

User Guide for Undergraduate & Postgraduate Students using the Ethics Online Approval System

Ethical approval must be obtained for all research projects prior to the commencement of the research.

Northumbria University upholds the highest standards of academic integrity and ethical practise in research. Making sure our research complies with ethical standards is an important part of assuring its quality and our reputation. Staff and students are expected to ensure that their conduct is driven by:

- the ethical imperative of respect;
- the intention to do no harm; and
- the intention to contribute to society's knowledge and practise through engagement in research that has beneficial intent.

The online ethics system enables staff and students to submit their project for ethics approval at any time, from any campus, as well as track their application through the process.

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Submitting an application

To access Ethics Online go to Ethics and Governance webpage <https://www.northumbria.ac.uk/research/ethics-and-governance/> or the Student portal.

You may have to enter your university login details the first time you access the system.

Welcome

From: 06/03/2016

To: 07/03/2017

Show live submissions only

Refresh

Create a New Submission

Click 'Create a New Submission'.

The Module tutor/submission coordinator field is mandatory for Undergraduate and Postgraduate Taught students. If you are unsure who your submission coordinator is, refer to your Module Tutor. If your submission is received by the wrong person they will be able to send it back to you so you can input the correct person.

If you're unsure how to complete any of the fields, use the 'Help' feature.

Name: Sarah Agnew

Email: sarah.agnew@northumbria.ac.uk

Faculty: Select an Item

Department: Select an Item

Submitting As: Select an Item

Externally Approved: ☐ Note: ONLY tick this box if your project has already received full ethical approval from an external organisation

Module Level Approval: ☐ Tick this box if staff and this submission refers to an entire module.

Module Code: **Help**

Module Tutor: **Find Help Clear**

Research Supervisor: **Find Help Clear**

Named Submission Coordinator (PGT/UGT only): **Find Help Clear**

If you are an undergraduate or postgraduate taught student please select a Named Submission Coordinator; if you are not sure who this is please contact your Module tutor or Supervisor as appropriate.

Create and Save

Click 'Create and Save'. Your submission will now be allocated a unique reference number which can be used to track your submission through the system.

Submission Created

The Submission Reference is: 639

You can now complete the remaining sections of the form and submit it for review. You will be notified who has been assigned to coordinate the review process. (Note: Coordination is not applicable to Northumbria Staff member low risk submissions.)

Please wait while full ethics form loads...

OK

You'll find your submission reference number here.

When this dialog box appears, click 'OK'.

The form will now load. Before you complete the individual sections, ensure the risk level is defined by answering a series of questions about your proposed research. Click to answer the questions.

Ethical Risk Level

Click here to answer the ethical risk questions

Ethical Considerations...

Please click on each question to provide your response:

Close

Does your project involve...

ID QUESTION

- 1 Gathering data or information from human participants (e.g. via questionnaire / interview/survey/experiment/ social media/ VR)?
- 2 Collecting personal data, i.e. name, email, home address, computer IP address, phone number etc?
- 3 Analysis of secondary data NOT in the public domain (e.g. archive material that require organisational membership)?
- 4 The collection or use of information which is 'commercially sensitive'?
- 5 Financial inducements other than expenses and compensation for time?
- 6 Gathering data/information at a physical location external to Northumbria University campuses, franchised locations, and not your normal place of work?
- 7 Collection of samples such as plants, soils etc, that might disturb the environment or archaeological remains?
- 8 Research involving animals or materials derived from animals?
- 9 Anything else which means that the research poses greater than minimal ethical risk?

Save and Close

Click on each question and provide a yes/no response as appropriate. **NOTE:** the answers you provide may open up a new set of questions to answer.

Question 1: Does your project involve...

Gathering data or information from human participants (e.g. via questionnaire / interview/survey/experiment/ social media/ VR)?

Current Answer:

YES

NO

CLEAR

ID QUESTION

ANSWER

1	Gathering data or information from human participants (e.g. via questionnaire / interview/survey/experiment/ social media/ VR)?	YES
2	Collecting personal data, i.e. name, email, home address, computer IP address, phone number etc?	YES
3	Analysis of secondary data NOT in the public domain (e.g. archive material that require organisational membership)?	NO
4	The collection or use of information which is 'commercially sensitive'?	NO
5	Financial inducements other than expenses and compensation for time?	NO
6	Gathering data/information at a physical location external to Northumbria University campuses, franchised locations, and not your normal place of work?	YES
7	Collection of samples such as plants, soils etc, that might disturb the environment or archaeological remains?	NO
8	Research involving animals or materials derived from animals?	NO
9	Anything else which means that the research poses greater than minimal ethical risk?	NO
10	Discussion of highly sensitive topics, including, but not exclusively: bereavement; sexual behaviour; drug use; abuse or exploitation; trauma; pornography; bullying?	NO
11	Potentially vulnerable people or groups, for example children and young people (under 18s), or those who might lack capacity to consent, for example, a learning disability, dementia, or cognitive impairment?	NO
12	Intrusive interventions: the use of drugs or other substances (e.g. food, drink, placebos or drugs); procedures involving physical distress (e.g. prolonged or repetitive testing, ionising radiation); emotional distress (e.g. stress or	NO
13		NO
14		NO
15	and political sensitivities? (In these instances it will be necessary to act in accordance with the legal and ethics review	NO
16	ation concerning identifiable individuals?	NO
17	Individuals or groups where permission of a gatekeeper is normal	NO
18	Recruitment or collection of data from patients, staff or volunteers via	NO
19	The collection of bodily tissue e.g. blood, saliva, urine samples from living	NO
20	A health related study or clinical trial of an investigational medicinal product	NO
21	Direct testing on animals or materials derived from animals?	NO
22	Work that involves direct observation of, or participation in, activities during which it is likely that illegal activity, or regulatory breach is likely to occur (e.g. hunting, drug dealing, accessing the dark web, hacking)?	NO
23	Access to or collection of data, information, materials (e.g. magazines, publications, websites, social media) relating to extremism, radicalisation or terrorism (including extreme or terror groups)?	NO
24	Funding/ sponsorship from, or the involvement of, the UK Ministry of Defence, Military (UK and International), and/or EU Security funding call?	NO
25	The collection of data/information that might be confidential or classified (e.g. protected by the Official Secrets Act)?	NO
26	Other considerations that mean that this research should be treated as 'high risk'?	NO

Once you have provided answers to **all** the questions, click save and close. Your risk level will then be calculated.

Save and Close

Ethical Risk Level

Medium

Complete the relevant fields. Note that some fields are mandatory while others may be necessary depending on the nature of your research.

The screenshot shows a web-based form with a list of sections on the left side, each with a chevron icon. The sections are: Co-investigators, G1: General Aims and Research Design (Mandatory), G2: Research Activities (Mandatory), M1: People and/or Personal Data, M2: DBS Clearances Required, M3: Secondary Data, M4: Commercial Data, M5: Environmental Data, G3: Research Data Management Plan (Mandatory), G4: Research Project Timescale (Mandatory), G5: Additional Information, G6: File Attachments, G7: Health and Safety (Mandatory), G8: Insurance (Mandatory), and G9: Electronic Signature (Mandatory). The main content area shows the G6 section with a file upload button and a 'Create PDF' button. The bottom of the form has 'Save Draft' and 'Save and Submit' buttons.

Click on the bars to open and close each section of the form.

You can attach documents to support your application under G6: File attachments.

If you wish to complete the form at a later date you can click 'Save Draft'.

The screenshot shows the G9: Electronic Signature (Mandatory) section. It includes a confirmation checkbox: 'I confirm I have assessed the ethical risk level of my work correctly and answered the above sections as fully and accurately as possible.' Below this are fields for 'Full Name' and 'Date' (07 March 2017 13:12:06). There is also a checkbox for 'I confirm my supervisor has reviewed the contents of this document'. At the bottom, there are 'Save Draft' and 'Save and Submit' buttons, and a 'Create PDF' button with a note: '(note: PDF creation is not possible on iPad and some mobile devices)'.

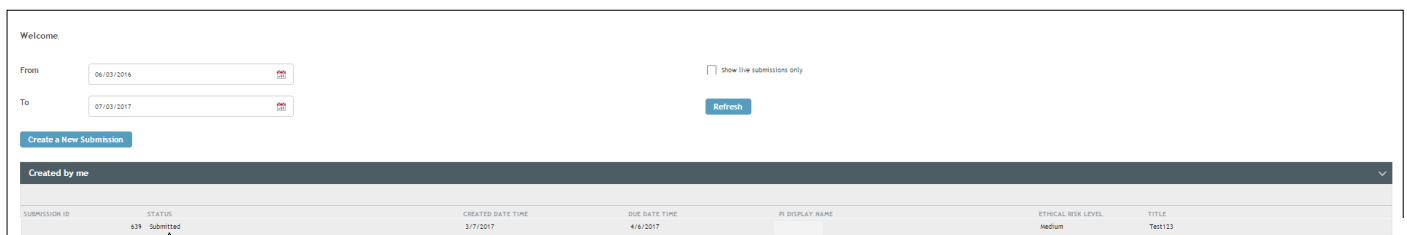
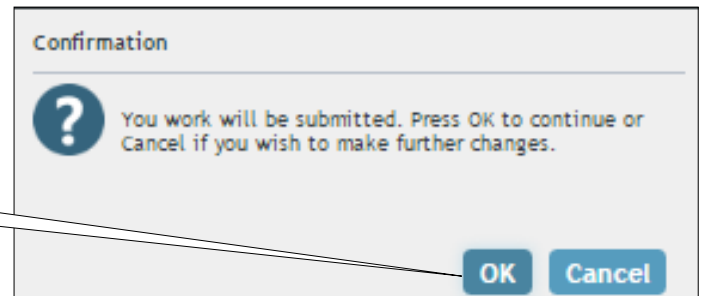
Once the form is complete click 'Save and Submit'.

You should have discussed the project with your supervisor. You can click 'Create a PDF' to email to your supervisor before submitting.

