

Ethics Online: Using the Ethical Approval Online 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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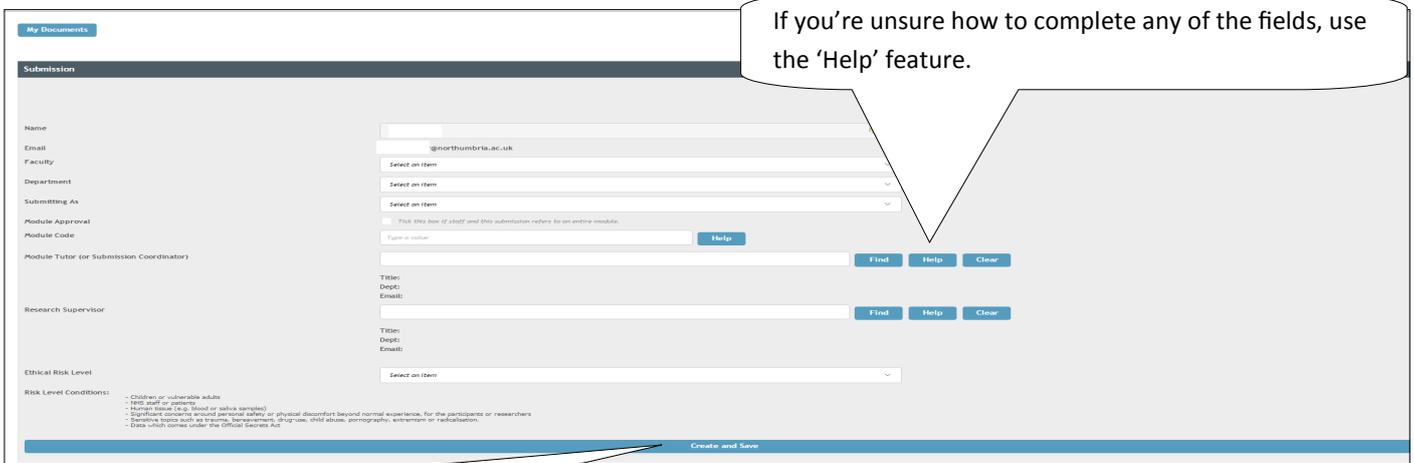
Submitting an application

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

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

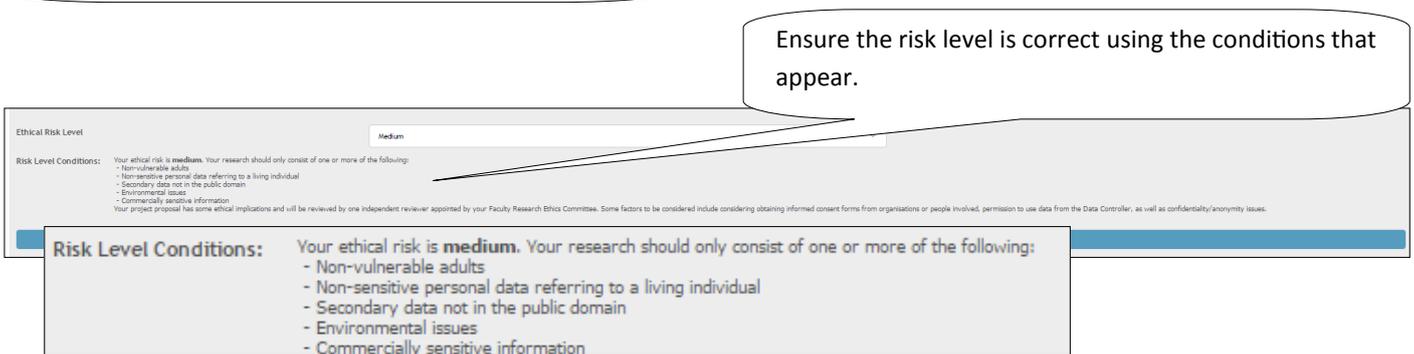


Click 'Create a New Submission'.

