

User Guide for Staff submitting An Ethics Application

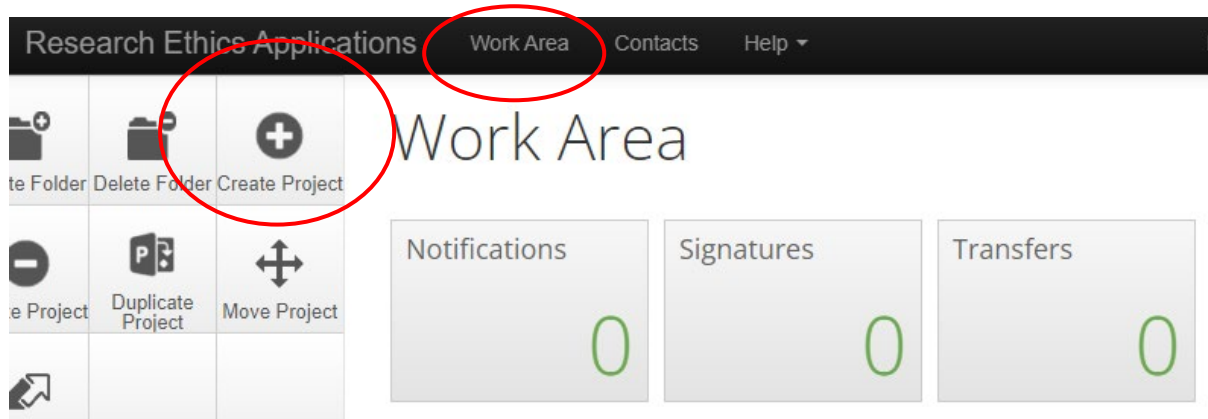
For information relating to the review process, risk levels, etc. please read the **Ethical Governance in Research Policy** on the ethics and integrity web page:
<https://www.northumbria.ac.uk/research/ethics-and-integrity/>

Step One: Accessing the Ethics Application System

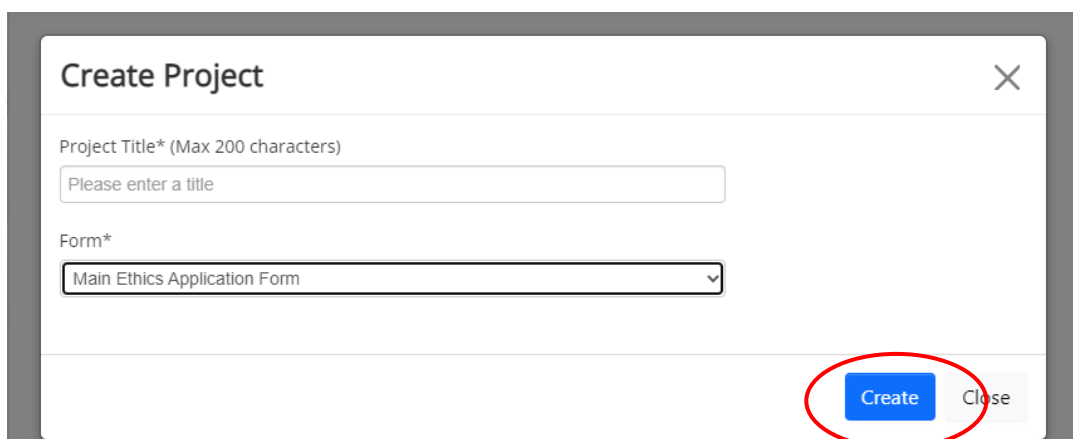
Click on the link to access the ethics application platform on Infonetica:
<https://ethicsapplication.northumbria.ac.uk>

Step Two: Creating an application

In the Work Area dashboard click the tile Create Project



This will bring a pop-up page where you **input the title of your project** and choose the type of form from the **drop-down menu** (N.B. Northumbria currently has only one form – Main Ethics Application Form). Press the blue **Create** button.





An Ethics Application

You have now successfully created your project's ethics application.

The next page you see is the project tree page.

Action Required on Form	Status	Review Reference	Date Modified
Yes	Not Submitted	N/A	19/09/2022 14:17

Step Three: Completing the Ethics Application Form

You can now complete the ethics application form by completing all mandatory sections and chose the ethics review categories that match your research project. You can navigate to any part of the form from here and the form will automatically save.