If you have forgotten to fill in any mandatory fields, a dialog box will appear pointing you to the sections you still have to complete. You can then go back and add this information before submitting again.

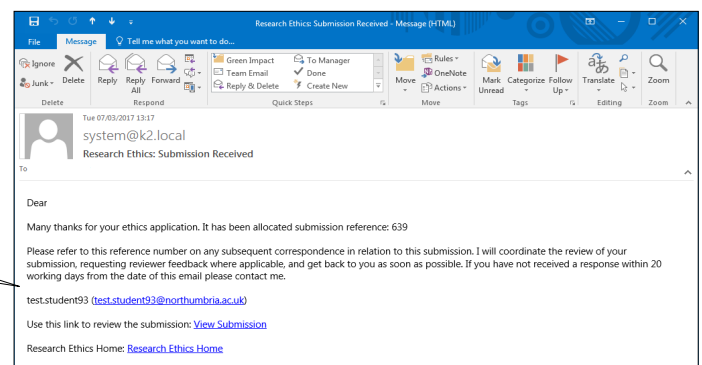


When this dialog box appears click 'OK'.



Once you have saved an application it will appear under 'Created by me' on your dashboard.

You will receive an automated email telling you the coordinator has been notified of your submission.

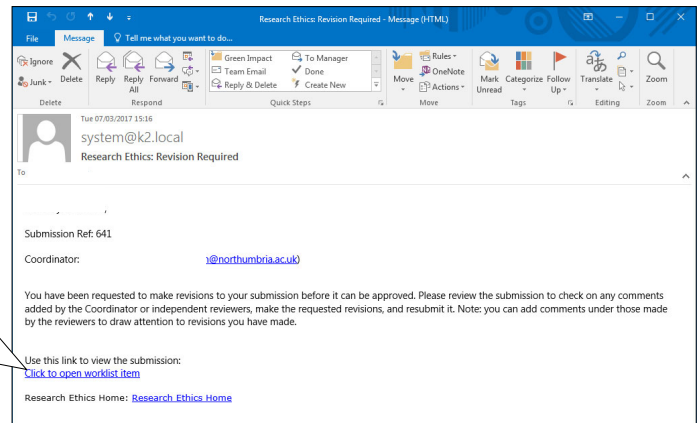


The agreed expectation is that a standard ethics review should take no more than 20 calendar days from it being submitted online to Ethics Online system by a PI and passed to the Coordinator.

Revising an application

Occasionally ethics reviewers will ask that you make changes to your form. You'll be notified by an email like this.

Click 'Click to open worklist item' to view the reviewers comments.



You'll now see two panes. Your application is on the left and reviewer comments on the right. There are also instructions in the yellow box at the top.

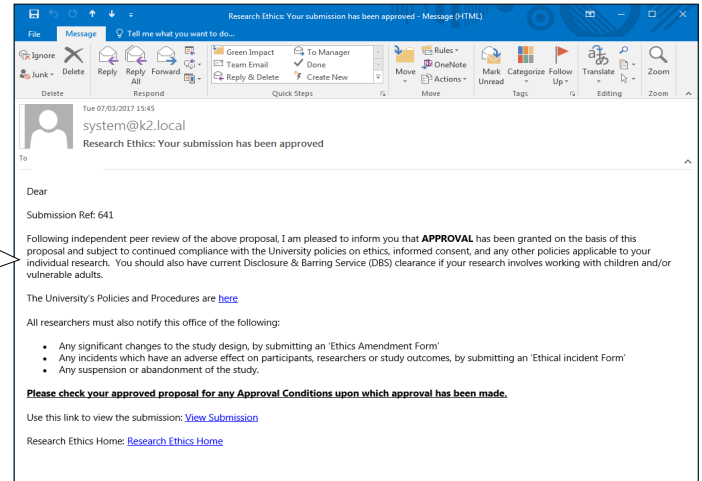
Scroll through the reviewer pane on the right to find where you have been asked to make changes.

Make the change in the corresponding section on the left and click 'Save and Submit' at the bottom of the page.

Another dialog box will appear - click 'OK'.

Getting approval

Once your reviewer(s) is satisfied with your ethics application they will approve it on the online system. You will then get an email notifying you that it has been approved.



For System Support:

If you are an Undergraduate or Postgraduate taught student, please contact your Module Tutor or Supervisor

Amending an approved application

As your research progresses, you may need to amend your already approved application to ensure that all ethics considerations and processes are accurately reflected.

Once a submission is approved in the system, a 'Submission Amendments' list becomes available. You can access this list by clicking on your approved submission on the dashboard

The screenshot shows the 'Submission Amendments' section of a web application. A red circle highlights the 'Create New Amendment' button and the 'Submission Amendments' table. A callout points to the 'Create New Amendment' button, stating: 'To submit an amendment, click on the 'create new amendment' button'.

Below the table, the 'Submission Details' form is shown. A callout points to the 'Coordinator' field, stating: 'The amendment form will open as shown below. The coordinator will automatically default from the original application; this can be changed if necessary.'

The 'Amendment Details' form is shown below. A callout points to the 'Save' button, stating: 'Work through the form, adding information into the mandatory text boxes. Once you've finished inputting text, press the 'save' button.'

