Faculty of Business and Law
Faculty Research Ethics Committee

Application Guidelines

All students or staff who wish to undertake research activities must apply for ethical approval **before** commencing their research. This document provides information on applying for ethical approval within the Faculty of Business and Law. The ethics approval process is important to ensure (as far as is possible that any research conducted, either by a DMU student or a DMU member of staff does not cause harm or involve illegal activity

All forms are available on the Faculty Ethics website at https://www.dmu.ac.uk/research/ethics-and-governance/faculty-specific-procedures/bal.aspx

For additional information please contact the Faculty Research and Innovation office on: BALResearchEthics@dmu.ac.uk

Contents

For all researchers (UG/PGT/PGR/Staff)

Projects Requiring Ethical Review

The University requires that members of staff obtain ethical approval and students of the University who wish to engage in research. Research activities include:

1. Gathering information about human beings (or organisations) through:
    - Interviewing
    - Surveying
    - Questionnaires
    - Observation of human behaviour
    - Modifying/disturbing human behaviour
    - Interfering in normal physiological and/or psychological processes

2. Using archived data in which individuals are identifiable.

3. Supporting innovation that might impact on human behaviour, e.g. Behavioural Studies.

4. The reuse of primary data.

5. Sensitive research – If the study is researching in any of the following areas:
    - Research into illegal activities involving the collection of primary source data
    - Research which requires access to web sites normally prohibited on university servers, including, but not limited to pornography, or the sites of any of the organisations proscribed by the UK Government;
    - Research into extremism and radicalisation.

    The researcher should refer to the DMU policy and guidelines available at;
    http://www.dmu.ac.uk/research/ethics-and-governance/sensitive-research.aspx
    It is not envisaged that UG or PGT students would normally undertake such research. However, it is not inconceivable and thus supervisors must take care to ensure students are well advised of the relevant policies.

Literature and systematic reviews and those using publicly available data

Literature and systematic reviews and those using publicly available data do not require ethical approval. Literature and systematic reviews are library based studies that only use public/published literature or reports with no collection of primary source data.
Publicly available data includes such things as Unistats, Office of National Statistics data/reports, crime statistics, health statistics, hospital waiting times e

Attachments and supporting documentation to applications

This list is non-exhaustive but attachments may include;

- Ethics Application Form (compulsory)
- Consent form
- Data collection tools (e.g. draft interview schedule, survey questionnaire)
- Recruitment flyer or advertisement
- Participant response slip
- Research Proposal (compulsory)
- Participant information sheet (PIS)
- Permission from external organisation
- Email support from supervisor

Please consider naming and numbering documents appropriately to assist reviewers and the FREC.

Accepted file formats: word**.**doc / word.docx / adobe.pdf / windows.zip / outlook.msg

Templates for consent forms and participant information sheet can be found at

https://www.dmu.ac.uk/research/ethics-and-governance/faculty-specific-procedures/bal.aspx

Details to include on your ethics application

The reviewers interested in the practical aspects of your study, such as how many participants will be recruited, where they are recruited from, exactly what they are expected to do, and what are the potential risks to both participants and researchers, etc. The study proposal should include the following sections:
Background – Short summary of the background or rationale for your proposed study in around one paragraph.
Research aims / objectives – List your research aims and objectives.
Research question – List your main research question or questions.
Study design – Brief overview of design.
Sample details – Who or what is the sample population. For example, all employees who have had grievance issues between January and June 2020
Sample size – State your intended sample size and rationale for choosing this sample size.
Sampling method – How will you sample your population, for example 'the first 20 DMU students to respond to an advert on the student notice board'.
Recruitment method – For example, letters sent out to all 1st year Pharmacy students with reply slips or flyers with contact details.
Data collection method -Where relevant, for example, biofluid and/or tissue biopsy collection protocol, interviews, questionnaires, surveys.
Data collection tool - For example, information about questionnaire or interview schedule
Analysis - Proposed statistical methods, tests or qualitative methods to be employed, e.g. thematic content analysis
Ethical issues - Including risks to study participants and researchers

Consent
Participants must give consent before they take part in a study. Obtaining informed consent is one of the more complicated aspects of empirical research, with several issues to consider.