To begin click the button **Click 'Start Here'**

Section	Questions
Begin Application	START HERE
Ethics Review	Ethical Review Categories
Research Project Questions	General Aims and Research Design
Research Data Management	Data Management
Project Timescale	Project Duration
Health and Safety	Health and Safety
Supporting Documents	Additional Documents
Insurance	Insurance
Declaration	Applicant Declaration

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The question sections listed in blue are mandatory sections and must be completed. You can use the buttons at the end of each page to progress through the form.

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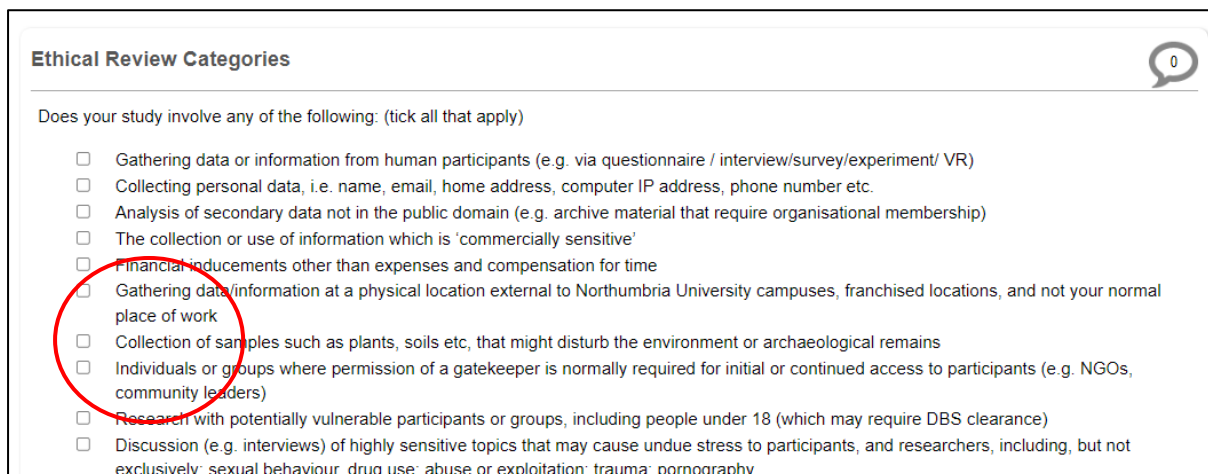
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You can use the menu on the **left** of the page to **navigate** the form (the navigate button will take you back to the main ethics application page where you can work through any questions by your own choice).

You can use the **completeness check** to see what questions you have left to complete.

Step Four: Ethical Review Categories

A key feature of the new ethics system is the smart form, which relies on the user choosing the **correct ethical review categories**. These automatically filter applications through to proportionate or full review.

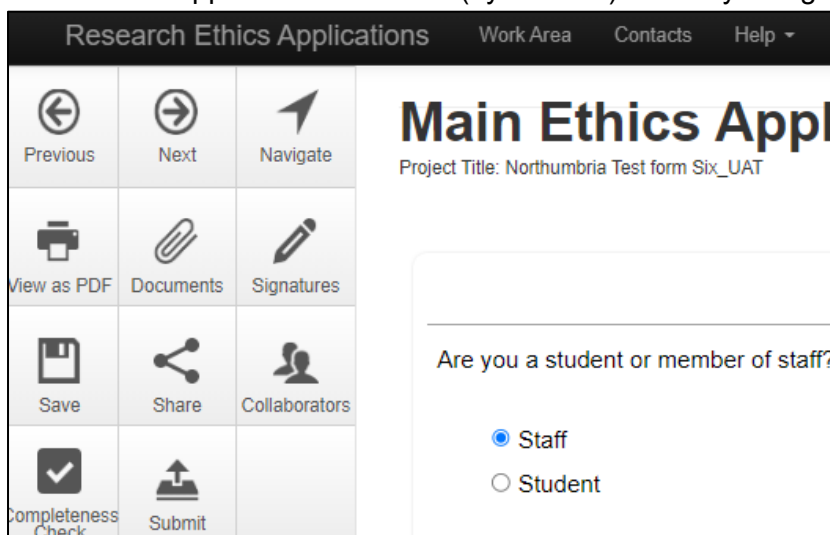


Ethical Review Categories

Does your study involve any of the following: (tick all that apply)

