

Submitting an Ethics Application

User Guide for Applicants
submitting an ethics application

**Ranked No.15
UK University**

Guardian University
Guide 2020

**University of the Year
for Student Experience**

The Times and Sunday Times
Good University Guide 2019

**Queen's Award
for Enterprise**

International Trade 2015

This guide has been created centrally,
local processes may differ.

Creating an ethics application

CU ETHICS Home ▶ Dashboard

MY ETHICS

FULL NAME

J Bloggs

FACULTY

[PS] Professional Services

SCHOOL/INSTITUTE/UNIT

Research Services

MY ROLES

Student

If any of these details are incorrect, visit **my details** to make changes.

If you are unsure about something, see the **documentation**.

My ETHICS is an area for individual users to receive system messages and manage individual account profile. It is recommended that you update your profile when personal details change.

Can't see your projects? You may be in the wrong academic year! To change the academic year - [click here](#) to change the academic year.

My Projects

MY PROJECTS

Ref	Title	Module	Stage	Status
P124756	TEST APPLICATION FOR USER GUIDES	TEST	Reviewer	Pending

1 to 1 of 1 Records.

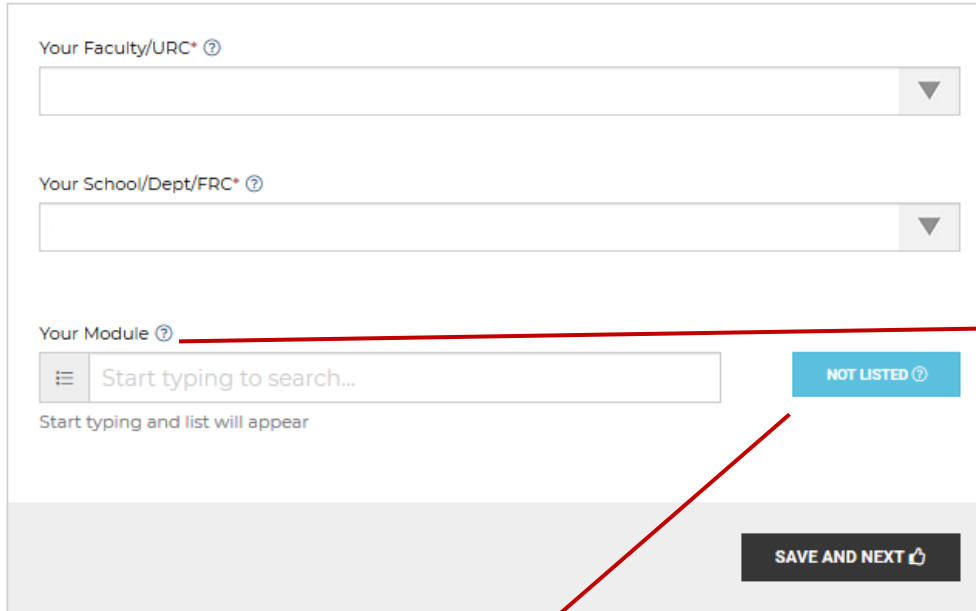
MY PROJECTS

NEW PROJECT

Select 'New Project' located on the 'Dashboard'

Submitting an ethics application

APPLICANT DETAILS



Help Records are located on most questions for guidance

Module code is essential to ensure the application is directed to the correct review process.

- UG/PGT Students should check which module code they should use with module leaders
- PGR/Staff (see next slide for the 'module code' for your area)

Module not listed?

This code is mandatory to ensure the correct authoriser is mapped to your project. For further assistance contact your Ethics Administrator, [click here for details](#).

Module Codes for PGR students

Faculty/Research Institute	Module Code
Faculty of Art and Humanities (FAH)	FAH-PHD
Faculty of Health and Life Sciences (HLS)	PHD-HLS
Creative Cultures >Centre for Arts, Memories and Communities (AMC) >Centre for Dance Research (CDaRE) >Centre for Postdigital Cultures (CPC)	AMC-PHD CDaRE-PHD CPC-PHD
Clean Growth & Future Mobility	FTC-PHD
Global Learning	GLEA-PHD
Health & Wellbeing >Centre for Intelligent Healthcare (CIH) >Centre for Sport, Exercise and Life Sciences (CSELS)	PHD-CIH PHD-SELS
Mathematical, Physical & Computational Sciences >Centre for Data Science (CDS) >Centre for Fluid and Complex Systems (CFCS)	BNE CDS FCS
Peace, Security & Social Justice	CTPSR-PHD
Responsible Business, Economies & Society >Centre for Business in Society (CBiS) >Centre for Financial and Corporate Integrity (CFCI)	CBIS-PHD CFCI-PHD
Sustainability, Equity & Resilience	CAWR-PHD