The Consenting Process - Timeline
Where possible, written information about the study should be given to applicants in advance of obtaining consent so that the applicant has time to seek advice and consider whether to participate. If written consent is required, this should be obtained in person by a member of the research team who is familiar with the study. If, however, there is a long delay between obtaining consent and the participant taking part in the study, then the researcher must re-confirm the participant's willingness to take part.

Having given consent, a participant can still withdraw from the study at any time without giving a reason (such participation is always ***voluntary***).

The Consent Form
An example consent form is provided for researchers to use. See
https://www.dmu.ac.uk/research/ethics-and-governance/faculty-specific-procedures/bal.aspx

However, not all the statements on the example will be relevant to your study. Please retain statements which are relevant to your study, and delete those which are irrelevant. Adapt statements if necessary. Participants are required to initial each statement instead of ticking a box, since ticks can easily be forged. Completed consent forms should be stored securely in accordance with the current Data Protection legislation and also see
https://www.dmu.ac.uk/documents/about-dmu-documents/quality-management-and-policy/records-management/research-records-retention-policy.pdf

The consent form must have a date and version number (please refer to the embedded document below). When consent is taken using hardcopy forms, a signed copy of the consent form should be retained by the researcher. A signed copy of the consent form and a copy of the participant information sheet should be given to the participant giving their consent.

Where research takes place using online survey tools, it may suffice to include a shortened information statement and check box confirming consent to participation based on the information provided. Researchers should justify their chosen consent process ensuring it is proportionate to the nature of the research.
NOTE: Not all studies require written consent from participants. For example, with anonymous postal or
online surveys, consent can be implied by the participant completing the survey form.

Seeking Consent from Vulnerable People, Young People or People in Difficult Situations
Some participants are considered to be vulnerable, such as those with a learning disability or who may
be dependent in some manner upon the researchers conducting the study. In these cases, it is important
that additional measures are considered when seeking consent from vulnerable participants - for example, this may include having a carer or advocate present.

In some studies involving children under the age of 18, consent must be obtained from parents or guardians, and permission (assent) must be obtained from the child. There are some studies where it can be argued that the child is competent to judge whether they wish to take part, and therefore parental permission is not required. You may need to consult professional ethical codes, when deciding whether parental consent is required.

You may also need to consider DBS checks, safeguarding issues and vulnerable adults' policy. Some participants may be protected by the Mental Capacity Act. In this case, researchers should seek expert advice. Where obtaining written consent may be difficult because of literacy, language, age, formality, or marginalisation, it may be possible to omit written consent, and other means of gaining meaningful informed consent should be considered.

The Participant Information Sheet

Researchers are required to give potential participants information about the study so that they can make an informed decision regarding whether or not to participate. Participant information sheets are not required for simple studies such as short anonymous surveys. Instead, the key information can be given at the top of the survey sheet.

For a more complicated study, or one in which written consent is being obtained, information will be presented in the form of a participant information sheet (PIS). An example of a participant information sheet is provided on the BAL FREC website for researchers to adapt according to their requirements.
See https://www.dmu.ac.uk/research/ethics-and-governance/faculty-specific-procedures/bal.aspx

The information sheet **MUST** describe exactly what taking part in the study will involve for the participant. For example, 'participants will take part in a one-hour interview with the researcher'. This document must be written in a language which is appropriate and easy to understand.

For your own safety, do not list your personal contact details on this form. Use your university email address. The participant information sheet must have a date and version number on it.

Recruitment

Researchers must ensure that recruitment to the study is fair, not subject to duress, and complies with data protection legislation. It is not sufficient to state, for example, that four children out of a class of 30 will be selected to participate. Applicants must describe the selection process, providing inclusion or exclusion criteria where deemed necessary.

Researchers must be careful that participants do not feel pressurised into taking part in studies. Indeed, this is especially relevant to situations where participants are in dependent relationships with researchers, for example employers and employees, students and lecturers.

