

Always consult your Supervisor before completing your 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/>

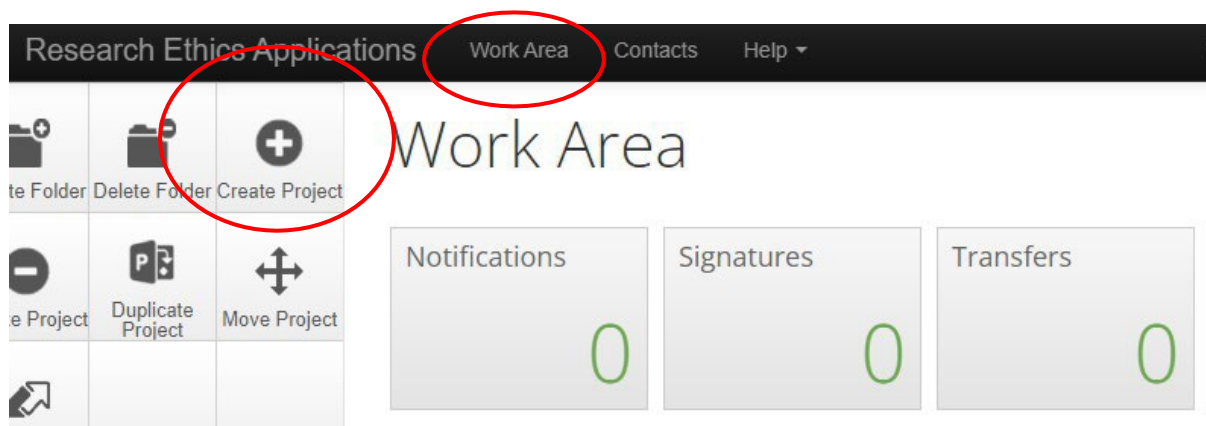
Step One: Accessing the Ethics Application System

Click on the link to access the ethics application platform on Infonetica:

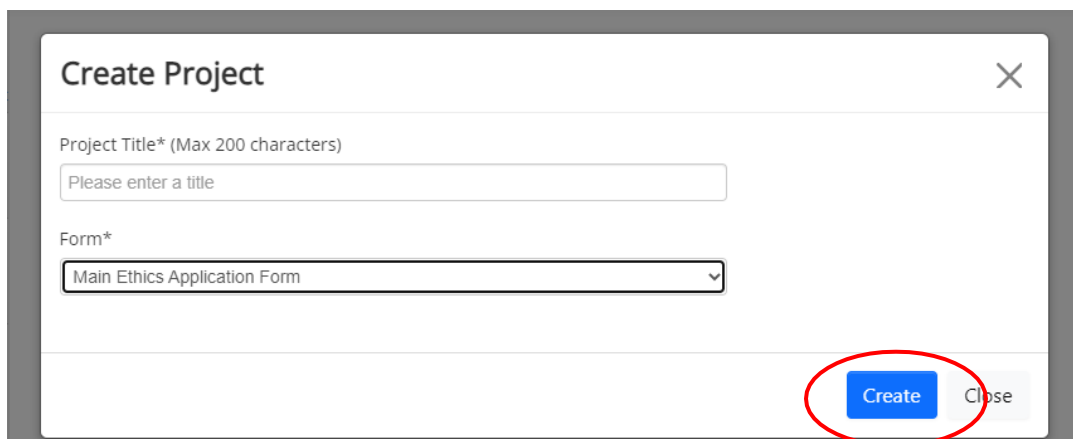
<https://ethicsapplication.northumbria.ac.uk/>

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.



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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

- Begin Application
- Ethics Review
- Research Project Questions
- Research Data Management
- Project Timescale
- Health and Safety
- Supporting Documents
- Insurance
- Declaration

Questions

- START HERE
- Ethical Review Categories
- General Aims and Research Design
- Data Management
- Project Duration
- Health and Safety
- Additional Documents
- Insurance
- Applicant Declaration