Module Codes for Staff

Faculty/Group/Professional Services	Module Code
Faculty of Art and Humanities (FAH)	FAH-STAFF
Faculty of Business and Law (FBL)	FBL-STAFF
Faculty of Engineering, Environment and Computing (EEC)	EECSTAFF
Faculty of Health and Life Sciences (HLS)	HLS:STAFF
CU Group Coventry (CUC)	CUC-Staff
Professional Services	STAFF:PS

Module Codes for Staff

Research Institute	Module Code
Clean Growth & Future Mobility	FTC-STAFF
Creative Cultures >Centre for Arts, Memories and Communities (AMC) >Centre for Dance Research (CDaRE) >Centre for Postdigital Cultures (CPC)	AMC-Staff CDaREStaff CPC-Staff
Global Learning	GLEA-STAFF
Health & Wellbeing >Centre for Intelligent Health (CIH) >Centre for Sport, Exercise and Life Sciences (CSELS)	STAFF:CIH STAFF:SELS
Mathematical, Physical & Computational Sciences >Centre for Data Science (CDS) >Centre for for Fluid & Complex Systems (FCS)	CDS FCS
Peace, Security & Social Justice	CTPSR-STAF
Responsible Business, Economies & Society >Centre for Business in Society (CBiS) >Centre for Financial & Corporate Integrity (CFCI)	CBIS-STAFF CFCI-STAFF
Sustainability, Equity & Resilience	CAWR-STAFF

Submitting an ethics application

P109693

Project
Reference
Number

Navigation
menu for the
application

Applicant Details

Project Summary

Project Detail

Data Analysis

Areas of Study

Project Checklist

Principal Investigator's
Declaration

Please supply an answer to all the
required fields, then click Save and Next
to continue.

PROJECT SUMMARY

1 Project title* ?

Project title

Asterisk symbol will appear at questions which are mandatory, the application will not progress if left unanswered

256 character limit. 256 characters left

2 Brief Project Summary* ?

Provide a brief outline of what the project is about and how will the research be conducted.

1200 character limit. 1108 characters left

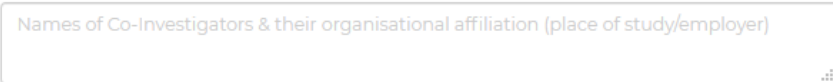
Character limit, will countdown

Submitting an ethics application

3 Start and End dates [?](#)

01 ▼ Sep ▼ 2020 ▼ 31 ▼ Aug ▼ 2021 ▼

4 Names of Co-Investigators & their organisational affiliation (place of study/employer) [?](#)

Names of Co-Investigators & their organisational affiliation (place of study/employer) 

5 Project Funding* [?](#)

Is this project externally funded?

Yes ☐ No ☐

6 Professional Code of Ethical Practice* [?](#)

Are you required to use a Professional Code of Ethical Practice appropriate to your discipline?

Yes ☐ No ☐

Selecting Y/N on questions may drop down additional questions to address, such as the below

6 Professional Code of Ethical Practice* [?](#)

Are you required to use a Professional Code of Ethical Practice appropriate to your discipline?

Yes ☒ No ☐


Name of Professional Code of Ethical Practice


British Psychological Society ▼

Have you read the Code?

Yes ☒ No ☐

'Save and Next' to save the application progress, 'Processing, please wait...' may appear once clicked, applicants should wait for the next page to appear before exiting as progress may be lost.


SAVE AND NEXT 


 Processing, please wait...

MOVING ON, PLEASE WAIT...

Submitting an ethics application

Examples will be provided under some of the questions, these are not exhaustive lists

4 Are you dealing with Primary Data involving people?* 

Yes 	No <input type="checkbox"/>
---	-----------------------------


e.g. interviews, questionnaires, observations, audio, visual or photographic recording, focus groups, measurements





As you are dealing with Primary Data you will need to upload documents to support your application (e.g. participant documents, risk assessments). Please ensure to upload these at the Attachments section of this application.


