

User Guide for Applicants submitting an ethics application

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

Ranked No.15 UK University

Guardian University University of the Year for Student Experience

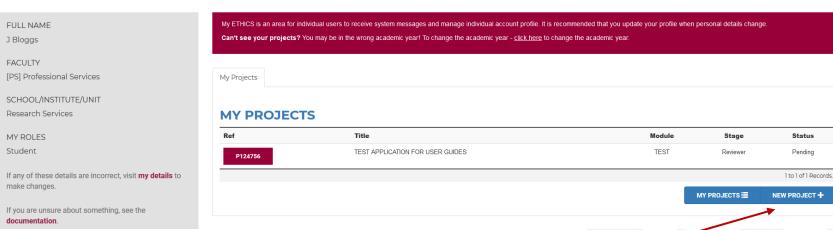
The Times and Sunday Times Good University Guide 2019 Queen's Award for Enterprise

### Creating an ethics application





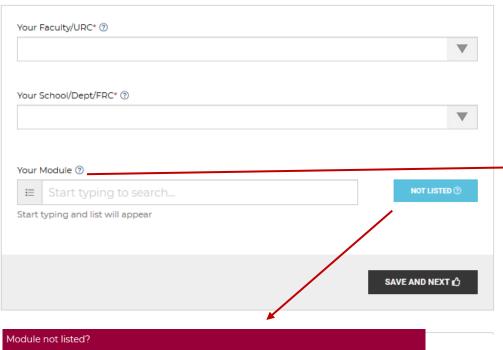
#### **MY ETHICS**



Select 'New Project' located on the 'Dashboard'



#### **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)

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**

Coventry	Made
University	

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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	CGFM-PGR
Global Learning	GLEA-PHD
Health & Wellbeing  >Centre for Intelligent Healthcare (CIH)  >Centre for Sport, Exercise and Life Sciences (CSELS)  >Centre for Healthcare Research (CHR)	PHD-CIH PHD-SELS PHD:CHR
Mathematical, Physical & Computational Sciences >Centre for Data Science (CDS) >Centre for Fluid and Complex Systems (CFCS)	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 (and areas outside of faculties, research institutes and subsidiaries)	STAFF:PS

### **Module Codes for Staff**



Research Institute	Module Code
Clean Growth & Future Mobility	CGFM-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)  >Centre for Healthcare Research (CHR)	STAFF:CIH STAFF:SELS STAFF:CHR
Mathematical, Physical & Computational Sciences >Centre for Data Science (CDS) >Centre 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



Project - Reference Number

Navigation menu for the application

### P109693

Applicant Details

Project Summary
Project Detail

Data Analysis

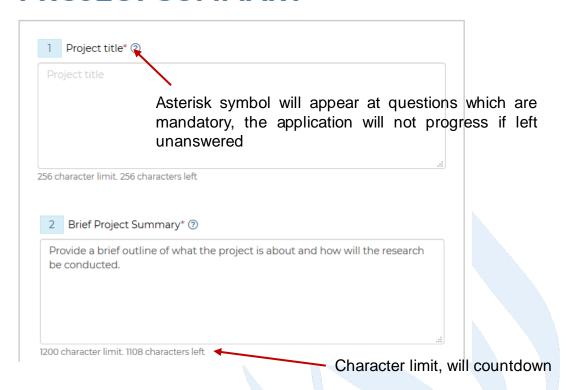
Areas of Study

**Project Checklist** 

Principal Investigator's Declaration

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

### **PROJECT SUMMARY**



may appear once clicked, applicants should wait for the next page to appear

before exiting as progress may be lost.



MOVING ON, PLEASE WAIT...

3 Start and End dates ⑦	
01 ▼ Sep ▼ 2020 ▼ 31 ▼ Aug ▼ 2021 ▼	Selecting Y/N on questions may drop down additional questions to address, such as the below
4 Names of Co-Investigators & their organisational affiliation (place of study/employer) ⑦	6 Professional Code of Ethical Practice* ⑦
Names of Co-Investigators & their organisational affiliation (place of study/employer)	Are you required to use a Professional Code of Ethical Practice appropriate to your discipline?
.i.	Yes No
5 Project Funding* ⑦	Name of Professional Code of Ethical Practice
ridjeet dhamig	British Psychological Society
Is this project externally funded?	
Yes No	Have you read the Code?
	Yes No
6 Professional Code of Ethical Practice* ⑦	
Are you required to use a Professional Code of Ethical Practice appropriate to your discipline?	
Yes No	SAVE AND NEXT ()
	Processing, please wait
'Save and Next' to save the application progress, 'Processing	