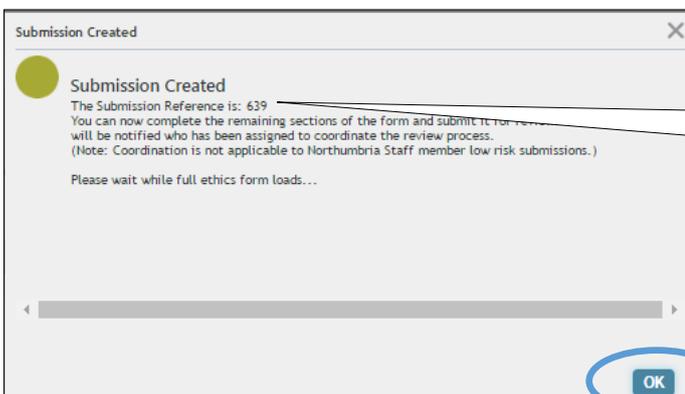


If you're unsure how to complete any of the fields, use the 'Help' feature.

Complete the fields and click 'Create and Save'.



Ensure the risk level is correct using the conditions that appear.



You'll find your submission reference number here.

When this dialog box appears, click 'OK'.

The form will now load.

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 sidebar with sections: 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 G9 section is expanded to show a confirmation checkbox, input fields for 'Full Name' and 'Date', and '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 DBS Clearance, Health and Safety and Insurance.

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

This close-up shows the 'G9: Electronic Signature (Mandatory)' section. It includes a checked confirmation checkbox, a 'Full Name' input field, a 'Date' input field with the value '07 March 2017 13:12:06', and 'Save Draft' and 'Save and Submit' buttons. A 'Create PDF' button is also visible at the bottom left.

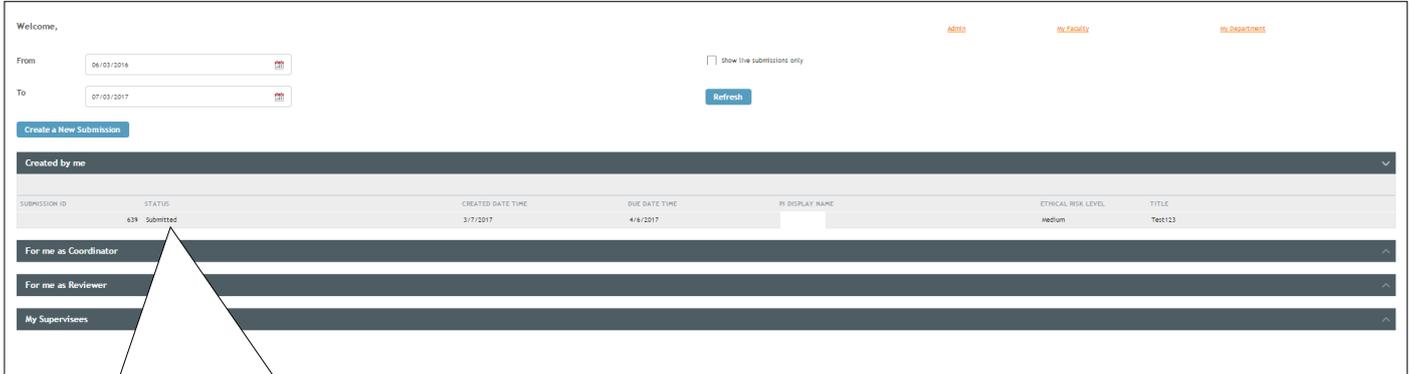
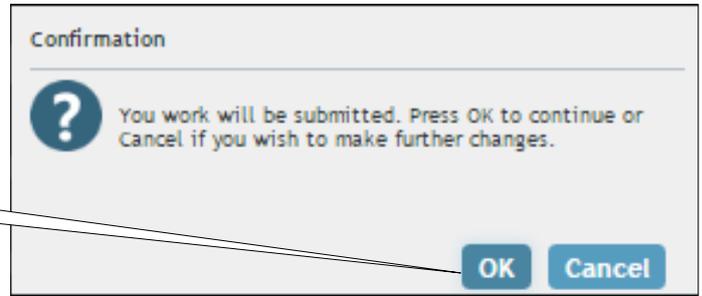
Once the form is complete click 'Save and Submit'.

If you are a PGR, UG or PGT 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.

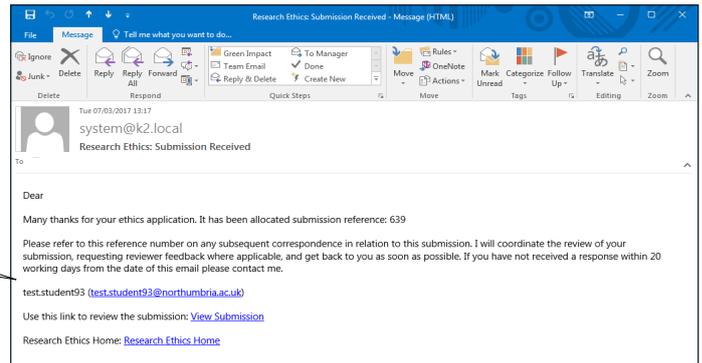
The dialog box titled 'Validation Warnings' contains a warning icon and the following text: 'The following validation warnings must be corrected in order to submit the form:'. The list includes: '- (G9: Electronic Signature) Confirmation of Supervisor review - a value is required', '- (G8: Insurance) Insurance confirmation and Risk level - a value is required', and '- (G9: Electronic Signature) Please click to sign your submission. a value is required'. An 'OK' button is located at the bottom right.

