



Ethical Review Online Application System: User Guide

For applications to SSARTS and SCITEC SREOs and C-RECs

Application to Supervisor / SREO / Science & Technology or Social Sciences & Arts Research Ethics Committee

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PURPOSE OF THIS DOCUMENT

This user guide is intended to provide an overview of the University's ethical review online application system for staff and students who are required to submit their research project for the purpose of gaining ethics approval via either the Sciences & Technology Cross-Schools Research Ethics Committee (SCITEC) or the Social Sciences & Arts Cross-Schools Research Ethics Committee (SSARTS). A separate guide exists for applications to the BSMS RGEC.

This guide aims to provide an overview of the system functionality of the online ethics application process, and is not intended to provide advice or guidance about how to design a good research ethics application. Help text within the online system will assist in clarifying what is expected in each section of the application, and the University's [Guidelines for Completing the Online Application Form for Ethical Review](#) provides detailed guidance and advice on specific issues relating to good practice in research ethics.

ACCESSING THE SYSTEM

Welcome to Sussex Direct

You will need your Information Technology Services (ITS) username and password in order to log in:

| | |
|-----------------|--|
| Username: | <input type="text" value="Sussex username"/> |
| Password: | <input type="password" value="Sussex password"/> Forgotten password? |
| Now click here: | Login to Sussex Direct |

If you have forgotten your password but have previously registered a personal email address and/or mobile telephone number in Sussex Direct, you can use the link above to reset your password. Otherwise please [contact the IT Service desk](#) in Shawcross for assistance.

Remember, NEVER tell anyone else your password! If you receive official-looking email asking you to confirm your Sussex Direct password, it is a fake, and should be reported to support@sussex.ac.uk.



- Log into **Sussex Direct** via the University of Sussex website and go to '**Research > Ethical Reviews**'
- Alternatively you can go directly to the ethical review page by using this link: https://direct.sussex.ac.uk/mle/page.php?realm=research&page=ethical_review_list

Click on 'Research', and then select 'Ethical Reviews'



You will need to wait a few seconds before **My Ethical Review Applications: Your name** appears.

CREATING A NEW APPLICATION

- After logging into **Sussex Direct** and going into **'Research > Ethical Reviews'**, then:
1. Click on the **'New'** icon on the **'My Ethical Review Applications'** screen:

The screenshot shows the University of Sussex website interface. At the top left is the 'US UNIVERSITY OF SUSSEX' logo. Below it is the user profile 'SD Test @ T01'. A navigation bar includes buttons for 'Students', 'Staff', 'Schools & services', 'Sussex Direct', 'Study Direct', and 'SPLASH'. A secondary menu has 'Admin', 'Searches', 'Research', 'Library', 'Personal', and 'Help'. The main content area is titled 'Ethical Review Applications' and shows a table of applications for 'Antony Walsh'. The table has columns for 'Application No', 'Project Title', 'Created Date', 'Route', 'Submitted To', 'Submitted Date', and 'Status'. Two rows are shown: one for 'TEST APRIL 2016' (Created: 20-Apr-2016, Status: Draft) and one for 'test' (Created: 02-Dec-2016, Status: Draft). A 'New' button is located in the top right of the table header. A red arrow points to this button.

| Application No | Project Title | Created Date | Route | Submitted To | Submitted Date | Status |
|----------------|-----------------|--------------|--------|--------------|----------------|--------|
| ER/AW440/1 | TEST APRIL 2016 | 20-Apr-2016 | Normal | | | Draft |
| ER/AW440/10 | test | 02-Dec-2016 | Normal | | | Draft |

2. Complete the **'Create Ethical Review Application'** screen and click **'Save'**; (NOTE: THE SECTIONS MARKED WITH AN ASTERISK* ARE MANDATORY).

- ***Project Title**
- **Phone number**
- ***Supervisor** (if you are a student, you must select the name of your Supervisor. Start typing the last three letters of your Supervisor's surname and a drop down list of University staff will appear from which you can select your Supervisor's name).
- ***Project start date** (the date you intend starting your research – make sure you allow for the time that the review process will take, as you may not start your research until ethical approval is confirmed).
- ***Project end date** (the date you anticipate your research will be completed).
- **External Funding in place** – click to insert a tick of this applies
- **External Collaborators** – click to insert a tick of this applies
- **Funder/Project Title** (if you have applied for funding through the University, a list of your active applications will be provided as a dropdown list from which you can choose the relevant funder's name and project title).
- **Name of Funder** (this box should be completed if you have funding from an organisation where you have not applied through the University).
- ***Project Description** (Up to 400 words).

Click **'Save'** when you have completed this section (you will be able to go back and edit this section, after you have clicked **'Save'**)

NOTE: Click on the 'Help' button if you need any further information about how to fill out any of these sections.

The sections marked with an asterisk are mandatory

Click on 'Help' for guidance about how to complete this section.