Are you dealing with Primary Data involving people?\* ? Examples will be provided under some of the Yes No questions, these are not exhaustive lists 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 Personal or Sensitive data the Attachments section will appear Are you dealing with personal data?\* (?) throughout the application Are you dealing with sensitive data?\* (?) No Some reminders will have embedded links for further information, or contact information Please click this link for further information on data protection compliance for relevant departments within the university including the definition of personal data and sensitive data. You must process e.g. Information Governance Unit, Health and 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 Safety team contact the IGU if you need advice on explicit consent from a data protection

perspective or seeking to rely on an alternative legal basis.



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**

Travel away from home campus	
Photography, video or audio recording	
Biological samples, physical measurements/activities or substances/procedures administered to or taken from humar 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	
lonising Radiation	
UAS flights (drones)	



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

Will the data collection, recruitment materials or any other project documents be in any language other than English?\* (7)

Yes

No

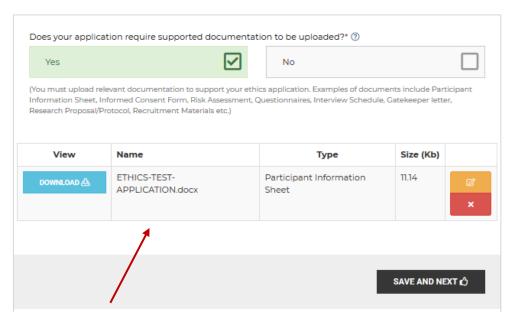
#### **LANGUAGES**

1 Are all or some of the coused in languages other		d research instrumer	nts associated with this project likely to be
Yes		No	
			SAVE AND NEXT 🖒
← Prev Next→ Check	list -		Form 7 of 8

RETURN TO CHECKLIST

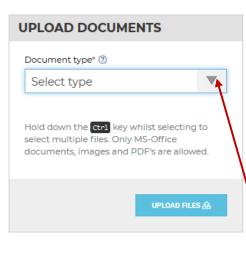


#### **ATTACHMENTS**



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

Once documents are uploaded they will appear here





'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



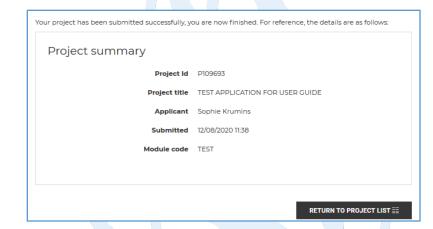
#### PROJECT CHECKLIST

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 v



#### PRINCIPAL INVESTIGATOR'S DECLARATION

- I confirm that I have answered all relevant questions in this form honestly NO 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. 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. 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. I understand that I cannot begin my research until this ethics application has been approved
- 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.