- Gathering data or information from human participants (e.g. via questionnaire / interview/survey/experiment/ VR)
- Collecting personal data, i.e. name, email, home address, computer IP address, phone number etc.
- Analysis of secondary data not in the public domain (e.g. archive material that require organisational membership)
- The collection or use of information which is 'commercially sensitive'
- Financial inducements other than expenses and compensation for time
- Gathering data/information at a physical location external to Northumbria University campuses, franchised locations, and not your normal place of work
- Collection of samples such as plants, soils etc, that might disturb the environment or archaeological remains
- Individuals or groups where permission of a gatekeeper is normally required for initial or continued access to participants (e.g. NGOs, community leaders)
- Research with potentially vulnerable participants or groups, including people under 18 (which may require DBS clearance)
- Discussion (e.g. interviews) of highly sensitive topics that may cause undue stress to participants, and researchers, including, but not exclusively: sexual behaviour, drug use, abuse or exploitation, trauma, pornography.

The applicant can choose (by tick box) as many categories as relevant to their project.



Research Ethics Applications Work Area Contacts Help

Previous Next Navigate

View as PDF Documents Signatures

Save Share Collaborators

Completeness Check Submit

Main Ethics Appl

Project Title: Northumbria Test form Six_UAT

Are you a student or member of staff?

Staff
 Student

Additional questions will then be created in their application relevant to their area of research. For example, should research tick the box for:

- Funding/ sponsorship from, or the involvement of, the UK Ministry of Defence, Military (UK and International), and or, EU Security funding call.

Security sensitive research questions will appear in the form.



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NB. Applicants can track what questions they need to complete from the main form home page (by clicking the **navigation** button). From here you can see all sections to complete for your project (these are highlighted in blue text in the picture below).

Section	Questions
Filter questions	Click here to start Ethical Review Categories
Research Project Questions	General Aims and Research Design
Human Participants and Personal Data	People and Personal Data
Secondary Data (not in the public domain)	Secondary Data
Commercially Sensitive data	Confidential or Commercially Sensitive Data
Environmental Data	Physical Environment
Human Tissue	Human Tissue
Animal Subjects	Animal Subjects
Security Sensitive Research (including Prevent related material)	Security Sensitive Research
Research on Culturally Sensitive Art, Artefacts or Monuments	Culturally Sensitive Artefacts and sites
Children and Vulnerable Adults	Children and Vulnerable Adults
Research Data Management	Data Management
Project Timescale	Project Duration
Additional Information	External Funding Information
Health and Safety	Health and Safety
Supporting Documents	Additional Documents
Research Collaborator	Collaborators
Insurance	Insurance

Step Five: Submit your application

When you have completed the questions, you will be asked for your signature on the applicant declaration page. By clicking the **Sign** button you are signing the form.

Declaration

I confirm that I have answered the above sections as fully and accurately as possible.

Applicant Signature

[Sign](#)

Once you have completed this page your application will be **automatically submitted** for triage and completeness check, and reviewers assigned. Your review will be complete within 20 working days.

You will receive an email to confirm the submission of your application. You can download a copy of your application at any time.

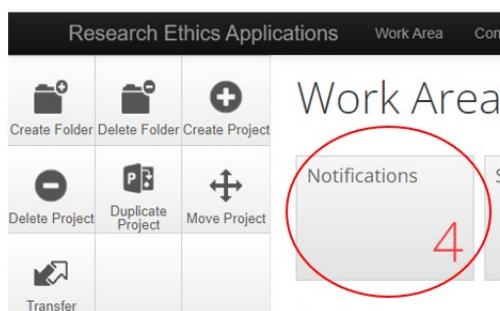
Step Six: Managing your application after Submission

Once you have submitted your application, it is received by Research Innovation Services (RIS) to perform some basic governance checks. If there are any missing requirements, RIS will email details of such requirements to you.

If the application is complete, RIS will allocate one or more Reviewers depending on whether your application is deemed Proportionate Risk level, requiring one Reviewer or Full Review, requiring two Reviewers and Chair/Moderator Review.