Reminders such as uploading documents to the Attachments section will appear throughout the application

5 Personal or Sensitive data

Are you dealing with personal data?* 

Yes 	No <input type="checkbox"/>
---	-----------------------------

Are you dealing with sensitive data?* 

Yes 	No <input type="checkbox"/>
---	-----------------------------



Please click this [link](#) for further information on data protection compliance including the definition of personal data and sensitive data. You must process these types of data in accordance with the DPA and GDPR as applicable i.e. you must have a legal basis for processing that information e.g. explicit consent. Please contact the [IGU](#) if you need advice on explicit consent from a data protection perspective or seeking to rely on an alternative legal basis.

Some reminders will have embedded links for further information, or contact information for relevant departments within the university e.g. Information Governance Unit, Health and Safety team

Submitting an ethics application

Once the first four sections of the application have been completed, the '**Areas of Study**' section will ask the applicant to select those areas the research will involve.

e.g. **Travel away from home campus** – if the research is taking place off campus (physically, not online).

e.g. **Information gathered from human participants** – if the research involves primary data collection from human participants via survey questionnaires, focus groups, interviews, psychological tests, photography etc.

e.g. **Biological materials including organisms and samples (excluding humans)** – if the research involves bacteria, viruses, cell lines, plant material etc.

If an area is selected in error, the applicant can return to the 'Areas of Study' section and deselect.

AREAS OF STUDY

1 Select if your study will involve any of the following:

Multiple options can be selected

Travel away from home campus

☐

Photography, video or audio recording

☐

Biological samples, physical measurements/activities or substances/procedures administered to or taken from human participants

☐

Information gathered from human participants

☐

Biological materials including organisms and samples (excluding humans)

☐

Animals and their habitats, tissues, body fluids, cell lines derived from animal tissues (excluding humans)

☐

Hazardous substances

☐

Machinery & equipment

☐

Ionising Radiation

☐

UAS flights (drones)


☐

Environmental samples

☐

Submitting an ethics application

Questions in the 'Project Detail' and 'Data Analysis' sections of the application may trigger additional sections to be completed under the 'Project Checklist'

6 Will the data collection, recruitment materials or any other project documents be in any language other than English?* 


Yes



No



LANGUAGES


1 Are all or some of the consent forms, information leaflets and research instruments associated with this project likely to be used in languages other than English?* 

Yes



No




SAVE AND NEXT 

[< Prev](#)

[Next >](#)

[Checklist](#) 

Form 7 of 8

[RETURN TO CHECKLIST](#) 



Submitting an ethics application

ATTACHMENTS

Does your application require supported documentation to be uploaded?* [?](#)

☒ Yes ☐ No

(You must upload relevant documentation to support your ethics application. Examples of documents include Participant Information Sheet, Informed Consent Form, Risk Assessment, Questionnaires, Interview Schedule, Gatekeeper letter, Research Proposal/Protocol, Recruitment Materials etc.)


View	Name	Type	Size (Kb)	
DOWNLOAD	ETHICS-TEST-APPLICATION.docx	Participant Information Sheet	11.14	 

[SAVE AND NEXT](#)

Once documents are uploaded they will appear here

UPLOAD DOCUMENTS

Document type* [?](#)

Select type 

Hold down the **Ctrl** key whilst selecting to select multiple files. Only MS-Office documents, images and PDF's are allowed.

[UPLOAD FILES](#)

Drop down list of document types e.g. Participant Information Sheet, Consent Form, Research Proposal, Risk Assessment etc.

Submitting an ethics application

‘**Project Checklist**’ will appear differently on each application depending on how the questions have been answered and what the research is proposing to do.

Once a section is completed it will turn green, those pending completion will remain red. All sections must be completed to progress to the final section.

PROJECT CHECKLIST

Some or all of the checklist forms are incomplete. You must complete each section before you can move on

View	#	Form	Status
VIEW ①	1	External Ethics Review	Complete ✓
VIEW ①	2	Biological materials including organisms and samples (excluding humans)	Incomplete ✗
VIEW ①	3	Animals and their habitats, tissues, body fluids, cell lines derived from animal tissues (excluding humans)	Incomplete ✗
VIEW ①	4	Attachments	Complete ✓

PROJECT CHECKLIST

Some or all of the checklist forms are incomplete. You must complete each section before you can move on