The organisation where the research is being carried out must not provide researchers with names or contact details of potential participants, unless these are already publicly available; this would breach the Data Protection Legislation. Instead, researchers can give invitations, flyers or information sheets to the host organisation to distribute, or alternatively request them to recruit on their behalf.

Withdrawal of Data
It must be made clear to potential participants whether or not it is possible to withdraw their data if they elect to withdraw from the study. Where data is collected by anonymous survey, it is clearly not possible to withdraw data. Focus Groups too.

There may be other occasions on which the withdrawal of data may not be possible, e.g. some qualitative investigation methodologies. In such cases, the potential participants must be informed that if they withdraw from the study, data provided up to that point in time may still be included in the study. Participants should be clear about options to skip certain parts of the study, to cease participation before data has been collected/submitted, and the possibility to remove data once submitted.

Data Collection Tools (for example questionnaires or interview schedules)
Researchers are required to submit a copy of the data collection tool along with the ethics application. However, a draft version may suffice in some cases since it is acknowledged that the final version of the questionnaire or interview schedule may be generated or refined during the study.

During the development of data collection tools, researchers are free to seek feedback from volunteers including groups representative of the target population, as long as data is not being collected.

Confidentiality and Anonymity
Researchers must ensure the confidentiality and anonymity of participants and their data as much as possible. Potential participants for focus group studies should be reminded that confidentiality and anonymity cannot be guaranteed, since participants are not necessarily bound by a code of conduct.

Similar warnings should be included for participants in 'small world' studies, in which there are only a small number of people in a population that fit a certain profile.

If researchers become aware of risk of harm, they have a responsibility to take appropriate action, especially if this includes risks to children or vulnerable adults. Action may include informing the police or other authority. This action may supersede confidentiality. Including a copy of your interview schedule or questionnaire with your ethics application should demonstrate to the review panel that you do not intend to place yourself in a difficult position.

Personal information must be stored and processed in accordance with data protection legislation. For anonymous surveys completed online (for example using Survey Monkey or Qualtrics), consent may not always be required (see Consent section). Survey tools often give the option to not record I.P address for anonymity purposes.

Data Storage
Data must be stored securely to protect participants and researchers. Hard copy records should be stored in locked rooms, in locked filing cabinets. Electronic records should be password-protected and backed up. Encryption software may be advised for some electronic data. Great care should be taken if using memory sticks or laptops. You may choose to use your OneDrive allowance or even DMU Figshare. Organisations and funding bodies have varying requirements regarding the duration of data storage. DMU requires that raw and analysed data from all studies (completed questionnaires, audio/video recordings, diaries, observational recordings, laboratory notebooks and

emails) should be kept for five years after the completion of the project.

Data generated from projects that may have a secondary use for further research should be kept for the life of the project plus ten years. See https://www.dmu.ac.uk/documents/about-dmu-documents/quality-management-and-policy/records-management/research-records-retention-policy.pdf

If a study is funded, sponsored or conducted within an organisation which has more extensive data storage requirements, then the researcher must comply with these specifications. Participants must also ensure that all their record keeping remains compliant with the data protection legislation that pertains at that time.

Access to Data

Access to data should be controlled in order to prevent unauthorised use. The research proposal, participant information sheet and consent form should all identify who has access to the data. Usually, access is restricted to named members of the research team, or the research student and their supervisor. However, there have been several cases where researchers have successfully refused external requests for data in view of access statements in participant information sheets or consent forms.

Data Protection and GDPR

All research performed by staff or students at DMU must comply with data protection legislation. This covers issues relating to accessing, obtaining and storing data. Several key issues are relevant to research projects. Researchers who wish to access personal data held by an organisation such as a hospital or a school must have explicit permission to do so.

Researchers may have access to students' files because they are employed, or on a placement, within the organisation where they will conduct the research. However, this does allow them to access data for their own research projects.

Accessing personal data for research purposes without permission contravenes the Data Protection Legislation. Therefore, researchers must obtain permission from the host organisation in order to access data.

