

User Guide for Applicants submitting an ethics application

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

Sittly will be a

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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



CU ETHICS Home 🕨 Dashboard

MY ETHICS

FULL NAME Sophie Krumins	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 - <u>click here</u> to change the academic year.				
FACULTY [HLS] Faculty of Health and Life Sciences	My Projects	My Modules My Students Authorise			
SCHOOL/FRC					
Other	MY PR	OJECTS			
MY ROLES	Ref	Title	Module	Stage	Status
Faculty Leader Module Leader	P109693	TEST APPLICATION FOR USER GUIDE	HLS:STAFF	Finished	Complete
Quality & Research Support					1 to 1 of 1 Records.
Reviewer School Ethics Leader			МУ	PROJECTS 🔳	NEW PROJECT +
Supervisor					
Se	lect 'Ne	ew Project' located on the 'Dashbo	ard'		



APPLICANT DETAILS

Your Faculty/URC* ③	Help Records are located on most questions for guidance
Your School/Dept/FRC* ⑦	
Your Module @	 Module code is essential to ensure the application is directed to the correct review process. Undergraduate (UG) and Postgraduate Taught (PCT). Students should shoeld with module leaders
SAVE AND NEXT 🗘	 PGR/Staff (next two slides)
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



Faculty/Research Centre	Module Code
Faculty of Art and Humanities (FAH) >Centre for Arts, Memories and Communities (AMC) >Centre for Dance Research (CDaRE) >Centre for Postdigital Cultures (CPC)	FAH-PHD AMC-PHD CDaRE-PHD CPC-PHD
Centre for Business in Society (CBiS) Centre for Financial and Corporate Integrity (CFCI)	CBIS-PHD CFCI-PHD
Centre for Built and Natural Environment (BNE) Centre for Data Science (CDS) Centre for Fluid and Complex Systems (CFCS)	BNE CDS FCS
Faculty of Health and Life Sciences (HLS) Centre for Intelligent Healthcare (CIH) Centre for Sport, Exercise and Life Sciences (CSELS)	PHD-HLS PHD-CIH PHD-SELS
University Research Centre for Agroecology, Water and Resilience (CAWR)	CAWR-PHD
University Research Centre for Institute of Future Transport and Cities (IFTC)	FTC-PHD
University Research Centre for Global Learning, Education and Attainment (GLEA)	GLEA-PHD
University Research Centre for Trust, Peace and Social Relations (CTPSR)	CTPSR-PHD

UG/PGT – please check with your supervisor or module leader for your module code

Module Codes for Staff



Faculty/Research Centre	Module Code
Faculty of Art and Humanities (FAH) >Centre for Arts, Memories and Communities (AMC) >Centre for Dance Research (CDaRE) >Centre for Postdigital Cultures (CPC)	FAH-STAFF AMC-Staff CDaREStaff CPC-Staff
Faculty of Business and Law (FBL) and Faculty Research Centres	FBL-STAFF
Faculty of Engineering, Environment and Computing (EEC) and Faculty Research Centres	EECSTAFF
Faculty of Health and Life Sciences (HLS) and Faculty Research Centres	HLS:STAFF
University Research Centre for Agroecology, Water and Resilience (CAWR)	CAWR-STAFF
University Research Centre for Institute of Future Transport and Cities (IFTC)	FTC-STAFF
University Research Centre for Global Learning, Education and Attainment (GLEA)	GLEA-STAFF
University Research Centre for Trust, Peace and Social Relations (CTPSR)	CTPSR-STAFF
CU Group Coventry (CUC)	CUC-Staff
Professional Services	STAFF:PS

UG/PGT – please check with your supervisor or module leader for your module code







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?
	Yes No
	Name of Professional Code of Ethical Practice
5 Project Funding* ⑦	
Is this project externally funded?	British Psychological Society
	Unite you read the Code2
Yes No	
	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 ()
'Save and Next' to save the application progress, 'Processing, pleas may appear once clicked, applicants should wait for the next page to before exiting as progress may be lost.	se wait' to appear Moving on, PLEASE WAIT







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, vid	eo or audio recording	(
Biological sample participants	es, physical measurements/activities or substances/procedures administered to or taken from human	(
Information gath	ered from human participants	[
Biological materi	als including organisms and samples (excluding humans)	[
Animals and thei	r habitats, tissues, body fluids, cell lines derived from animal tissues (excluding humans)	(
Hazardous substa	ances	[
Machinery & equi	ipment	[
Ionising Radiation	n	(
UAS flights (dron	es)	[



Questions in the 'Project Will the data collection, recruitment materials or any other project documents be in any 6 Detail' and 'Data Analysis' . language other than English?* ⑦ sections of the application may trigger additional sections No Yes to be completed under the 'Project Checklist' LANGUAGES 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?* ⑦ Yes No SAVE AND NEXT Form 7 of 8 ← Prev Next → Checklist -

RETURN TO CHECKLIST 🖻



ATTACHMENTS

Yes		No		
'ou must upload re Iformation Sheet, I esearch Proposal/F	elevant documentation to support you nformed Consent Form, Risk Assessm Protocol, Recruitment Materials etc.)	ur ethics application. Examples of docu nent, Questionnaires, Interview Schedu	ments include Particip le, Gatekeeper letter,	oant
View	Name	Туре	Size (Kb)	
DOWNLOAD 🕹	ETHICS-TEST- APPLICATION.docx	Participant Information Sheet	11.14	⊠° ×
	1			

Once documents are uploaded they will appear here

Hold down the ctrl key whilst selecting to select multiple files. Only MS-Office documents, images and PDF's are allowed. UPLOAD FILES A Drop down list of document types e.g. Participant Information Sheet, Consent Form, Research Proposal, Risk Assessment etc.