When this dialog box appears click 'OK'.



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

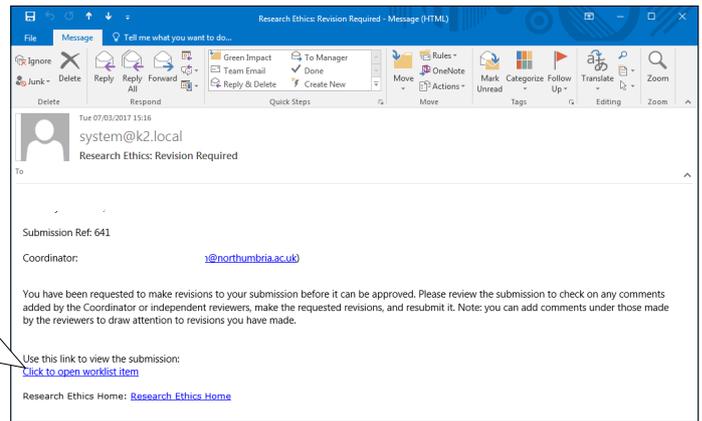
You will receive an automated email telling you the coordinator has been notified of your submission.



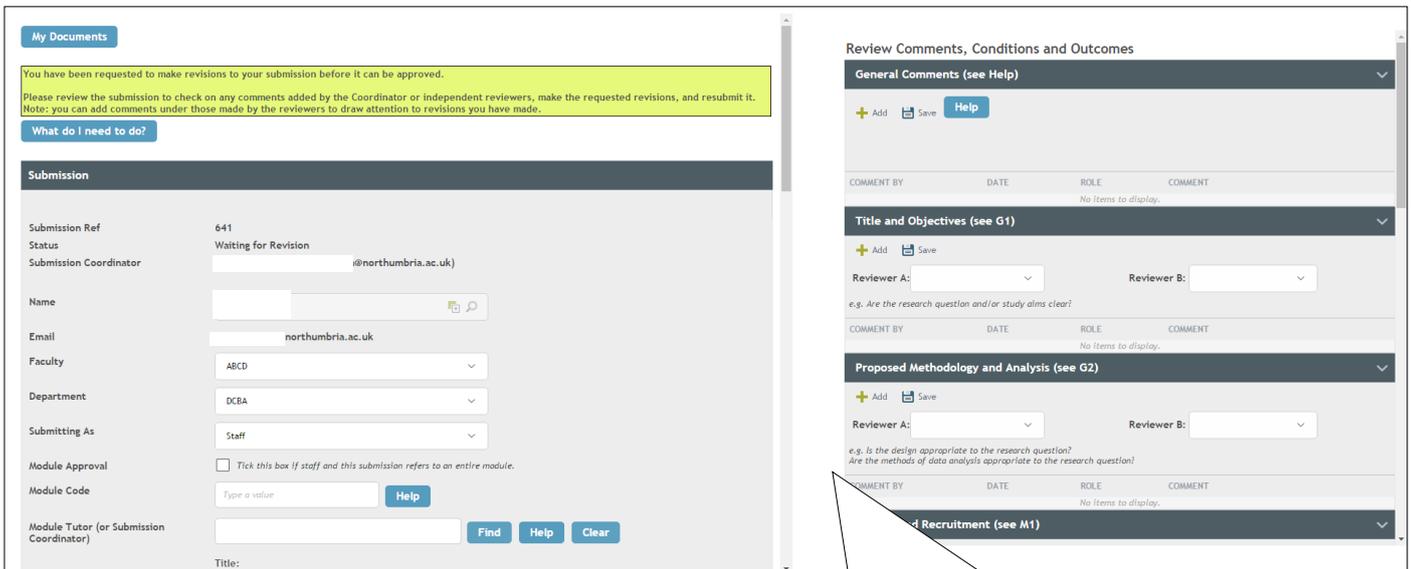
Revising an application

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

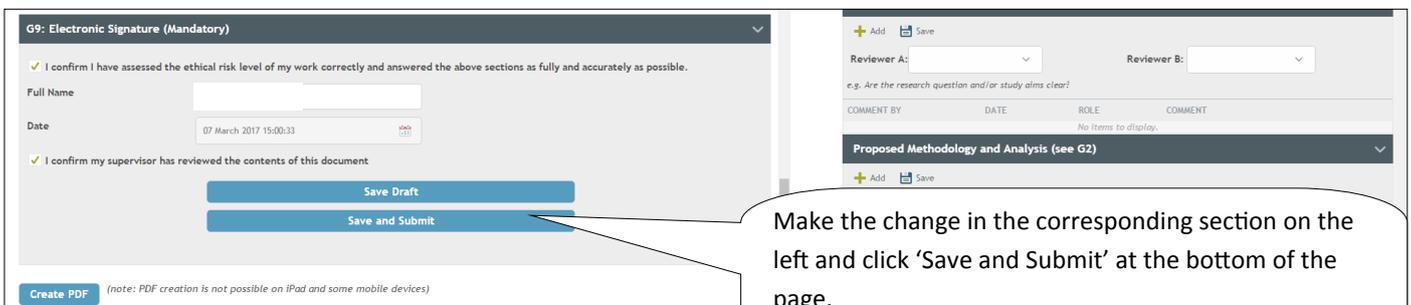
Click 'Click to open worklist item' to view the reviewers comments.