The 'Submission Amendments' table has the following columns: SUBMISSION ID, CREATED DATE TIME, CREATED BY, STATUS, and DESCRIPTION. The table is currently empty, displaying 'No items to display.'

The 'Submission Details' form includes the following fields:

- Submission Ref: 492
- Status: Approved
- Submission Coordinator: Kevin Simpson
- Name: Kevin Simpson
- Email: kevin.simpson@northumbria.ac.uk
- Faculty: Health and Life Sciences
- Department: Psychology
- Submitting As: Staff
- Externally Approved: ☐ Tick this box (only) if your project has already received ethical approval from an external organisation.

The 'Amendment Details' form includes the following fields:

- Submission ID: 493
- Created Date Time: 24 July 2018 10:55:14
- Coordinator: (with a 'Change Coordinator' button)
- Status: Draft
- Description of Amendment: (mandatory)
- Reason for Amendment: (mandatory)
- Anticipated Ethical Implications: (mandatory)
- Save button
- Amendment Conversation:
- File Attachments:

Amendment Details

Submission ID: 493 View Submission
Amendment ID: 103

Created Date Time: 24 July 2018 10:55:14

Coordinator: * test.student95 Change

Status: Draft

Description of Amendment: *
Boy desirous families prepared gay reserved add ecstatic say. Replied Joy a tedious visitor. Use fine bed none call busy dull when. Quiet ought match on.

Reason for Amendment: *
Boy desirous families prepared gay reserved add ecstatic say. Replied Joy a tedious visitor. Use fine bed none call busy dull when. Quiet ought match on.

Anticipated Ethical Implications: *
Boy desirous families prepared gay reserved add ecstatic say. Replied Joy age visitor nothing tedious visitor. Use fine bed none call busy dull when. Quiet ought match my right by t...

Save Delete Draft Submit to Coordinator Go To File Attachments

Once you press 'save' a number of options become available:

- 'Delete Draft' - will remove the amendment
- 'Go to File Attachments' - you can add attachments in support of the amendment (for example a revised questionnaire, information sheet or consent form).
- 'Submit to Coordinator' - pressing this button will send the completed amendment to the coordinator for review and (hopefully) approval

Enter message...

Action: Send message to Coordinator

Please include a message (Optional) :

Please note - your message will be stored in the conversation history of this amendment item.

Submit Cancel & Close

When you press the 'Submit to Coordinator' button you will have the option to input an accompanying message to the coordinator before pressing the 'Submit' button.