For organisations external to DMU, this may involve contacting the Head of a School or Department, the associated Research and Development Office, the Clinical Audit Department, or the Data Protection Officer.

Only personal data which is relevant to the research project should be collected. For example, do not ask for participants' names or medical histories unless this is fundamental to the study. Personal data must be processed in accordance with the Data Protection Act.

Data must be held securely and access should be limited to researchers specified in the research protocol/proposal, participant information sheet or consent form. Researchers must ensure they are familiar with DMU's policies on Data Protection and Data Management (available at https://library.dmu.ac.uk/rdmguide/dataprotect and DMU's Privacy Policy (see https://www.dmu.ac.uk/policies/data-protection/data-protection.aspx

IMPORTANT:
All researchers should consider whether a Data Protection Impact Assessment (DPIA) is required using DMU's DPIA screening checklist available (see https://www.dmu.ac.uk/research/ethics-and-governance/faculty-specific-procedures/bal.aspx for more information
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Internet-Mediated Research
Using the internet to conduct your research raises additional concerns. For example, participants can be identifiable or anonymous; they can explicitly consent to participate, or they can be invisibly observed without their knowledge (using social media posts for example). The key issues include verifying identity; public/private space; informed consent; levels of control; withdrawal; debriefing; deception; monitoring; protection of participants and researchers; and data protection.

Researching Illegal Activities
Researchers must follow the DMU policies when researching illegal activities such as gangs, terrorism or crime. (see https://www.dmu.ac.uk/research/ethics-and-governance/sensitive-research.aspx

Feeding Back to Participants
Informing participants of your findings is encouraged as part of your dissemination strategy. This might involve sending participants a short summary report of the findings at the end of the study.

Permission from Host Organisations (including NHS requirements)
If research is being conducted in an organisation outside DMU, such as a school or an employer, you must obtain permission from the host. If researchers are accessing data held by the host organisation, then explicit written permission from the host organisation must be obtained to do this. Specific procedures must be followed if the host organisation is the NHS.

Ensuring the Safety of Researchers
Researchers must minimise personal risks to themselves. Where possible, data collection should be conducted on DMU premises, a host organisation's premises, or in a public place. If data has to be collected in a private area such as a participant's home, then researchers should carry a mobile phone, provide details of their whereabouts to a colleague, and contact the colleague after data collection is complete to confirm their safety. DMU's Lone Worker Policy (available from POD/HR or via your Supervisor/Programme Leader) provides more information.
Researchers must refrain from giving out personal contact details, especially in recruitment material. This includes personal email addresses and personal mobile phone numbers.

Where conducting research off campus applicants (once having had their ethics application authorised) must apply for a health and safety risk assessment by sending their approved ethics application to lisa-jayne.evans@dmu.ac.uk**.**

Insurance Cover
DMU students and staff are covered by DMU's public liability and professional indemnity insurance policies to undertake laboratory work, interviews, questionnaires and observations on or off campus.

This includes cover for experimental studies which are considered by DMU to have a low risk of injury to participants or research staff. Risk assessment forms can be obtained from your Faculty Risk Assessor or via your Supervisor/Programme Leader. If you wish to undertake a clinical trial or a study where there is a high risk of injury to participants or research staff, you must contact the Research and Innovation Office to determine if your proposed study will be covered by DMU's existing insurance policy, and also if there are any additional financial costs to the research team. One example of a 'high risk' study is one in which participants are asked to undertake exercise tests which might result in cardiac problems.

Ethical Codes and Further Reading

All research studies must comply with the Declaration of Helsinki and the Data Protection Legislation.