View	#	Form	Status
VIEW ①	1	DBS (Disclosure & Barring Service) formerly CRB (Criminal Records Bureau)	Incomplete ✗
VIEW ①	2	External Ethics Review	Complete ✓
VIEW ①	3	Participant Information and Informed Consent	Incomplete ✗
VIEW ①	4	Payments to participants	Incomplete ✗
VIEW ①	5	Capacity to give valid consent	Incomplete ✗
VIEW ①	6	Recruiting Participants	Incomplete ✗
VIEW ①	7	Information gathered from human participants	Incomplete ✗
VIEW ①	8	Travel away from home campus	Complete ✓
VIEW ①	9	Photography, video or audio recording	Incomplete ✗
VIEW ①	10	Attachments	Complete ✓

Submitting an ethics application

PRINCIPAL INVESTIGATOR'S DECLARATION

1 I confirm that I have answered all relevant questions in this form honestly

NO

2 I confirm that I will carry out the project in the ways describes in this form. I will immediately suspend research and request a new ethical approval if the project subsequently changes the information I have given in this form.

NO

3 I confirm that I, and all members of my research team (if any), have read and agree to abide by the code of research ethics issued by the relevant national learned society.

NO

4 I confirm that I, and all members of my research team (if any), have read and agree to abide by the University's Research Ethics, Governance and Integrity Framework.


NO

5 I understand that I cannot begin my research until this ethics application has been approved.

NO

6 Do you have any comments to make or anything else to add?

Do you have any comments to make or anything else to add


SUBMIT FOR AUTHORISATION 

- The PI Declaration requires completing before the application can be submitted for authorisation.
- Once an application has been submitted it cannot be edited unless it is returned to the applicant for editing by the supervisor, reviewer or ethics operations/admin.

Your project has been submitted successfully, you are now finished. For reference, the details are as follows:

Project summary

Project Id	P109693
Project title	TEST APPLICATION FOR USER GUIDE
Applicant	Sophie Krumins
Submitted	12/08/2020 11:38
Module code	TEST

RETURN TO PROJECT LIST 

A submitted ethics application

PROJECT P109693

TEST APPLICATION FOR USER GUIDE

Tabs across the top of the application for project details, checklist, comments and approval stages

Project **Medium risk**

Checklist **10**

Comments **2**

Approval Stages

Applicant Details

Full name	Sophie Krumins
Faculty/URC	Faculty of Health and Life Sciences
School/Dept/FRC	Other
Research Centre	Test URC : Rename this centre later
Module name	TEST - TESTING [Undergraduate]

Project Summary

Project ID	P109693
Project title	TEST APPLICATION FOR USER GUIDE

Data Analysis

1

Does your research seek to understand, identify, analyse and/or report on information on terrorism or from terrorist organisations, require access to terrorist groups or those convicted of terrorist offences or relate to terrorism policies in other international jurisdictions?

No

2

Does your research seek to understand, identify, analyse and/or report on information for other activities considered illegal in the UK and/or in the country you are researching in?

No

3

Are you analysing Secondary Data?

No

4

Are you dealing with Primary Data involving people?

Yes

A submitted ethics application

PROJECT P109693

TEST APPLICATION FOR USER GUIDE

Project **Medium risk** Checklist **10** Comments **2** Approval Stages

DBS (Disclosure & Barring Service) formerly CRB (Criminal Records Bureau)	<input checked="" type="checkbox"/>
External Ethics Review	<input checked="" type="checkbox"/>
Participant Information and Informed Consent	<input checked="" type="checkbox"/>
Payments to participants	<input checked="" type="checkbox"/>
Capacity to give valid consent	<input checked="" type="checkbox"/>
Recruiting Participants	<input checked="" type="checkbox"/>
Information gathered from human participants	<input checked="" type="checkbox"/>
Travel away from home campus	<input checked="" type="checkbox"/>
Photography, video or audio recording	<input checked="" type="checkbox"/>
Attachments	<input checked="" type="checkbox"/>

DBS (Disclosure & Barring Service) formerly CRB (Criminal Records Bureau)

1 Does the study require DBS (Disclosure & Barring Service) checks?

Please give details of the level of check, serial number, date obtained and expiry date (if applicable)

TEST APPLICATION

Checklist sections will appear here. Those sections that carry a medium or high risk (depending on the answer of the) will appear as a different colour to flag the supervisor and reviewer to those sections in particular.


A submitted ethics application

PROJECT P109693

TEST APPLICATION FOR USER GUIDE


Comments tab will display all comments added to the application, by the applicant, supervisor, reviewer and ethics operations/admin.