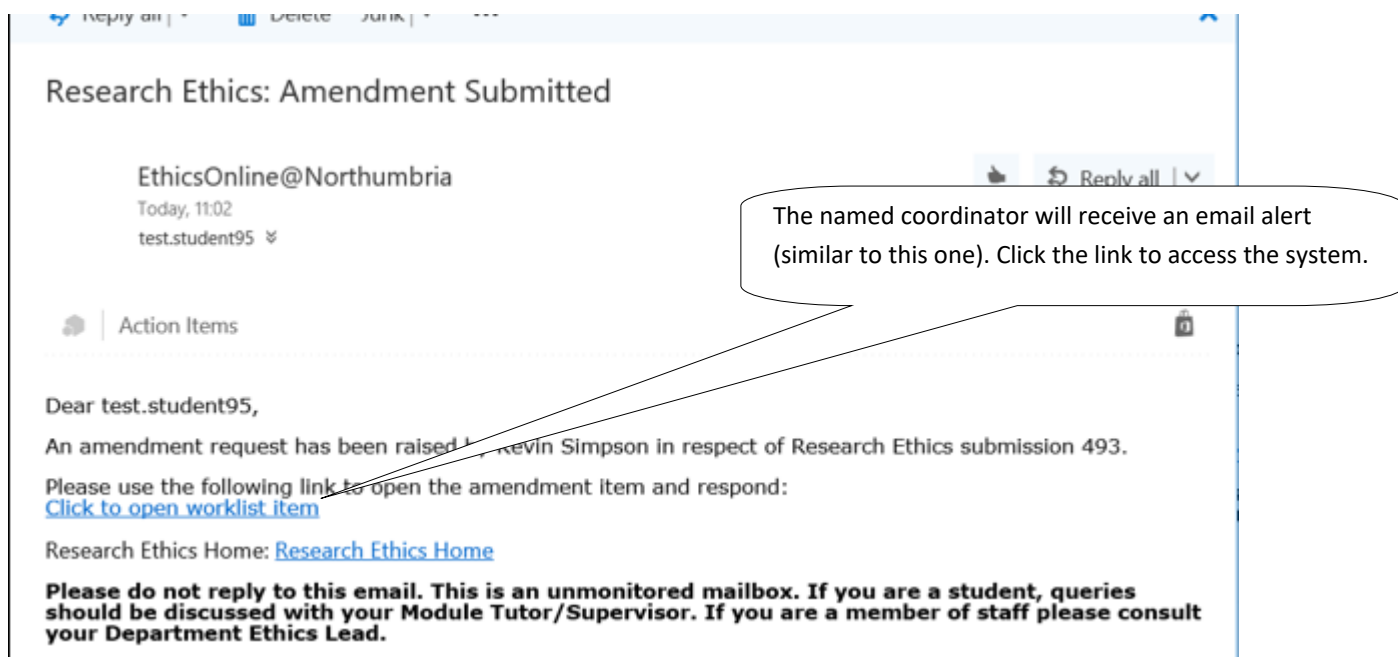
My Documents

Amendments							
Refresh							
SUBMISSION ID	CREATED DATE TIME	CREATED BY	STATUS	DESCRIPTION	UPDATED DATE TIME	COORDINATOR	
493	24/07/2018 10:55	Kevin Simpson	Submitted to Coordinator	Boy desirous families pr...	24/07/2018	test.student...	

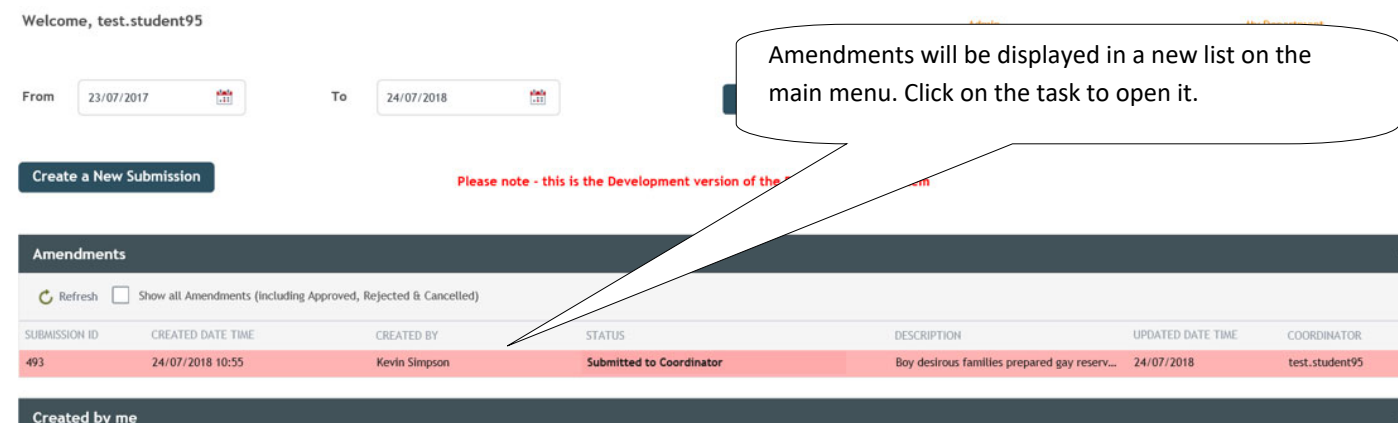
Show Additional Data

Submission

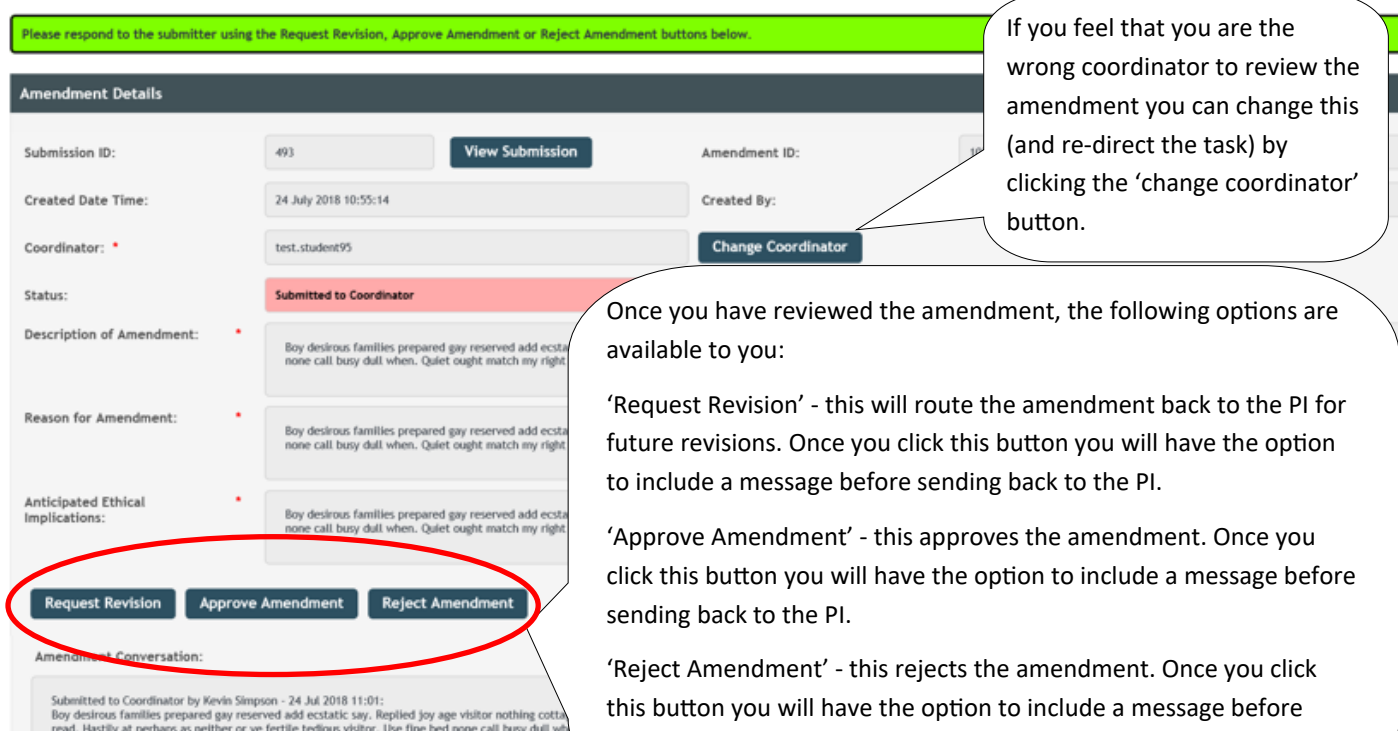
A submitted amendment will appear pink while it is waiting for the coordinator to review/approve it