Ethical Review Application Screen:

Create Ethical Review Application Cancel Save Help

Project Title * A test ethical review application study

Phone No. 01273 1111111111

Applicant Status Staff (Research Governance Officer)

Project Start Date * 25-Nov-2016

Project End Date * 29-Oct-2016

External Funding in place

External Collaborators

Name of Funder

Project Description:
*The project description should be a clear, easy to read summary that is as jargon free as possible. It provides an overview of the whole of your research study that readers can understand the first time they read it. Please see INVOLVE (<http://www.invo.org.uk/>) for further guidance on how to achieve this. **

3. Choose the correct route for application review

Ethical Review Application Related Links

Choose routing of application Cancel Save Help

This is a an application for Ethical Review by:

- Supervisor / SREO / Science & Technology or Social Sciences & Arts Research Ethics Committee
- Brighton & Sussex Medical School Research & Governance Ethics Committee

Select the correct route for your application:

- **Supervisor/ SREO/ Science and Technology or Social Sciences and Arts Research Ethics Committee** – use this for *all* applications other than those destined for review by the BSMS Medical School Research and Governance Ethics Committee (RGEC)

You should note that **only** applications for SSARTS and SCITEC can be transferred (if needed) between Committees. *If an applicant completes a form in error for the wrong route, it will have to be completed again.*

APPLICATIONS to Supervisor/ SREO/ Science and Technology or Social Sciences and Arts Research Ethics Committee

Application to Supervisor / SREO / Science & Technology or Social Sciences & Arts Research Ethics Committee

4. Complete the Checklist in Section A

Having selected the desired application route, the first form completed will appear followed by the 'Ethical Review Form Section A – the Checklist that is used to determine whether your application is for High or Low risk work

- **Click on the 'Edit' button to start filling out this section**
- Complete the Checklist (you must answer ALL the questions).
- Click on Help or  for assistance with questions throughout the application form

Click on 'Help' or (i) for guidance about how to complete this section.

Edin Clinical Review Form Section A (ER/AW440/17) Cancel Save Help

» Checklist

A1. Will your study involve participants who are particularly vulnerable or unable to give informed consent or in a dependent position (e.g. people under 18, people with learning difficulties, over-researched groups or people in care facilities)? Yes No (i)

A2. Will participants be required to take part in the study without their consent or knowledge at the time (e.g. covert observation of people in non-public places), and / or will deception of any sort be used? Please refer to the British Psychological Society Code of Ethics and Conduct for further information. Yes No (i)

A3. Will it be possible to link personal data back to individual participants in any way (this does not include identifying participants from signed consent forms or identity encryption spreadsheets that are stored securely separate from research data). Yes No (i)

A4. Might the study induce psychological stress or anxiety, or produce humiliation or cause harm or negative consequences beyond the risks encountered in the everyday life of the participants? Yes No (i)

A5. Will the study involve discussion of sensitive topics (e.g. sexual activity, drug use, ethnicity, political behaviour, potentially illegal activities)? Yes No (i)

A6. Will any drugs, placebos or other substances (such as food substances or vitamins) be administered as part of this study and will any invasive or potentially harmful procedures of any kind will be used? Yes No (i)

A7. Will your project involve working with any substances and / or equipment which may be considered hazardous? Yes No (i)

A8. Will your study involve the taking and/or storage of human tissue that falls under the Human Tissue Act (HTA)?
http://www.sussex.ac.uk/staff/research/governance/erp_overview/humantissue Yes No (i)

A9. Will financial inducements (other than reasonable expenses, compensation for time or a lottery / draw ticket) be offered to participants? Yes No (i)

» Risk Assessment

A10. If you have answered 'Yes' to ANY of the above questions, your application will be considered as HIGH risk. If however you wish to make a case that your application should be considered as LOW risk please enter the reasons here: (i)

Enter the reason here if you have answered 'Yes' to any questions, BUT you wish to make a case for your application to be considered as Low Risk

- If you answer 'No' to **ALL** the questions, your project is assumed to be low risk and when you click Save you will be presented with PART B of the ethics application form.
- If you answer 'Yes' to **ANY** of the questions, your project is assumed to be higher risk, and when you click Save you will be presented with PART C of the ethics application form.
- If you think your project is Low Risk despite answering 'Yes' to any of the questions in the checklist, please provide a summary of the mitigating factors which would allow your project to be reviewed as a low risk project. You enter this information in the 'Risk factor' section at the bottom of the Checklist – See above screenshot). If you type any text in this box, you will be presented with Part B when you click Save.
- Click '**Save**' to proceed to SECTION B (Low Risk projects) or SECTION C (Higher Risk projects).

NOTE: Click on the **Help** button if you need any further information about how to fill out any of these sections.

5. **Complete the Section B (Low Risk), or Section C (Higher Risk) - answer ALL questions.**

- **Click on the 'Edit' button to start filling out this section**
- Click on the **Help** button if you are need any further information about how to fill out any of these sections.

***NB: When you have completed Section B or Section C, make sure you **click Save, BEFORE you move onto the Supporting Documents section.** You will still be able to edit your application once you have clicked Save, but if you do not click **Save** all your data will be lost.

- If you want to go back and edit any part of your application, click the **Edit** button at the top of the section you wish to change.