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.

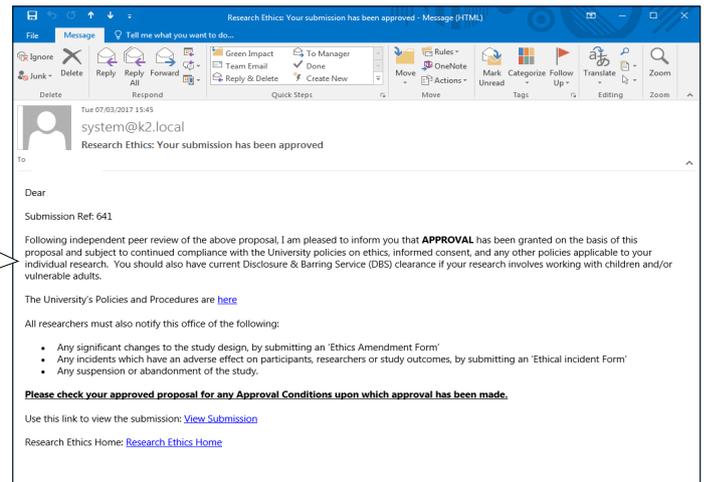


Make the change in the corresponding section on the left and click 'Save and Submit' at the bottom of the page.

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.

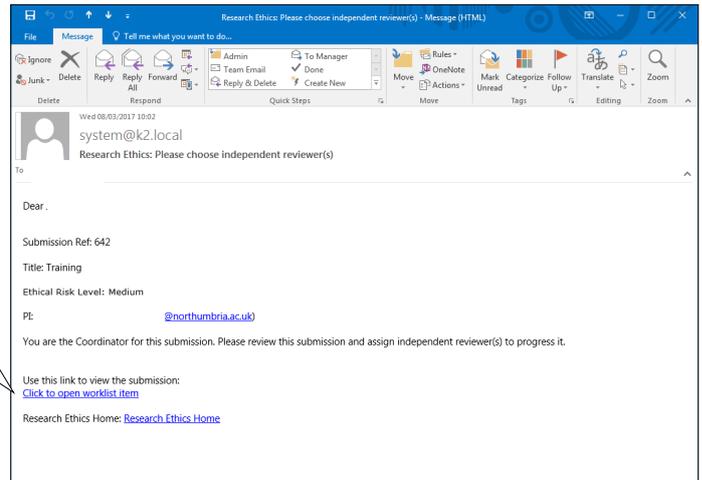


Assigning reviewers

As Departmental Ethics Lead/Coordinator of a department you will receive an email notifying you when a submission has been made and you need to assign a reviewer(s).