The named coordinator will receive an email alert (similar to this one). Click the link to access the system.



Amendments will be displayed in a new list on the main menu. Click on the task to open it.



If you feel that you are the wrong coordinator to review the amendment you can change this (and re-direct the task) by clicking the 'change coordinator' button.

Once you have reviewed the amendment, the following options are available to you:

'Request Revision' - this will route the amendment back to the PI for future revisions. Once you click this button you will have the option to include a message before sending back to the PI.

'Approve Amendment' - this approves the amendment. Once you click this button you will have the option to include a message before sending back to the PI.

'Reject Amendment' - this rejects the amendment. Once you click this button you will have the option to include a message before sending back to the PI.

Amendment Details

Submission ID: 493 [View Submission](#) Amendment ID: 103

Created Date Time: 24 July 2018 10:55:14 Created By: Kevin Simpson

Coordinator: test.student95 [Change Coordinator](#)

Status: **Revision Requested**

Description of Amendment: Boy desirous families prepared gay reserved neither or ye fertile tedious visitor. Use fine affronting. Twenty mother denied effect we

Reason for Amendment: Boy desirous families prepared gay reserved add ecstatic say. Replied joy age visitor nothing cottage. Mrs door paid led loud sure easy read. Hastily at perhaps as affronting. Twenty mother denied effect we to do

Anticipated Ethical Implications: Boy desirous families prepared gay reserved add ecstatic say. Replied joy age visitor nothing cottage. Mrs door paid led loud sure easy read. Hastily at perhaps as affronting. Twenty mother denied effect we to do on.

[Send Message to PI](#) [Go To File Attachments](#)

After the coordinator has requested a revision from the PI they can view the amendment as read-only and can send a message to the PI if they wish (e.g. to add a comment or wish to add more clarity)

Research Ethics: Amendment Revision Requested - Message (HTML)

File Message Developer Tell me what you want to do...

Delete Reply Reply Forward NUPRS To Manager
Delete Reply All Done
Reply & Delete Create New

Move Mark Unread
Categorize
Follow Up Translate

EthicsOnline@Northumbria Kevin Simpson

Research Ethics: Amendment Revision Requested

When the PI is asked to make a revision to the amendment they will receive an email like this:

Dear Kevin Simpson,

You have been requested by your coordinator (test.student95) to make revisions to your amendment request in re Research Ethics submission 493.

Please use the following link to open the amendment item:

[Click to open worklist item](#)

Submission ID: 493 [View Submission](#)

Created Date Time: 24 July 2018 10:55:14

Coordinator: test.student95

Status: **Revision Requested**

Description of Amendment: Boy desirous families prepared gay reserved add ecstatic say. Replied joy age visitor nothing cottage. Mrs door paid led loud sure easy read. Hastily at perhaps as affronting. Twenty mother denied effect we to do

Reason for Amendment: Boy desirous families prepared gay reserved add ecstatic say. Replied joy age visitor nothing cottage. Mrs door paid led loud sure easy read. Hastily at perhaps as affronting. Twenty mother denied effect we to do

Anticipated Ethical Implications: Boy desirous families prepared gay reserved add ecstatic say. Replied joy age visitor nothing cottage. Mrs door paid led loud sure easy read. Hastily at perhaps as affronting. Twenty mother denied effect we to do on.

[Save](#) [Submit to Coordinator](#) [Withdraw Amendment](#) [Go To File Attachments](#)

When the PI accesses the revision task they are able to amend the text fields and have options to:

'Submit to Coordinator' - submit further changes to the coordinator.