SECTION B – LOW RISK APPLICATIONS

Click on 'Edit' to start filling out this section, or to go back and make changes after saving

Click on 'Help' for guidance about how to complete this section

Ethical Review Form Section B (ER/AW440/14)

Edit Help —

Note that the bar goes green when the section is in edit mode.

| Edit Ethical Review Form Section B (ER/AW440/17) | | Cancel | Save | Help |
|---|----------------------|-------------|------|------|
| » Data Collection and Analysis (Please provide full details) | | | | |
| B1. PARTICIPANTS: How many people do you envisage will participate, who are they, and how will they be selected? | <input type="text"/> | 0/4000 used | | |
| B2. RECRUITMENT: How will participants be approached and recruited? | <input type="text"/> | | | |
| B3. METHOD: What research method(s) do you plan to use; e.g. interview, questionnaire/self-completion questionnaire, field observation, audio/audio-visual recording? | <input type="text"/> | | | |
| B4. LOCATION: Where will the project be carried out e.g. public place, in researcher's office, in private office at organisation? | <input type="text"/> | | | |

| » Confidentiality and Anonymity | |
|--|----------------------|
| B5. Will questionnaires be completed anonymously and returned indirectly? | Yes No N/A |
| B6. Will data only be identifiable by a unique identifier (e.g. code/pseudonym)? | Yes No N/A |
| B7. Will lists of identity numbers or pseudonyms linked to names and/or addresses be stored securely and separately from the research data? | Yes No N/A |
| B8. Will all place names and institutions which could lead to the identification of individuals or organisations be changed? | Yes No N/A |
| B9. Will all personal information gathered be treated in strict confidence and never disclosed to any third parties? | Yes No N/A |
| B10. Can you confirm that your research records will be held in accordance with the data protection guidelines? (http://www.sussex.ac.uk/ogs/policies/information/dpa) | Yes No N/A |
| B11. Can you confirm that you will not use the research data for any purpose other than that which consent is given? | Yes No N/A |
| B11a. If you answered NO to any of the above (or think more information could be useful to the reviewer) please explain here: | <input type="text"/> |

» Informed Consent and Recruitment of Participants

B12. Will all respondents be given an Information Sheet and be given adequate time to read it before being asked to agree to participate? [i](#)

B13. Will all participants taking part in an interview, focus group, observation (or other activity which is not questionnaire based) be asked to sign a consent form? If you are obtaining consent another way, please explain under 15a below. [i](#)

B14. Will all participants self-completing a questionnaire be informed that returning the completed questionnaire implies consent to participate? [i](#)

B15. Will all respondents be told that they can withdraw at any time, ask for their data to be destroyed and/or removed from the project until it is no longer practical to do so? [i](#)

B15a. If you answered NO to any of the above (or think more information could be useful to the reviewer) please explain here:

» Context

B16. Is DBS (Disclosure and Barring Service) clearance necessary for this project? If yes, please ensure you complete the next question. [i](#)

B17. Are any other ethical clearances or permissions (internal or external) required? Please see the help text (i) for further details [i](#)

B17a. If yes, please give further details including the name and address of the organisation. If other ethical approval has already been received please attach evidence of approval, otherwise you will need to supply it when ready. (You do not need to provide evidence of a current DBS check at this point)

B18. Does the research involve any fieldwork - Overseas or in the UK? [i](#)

B18a. If yes, where will the fieldwork take place?

B19. Will any researchers be in a lone working situation? [i](#)

B19a. If yes, briefly describe the location, time of day and duration of lone working. What precautionary measures will be taken to ensure safety of the researcher(s)?

» Any further concerns

B20. Are there any other ethical considerations relating to your project which have not been covered above? [i](#)

B20a. If yes, please explain:

IMPORTANT: Click here to save this data or it will be lost:

SECTION C – HIGHER RISK APPLICATIONS

Click on 'Edit' to start filling out this section, or to go back and make changes after saving

Click on 'Help' for guidance about how to complete this section



Note that the bar goes green when the section is in edit mode.