Project **Medium risk** Checklist **10** Comments **2** [Approval Stages](#)



Sophie Krumins commented 13 hours ago

Adding a comment



Sophie Krumins commented Just now


TEST COMMENT

Add a Comment

Comment

TEST COMMENT

4000 character limit. 3988 characters left

POST 

Comments added here will not be anonymous and cannot be removed once posted.

A submitted ethics application

PROJECT P109693

TEST APPLICATION FOR USER GUIDE

Project **Medium risk** Checklist **10** Comments **2** Approval Stages

Approval Stages tab displays all stages and status of the application (expanded on next slide), who actioned the application and when. Reviewer's will appear anonymous.

Stage	Status	Actioned by	Actioned on
Project	Submitted	Sophie Krumins	Wed, 12/08/2020 11:38
Supervisor	Not required		-
Referrer	Pending	Sophie Krumins	-
Reviewer	Unassigned		-
Finalizer	Unassigned	Matthew Jones	-

Specialist Reviewers

Specialist reviewers will have access to view this application, but not to approve it at any level

Role	Full name
No specialist reviewers	

- Any specialist reviewers notified about a section of the application form will appear here e.g. *Information Security Manager, Chemical Safety Officer, Laser Safety Officer, Radiation Safety Officer.*
- They are not included in the review process but may contact applicants for further information or guidance.

Levels of Risk

Low Risk	Typically <i>secondary research</i> (e.g. literature based reviews, systematic reviews, critical and service evaluations, collection and analysis of published data)	Students – Reviewed by Supervisor Staff – Reviewed by Faculty/Research Centre Reviewer/Ethics Lead
Medium Risk	Typically <i>primary research</i> (e.g. collecting data from human participants – surveys, interviews, observations focus groups, engaging with social media users, travel off campus)	Students – Reviewed by Supervisor and Reviewer Staff - Reviewed by Faculty/Research Centre Reviewer/Ethics Lead
High Risk	Typically undertaking <i>sensitive research</i> , research with a high impact of risk or submitting for ethical approval outside of the university (e.g. NHS, Social Care REC, HMPPS)	Medium Risk review process, followed by referral to the University Research Ethics Committee for final approval

Approvals Process – Student Applications

Low
Risk

Submit
Application

Supervisor
Review

Once approved
by supervisor,
application is
automatically
finalised

Medium
Risk

Submit
Application

Supervisor
Review

2nd Review
(carried out by
reviewer/module
leader/ethics lead

Once approved
by reviewer,
application is
finalised by ethics
operations

High
Risk

Submit
Application

Supervisor
Review

2nd Review
(carried out by
reviewer/module
leader/ethics lead

REC Sign Off
(Chair of Ethics
Committee
Approval)

Once approved
by REC,
application is
automatically
finalised

Approvals Process – Staff Applications

Low Risk

Submit Application

Reviewed by peer reviewer/ ethics lead

Once approved by reviewer, application is automatically finalised

Medium Risk

Submit Application

Reviewed by peer reviewer/ ethics lead

Once approved by reviewer, application is finalised by ethics operations

High Risk

Submit Application

Reviewed by peer reviewer/ ethics lead

REC Review (Chair of Ethics Committee)

Once approved by REC, application is automatically finalised

Stage/Status of an application summary

Stage	Status	Action
PROJECT	INCOMPLETE	with applicant, not yet submitted
SUPERVISOR	PENDING	with supervisor to review
SUPERVISOR	REVISE & RE-SUBMIT	with applicant to make changes recommended by supervisor and resubmit
SUPERVISOR	DECLINE	application has been declined and cannot be edited, review feedback
REFERRER	PENDING	with ethics operations to refer to a peer reviewer/module leader/ethics lead
REVIEWER	PENDING	with a reviewer to review
REVIEWER	REVISE & RE-SUBMIT	with applicant to make changes recommended by reviewer and resubmit
REVIEWER	DECLINE	application has been declined and cannot be edited, review feedback
FINALIZER	PENDING	with ethics operations to finalise application
FINISHED	COMPLETE	ethical approval has been granted and applicant can begin the research project

Stage/Status of an application summary

[high risk/external ethics]

High risk applications or those submitting for external review (e.g. NHS), will be directed to the 'REC' stage for review, after the reviewer stage of the process.

Stage	Status	Action
REC	PENDING	with Chair of University Research Ethics Committee for review and sign off
REC	REVISE & RE-SUBMIT	with applicant to make changes recommended by Chair and resubmit

Throughout the process applicants will receive e-mails when their application has been actioned.