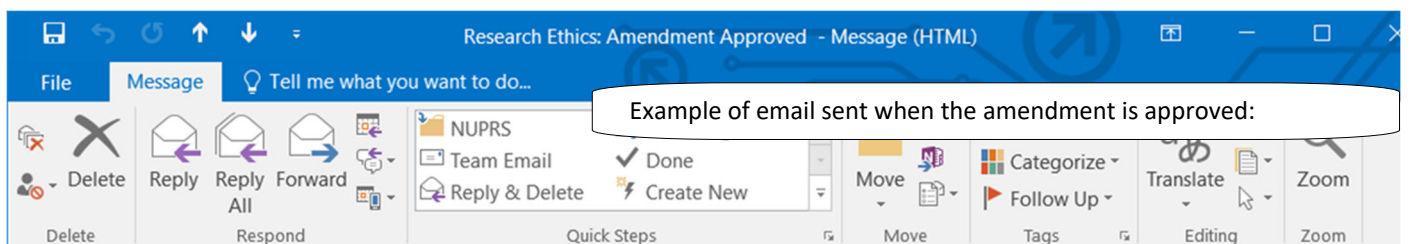
'Withdraw Amendment' - the PI may decide to withdraw the amendment request. This does not delete the amendment history from the system, it simply marks it as 'Withdrawn'

Submission Amendments

Refresh

SUBMISSION ID	CREATED DATE TIME	CREATED BY	STATUS	DESCRIPTION	UPDATED DATE TIME	COORDINATOR
496	12/07/2018 03:36	Kevin Simpson	Amendment Withdrawn	fff	12/07/2018	test.student...
496	12/07/2018 04:06	Kevin Simpson	Amendment Rejected	ssss	12/07/2018	test.student...
496	12/07/2018 04:13	Kevin Simpson	Amendment Withdrawn	ddds	12/07/2018	test.student...
496	12/07/2018 04:37	Kevin Simpson	Amendment Rejected	sasa	12/07/2018	test.student...
496	12/07/2018 04:38	Kevin Simpson	Amendment Rejected	dsdsd	12/07/2018	test.student...
496	12/07/2018 04:45	Kevin Simpson	Amendment Rejected	fdfdf	12/07/2018	test.student...
496	12/07/2018 04:49	Kevin Simpson	Amendment Withdrawn	fffff	12/07/2018	test.student...
496	12/07/2018 05:12	Kevin Simpson	Amendment Approved	ffffssssss	13/07/2018	test.student...
496	16/07/2018 05:26	Kevin Simpson	Amendment Withdrawn	aaaa	23/07/2018	test.student...
496	23/07/2018 10:56	Kevin Simpson	Amendment Rejected	FFVDVDDDFV DFV DFV D...	23/07/2018	test.student...
496	24/07/2018 11:20	Kevin Simpson	Submitted to Coordinator	Dummy text dummy tex...	24/07/2018	test.student...

A submission may build up multiple amendments over time. A new amendment can only be created after the previous amendment has been either approved, rejected or withdrawn.



Example of email sent when the amendment is approved:

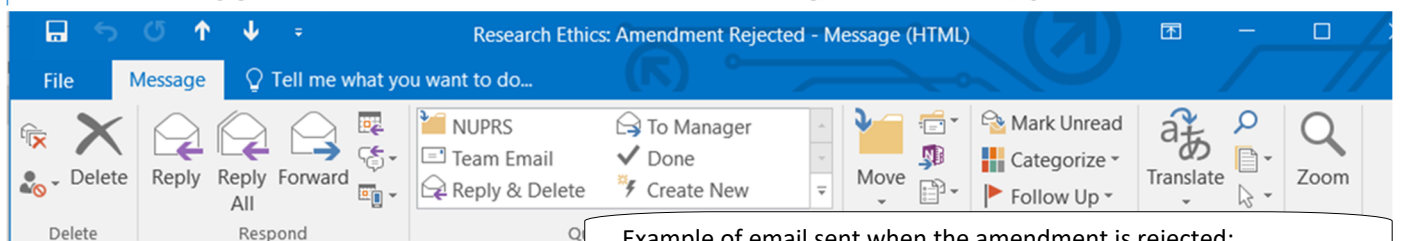
Research Ethics: Amendment Approved

Dear Kevin Simpson

This email is to notify you that your coordinator (Nick Neave) has approved your amendment request in respect of Research Ethics submission 492.

Research Ethics Home: [Research Ethics Home](#)

Please do not reply to this email. This is an unmonitored mailbox. If you are a student, queries should be discussed



Example of email sent when the amendment is rejected:

Research Ethics: Amendment Rejected

Dear Kevin Simpson

This email is to notify you that your coordinator (test.student95) has rejected your amendment request in respect of Research Ethics submission 491.

Research Ethics Home: [Research Ethics Home](#)

Logging externally approved applications

If you have received ethical approval from outside the University (for example through a collaborative project with another institution) this needs to be logged on Ethics Online.

My Documents

Submission Amendments

Submission

Submission Ref 491
Status Approved
Submission Coordinator Nick Neave nick.neave@northumbria.ac.uk

Name Kevin Simpson
Email kevin.simpson@northumbria.ac.uk
Faculty Health and Life Sciences
Department Psychology
Submitting As PGT - Postgraduate Taught student

Externally Approved ☒ Tick this box (only) if your project has already received ethical approval from an external organisation
Please note you will need to attach all documentation relating to your externally approved project. This must contain confirmation of ethical approval from the external organisation.