Additional codes may also be relevant such as the NHS Research Governance Framework for all studies

involving NHS patients or staff. Other codes can be found at

https://www.dmu.ac.uk/research/ethics-and-governance/faculty-specific-procedures/bal.aspx

The Application Process for Undergraduate and Taught Masters Students (see Also Appendix 2)

IMPORTANT!!: Every UG/PGT student should first complete the relevant BAL triage form (found at http://dmu.ac.uk/research/ethics-and-governance/faculty-specific-procedures/business-and-law-ethics-procedures.aspx

Triage form
If (after completing the Triage form), it is found that there is a need to complete an Ethics Application form the following process must be followed

- Applications from students on undergraduate courses or taught Masters programmes must be supported **and electronically approved** by a suitably qualified supervisor.
- Students should electronically submit applications and supporting documents to their supervisor/programme leader by uploading it to Blackboard
- The applications must be reviewed by at least two academic members of staff (usually the supervisor and module/programme leader) completing the relevant sections of the application form.
- These reviewers decide whether the proposed project is low or medium/high risk (please refer to Appendix 1).

Low risk proposals (see Appendix 1 for definitions of risk)

- Reviewed by 2 reviewers (usually your supervisor and the module/programme leader)
- If judged to be acceptable the reviewers electronically sign the review proforma.

Once authorised by the reviewers, the students may commence data collection. (**NB Students must not commence data collection until the reviewers have authorised the ethics application. At some later point, the FREC Char will moderate these authorised/rejected applications**

Medium/high risk proposals (see Appendix 1 for definitions of risk)

- The ethics application is judged as either medium or high risk by the two reviewers (supervisor and module/programme leader).
- Once judged acceptable or otherwise, the applications are (preferably) electronically signed by the reviewers and then uploaded to Blackboard.
- It is expected that **programme teams will set appropriate deadlines** for student submissions **and then inform the Business and Law Faculty Research Office (BAL RIO) on** BALResearchEthics@dmu.ac.uk of the expected dates of submission. This will help facilitate identification of Faculty Research Ethics Committee (FREC) reviewers, who will moderate the sample. Once all the applications have been uploaded to Blackboard the Programme Leader/Module leader advises BAL RIO on BALResearchEthics@dmu.ac.uk
- BAL RIO issues applications to FREC reviewer pool for examining medium risk applications, and to the FREC Chair to review high-risk applications. Thereafter, FREC reviewers inform

BAL RIO of the outcome of their review within 15 days

- BAL RIO informs the programme leader/module leader (within 25 days of their original notification to BAL RIO that all applications have been reviewed by FREC.
- Data collection may only commence **AFTER** the sample has been subject to FREC review and authorised.

All approvals granted are ratified at the subsequent FREC meeting

At several points in the academic year all submitted applications will be subject to audit by sample.

The Application Process for Staff and Postgraduate Research Students (see also Appendix 3)

Applications from students undertaking postgraduate research (for example, that involving PhD, MPhil, or DBA degrees) or staff are reviewed by two members of the Faculty, and in medium or high risk cases at least three members of the Faculty Research Ethics Review Panel. All applications are then approved by the Chair of the Faculty Research Ethics Committee and ratified by the Faculty Research Ethics Committee (FREC).

Applications are made via the online Worktribe system (https://dmu.worktribe.com/).

It is expected that applications will be reviewed within four working weeks of submission, although this may take longer during university holidays. Please note any amendments submitted by the applicant will restart the three working week timeline. The Chair reserves the right to refer any project for consideration by a full Faculty Research Ethics Committee meeting. It is therefore advisable to discuss with the Chair any plans for complex or high-risk research as early as possible.

From **Tuesday 30 March 2021** all research ethics applications will need to be submitted using the new Worktribe Ethics system.

You will be able to **access the system through the new website**; **https://dmu.worktribe.com/** and will be asked for your DMU single sign-on details.

The new system asks a more comprehensive set of questions on your ethics application, while still being user friendly.

Training on using the new system, in the form of videos and user guides, will be available under the help menu on Worktribe and also shortly in the Digital Skills area of Blackboard.

If you have any questions, please contact the team via email: **worktribe.ethics@dmu.ac.uk**

Appendix 1: Definition of Risk levels

Types of Risk (Undergraduate and Postgraduate Taught)

Category Guidelines for Taught Programme Student Projects

Introduction

BAL FREC processes need to be managed effectively in order to ensure appropriate levels of scrutiny of application for research ethics approval. This is to ensure that the University is compliant with its obligations under law and to its insurers. In order to do this, a risk based approach is adopted which applies a level of review appropriate to the risk presented by certain categories of studies. The aim is to enable responsible ethical review of studies which do not to unnecessarily delay the commencement of research projects for taught programme students. A separate process is in place for research students and staff research.