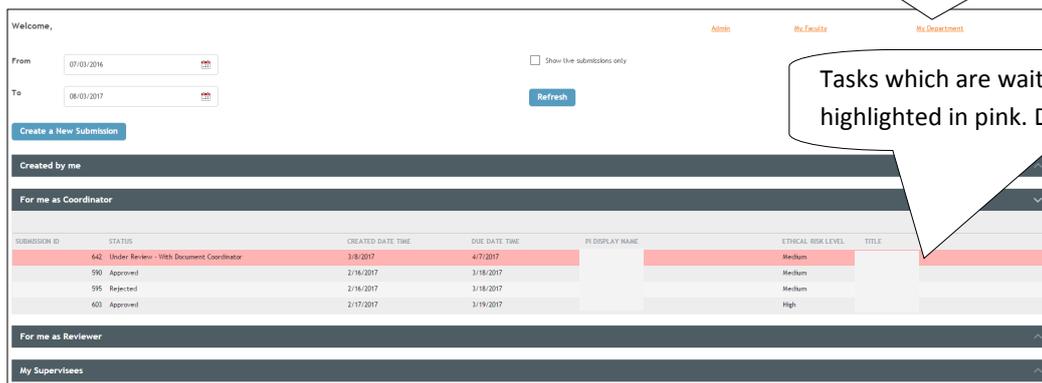
Click 'Click to open worklist item' in the body of the email.

You may have to enter your University login details the first time you use the system.



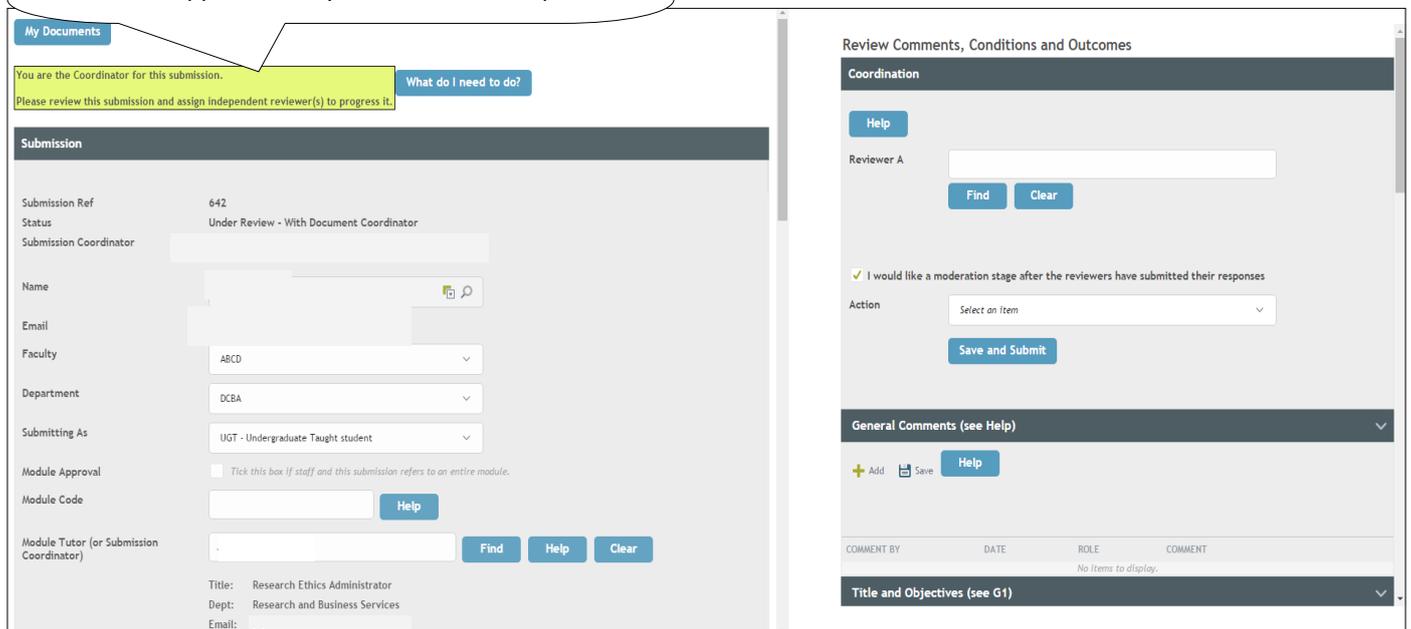
If you access the application through the 'Research Ethics Home' link in the email or your web browser you'll find the application under 'For me as Coordinator' on your dashboard.

Departmental Ethics Leads/Coordinators will be able to view all submissions for their Departments in the My Department screen, including low risk self-certified submissions.



Tasks which are waiting for your attention are highlighted in pink. Double click to open the task.

You will now see two panes, the application on the left and the coordinator/reviewer pane on the right. Instructions appear in the yellow box at the top.