Do you have any comments to make or anything else to ad-

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

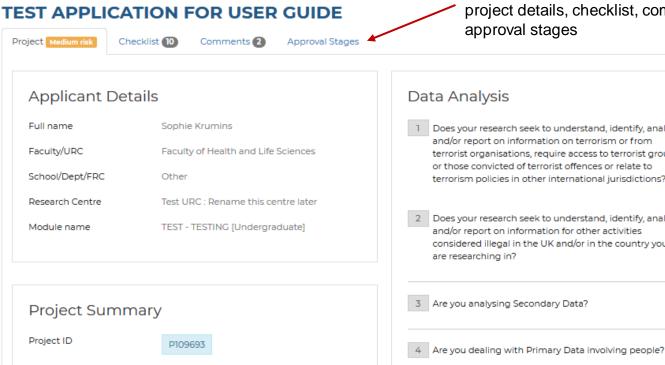
SUBMIT FOR AUTHORISATION 🖒



Yes

### **PROJECT P109693**

Project title



TEST APPLICATION FOR USER GUIDE

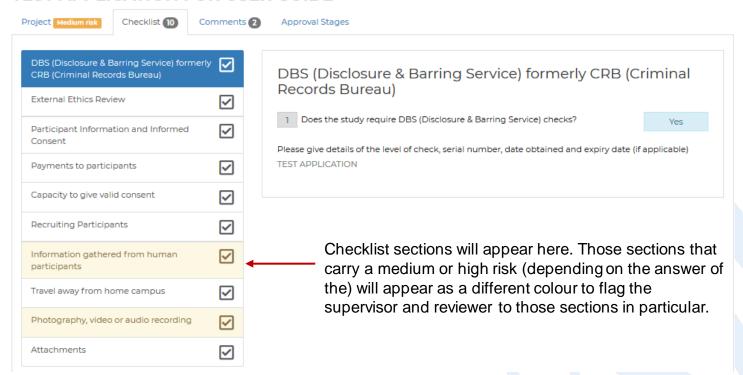
Tabs across the top of the application for project details, checklist, comments and approval stages

#### Data Analysis Does your research seek to understand, identify, analyse No 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? Does your research seek to understand, identify, analyse No and/or report on information for other activities considered illegal in the UK and/or in the country you are researching in? 3 Are you analysing Secondary Data? No



#### **PROJECT P109693**

#### TEST APPLICATION FOR USER GUIDE

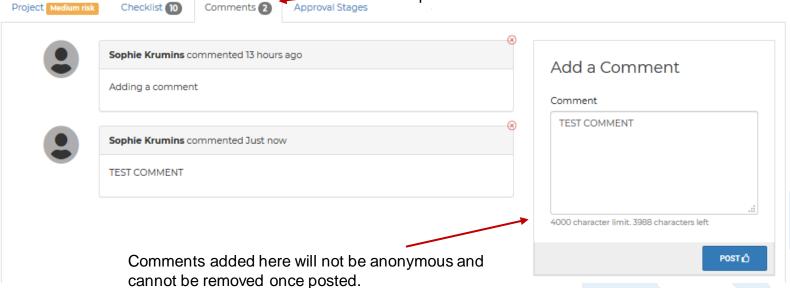




### **PROJECT P109693**

#### **TEST APPLICATION FOR USER GUIDE**

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



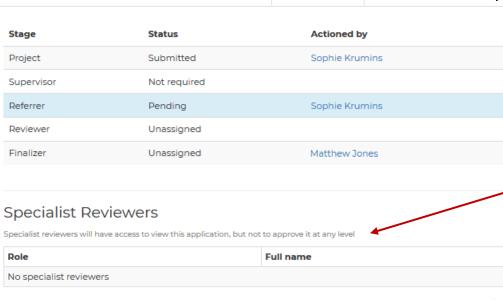


#### **PROJECT P109693**

Project Medium risk

#### **TEST APPLICATION FOR USER GUIDE**

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.

Actioned on

Wed, 12/08/2020 11:38

- 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.

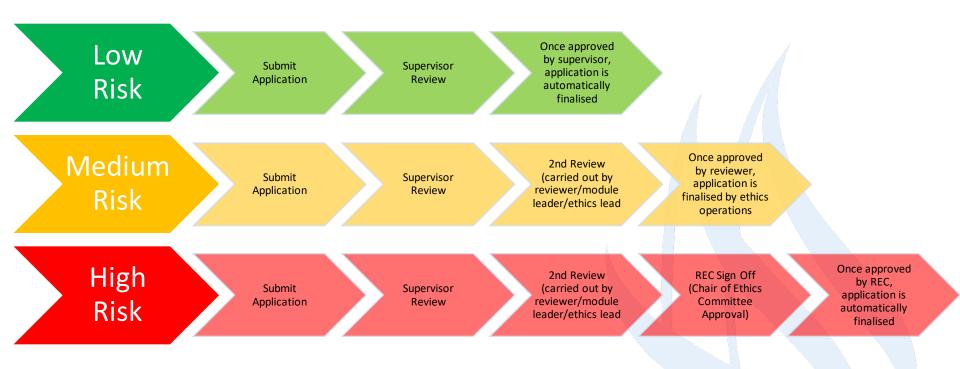
### **Levels of Risk**



Low Risk	Typically secondary research (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**





# **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. HRA/NHS), will be automatically directed to the 'REC' stage for review, after the finalizer 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.

