research Integrity that will be made available to the public as part of our commitment to the Concordat to Support Research Integrity.

## 29) RESEARCH ETHICS COMMITTEE

### Terms of Reference

The Research Ethics Committee (REC) is a sub-committee of the research committee responsible for considering the ethics of human research carried out on London Business School premises and/or by London Business School faculty, staff, and students.

The REC has a duty to provide guidance to faculty, staff, and students to ensure that all research carried out at London Business School adhere to best practice. In particular, the REC is:

- Responsible for reviewing and either approving or withholding approval from research proposals and studies involving human subjects carried out by all London Business School faculty, staff, and students and to monitor the subsequent research and any adverse issues arising therefrom. (i.e. any research that involves people giving any information or feedback including surveys, archival research with records of individually identifiable data points, and experiments will need to be approved by the REC).
- Responsible for providing guidance to researchers at the School to ensure that research involving human subjects is carried out in conformity with the law, safely, with considered consent and with respect to the autonomy and privacy of the subjects, and in accordance with ethical principles.
- Required to submit a written report to the Deputy Dean (Faculty) and the Research Committee, which has overall responsibility for the School's research strategy, on an annual basis, outlining the work of the committee.

### Frequency of Meetings

The Research Ethics Committee will meet as required on the ethical review of research undertaken at the school and will meet on an annual basis to discuss the business of the committee.

The chair shall have the authority to approve applications on behalf of the committee and authorise expedited review where appropriate. The Committee may also choose to operate virtually as and when the Chair deems this appropriate.

### Members

A representative of all Subject Areas in which faculty conduct behavioural research.

Professor of Organisational Behaviour (Chair)  
OB Subject Area  
Marketing Subject Area  
Marketing Subject Area  
Management Science and Operations Subject Area  
Strategy and Entrepreneurship Subject Area  
External Member  
Behavioural Research Lab

Thomas Mussweiler  
Daniel Effron  
Stephanie Chen  
Jonathan Berman  
Kamalini Ramdas  
Olenka Kacperczyk  
Paul Conway (Southampton)  
Zareen Choudhury

Secretary

Cecilia Fenech Brincat, Assistant Director,  
Research Support

## Ethics Activity Report

### [Academic Years 2017 - 2024]

The following provides a brief overview of the Yearly activity over the last 7 Academic years [2017-2024]

#### Total Applications

Academic Years [01 Aug-31 <sup>st</sup> July]	2017-2018	2018-2019	2019-2020	2020-2021	2021-2022	2022-2023	2023-2024
Applications	65	76	99	87	67	65	75

#### Activity by Subject Area

Subject Area	2017-2018	2018-2019	2019-2020	2020-2021	2021-2022	2022-2023	2023-2024
Accounting	0	0	1	1	0	1	0
Economics	0	0	1	0	5	5	0
Finance	1	3	0	1	0	0	3
Management Science and Operations	1	5	7	3	1	2	5
Marketing	7	19	16	15	11	7	13
Organisational Behaviour	47	43	71	57	37	37	36
Strategy and Entrepreneurship	8	5	2	9	10	10	18
Joint Projects	1	1	1	1	3	3	0
Total	65	76	99	87	67	65	75

#### Activity by Researcher type

Applicant type	2017-2018	2018-2019	2019-2020	2020-2021	2021-2022	2022-2023	2023-2024
Faculty	38	36	43	45	32	32	32
PhD Student	27	37	45	36	34	33	43
Post-doc	0	0	10	6	1	0	0

Staff on behalf of Faculty	0	3	1	0	0	0	0
Other student	0	0	0	0	0	0	0

Activity by approval 'Tracks'.

Track type:	2017-2018	2018-2019	2019-2020	2020-2021	2021-2022	2022-2023	2023-2024
Track 1 – no ethical implications	11	23	26	21	13	9	18
Track 2 – Letter request	0	1	2	0	0	0	0
Track 3a – manipulation – no other risks	35	38	40	42	34	27	38
Track 3b – more than minimal risk	19	14	31	24	20	29	19

The table below outlines the end status of applications

	2017-2018	2018-2019	2019-2020	2020-2021	2021-2022	2022-2023	2023-2024
Approved	65	72	93	83	59	65	70
Rejected	0	3	3	1	1*	0	1
Awaiting applicant response to REC feedback	0	0	3	3	5	0	4
Application withdrawn by applicant	0	1	0	0	2	0	0

\* rejected as application outstanding for 6 months

Applications referred to applicant for clarification [data collected from Academic year 2018 onwards]:

	2017-2018	2018-2019	2019-2020	2020-2021	2021-2022	2022-2023	2023-2024
Applications referred back for clarification on content provided	0	21	33	27	22	12	19
Applications with Admin errors/ incomplete forms, old forms submitted	0	19	26	22	22	22	8
Applications completed without requiring referral back to applicant	0	35	39	38	23	31	48