As Departmental Ethics Lead/Coordinator you can review the application before assigning reviewers.

Depending on the Faculty/Department and ethical risk level of the application you will have to assign one or two reviewers.

To assign reviewers click 'Find' under the text box.

Type in the reviewers name and click 'Search'.

Click on the correct name from the list provided .

Click 'Yes' to confirm you have chosen the correct reviewer.

After choosing reviewers you can tick or untick 'I would like a moderation stage after the reviewers have submitted their responses' . If you did not tick the moderation box the reviewers comments and decision will go straight back to the PI. If two reviewers disagree with one another regarding an application you will be asked to moderate.

Next select 'Route on to assigned reviewers' from the drop-down list.

Other options from the drop-down menu are 'Revisions required—Route back to PI' and 'Reject submission'

Click 'Save and Submit'.

Please note - Where a Reviewer needs to be replaced e.g. they've left NU or are on sabbatical, the DEL/Coordinator should contact their Faculty Ethics Director confirming the new Reviewer. The Ethics Director is responsible for confirming to ethicssupport@northumbria.ac.uk that the Reviewer should be changed .

Review Comments, Conditions and Outcomes

Coordination

Help

Reviewer A

Find Clear

I would like a moderation stage after the reviewers have submitted their responses

Action Select an item

Save and Submit

General Comments (see Help)

Lookup Reviewer A

Please enter a name to search for, e.g. John Smith, John or Smith...

smith

Quick Find Search Close

NAME	TITLE	DEPARTMENT	EMAIL
CPDS/Single Module Registration Pa2		Health and Life Sciences	
ARTS/Arts/Arts		Arts Design and Social Sciences	
HSAR/Health Studies (Adult)		Health and Life Sciences	
WHS/Working With Children, Young People, Families And Co.		Health and Life Sciences	
HPH/Health Psychology		Health and Life Sciences	
ETES/Extended And Supplementary Nurse Practising		Health and Life Sciences	
FTM/Finance And Investment Management		Newcastle Business School	
EDM/Building Services Engineering		Engineering and Environment	
BUS/BA/Business With Finance Management		Newcastle Business School	
MD/Interactive Media Design		Arts Design and Social Sciences	
EDI/Design For Industry		Arts Design and Social Sciences	

Please confirm selection

Do you wish to select this user (please check Title and Department are correct)?

Name:

Title: Research Ethics Administrator

Department: Research and Business Services

@northumbria.ac.uk

Yes No

Review Comments, Conditions and Outcomes

Coordination

Help

Reviewer A

Find Clear

I would like a moderation stage after the reviewers have submitted their responses

Action Select an item

- Route on to assigned Reviewers
- Revision Required - Route back to PI
- Reject Submission

General Comments (see Help)

+ Add Save Help

I would like a moderation stage after the reviewers have submitted their responses