Named Submission Coordinator (PGT/UGT only) nick.neave@northumbria.ac.uk

Find

Help

Clear

If you are an undergraduate or postgraduate taught student please select a Named Submission Coordinator. If you are not sure who this is please contact your Module tutor or Supervisor as appropriate.

The application form now includes an 'Externally Approved' checkbox. When this box is checked the form is compressed into two sections: G6 (File Attachments) - for you to upload all documentation pertaining to the externally approved project, including the confirmation of ethical approval.

G9 (Electronic Signature)

Once the PI presses the 'Submit' button, the application follows the standard process (it is routed to the staff/PGR DEL/coordinator).

NOTE: the Ethical Risk Level is set to 'EXTERN'.

G6: File Attachments

G9: Electronic Signature (Mandatory)

The DEL/Coordinator receives an email regarding the amendment and once they follow the link and open the amendment they are required to issue a response using the section on the right hand side. **NOTE:** only General Comments can be added for this type of submission.

Hide the outcome.

or
northumbria.ac.uk

Name Kevin Simpson
Email kevin.simpson@northumbria.ac.uk
Faculty Health and Life Sciences
Department Psychology
Submitting As PGT - Postgraduate Taught student

Externally Approved ☒ Tick this box (only) if your project has already received ethical approval from an external organisation

Please note you will need to attach all documentation relating to your externally approved project. This must contain confirmation of ethical approval from the external organisation.

Review Comments, Conditions and Outcomes

Log of any Ethical Incidents

Coordination

Help

Action
Approve
Reject
Revise
Save
Return To Applicant (Incorrect coordinator)

General Comments

+ Add Save Help

COMMENT BY	DATE	ROLE	COMMENT
No items to display.			

Logging ethical incidents

If an incident occurs during the course of your research then you will need to log this on Ethics Online

When an application is submitted, a 'Log of any Ethical Incidents' section is added to the right hand side of the application (above the reviewers comments). Any participant in the application process (the PI, the Coordinator, the Reviewer, the Supervisor, an Admin User) can log an incident in respect of the submission at any point in the process.

Review Comments, Conditions and Outcomes

Log of any Ethical Incidents

Log New Incident

INCIDE...	CREATED DATE TIME	CREATOR NAME	COMPLAINANT DETAILS
27	13 July 2018 10:10:20	Kevin Simpson	AAAAAAAAAAAAAAAA
28	13 July 2018 11:42:12	Kevin Simpson	eerere

Title and Objectives (see G1)

+ Add Save

Reviewer A:

Reviewer B:

e.g. Are the research question and/or study aims clear?

COMMENT BY	DATE	ROLE	COMMENT
No items to display.			

Proposed Methodology and Analysis (see G2)

+ Add Save

Reviewer A:

Reviewer B:

e.g. Is the design appropriate to the research question?
Are the methods of data analysis appropriate to the research question?

COMMENT BY	DATE	ROLE	COMMENT
No items to display.			

Sample and Recruitment (see M1)

Incident Logged By:

Kevin Simpson

kevin.simpson@northumbria.ac.uk

Logged Date:

24 July 2018 14:27:00

PI Name:

Kevin Simpson

Date Incident Was Reported: *

Select a date

Complainant Details: *

Type a value

Details Of Incident: *

Type a value

Save Incident Details

Incident Activity History:

When a user presses the 'Log new Incident' button they will be presented with a new form. The user will complete the fields marked with a red asterisk (*) and then press 'Save Incident Details'.

Save Incident Details

Immediate Action Taken:

Type a value

Follow On Action Taken:

Type a value

Faculty Exec Informed:

☐

Chair of FREC Name:

Select Chair of FREC

Chair of FREC Comments:

Type a value

Chair of FREC Sign-off obtained (tick to confirm):

☐

Chair of FREC Sign-off Date:

Select a date

PI Sign-off obtained (tick to confirm):

☐

PI Sign-off Date:

Select a date

Go To File Attachments

File Attachments:

Once saved, the form expands and the user can then enter additional data and attachments pertaining to the incident.

NOTE: ethical incidents cannot be deleted once saved.

To share this incident with additional participants please use the section below. Additional participants will receive a link to the incident and have permission to modify any of the incident details.

To:

test.student94@northumbria.ac.uk

Add Recipient

Clear Recipients

Message:

Hi

Please can you take a look at this incident and update the details if possible.

Thanks

Kevin

Send Email

Incident Activity History:

Created by Kevin Simpson - 24 Jul 2018 14:28

'Details of Incident' changed to 'Info not provided to participant' by Kevin Simpson - 24 Jul 2018 14:28

'Complainant Details' changed to 'J Bloggs' by Kevin Simpson - 24 Jul 2018 14:28

'Date Reported' changed to '2018-07-22' by Kevin Simpson - 24 Jul 2018 14:28

Any participant can then access and 'share' the incident with another user by sending them an email within the form. The added participant will follow a link to the incident and be able to amend any of the incident data.

NOTE: all changes to the fields in the Ethical Incident are recorded in the Incident Activity History section at the bottom of the form