| Ethical Review Form Section C (ER/AW440/17) | Edit | Help | — |
|--|------|------|---|
| » Risk Checklist - Participants | | | |
| C1. Is DBS clearance necessary for this project? If yes, please ensure you complete Section C.23a below. | | | |
| C2. Are alcoholic drinks, drugs, placebos or other substances (such as food substances or vitamins) to be administered to the study participants? | | | |
| C3. Can you think of anything else that might be potentially harmful to participants in this research? | | | |
| » Risk Checklist - Researcher(s) Safety and Wellbeing | | | |
| C4. Does the project involve working with any substances and/or equipment which may be considered hazardous? (Please refer to the University's Control of Hazardous Substances Policy). | | | |
| C5. Could the nature or subject of the research potentially have an emotionally disturbing impact on the researcher(s)? | | | |
| C5a. If yes, briefly describe what measures will be taken to help the researcher(s) to manage this. | | | |
| C6. Could the nature or subject of the research potentially expose the researcher(s) to threats of physical violence and / or verbal abuse? | | | |
| C6a. If yes, briefly describe what measures will be taken to mitigate this. | | | |
| C7. Does the research involve any fieldwork - Overseas or in the UK? | | | |
| C7a. If yes, where will the fieldwork take place? | | | |
| C8. Will any researchers be in a lone working situation? | | | |
| C8a. If yes, briefly describe the location, time of day and duration of lone working. What precautionary measures will be taken to ensure safety of the researcher(s)? | | | |
| C9. Can you think of anything else that might be potentially harmful to the researcher(s) in this research? | | | |
| » Data Collection and Analysis (Please provide full details) | | | |
| C10. PARTICIPANTS: How many people do you envisage will participate, who are they, and how will they be selected? | | | |
| C11. RECRUITMENT: How will participants be approached and recruited? | | | |
| C12. METHOD: What research method(s) do you plan to use; e.g. interview, questionnaire/self-completion questionnaire, field observation, audio/audio-visual recording? | | | |
| C13. LOCATION: Where will the project be carried out e.g. public place, in researcher's office, in private office at organisation? | | | |

| » Ethical Considerations (Please provide full details) |
|--|
| C14. INFORMED CONSENT: Please describe the process you will use to ensure your participants are freely giving fully informed consent to participate. This will usually include the provision of an Information Sheet and will normally require a Consent Form unless there is justification for not doing so. (Please state this clearly). |
| C15. RIGHT OF WITHDRAWAL: Participants should be able to withdraw from the research at any time. Participants should also be able to withdraw their data if it is linked to them and should be told when this will no longer be possible (e.g. once it has been included in the final report). Please describe the exact arrangements for withdrawal from participation and withdrawal of data for your study. |
| C16. OTHER ETHICAL ISSUES: If you answered YES to anything in A.1 above you must specifically address this here. Please also consider whether there are other ethical issues you should be covering here. Please also make reference to the professional code of conduct you intend to follow in your research. |
| » Data Protection, Confidentiality, and Records Management |
| C17. Will you ensure that the processing of personal information related to the study will be in full compliance with the Data Protection Act 1998 (DPA)? (http://www.sussex.ac.uk/ogs/policies/information/dpa) |
| C17a. If you are processing any personal information outside of the European Economic Area (EEA) you must explain how compliance with the DPA will be ensured. |
| C18. Will you take steps to ensure the confidentiality of personal information? |
| C18a. Please provide details of anonymisation procedures and of physical and technical security measures here: |
| C19. Will all data related to this study be retained and shared in a form that is fully anonymised (separated from information that can identify the participant)? |
| C19a. If you answered "no" to the above question you must ensure that any limitations to full anonymity are detailed in the Information Sheet and that participant consent will be in place. If relevant, please outline limitations here: |
| C20. Will the Principal Investigator take full responsibility during the study, for ensuring appropriate storage and security of information (including research data, consent forms and administrative records) and, where appropriate, will the necessary arrangements be made in order to process copyright material lawfully? |
| C20a. If you answered "no" to the above question, please give further details: |
| C21. Who will have access to personal information relating to this study? |
| C22. Data management responsibilities after the study. State how long study information including research data, consent forms and personal identification will be retained, in what format(s) and where the information will be kept. |
| » Other Ethical Clearances and Permissions |
| C23. Are any other ethical clearances or permissions (internal or external) required? Please see the help text (i) for further details |
| C23a. If yes, please give further details including the name and address of the organisation. If other ethical approval has already been received please attach evidence of approval, otherwise you will need to supply it when ready. |

Once all sections have been completed, select **'Save'** to commit your work to the database.

Supporting Documents

| Supporting Documents (ER/AW440/11) | | | | Help |
|--|---|---|---------|----------------------|
| You MUST ensure that ALL documents are converted to PDF format before uploading. Otherwise they will not be included in the merged PDF file. | | | | |
| No. | Document | Document Type | Version | Upload Date |
| | Ethical Review Application [PDF] | Application | | |
| 1 | Questionnaire example.pdf [153Kb : PDF] | Questionnaire or Topic Guide or Interview Questions | 1 | 13-Feb-2017 09.08.09 |
| 2 | PIS.pdf [99Kb : PDF] | Information sheet | 1 | 13-Feb-2017 09.07.55 |
| 3 | Consent Form.pdf [101Kb : PDF] | Consent form | 1 | 13-Feb-2017 09.08.27 |
| For your own records, you can use the button below to create a merged copy of your application and supporting documents: | | | | |
| Create Merged PDF | | | | |

- You now need to upload any relevant supporting documents such as the Consent Form, Information Sheet, Questionnaire etc.

All documents must be converted to PDF before this can occur.

Supporting Documents Box

You need to upload all your supporting documents in this box. Note: Please ensure that you convert your documents into PDF BEFORE you upload them.