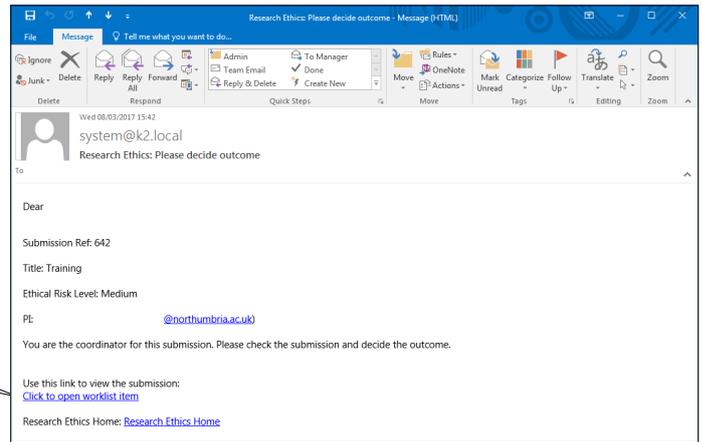
Action Route on to assigned Reviewers

Save and Submit

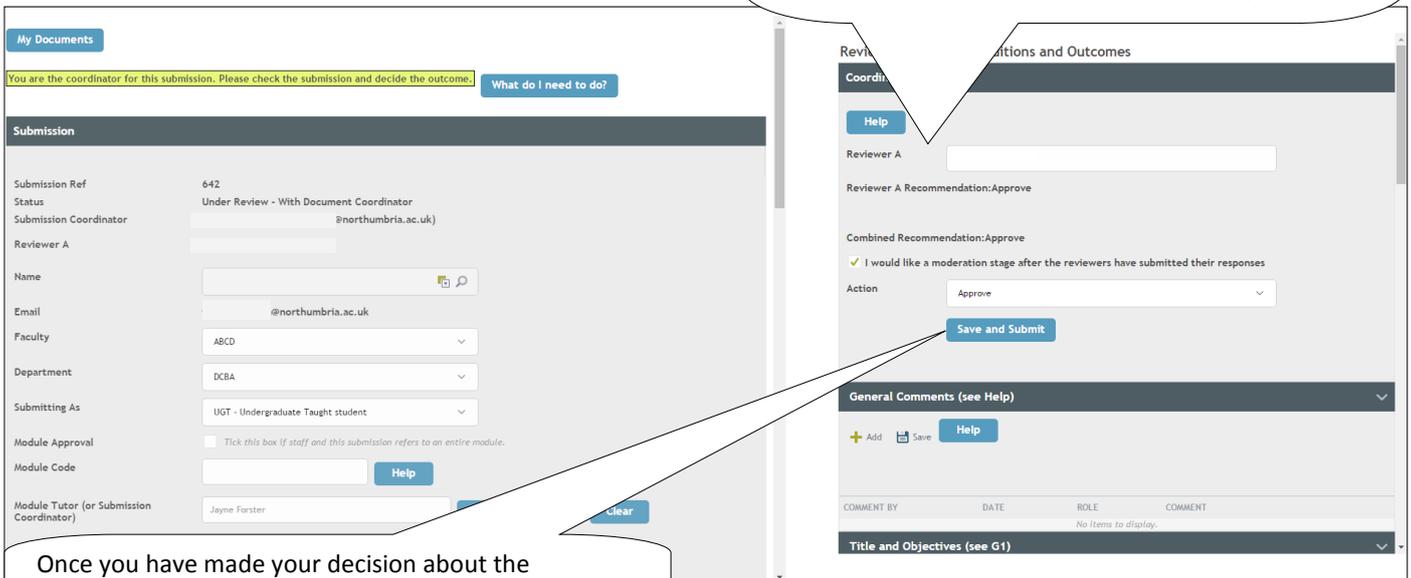
Moderating a review

After the reviewer(s) has submitted their review, you will be notified by email, if you ticked the box to moderate the review(s), or two reviewers disagree with one another.

Follow the link 'Click to open worklist item' in the email.



You can now see the reviewers comments and their recommendation in the column on the right. As moderator you can now choose to Approve, to Reject or ask the PI Revise the application, or to override the reviewers(s) decision, if you deem necessary.

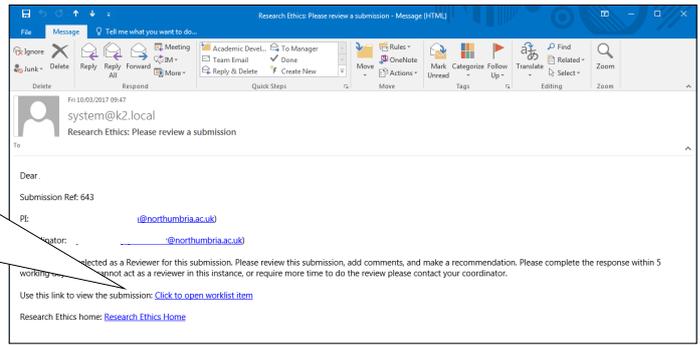


Once you have made your decision about the application click 'Save and Submit'.

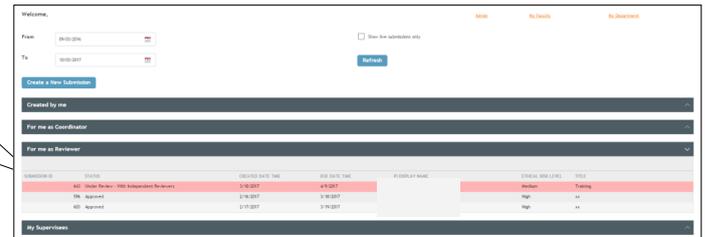
Reviewing an application

You will receive an email notifying you that a Departmental Ethics Lead/Coordinator has assigned you to review an ethics application.

To view the application click the link 'Click to view worklist item'.



You can access applications through the dashboard, where they will appear under 'For me as reviewer' and be highlighted in pink.



When you open the submission you will be prompted to accept the submission. Select 'Yes, I accept this submission' and click 'Confirm'

Reviewer Action

Do you accept this submission? Yes, I accept this submission No, I do not accept this submission

You'll now see two panes, the application on the left and the reviewer pane on the right. There are instructions in the yellow box at the top.