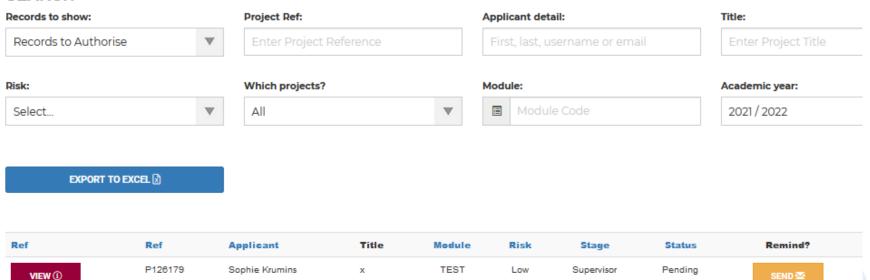
Your Ethics application P126179 has been returned to you for editing. Please log back into Ethics and select the request from your listing. You can then make the necessary changes and re-submit, refer to the Comments tab for details.		
Ref:	P126179	
Project title:	x	
Applicant:		
Submitted:	24/10/2021 20:57	
Module code:	TEST	
Module leader(s): Sophie Krumins		
Comment from the authoriser:		
test		

### Supervisor view



### **AUTHORISE AS SUPERVISOR**

#### **SEARCH**



### Supervisor view



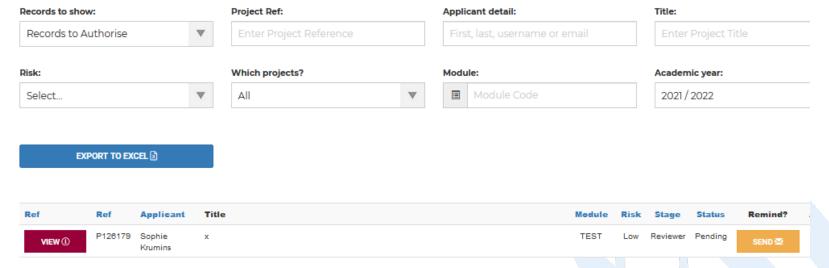
### **REVIEW PROJECT P126179** Guidance for Reviewers can be found here Your recommendation Conditions or reasons that support your recommendation (if appropriate) Approved Application will progress to the next stage in the review process e.g. finalizer stage or REC sign off for high risk applications, or for low risk applications the application will be automatically approved and the applicant notified. Revise and Re-submit The applicant is to make changes to the application and resubmit for approval 4000 character limit, 4000 characters left Decline The application will be locked and the applicant will NOT be able to edit or resubmit SUBMIT (

### Reviewer view



### **AUTHORISE AS REVIEWER**

#### **SEARCH**



### **Reviewer view**

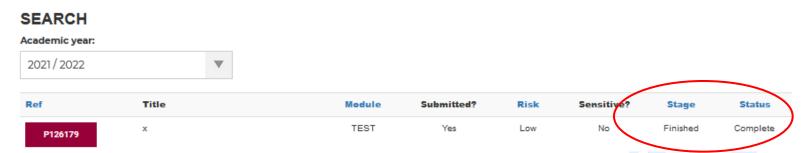


REVIEW PROJECT P126179		
Guidance for Reviewers can be <u>found here</u>		
Evaluation of the ethics of the proposal (if necessary)		
Evaluation of the ethics of the proposal (if necessary)		
4000 character limit: 4000 characters left		(5555)
Evaluation of the participant information sheet and consent form (if nece	essary)	
4000 character limit. 4000 characters left:  Your recommendation	Conditions or reasons that support your recommendation: (if appropriate)	fi.
Approved	Conditions or reasons that support your recommendation: (if appropriate)	
Application will progress to the next stage in the review process e.g. finalizer stage or REC sign off for high risk applications, or for low risk applications the application will be automatically approved and the applicant notified.		
Revise and Re-submit		//
The applicant is to make changes to the application and resubmit for approval	4000 character limit, 4000 characters left.	1111
Decline		
The application will be locked and the applicant will NOT be able to edit or resubmit		
		4
		SUBMIT 🖒

### **Approved Application**



### MY PROJECTS



### **PROJECT P109693**

### TEST APPLICATION FOR USER GUIDE

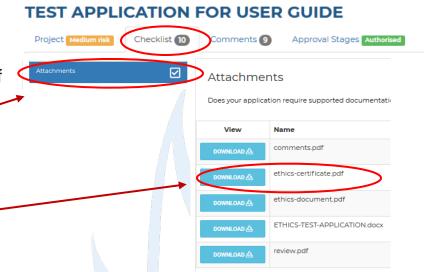


### **Approved Application**



 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'



### **Approved Application**



Example of e-mail of ethical approval and certificate



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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.