Please note the timescale for a review is 20 working days from the date the reviewer(s) is initially allocated. If this poses a problem with you, please contact your Supervisor.

After your application has been reviewed, you will receive a decision by email to inform you of the decision and any actions required; you will also receive a notification in your account.

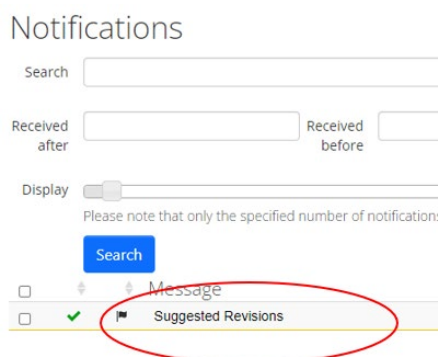


If your application is Approved, you will receive email confirmation of this with an Approval letter; no further action is required.

If revisions are required to your application, details of the required changes will be included in the email and will be available for you to act on in your application in the ethics system.

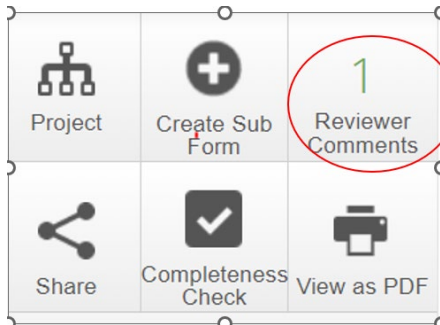
Step Seven: Responding to Revisions Requested by the Reviewer(s)

If changes to your application are required, click on **Suggested Revisions** tile then **View Form**:



Or open the application, the **left-hand sidebar** will show the comments which have been attached to your application during review. Comments may apply to the whole form or to specific questions in the ethics form.

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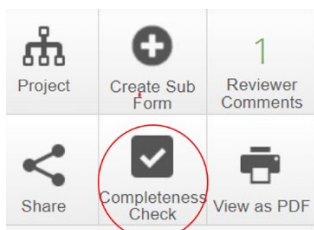


Clicking on the 'Reviewer Comments' button in the left-hand sidebar will bring up a pop-up window in which each of the comments will be displayed relating to the specific part of the form. Please scroll down if the Reviewer comments are not visible.

Make the relevant changes and then navigate to the last section of the form to then resubmit the application which will require your Supervisor to sign the resubmitted form. NB This in effect is a new version of the original application form.

Your re-submission will be confirmed by email and in your notifications in the system Work Area.

It is Good Practice to perform a Completeness Check before submitting:



If there are no Reviewer comment, the most likely explanation is that the Reviewer(s) has not made their comments visible to you, as the Applicant. Please therefore either return the application to the Reviewer(s) explaining that the comments aren't visible or email your project ID to ethicssupport@northumbria.ac.uk and we will confirm the Reviewer comments to you.

Note: Ethics Support is unable to assist without your Project ID.

Sharing your application with your Co-Researcher

You can share your application with your Co-researcher at any time. While in the application click 'Share' to the left of the page and type the person's email address into the box. You can choose how much access to give them, for example Read Only, Write, Submit etc.

Deleting and Withdrawing an Application

If you no longer wish to proceed with an application, you can remove it permanently depending on its status.



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If the application has never been submitted and remains in your Work Area, click on the Delete Project in the left-hand sidebar inside the application to permanently delete it.

Withdrawing an application which you have submitted for review

If you have submitted your application and need to withdraw it, you can do this by using the '**Withdraw Application**' tile which appears on the left-hand sidebar inside the application that you want to withdraw.

You can withdraw an application *at any time once it has been submitted up to the point at which a final review decision is given*. Once an application has been given an approval or rejected decision, it can no longer be withdrawn.

Once withdrawn, the application cannot be restarted or edited. However, you can use the Duplicate Project tile to copy the withdrawn application into a new application.