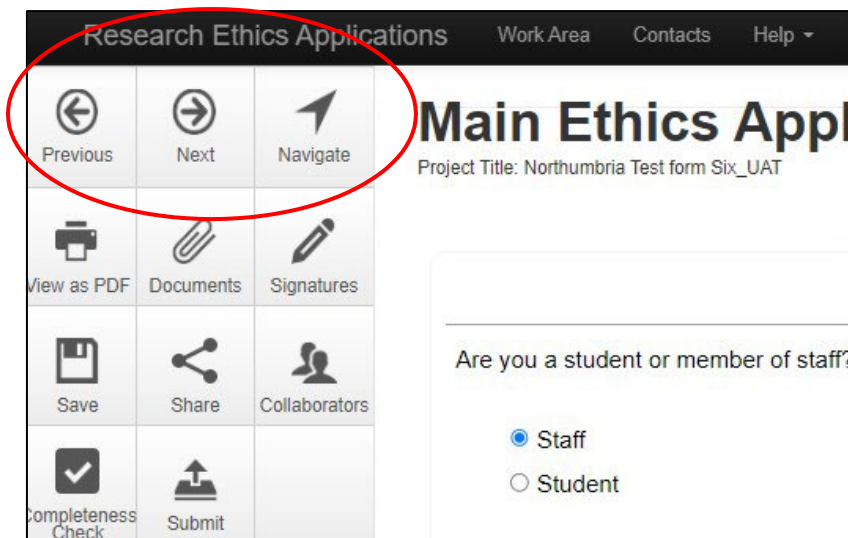
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You will need to confirm your faculty and department in the form. It is important that this information is correct therefore if you are unsure, please check it with your Supervisor before completing.

The question sections listed in blue are mandatory sections and must be completed. You can move backwards and forwards in the from via buttons at the end of each page. The form will automatically save as you populate it.

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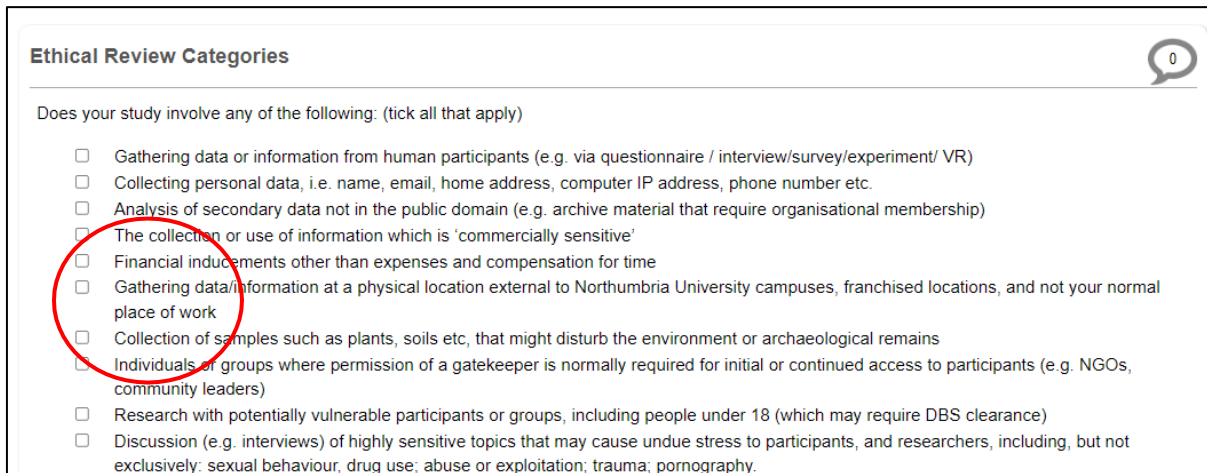


You can use the menu on the **left** of the page to **navigate** the form (the navigate button will take you back to the main ethics application page where you can work through any questions by your own choice).

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. Speak to your Supervisor to ensure you choose the correct categories.



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).

Step Five: Submit your application

When you have completed the questions, all students will need to:

- (a) Click on the blue box and your Supervisor will automatically receive notification to complete the form.

Declaration

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

Once you have signed the form it will automatically be checked for compliance with ethical and governance policies at Northumbria before being allocated for ethical review.

If you are a student once your supervisor has signed the signature request your form will be automatically submitted.

Supervisor Signature

Request Signature

NB If the name of your Supervisor does not appear, it means they have not yet accessed the ethics system and will need to do so by:

Clicking on the link <https://ethicsapplication.northumbria.ac.uk/>

The University Single Sign On means their account will be created; they should check their title is there and enter it if it isn't.

They do not need to do anything else other than log back in when they get a signature request via email. You should then 'find' them in the system in order to request their signature on your application.