Other – related to approval letters	0	1	1	0	0	0	0
-------------------------------------	---	---	---	---	---	---	---

Data collection sites reported in applications:

	2017-2018	2018-2019	2019-2020	2020-2021	2021-2022	2022-2023	2023-2024
Online	50	56	82	73	60	61	61
Lab	38	27	33	20	44	55	21
Field	21	27	21	10	40	56	20
In class/LBS Student population	6	5	5	1	39	54	9
Archival data	0	1	0	5	40	56	17

Number of Projects related to COVID-19: 0

Data collection sites reported for COVID-19 Research

	<b>2019-2020</b> [16 <sup>th</sup> Mar - 31 <sup>st</sup> Jul 2020]	<b>2020-2021</b> (1 <sup>st</sup> Aug-31 <sup>st</sup> Jul)	<b>2021-2022</b>	<b>2022-2023</b>	<b>2023-2024</b>
Online	14	7	0	0	0
Lab	3	1	0	0	0
Field	4	2	0	1	0
In class/LBS Student population	0	1	0	0	0

### **Definitions of Ethical Review Approval 'Tracks'**

#### ***Track 3: Standard Review by Research Ethics Committee***

The vast bulk of experimental studies that involve the Behavioural Research Lab at London Business School fall into this track. This track also covers studies that involve “more than minimal risk”, as defined in Section 3 of the ethical review procedures.

More formally, Track 3 covers research that involves human participants or personal data, and:

- a. *Does involve manipulation, defined as the intentional induction by the researcher of mental, physiological, or behavioural changes on the part of participants.* The answer to key sections related to the Research Ethics Checklist will be “Yes” for such research.

or:

- b. *Involves more than minimal ethical risk.* The answers to one or more items in sections related to Part 3 on the Research Ethics Checklist will be “Yes” for such research.

Researchers whose research falls in Track 3 should also complete an Application for Ethical Review and attach their full study protocol, all study materials in a word document. The application will then be reviewed by the Research Ethics Committee. Researchers whose study falls in this track should also administer a Consent Form and a Debriefing Form to each participant in the study.

#### ***Track 2: Expedited Review for External Funding Applications***

This track applies to research that seeks external (typically government) funding where the funder requires formal approval by a research ethics body.

More formally, Track 2 covers research that involves human participants or personal data, and:

- a. *Involves a request for funding from external entities from external entities (e.g., ESRC, ERC) that require formal approval by a research ethics body.*

but:

- b. *Does not involve manipulation, defined as the intentional induction by the researcher of mental, physiological, or behavioural changes on the part of participants, and*
- c. *Does not involve more than minimal ethical risk.* The answers to sections referring to Part 3 on the Research Ethics Checklist will be “No” for such research.

Researchers whose study falls in Track 2 request a research ethics approval letter for inclusion in their funding application. Additionally, they also attach the completed Research Ethics Checklist form with their study protocol/procedure and materials/links/questions to be used for data collection.



### ***Track 1: Reporting Only***

This track applies, for example, to surveys that merely involve reporting on the part of research participants, and do not involve funding by agencies such as ESRC or ERC, which require formal approval by a research ethics body.

More formally, Track 1 covers research that involves human participants or personal data, but:

- a. *Does not involve a request for funding from external entities (e.g., ESRC, ERC) that require formal approval by a research ethics body.*
- b. *Does not involve manipulation*, defined as the intentional induction by the researcher of mental, physiological, or behavioural changes on the part of participants.
- c. *Does not involve more than minimal ethical risk.* The answers to sections related to Part 3 on the Research Ethics Checklist will be “No” for such research.

Researchers whose study falls in Track 1 email the completed Research Ethics Checklist form with their study protocol/procedure and materials/links/questions to be used for data collection.

Subject: Annual Statement on Research Integrity

Date: September 2024

---

## Overview

Ensuring that research affiliated with London Business School is conducted in an ethical manner that protects the School, including its faculty, and research participants stands behind the School's commitment to Research Integrity.

As part of our commitment to Research Integrity, the School is wholly committed to the principles outlined in the Concordat to Support Research Integrity published in October 2019 by Universities UK and supports research that is properly conducted and of the highest quality. Research Integrity at LBS is overseen by the Research Committee, with the support of the Research Ethics Committee in matters related to research ethics. Acting in accordance with the five specific Concordat principles, the School endorses:

- Maintaining the highest standards of research integrity
- Ensuring that research is conducted according to appropriate ethical, legal and professional frameworks, obligations and standards.
- Embedding a culture of research integrity, by supporting a research environment that is underpinned by a culture of integrity and based on good governance, best practice and support for the development of researchers.
- Using transparent, timely, robust and fair processes to deal with allegations of research misconduct, should they arise.
- Working together, to strengthen the integrity of research and to reviewing progress regularly, and openly.