For support in using the system including online training materials, user guides and FAQs please visit: www.northumbria.ac.uk/research/ethics-and-integrity/

Everyone can access system User Guides under the heading **New Ethics System User Guides and Guidance** at this link: <https://www.northumbria.ac.uk/research/ethics-and-integrity/>

For Faculty and Departmental Support

Staff can contact the Department Ethics Lead or Faculty Ethics Director; their contact details can be accessed [here](#) (Staff only)

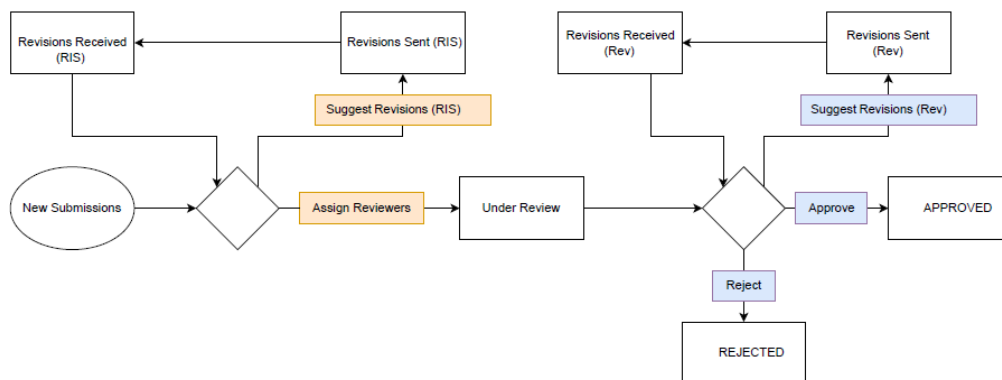
If you have any queries for content **not** covered by the User Guides and the Help tab within the ethics system, please contact ethicssupport@northumbria.ac.uk **quoting your Project ID** from the Ethics Online System

System Workflow Diagrams can be found on the next page

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Workflow for Ethics Applications requiring Proportionate Review



Action (orange box) Actions highlighted in orange are admin/RIS actions

Action (blue box) Actions highlighted in blue are assigned Reviewer actions

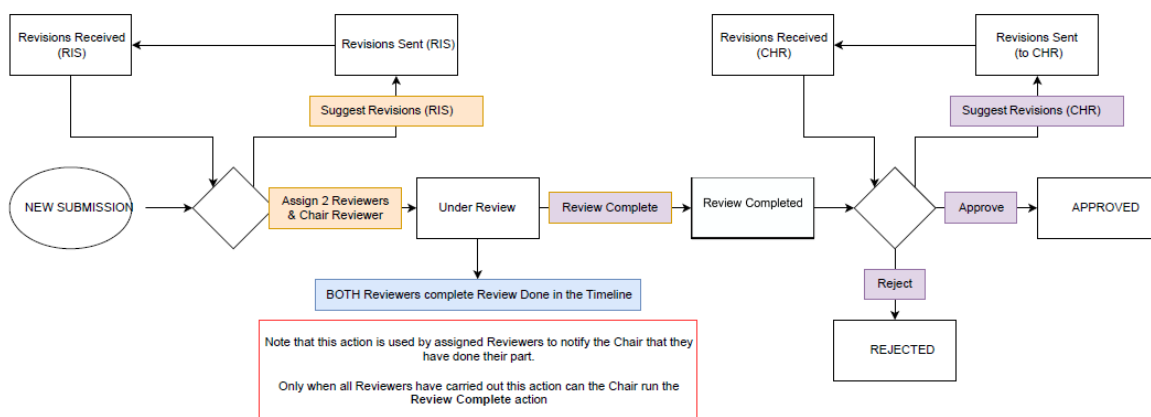
Rejected (unfilled box) Unfilled boxes reflects a submission's status and tiles in the work area

Review Application (pink box) Review Application - a system action available to every user who has access on a submission used to review the application form

Change Application Type (pink box) Change Application Type - a system action available to users with Admin role used to change a submission's application type (risk level) at any stage of the review process.

Change Application Type (pink box) Please note: if two different approval letters are issued for high risk and low risk applications, the admin must change the submission's application type before running the Approve action

Workflow for Ethics Applications requiring Full Review



Note that this action is used by assigned Reviewers to notify the Chair that they have done their part.
Only when all Reviewers have carried out this action can the Chair run the Review Complete action

Action (orange box) Actions highlighted in orange are admin/RIS actions

Action (purple box) Actions highlighted in purple are Chair (Moderator) actions

Action (blue box) Actions highlighted in blue are assigned Reviewer actions

Rejected (unfilled box) Unfilled boxes reflects a submission's status and tiles in the work area

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