Notice the options to 'Save and Submit Recommendation' as well as 'Save for later', if you'd like to work on the review over a period of time.

My Documents

You have been selected as a Reviewer for this submission. Please review this submission, add comments, and make a recommendation. Please complete the response within 5 working days. If you cannot act as a reviewer in this instance, or require more time to do the review please contact your coordinator.

[What do I need to do?](#)

Submission

Submission Ref: 643
 Status: Under Review - With Independent Reviewers
 Submission Coordinator: @northumbria.ac.uk

Reviewer A:

Name:

Email: @northumbria.ac.uk

Faculty: ABCD

Department: DCBA

Submitting As: Staff

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

Module Code:

Module Tutor (or Submission Coordinator):

Reviewer Action

Overall Recommendation:

You are Reviewer A

General Comments (see Help)

COMMENT BY	DATE	ROLE	COMMENT
No items to display.			

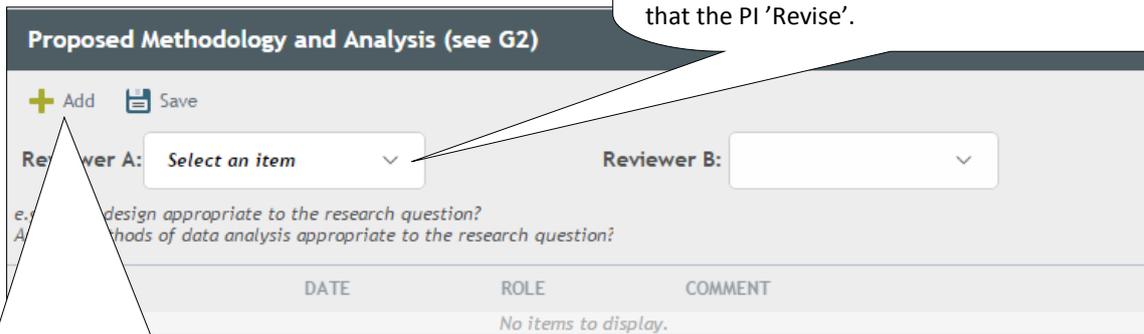
Title and Objectives (see G1)

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)



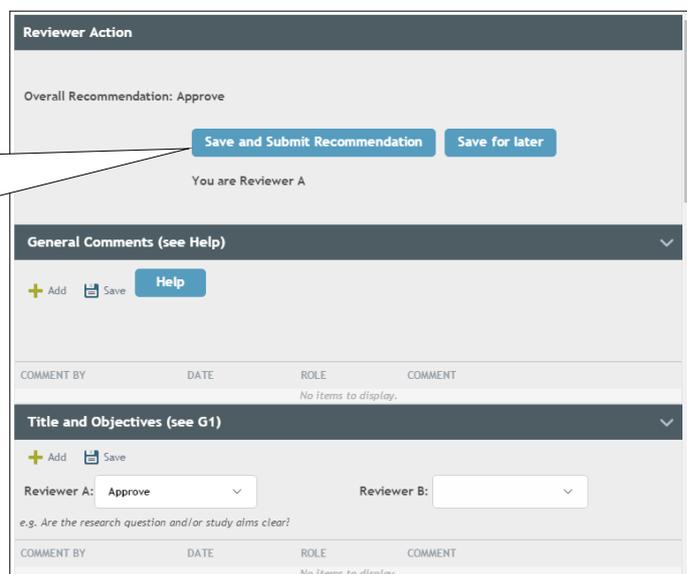
The sections in the reviewer pane are lettered and numbered to correspond with sections of the application. In each section you can leave comments and use the drop down to 'Approve', 'Reject' or ask that the PI 'Revise'.

Click 'Add' to leave a comment and remember to 'Save' your review of each section.

Once you have reviewed each section scroll back to the top of the reviewer pane. The system will display your Overall Recommendation.

Click 'Save and Submit Recommendation'.

If you're unsure of what recommendation to give you can discuss the application with the Departmental Ethics Lead/Coordinator or second reviewer (if applicable) outside of the system e.g. via email.



Contacts

If you have any questions or queries about using the Ethics Online system please contact ethicssupport@northumbria.ac.uk .

We welcome feedback on your experience of using the Ethics Online system; please send this to ethicssupport@northumbria.ac.uk . All feedback will be considered in relation to future system development