- (b) Then 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 your Supervisor has reviewed your application, your application will be **automatically submitted** for triage and a completeness check, and then reviewers will be 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.

Required form updates after system updates are performed

When the online system is changed via a system-wide update, any pending applications in the system that have been created but not yet submitted must be updated so that they are able to be

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submitted. If you have a pending application that has not yet been submitted, you must manually update your application.

You will see this message in a banner heading in your application:



Click the 'Update' link and then confirm via a pop-up window. If you do not update where this is required, you will not be able to submit your application or request a signature and you may receive a message that your application is invalid or

blocked. Note that **if you requested a supervisor signature before the system update was made and your Supervisor did not sign the form before the update, you will need to update your application and request the signature again.**

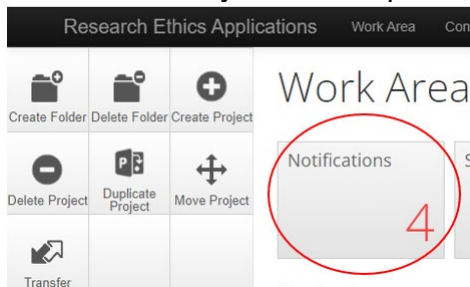
Step Six: Managing your application after Submission

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. **Note that a resubmission of an application following changes will require your supervisor to sign the resubmission.**

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**:

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Notifications

Search

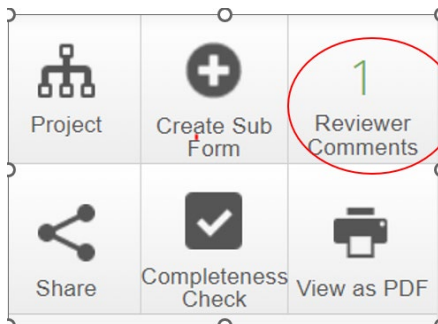
Received after Received before

Display

Please note that only the specified number of notification:

<input type="checkbox"/>	<input type="checkbox"/>	Message
<input type="checkbox"/>	<input checked="" type="checkbox"/>	Suggested Revisions

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.

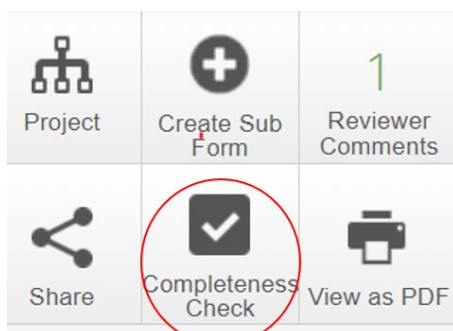


Clicking on the 'Reviewer Comments' button in the left-hand sidebar will bring up a pop-up window in which each of the comments will be displayed relating to the specific part of the form. See below if you are unable to see any Reviewer comments.

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 comments, the most likely explanation is that the Reviewer(s) has not

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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.

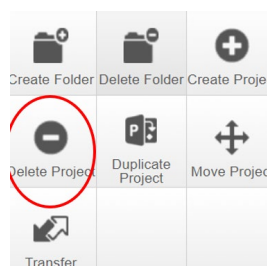
Sharing your application with your Supervisor or Co-Researcher

You can share your application with your Supervisor or a 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.

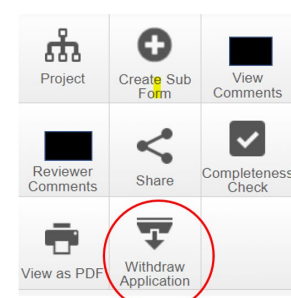
Deleting and Withdrawing an Application

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

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.



If the application has been submitted for review but has not yet been Approved, click on the Withdraw Application tile which appears on the left-hand sidebar inside the application that you want to withdraw. 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.



NB Once an application has been given an approval or rejected decision, it can no longer be withdrawn.

For Help and 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/>

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**Northumbria
University**
NEWCASTLE

For Faculty and Departmental Support

If you are an **Undergraduate or Postgraduate Taught Student**, please contact your Supervisor or Module Tutor. Supervisors/Module Tutors can contact the Department Ethics Lead or Faculty Ethics Director; their contact details can be accessed [here](#) (Staff only)

If you are a **Postgraduate Research Student**, please contact your Supervisor.