Your Ethics application P109693 has been approved by Sophie Krumins. This means your request has been sent to the Deputy Vice-Chancellor to check and to signoff. You will be notified by email once this has happened.

Ref:	P109693
Project title:	TEST APPLICATION FOR USER GUIDE
Applicant:	Sophie Krumins
Submitted:	12/08/2020 11:38
Supervisor:	Sophie Krumins
Module code:	HLS:STAFF

Go to [P109693](#) to view this project in more detail

Supervisor sees...

PROJECT P109693

TEST APPLICATION FOR USER GUIDE

Project **Medium risk**

Checklist **10**

Comments **2**

Approval Stages **Supervisor**

REVIEW PROJECT P109693


Your recommendation

- ☐ Approved
- ☐ Revise and Re-submit
- ☐ Decline

Conditions or reasons that support your recommendation (if appropriate)

Conditions or reasons that support your recommendation (if appropriate)

4000 character limit. 4000 characters left

SUBMIT 

Reviewer sees...

PROJECT P109693

TEST APPLICATION FOR USER GUIDE

Project

Medium risk

Checklist 10

Comments 2

Approval Stages

Reviewer

REVIEW PROJECT P109693

Evaluation of the ethics of the proposal (if necessary)

Evaluation of the ethics of the proposal (if necessary)

4000 character limit. 4000 characters left.

Evaluation of the participant information sheet and consent form (if necessary)

Evaluation of the participant information sheet and consent form (if necessary)

4000 character limit. 4000 characters left.

Your recommendation

- ☐ Approved
- ☐ Revise and Re-submit
- ☐ Decline

Conditions or reasons that support your recommendation: (if appropriate)

Conditions or reasons that support your recommendation: (if appropriate)

4000 character limit. 4000 characters left.

Approved Application

Ref	Title	Module	Submitted?	Risk	Stage	Status
P109693	TEST APPLICATION FOR USER GUIDE	HLS:STAFF	Yes	Medium (new)	Finished	Complete

PROJECT P109693

TEST APPLICATION FOR USER GUIDE

Project Medium risk Checklist 10 Comments 6 Approval Stages Authorised

Approved Application

- Applicants can proceed with their research projects once ethical approval has been granted, they receive the below e-mail, and can download their certificate of ethical approval from their application.






- Certificates are located under 'Checklist' > 'Attachments' entitled 'ethics-certificate'

TEST APPLICATION FOR USER GUIDE

Project **Medium risk** Checklist **10** Comments **9** Approval Stages **Authorised**


Attachments ☒

Does your application require supported documentation?

View	Name
DOWNLOAD 	comments.pdf
DOWNLOAD 	ethics-certificate.pdf
DOWNLOAD 	ethics-document.pdf
DOWNLOAD 	ETHICS-TEST-APPLICATION.docx
DOWNLOAD 	review.pdf

Approved Application

- Example of e-mail of ethical approval and certificate



omis@coventry.ac.uk
CU ETHICS - Ethics Request Updated

To

Your Ethics application P109693 has been approved by Sophie Krumins. All the relevant documentation will be available for you to download within the next 24 hours. Please log back into CU Ethics and select your application. Select the Checklist tab visit the 'Attachments' section to retrieve the documentation, including your certificate of ethical approval. Please proceed with good ethics

Ref:	P109693
Project title:	TEST APPLICATION FOR USER GUIDE
Applicant:	Sophie Krumins
Submitted:	13/08/2020 08:25
Supervisor:	Sophie Krumins
Module code:	

Go to [P109693](#) to view this project in more detail



Certificate of Ethical Approval

Applicant:

Sophie Krumins

Project Title:

TEST APPLICATION FOR USER GUIDE

This is to certify that the above named applicant has completed the Coventry University Ethical Approval process and their project has been confirmed and approved as Medium Risk

Date of approval:

12 August 2020

Project Reference Number:

P109693

After ethical approval

- ✓ Follow the procedures outlined in your ethics application
- ✓ Use the documents you have approval for and are included in your application e.g. participant information sheet, consent forms, gatekeeper letter, risk assessment etc.
- ✓ Follow the data management plan

Anyone failing to comply will be subject to ethical misconduct.

**If you have any questions,
please contact your
[local ethics administrator](#)**

**Ranked No.15
UK University**

Guardian University
Guide 2020

**University of the Year
for Student Experience**

The Times and Sunday Times
Good University Guide 2019

**Queen's Award
for Enterprise**

International Trade 2015