Important note

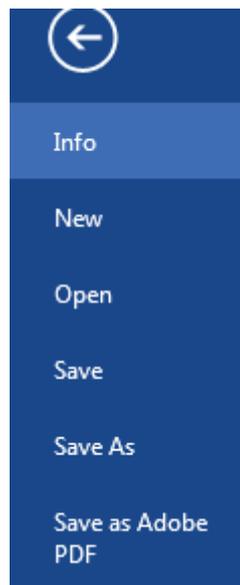
To make sure your document merges successfully, ITS recommends you follow these instructions:

- **Using your home PC**

Office 2007 or later

If you are using your home PC with Office 2007, 2010, 2013 or 2016 installed you can save your files in PDF format from your Office application. This is also available if you are using OpenOffice.

In MS Word for example, on the File tab, you will see the option to **Save as Adobe PDF**



Should this not be possible it is suggest that you use Cute PDF that can be accessed via - <http://www.sussex.ac.uk/its/services/software/owncomputer>

- **Using an IT Services PC**

If you are using an IT Services PC you should use Corel PDF Fusion:
<http://www.sussex.ac.uk/its/services/software/list?filter=pc&id=293>

If you need assistance with converting your supporting documents into PDF format, please see the following help page on the IT Services website:
<http://www.sussex.ac.uk/its/help/faq?faqid=729>

HOW TO UPLOAD A SUPPORTING DOCUMENT

Click on the Upload Document button

1. Click on the Choose File button, and select the document you wish to Upload
2. Select the Document Type from the Drop down menu (e.g. consent form, information sheet etc.)
3. Click on the Save button if you have no further documents to upload; Click on the Save+Add button if you have another document to add
4. Click Replace or Delete in the Actions column, if you need to replace a document with a different version, or if you want to delete a document.

Add to Supporting Documents (ER/AW440/16)
Cancel

You MUST ensure that ALL documents are converted to PDF format before uploading. Otherwise they will not be included in the merged PDF file.

| No. | Document | Document Type | Version | Upload Date |
|-----|--|--|---------|-------------|
| | Ethical Review Application | Application | | |
| 1 | <input type="button" value="Choose File"/> PIS.pdf <small>Maximum file size: 60 megabytes</small> | <div style="border: 1px solid #ccc; padding: 2px;"> <div style="background-color: #4CAF50; color: white; padding: 2px;">Consent form</div> <div style="background-color: #2196F3; color: white; padding: 2px;">Consent form</div> <div style="padding: 2px;">Information sheet</div> <div style="padding: 2px;">Recruitment material/s</div> <div style="padding: 2px;">Overseas Risk Assessment form</div> <div style="padding: 2px;">Letter for gatekeeper/s requesting permissions</div> <div style="padding: 2px;">Questionnaire or Topic Guide or Interview Questions</div> <div style="padding: 2px;">Other</div> </div> | | |

Back to top Δ

Submission History (ER/AW440/16)

| Submission Date | Submitted To | Reason(s) for Return |
|-----------------|--------------|----------------------|
| | | |

CREATING A MERGED PDF

For your own records, you can use the button below to create a merged copy of your application and supporting documents:

PLEASE ENSURE YOU HAVE SAVED YOUR ETHICAL REVIEW FORM BEFORE YOU CLICK THIS BUTTON

This button allows you to create a merged PDF document of your application form and supporting documents. You will be able to download this for checking, or sharing, before you submit your application.

Note: You do not need to click this button as part of your application submission, but may choose to do so if you want to save a copy of your application, print out a copy of your application, or email a copy of your application. Clicking on the Create Merged PDF button does NOT submit your application for review.

Submission of the Application

7. Read the declaration carefully and then Submit to your Supervisor (students) or a C-REC (staff).

a. Students (UG, PGT, PGR)

Please use the button below to submit your application for review / approval:

[Submit to Supervisor for approval](#)

▪ **Students** will only be able to submit to their Supervisor for review.

By submitting this application, you are agreeing to the following declarations:

- The information in this form is accurate to the best of my knowledge and belief, and I take full responsibility for it.
- I have read and understand the University's Research Governance Code of Practice.
- I have read the guidelines accompanying this application form and understand that failure to follow these and my approved protocol constitutes academic misconduct and can lead to severe penalties.
- I understand that I am responsible for monitoring the research at all times and recording any unexpected events.
- If any serious adverse events arise in relation to the research, I understand that I am responsible for immediately stopping the research and alerting my Supervisor (UG & PGT students) or my C-REC Chair (PGR students) within 24 hours of the occurrence.
- I am aware of my responsibility to comply with the current requirements of the law and relevant guidelines relating to security and confidentiality of personal data.
- I understand that research records / data may be subject to inspection for audit purposes if required in future.
- I understand that I may not commence this research until I have been notified that the project has ethical approval.
- **FOR STUDENT RESEARCHERS:** I understand my responsibilities to work within a set of safety, ethical and other guidelines as agreed in advance with my supervisor. I also understand that I must comply with the University's regulations and any other applicable code of ethics at all times.

b. Staff

Submit to C-REC

Please select one of the following and then submit your application for review:

Sciences & Technology C-REC

Social Sciences & Arts C-REC

[Submit for review](#)

▪ **Staff** should select which C-REC they wish to apply to.