UPLOAD DOCUMENTS

Document type* ③



'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 or

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 🗸

PRINCIPAL INVESTIGATOR'S DECLARATION

1	I confirm that I have answered all relevant questions in this form honestly
С	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.
С	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.
C	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.
C	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?



- 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				

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

SUBMIT FOR AUTHORISATION



PROJECT P109693

ST APPLICA	TION FOR USER GUIDE	project details, checklist, comments approval stages
Applicant Det	ails	Data Analysis
Full name	Sophie Krumins	1 Does your research seek to understand, identify, analyse N
aculty/URC	Faculty of Health and Life Sciences	and/or report on information on terrorism or from terrorist organisations, require access to terrorist groups
ichool/Dept/FRC	Other	or those convicted of terrorist offences or relate to terrorism policies in other international jurisdictions?
esearch Centre	Test URC : Rename this centre later	
Nodule name	TEST - TESTING [Undergraduate]	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?
Project Summ	hary	3 Are you analysing Secondary Data?
Project ID	P109693	4 Are you dealing with Primary Data involving people?
roiect title	TEST APPLICATION FOR USER GUIDE	



PROJECT P109693

TEST APPLICATION FOR USER GUIDE

roject Medium risk Check	klist 10 Comm	Approval Stages	
DBS (Disclosure & Barring So CRB (Criminal Records Bure	ervice) formerly 💽 eau)	DBS (Disclosure & Barring Service) formerly CRB (Criminal	
External Ethics Review		Records Bureau)	
Participant Information and	I Informed	Does the study require DBS (Disclosure & Barring Service) checks? Yes	
Payments to participants		Please give details of the level of check, serial number, date obtained and expiry date (if applicable) TEST APPLICATION	
Capacity to give valid conser	nt 🔽		
Recruiting Participants	L.		
Information gathered from I participants	human 💽	Checklist sections will appear here. Those sections that carry a medium or high risk (depending on the answer or high risk).	
Travel away from home cam	npus 🔽	the) will appear as a different colour to flag the	
Photography, video or audio	o recording		
Attachments	V		



PROJECT P109693 Comments tab will display all comments added to the **TEST APPLICATION FOR USER GUIDE** application, by the applicant, supervisor, reviewer and ethics operations/admin. Project Medium risk Comments 2 Approval Stages Checklist 10 Sophie Krumins commented 13 hours ago Add a Comment Adding a comment Comment TEST COMMENT Sophie Krumins commented Just now TEST COMMENT 4000 character limit, 3988 characters left Comments added here will not be anonymous and POST 🖒 cannot be removed once posted.



PROJECT P109693

TEST APPLICATION FOR USER GUIDE			status of the ap
Project Medium risk C	Checklist 10 Comments 2	Approval Stages	Reviewer's will
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 Revie	EWERS	o approve it at any level	Any spec section o appear he <i>Manager</i>
Role Full name			Laser Sa
No specialist reviewers			They are

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.

- 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





Approvals Process – Staff Applications





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 'PVC Sign Off' stage for review, after the reviewer stage of the process.

Stage	Status	Action
PVC SIGN OFF	PENDING	with Chair of University Research Ethics Committee for review and sign off
PVC SIGN OFF	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





PROJECT P109693

TEST APPLICATION FOR USER GUIDE

Project Medium risk

Checklist 🔟

Comments (2) Approval Stages Supervisor

REVIEW PROJECT P109693



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

Pro	iect	Medium ris

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

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

Conditions or reasons that support your recommendation: (if appropria

Approved

Revise and Re-submit

Decline

4000 character limit. 4000 characters left

Approved Application





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



Go to P109693 to view this project in more detail

Covent
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.

Key Contacts



Faculty of Art and Humanities (FAH)	ethics.fah@coventry.ac.uk
Faculty of Business and Law (FBL)	ethics.fbl@coventry.ac.uk
Faculty of Engineering, Environment and Computing (EEC)	ethics.eec@coventry.ac.uk
Faculty of Health and Life Sciences (HLS)	ethics.hls@coventry.ac.uk
University Research Centre for Agroecology, Water and Resilience (CAWR)	ethics.cawr@coventry.ac.uk
University Research Centre for Institute of Future Transport and Cities (IFTC)	ethics.ftc@coventry.ac.uk
University Research Centre for Global Learning, Education and Attainment (GLEA)	globallearning@coventry.ac.uk
University Research Centre for Trust, Peace and Social Relations (CTPSR)	info.ctpsr@coventry.ac.uk
CU Group Coventry (CUC)	ethics.cuc@coventry.ac.uk
CU Group London (CUL) and CU Group Scarborough (CUSC)	ethics.uni@coventry.ac.uk
Professional Services	ethics.ps@coventry.ac.uk
Health & Safety	safetyoffice.est@coventry.ac.uk
General queries	ethics.uni@coventry.ac.uk



If you have any questions, please contact your local ethics administrator

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Queen's Award for Enterprise International Trade 2015