There are 3 levels of review dependent on the category of the study:

Low risk studies still require registering with the BAL Faculty Research Office and the oversight of the FREC (by monitoring) but can be approved by two suitably-qualified academics designated by the programme/PMB to do so (such as the supervisor and module/programme leader – where one and the same then an appropriate academic should undertake the task).

Medium risk studies which require review and approval of the BAL FREC in addition to that provided by independent reviewers. In addition to the two reviewers that will consider the application as in for a Low risk study, a member of the BAL FREC reviewer pool will undertake the review of an application on behalf of the committee.

High Risk studies which may require University research ethics (UREC) approval in addition to the BAL FREC approval. However, BAL FREC review must be completed in the first instance and a judgment made regarding escalation to UREC.

The BAL FREC shall keep these risk categories under review, and may change the criteria when considered appropriate, subject to giving adequate notice to PMBs and programme leaders.

The following guidance provide specific details of the criteria

Low risk studies

It is recognised that there are a significant number of studies undertaken at the University which involve human participants, but which have minimal risks attached. In cases of low risk studies, and also in order to assist in the management of approvals in a timely fashion, the BAL FREC has agreed the use of a “light touch” review.

Without being prescriptive, the types of research anticipated as possibly falling within this category are the following;

- Conducted within the confines of the DMU campus (excluding halls of residence)

and recruit DMU staff or students using:

- Anonymous questionnaires, provided that these do not touch on sensitive topics
- Face-to-face or focus group interviews
- Market or opinion research
- Customer satisfaction type surveys
- Previously collected anonymous data held by the university which cannot be traced back to the individuals who provided them by any of the study team
- Performance of verbal/paper & pencil/computer-based tasks,
- Service evaluation/audit/needs assessments
- Observation of performances/behaviour

- Studies which recruit individuals external to DMU (whether or not they are conducted outside the confines of the DMU campus PROVIDED that such data collection is conducted (if interviewing/observing these participants)
  a) During daylight hours (e.g. 9am -5 pm)
  b) In a public place (and where in private interview room in a place where others are nearby)
  c) The participant makes known exactly where they are visiting to their supervisor on the proposal or ethics application form or some other form of communication
  d) Advises family/friends what time they will call to say if they have now finished their interview/observations – or contacts them to say they are continuing their interview/observations at a pre-arranged time (and then organises another pre-arranged time to call to declare they are safe. Also advising their contact that they should contact DMU if they cannot get in touch with the applicant say by phone (if they have not heard anything from the student by the arranged or re-arranged time).

Please note that these details/plans need to be included on the ethics application form to assure us of student safety off campus while undertaking DMU studies.

Supervisors need to plan as to how to ensure that information is available (as to where the student was visiting) should DMU be contacted to advise that a student has failed to report their safe return from off campus activity.

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Medium risk studies

All research/studies which do not fall within the above high-risk category review criteria will be considered as requiring a medium risk review unless it is agreed that the low risk criteria is met. The BAL FREC (or the chair or delegated person) may at its sole discretion escalate a matter to a higher level of review.

- Studies which recruit participant individuals external to DMU (in circumstances other than those stated on Page 10 that are deemed as low risk)
- Studies conducted outside the confines of the DMU campus
- Studies that require ethics approval from an independent external ethics committee (e.g., a Health Research Authority)
- Induce anxiety, stress or other harmful psychological states on a momentary basis
- Studies which recruit participants under 18 years old
- Studies recruiting the homeless, or those living in sheltered accommodation
- Studies recruiting those deemed vulnerable adults.

High risk studies

These are the type of studies that are required by our insurers to have this additional approval level

and/or that the University Research Ethics Committee considers are of a nature that this additional review is necessary before the research can commence.