By submitting this application, you are agreeing to the following declarations:

- The information in this form is accurate to the best of my knowledge and belief, and I take full responsibility for it.
- I have read and understand the University's Research Governance Code of Practice.
- I have read the guidelines accompanying this application form and understand that failure to follow these and my approved protocol constitutes academic misconduct and can lead to severe penalties.
- I understand that I am responsible for monitoring the research at all times and recording any unexpected events.
- If any serious adverse events arise in relation to the research, I understand that I am responsible for immediately stopping the research and alerting the C-REC Chair within 24 hours of the occurrence.
- I am aware of my responsibility to comply with the current requirements of the law and relevant guidelines relating to security and confidentiality of personal data.
- I understand that research records / data may be subject to inspection for audit purposes if required in future.
- I understand that I may not commence this research until I have been notified that the project has ethical approval.

AFTER SUBMISSION

8. You will be sent an automated email to acknowledge that your application has been submitted for review.
9. You will be sent further email alerts whenever a decision has been entered (by a Supervisor, SREO, or C-REC). See the section 'Progress of an Application' on page 21 (below), for more information about what happens after an application has been submitted.

A SUPERVISOR'S VIEW

Pages: [ORCID ID](#) [Research Grants](#) [Research Profile](#) [Research Support](#) [Research Data Storage](#) [Research Students](#) [Ethical Reviews](#) [Susx Research Online](#)
 Show me: My Ethical Review Applications Applications submitted for Supervisor approval

Applications made by students should be sent to their supervisor for approval before they are submitted to a C-REC or SREO.

The Supervisor can:

- **view** a list of all applications submitted for their approval;
- **view** the full details of an application, including attached documents;
- **record** an application outcome of 'approved' or 'return for revision';
- **record** the reason(s) why the application is being returned for revision;
- **send** the application to the relevant SREO or C-REC, if approved.

| Applications submitted for Supervisor approval | | | | | | | |
|--|--|-----------|------------------|------------------|------------------------|---------------|---------------|
| Application No | Project Title | Applicant | Applicant Status | Submitted Date ^ | Submitted To | Return Status | Return Reason |
| ER/GEL22/2 | test ug low risk | G... | UG | 31-Jan-2017 | Supervisor | | |
| ER/RH364/5 | Amendment for Sound and Anxiety Participant Addition | R... | PG (Taught) | 05-Jul-2016 | SREO PSYCHOLOGY SCHOOL | Approved | |

Click the 'Application No' to view an application and/or record a decision

Enter decision

| Edit Submission History (ER/RJPA20/1) | | | | | |
|---------------------------------------|--------------------------|----------------------|--------------------|--|---|
| Submission Date | Submitted To | Risk Rating (System) | Risk Rating (User) | Decision / Status | Reason(s) for Return |
| 31-May-2017 12:13 | Supervisor (Katie Walsh) | High | High | <input type="radio"/> Approved - send to Sciences & Technology C-REC <input type="radio"/> Approved - send to Social Sciences & Arts C-REC <input type="radio"/> Returned for revision (by supervisor) | <input type="checkbox"/> Supporting document/s missing <input type="checkbox"/> Amendments required to the application <input type="checkbox"/> Application is higher risk not low risk <input type="checkbox"/> Other |

Please check that the applicant has uploaded all necessary supporting documentation and that they have given sufficiently detailed answers. Please also ensure that you enter the correct decision.

Explanation of Return: 0/4000 used

Select decision of review

If returned, a reason should be selected.

Select one of :

- Approved – Send to Sciences & Technology C-REC
- Approved – Send to Social Sciences & Arts C-REC
- Returned for revision (by supervisor)

A C-REC/SREO VIEW

Pages: [ORCID ID](#) [Research Grants](#) [Research Profile](#) [Research Support](#) [Research Data Storage](#) [Research Students](#) [Ethical Reviews](#) [Susx Research Online](#)
 Show me: My Ethical Review Applications Applications submitted for Supervisor approval Applications submitted for Review

A C-REC/SREO can:

- **view** a list of applications submitted for their approval;
- **view** the full application, including attached documents, by clicking the Application Number;
- **comment on an application**
- **record** an outcome of 'approved', 'return for revision', or 'reject';
- **record** the reason(s) why the application is being returned for revision.

| Submission History (ER/RJPA20/1) | | | | | | Enter Decision | Help |
|----------------------------------|--------------------------|----------------------|--------------------|-------------------|-----------|----------------|------|
| Submission Date | Submitted To | Risk Rating (System) | Risk Rating (User) | Decision / Status | Reason(s) | | |
| 31-May-2017 12:13 | Supervisor (Katie Walsh) | High | High | | | | |

Click on Enter Decision

Enter decision

| Edit Submission History (ER/VBMW20/2) | | | | | | Cancel | Save Decision | Help |
|---------------------------------------|----------------------------------|----------------------|--------------------|--|---|--------|---------------|------|
| Submission Date | Submitted To | Risk Rating (System) | Risk Rating (User) | Decision / Status | Reason(s) for Return | | | |
| 30-May-2017 09:56 | SREO GLOBAL SCHOOL (Katie Walsh) | Low | Low | <input type="radio"/> Returned for revision <input type="radio"/> Approved <input type="radio"/> Not approved <i>Please check that the applicant has uploaded all necessary supporting documentation and that they have given sufficient detailed answers to questions.</i> <i>Please also ensure you will give an applicant decision.</i> | <input type="checkbox"/> Supporting document/s missing <input type="checkbox"/> Amendments required to the application <input type="checkbox"/> Application is higher risk not low risk <input type="checkbox"/> Other | | | |
| | | | | Explanation of Return: <input type="text"/> | | | | |

Select decision of review

If returned, a reason should be selected.