## Ethical procedures in practice Academic Year 2023/24

At the end of the 2021-22 year, the incoming Deputy Dean (Faculty) proposed to change the composition of REC and way of operation. The key changes were to reduce the membership from representation from all seven subject areas to representation from the four areas who currently conduct the vast majority of research involving human participants (Marketing, Management Science and Operations, Organisational Behaviour and Strategy and Entrepreneurship); and to share the load of reviewing ethical applications among all the faculty on the committee, in line with best practice. Preparatory work for this activity was carried out in 2022/23, and the changes implemented in 2023/24.

## Research Integrity and Ethics Key activities in 2023/24

Research Ethics Reviewer Training: In supporting the implementation of the new process for reviewing applications at LBS, such that all members of REC have been required to review applications in 2023/24, the importance of training for reviewers was identified. A series of training initiatives were undertaken, including:

- Internal knowledge sharing by the members of the Research Ethics Committee.
- Training delivered by an external training (David Carpenter) who is an independent trainer and consultant in research ethics, and who is a chair and member of several ethics committees, including being the chair of a busy NHS REC which was responsible for the ethics reviews of all the main vaccine studies conducted by the Oxford Vaccine Group.

- Knowledge Sharing activity with the University of Southampton's Research Ethics Administrative team.

Research Ethics Digitisation: Over 2023/24 members of REC and the Ethics Admin team, in collaboration with colleagues in technology, have overseen the successful implementation of a new online ethics system. This was launched on the 1<sup>st</sup> August 2024, and the new process is now live.

Research Data Privacy: Following the external review of supporting research data privacy in 2022/23, responsibility for research data privacy has now been decoupled from research ethics review. Although the research ethics process, still supports research data privacy as part of the co-delivery operational model, the role of the research ethics process is to identify the need for a Data Privacy Impact Assessment (DPIA). Where a DPIA is needed, the Research Support Team (RFO) will then work with the relevant researcher and the School's Data Privacy Manager (Dean's Office) to support approval of the DPIA in parallel with ethics approval. It is recognised that not all research that might have data privacy concerns necessarily goes through the research ethics process.

Research Ethics Policy and Guidance: In line with changes in the operation of REC the existing research ethics related policies have been updated.

- Research Ethics and Integrity Policy (LBS-RFO-POL-01)
- Research Ethics Review Guidelines and Procedures (LBS-RFO-GD-01)
- Code of Conduct for Research (LBS-RFO-GD-05).

New guidance notes have also been developed, namely around:

- Collaborative research with partner organisations and individuals outside the School (LBS-RFO-GD-01 – Section 7).
- Disclosures by participants in a research project (LBS-RFO-GD-01 – Annex B).

These policies will be progressed through the approval process (Research Committee and Management Board) in 2024/25.

Behaviour Lab Activity: In the period up until August 2024, **52** studies were carried out with 1 study outstanding before the Academic year ends.

Investigations of Research Misconduct: In 2022-23 no allegations of academic misconduct were received by LBS.

### **Research Integrity and Ethics Key activities and initiatives planned for 2024/25**

REC Meetings: In 2024/25, it is expected that the number of meetings for the REC will reduce, now that the new ways of operation have been established. It is expected that the REC will go back to a minimum of 2 meetings in the coming year. Outside of these meetings, review of ethics applications will continue on an ongoing basis, through virtual means by using the new online ethics system.

REC Membership: In 2024/25, REC will welcome a new member of committee (Dafna Goor) to replace Jonathan Berman who has been integral to the activity of REC over the past years. REC sincerely thank Jonathan for his input over the past years. A handover process to support Dafna in her new role has already been put in place. Another member of committee, Daniel Effron, will also be on sabbatical for part of the year, and it was agreed that other members of the committee will share the load in this period.

Review the new online ethics application system: 2024/25 will be the first year of operation of the new online ethics system. An ongoing process of review will be carried out.

Research Ethics Policies and Guidance: The updated research ethics policies and guidance will be progress for approval.

UKRIO Membership: LBS has become a member of the UK Research Integrity Office (UKRIO). UKRIO is an advisory body that provides advice and guidance related to research integrity and research good practice that runs across all research disciplines and regulatory remits. Membership of UKRIO will be maintained and further activity related to research integrity planned for the upcoming year.

Alignment to the Concordat to support research integrity: To ensure ongoing alignment to the concordat to support research integrity, the Research Support Manager will conduct a gap analysis through the UKRIO self-assessment tool for the Concordat to support research integrity. This has been postponed from 2023/24.