If your Supervisor or Module Tutor cannot resolve the issue, they should refer to their Department Ethics Lead; they can access their contact details [here](#) (Staff only)

Additional Support

Everyone can access [Ethics Online FAQs here](#).

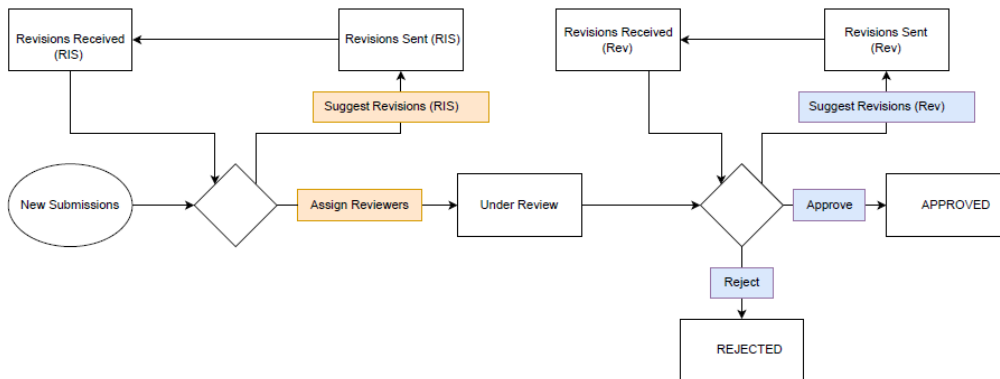
If you have any queries for content **not** covered by the User Guides and the Help tab within the ethics system, please contact ethicssupport@northumbria.ac.uk quoting your **Project ID** from the Ethics Online System

Ethics Online System Workflows can be found on the next page



Ethics Online System Workflows

Workflow for Ethics Applications requiring Proportionate Review



Action Actions highlighted in orange are admin/RIS actions

Action Actions highlighted in blue are assigned Reviewer actions

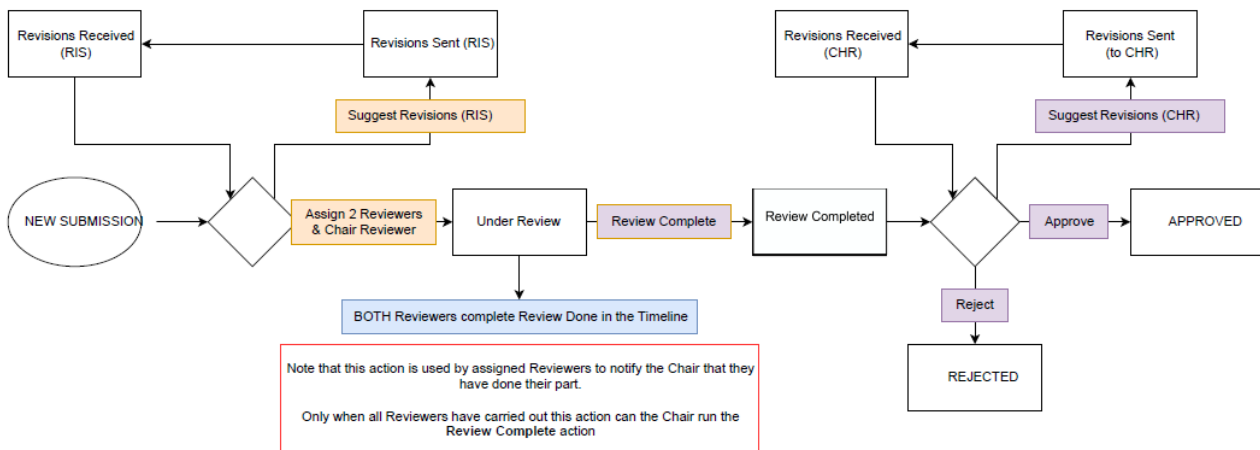
Rejected Unfilled boxes reflects a submission's status and tiles in the work area

Review Application Review Application - a system action available to every user who was access on a submission used to review the application form

Change Application Type 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.

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



Action Actions highlighted in orange are admin/RIS actions

Action Actions highlighted in purple are Chair (Moderator) actions

Action Actions highlighted in blue are assigned Reviewer actions

Rejected Unfilled boxes reflects a submission's status and tiles in the work area

Review Application Review Application - a system action available to every user who was access on a submission used to review the application form

Change Application Type 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.

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