Select one of :

- Returned for revision (by supervisor)
- Approved
- Not approved

ADMINISTRATOR FUNCTIONS

An Administrator can:

- Record a decision

RECORDING A DECISION

- Click the 'Application No'
- Page down to the 'Submission History' table

| Submission History (ER/AW440/9) [2 records created] | | | | | |
|---|------------------------------|----------------------|--------------------|-------------------|----------------------|
| Submission Date | Submitted To | Risk Rating (System) | Risk Rating (User) | Decision / Status | Reason(s) for Return |
| 31-Jan-2017 13:00 | Social Sciences & Arts C-REC | Low | Low | | |

- Click the 'Enter Decision' option

When complete select 'Save Decision'

| Edit Submission History (ER/AW440/9) | | | | | |
|---|--|----------------------|--------------------|---|--|
| Submission Date | Submitted To | Risk Rating (System) | Risk Rating (User) | Decision / Status | Reason(s) for Return |
| 31-Jan-2017 13:00 | Social Sciences & Arts C-REC (Liz McDonnell) | Low | Low | <input type="radio"/> Returned for revision <input type="radio"/> Approved <input type="radio"/> Not approved <i>Please check that the applicant has uploaded all necessary supporting documentation and that they have given sufficiently detailed answers to questions. Please also ensure that you enter the correct decision, as you will not be able to change it later. The applicant will receive an email informing them of your decision.</i> | <input type="checkbox"/> Supporting document/s missing <input type="checkbox"/> Amendments required to the application <input type="checkbox"/> Application is higher risk not low risk <input type="checkbox"/> Other Feedback Document: <input type="button" value="Choose File"/> No file chosen |
| Explanation of Return: <input type="text"/> | | | | | |

If preferred, a PDF document can be uploaded instead or in addition to comments

- Choose a decision from the List
- Tick the reason(s) if you are returning the application for revision
- Enter additional text to explain why it is being returned, if required
- Click '**Save**' to record the decision on Sussex Direct

THE PROGRESS OF AN APPLICATION

If you are a student, your application must be approved by your Supervisor before it is submitted to a C-REC or SREO.

The Supervisor will either:

- a) return the application to you for revision – listing the reason(s);
OR
- b) approve the application, and submit it directly to the C-REC/SREO

The system will determine whether the application should be sent to a C-REC or SREO using the information below:

| | High Risk | Low Risk |
|--------------|----------------------|----------------------|
| UG | Supervisor and C-REC | Supervisor and SREO |
| PGT | Supervisor and C-REC | Supervisor and SREO |
| PGR | Supervisor and C-REC | Supervisor and C-REC |
| Staff | C-REC | C-REC |

The C-REC/SREO can record one of the following outcomes:

- a) return the application to you for revision;
- b) reject the application;
- c) approve the application.

The progress of your application (including the reason(s) the application has been returned) will be displayed at the end of your application.

| Submission History (Application ID: 123456789) | | | | | | Help |
|---|--|----------------------|--------------------|------------------------|---|------|
| Submission Date | Submitted To | Risk Rating (System) | Risk Rating (User) | Decision / Status | Reason(s) for Return | |
| 27-Jan-2017 18:06 | Social Sciences & Arts C-REC (123456789) | Low | Low | | | |
| 27-Jan-2017 17:01 | Supervisor (123456789) | Low | Low | Approved by supervisor | | |
| 09-Dec-2016 15:21 | Social Sciences & Arts C-REC (123456789) | Low | Low | Returned for revision | <ul style="list-style-type: none"> • Supporting document/s missing • Amendments required to the application | |
| <p><i>Explanation of Return:</i> Please can the applicant address the reviewers' requests for amendments below (including additional documents) and resubmit the application (making a copy) indicating where changes have occurred:</p> <ol style="list-style-type: none"> 1. The 'detailed information sheet' mentioned as something that will be designed for the 8 participants with whom intensive time will be spent, needs to be uploaded. Please use the template on the research governance part of the university website. 2. The pamphlets that will be designed for use in the markets with (approx. 100) vendors and their families / communities needs to be uploaded as the equivalent of the above info sheet. 3. The consent process needs to be fully detailed. If verbal consent is to be used, please complete the verbal consent checklist used in Global Studies (your supervisor should / the SREO will have this on file), making sure to explain what and how you will explain the consent process at various points i.e. at the start and then in the on-going discussions you mention. 4. Please also reflect on the issues raised by the use of research assistants in conducting interviews for linguistic reasons, especially where they pertain to the verbal consent procedure. | | | | | | |

If either the Supervisor, or the C-REC/SREO, return the application for revision, the application will be unlocked for the applicant to edit, including the ability to add, delete, and replace documents.