The studies that will fit into this category are those that involve one or more of the following:

- Induce physical discomfort and/or pain beyond which that they may routinely encounter in their everyday life
- Studies into sensitive subjects such as pornography, illegal acts, terrorism, the dark web, etc
- Expose the participants to visual, auditory or other stimuli beyond that which would normally be experienced in everyday life
- Eliciting information from participants that could render them liable to criminal proceedings (e.g. drug abuse or child abuse)
    - Alter the participants' normal patterns of sleeping, eating or drinking
    - Visiting areas of potential or actual known violence or conflict
    - Research that concerns potential or actual issues of intellectual property

 Participants who are:

    - Pregnant or a breastfeeding mother
    - Detained in lawful custody (in a prison, remand centre, young offender institution, secure training centre or attendance centre, or under the powers of the Immigration and Asylum Act 1999)
    - Is under the supervision of the probation services

 Individuals who do NOT;

    - Have the capacity to give consent in accordance with the Mental Capacity Act 2005
    - Have the capacity, or appear not, to give free and informed consent for any reason (including under the influence of drugs or alcohol, being coerced, confused etc.)

Appendix 2: BAL FREC Electronic Submission Requirements for (Undergraduate and Taught Masters Students only)

Ethics applications will only be accepted electronically.

Triage stage
Step 1. Student completes an Ethics triage form and uploads to Blackboard as instructed by their Supervisor/Programme Leader/Module Leader

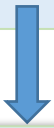
Step 2. **Supervisor** reviews triage form (if one has yet to be allocated then the Module or Programme Leader should sign the form). If the student has answered 'NO' to all the questions on the triage form, this is logged and kept on the designated repository area on Blackboard. If the student has answered 'YES' to one or more questions on the triage form, inform student to complete a full ethics application. Please see the process on Page 5.

Student	**Step 3: Student** uploads the completed ethics application form with all supporting documentation to Blackboard as instructed by their **Supervisor/Programme Leader /Module Leader**. IMPORTANT! The module leader should set Blackboard to allow applications to be submitted through Turnitin **but** with • originality setting turned off • no generation of similarity reports • no submission to any other repository
Supervisor	**Step 4: Supervisor and Module Leader** should then each (or preferably jointly) undertake to review the application (unless the Supervisor and Module Leader is one and the same person, in which case the Supervisor and Programme Leader should review the application). However, if the Supervisor, the Module Leader, and the Programme Leader are all one and the same person, then the Supervisor needs to find an academic colleague to also review the form.
Programme Leader/Admin and Reviewers	**Step 5:** Once the Reviewers have examined the application the Supervisor should upload to Blackboard their authorisation/rejection etc. through Turnitin Gradings (advised to create coding for grades each for **Authorisation** **Rejection** **Requests for modification to the application** **! However, please note if medium or high-risk case (see pages 9-10) then either FREC reviewer or FREC Chair will need to examine application before final authorisation** **Step 7: Once all applications have been received Programme Leader/Module Leader/Admin notifies by email BAL RIO** BALResearchEthics@dmu.ac.uk **for later moderation by FREC Chair**

Appendix 3: The Application Process for Staff Postgraduate Research Students (PhD/MPhil/DBA)

Complete BAL Ethics application form (on Worktribe -https://dmu.worktribe.com/)
Please ensure submission guidelines are read and followed

Submit application form and supporting documents
Allow 4 working days for office processing)
(For PhD students – please ensure the application is submitted via your supervisor)



Application sent for review by TWO academics in the Faculty if low risk (otherwise by the Faculty research Ethics Committee). Allow Reviewers 15 working days to review.

The Faculty Research Ethics Chair will examine the reviewers' comments and either ask for revisions to the application, or either reject or approve the application. The research Office is then notified of the decision and then relays that decision to the applicant (via the PhD supervisor, if applicable)

Please allow **25 working days** after an Ethics application and supporting documents have been submitted to receive a response. Please note, the process sometimes could take much longer should amendments be required, Processing times cannot be guaranteed and are dependent on the availability of staff.