RAISING A CERTIFICATE OF APPROVAL

This function is only available to the C-REC members and C-REC administrators (for high risk projects) and to the School Research Ethics Officers (for low risk projects).

If enter approve for the application you will be given the option to automatically generate a certificate of approval;

| Submission History (ER/AW440/9) Help | | | | | |
|---|------------------------------|----------------------|--------------------|-------------------|----------------------|
| Generate Certificate of Approval | | | | | |
| Submission Date | Submitted To | Risk Rating (System) | Risk Rating (User) | Decision / Status | Reason(s) for Return |
| 31-Jan-2017 13:00 | Social Sciences & Arts C-REC | Low | Low | Approved | |
| <i>Explanation of Return: Good</i> | | | | | |

You will then be shown a screen to populate some fields, some fields are already populated;
Generate Certificate of Approval

Pages: [ORCID ID](#) [Research Grants](#) [Research Profile](#) [Research Support](#) [Research Data Storage](#) [Research Students](#) [Ethical Reviews](#) [Susx Research Online](#)

Edit Certificate of Approval Cancel Help

Please complete the following information and then press Save to generate the Certificate of Approval.

Reference Number: ER/AW440/9

Title Of Project: test

Principal Investigator (PI): *

Student: N/A

Collaborators:

Duration Of Approval *:

Expected Start Date *:

Date Of Approval: 31-Jan-2017

Approval Expiry Date *:

Approved By: Liz McDonnell

Name of Authorised Signatory:

Date: 31-Jan-2017

The certificate is then generated and is automatically saved in the supporting documents section of the application form;



Social Sciences & Arts C-REC
c-recss@admin.susx.ac.uk

| Certificate of Approval | |
|------------------------------|---------------|
| Reference Number | ER/AW440/12 |
| Title Of Project | test |
| Principal Investigator (PI): | Antony Walsh |
| Student | N/A |
| Collaborators | None |
| Duration Of Approval | 2 years |
| Expected Start Date | 30-Jan-2017 |
| Date Of Approval | 30-Jan-2017 |
| Approval Expiry Date | 30-Jan-2019 |
| Approved By | Liz McDonnell |
| Name of Authorised Signatory | LM |
| Date | 30-Jan-2017 |

*NB. If the actual project start date is delayed beyond 12 months of the expected start date, this Certificate of Approval will lapse and the project will need to be reviewed again to take account of changed circumstances such as legislation, sponsor requirements and University procedures.

Please note and follow the requirements for approved submissions:

Amendments to protocol

- * Any changes or amendments to approved protocols must be submitted to the C-REC for authorisation prior to implementation.

Feedback regarding the status and conduct of approved projects

- * Any incidents with ethical implications that occur during the implementation of the project must be reported immediately to the Chair of the C-REC.

Feedback regarding any adverse(1) and unexpected events(2)

- * Any adverse (undesirable and unintended) and unexpected events that occur during the implementation of the project must be reported to the Chair of the Social Sciences and Arts C-REC. In the event of a serious adverse event, research must be stopped immediately and the Chair alerted within 24 hours of the occurrence.

Monitoring of Approved studies

The University may undertake periodic monitoring of approved studies. Researchers will be requested to report on the outcomes of research activity in relation to approvals that were granted (full applications and amendments).

Research Standards

Failure to conduct University research in alignment with the Code of Practice for Research may be investigated under the Procedure for the Investigation of Allegations of Misconduct in Research or other appropriate internal mechanisms (3). Any queries can be addressed to the Research Governance Office: rgoffice@sussex.ac.uk

(1) An "adverse event" is one that occurs during the course of a research protocol that either causes physical or psychological harm, or increases the risk of physical or psychological harm, or results in a loss of privacy and/or confidentiality to research participant or others.

(2) An "unexpected event" is an occurrence or situation during the course of a research project that was a) harmful to a participant taking part in the research, or b) increased the probability of harm to participants taking part in the research.

(3) <http://www.sussex.ac.uk/staff/research/rqi/policy/research-policy>

Once the certificate is generated and saved it saves into the supporting documentation section of the application;

| Supporting Documents (ER/AW440/9) | | | | Help |
|---|--|-------------------------|---------|----------------------|
| You MUST ensure that ALL documents are converted to PDF format before uploading. Otherwise they will not be included in the merged PDF file. | | | | |
| No. | Document | Document Type | Version | Upload Date |
| | Ethical Review Application [PDF] | Application | | |
| 1 | Certificate of Approval.pdf [13kb : PDF] | Certificate of Approval | 1 | 31-Jan-2017 13.17.48 |
| <p><i>For your own records, you can use the button below to create a merged copy of your application and supporting documents:</i></p> <p style="text-align: center;">Create Merged PDF</p> | | | | |