Sheffield Hallam University
Researcher - Converis Ethics Review - Helpsheet

From 11th September 2017, ethics reviews for staff and doctoral research will be managed via a new online ethics application and review system. The system is a module of Converis, the University's Research Management System.

The module replaces the SHUREC 1 and 2 forms for all staff and doctoral research. It is based on the old forms so the questions will be familiar to you. The SHU Research Ethics Policy should be consulted before completing the Ethics Review application in Converis.
The final responsibility for ensuring that ethical research practices are followed rests with the supervisor for student research and with the principal investigator for staff research projects.

Note that students and staff are responsible for making suitable arrangements for keeping data secure and, if relevant, for keeping the identity of participants anonymous. They are also responsible for following SHU guidelines about data encryption and research data management.

Completing the Ethics Review application in Converis also enables the University and Faculty to keep a record confirming that research conducted has been subjected to ethical scrutiny.

For postgraduate research student projects, the application should be completed by the student and signed-off by the supervisor.

For staff research, the application should be completed by the Principal Investigator.

The email confirming approval should be kept and stored in your project research files.

In studies with human participants, the online form includes health and safety risk assessment for the researcher as before. However, please note if it may be necessary to conduct a further health and safety risk assessment for the proposed research, for example for laboratory based studies. Further information can be obtained from your Faculty Safety Co-ordinator. Any further risk assessment can be uploaded to Converis alongside your other documents.

Your ethics review application will follow one of five pathways in Converis, reflecting the level of risk associated with the research.

When you create a new application, you will be asked to select one of the following:

	Name of pathway (template in Converis)	Is Review Required?	Process
1.	No human participants, human tissue or personal data	No	Application created in Converis by Researcher and marked as approved by Faculty Ethics Admin.
2.	Very low risk human participants studies	No	Application created in Converis by Researcher and marked as approved by Faculty Ethics Admin.
3.	All other research with human participants	Yes	Application created in Converis by Researcher. Reviewers assigned by Faculty Ethics Admin. Lead Reviewer responsible for collating Reviewer's responses.
4.	IRAS - projects requiring NHS or HMPPS ethics	Yes	Application created in Converis by Researcher. Reviewers assigned by Faculty Ethics Admin. Lead Reviewer responsible for collating Reviewer's responses.
5.	Approval given elsewhere - another UK HEI	No	Application created in Converis by Researcher and marked as approved by Faculty Ethics Admin.

Filters are used to tailor the application template based on the nature of the research project, so the more potentially high-risk the project; the more information will be required to inform the review. The content of each template is specific for each pathway.

Timescales

The target for completing Ethics Reviews is 2 weeks.

**Doctoral Student Applications**

The process which the application will follow differs slightly for Doctoral Students and Staff Researchers.

Applications for Doctoral Students will be automatically sent for approval by the Director of Studies before progressing to Admin Check.

Other than this additional step, the process remains the same. A flow-chart giving an overview of the Ethics Review Process is shown on page 3.
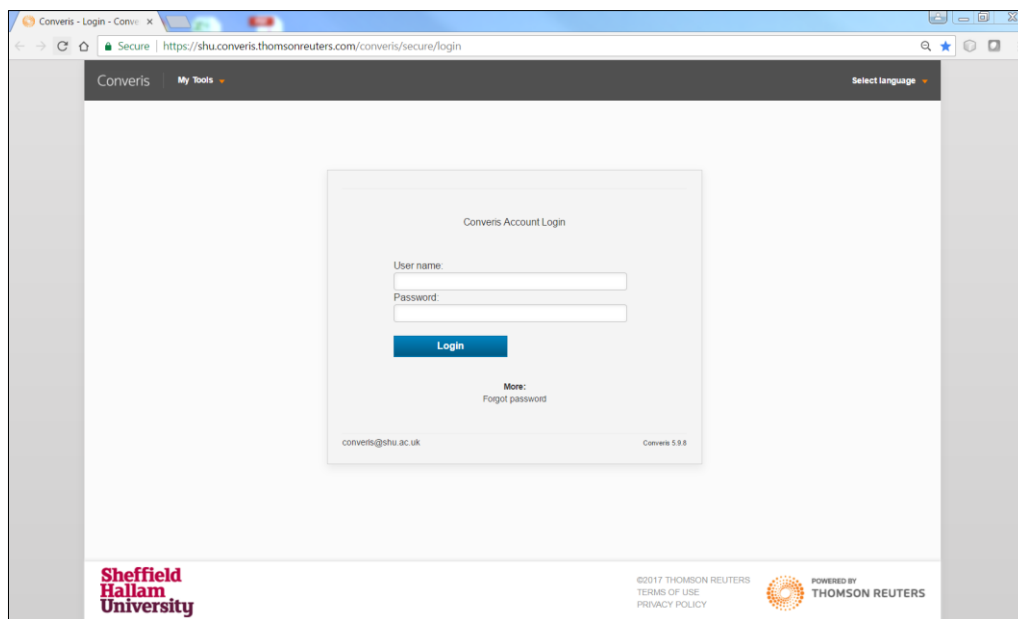
Ethics Review Process

Ethics Review Process
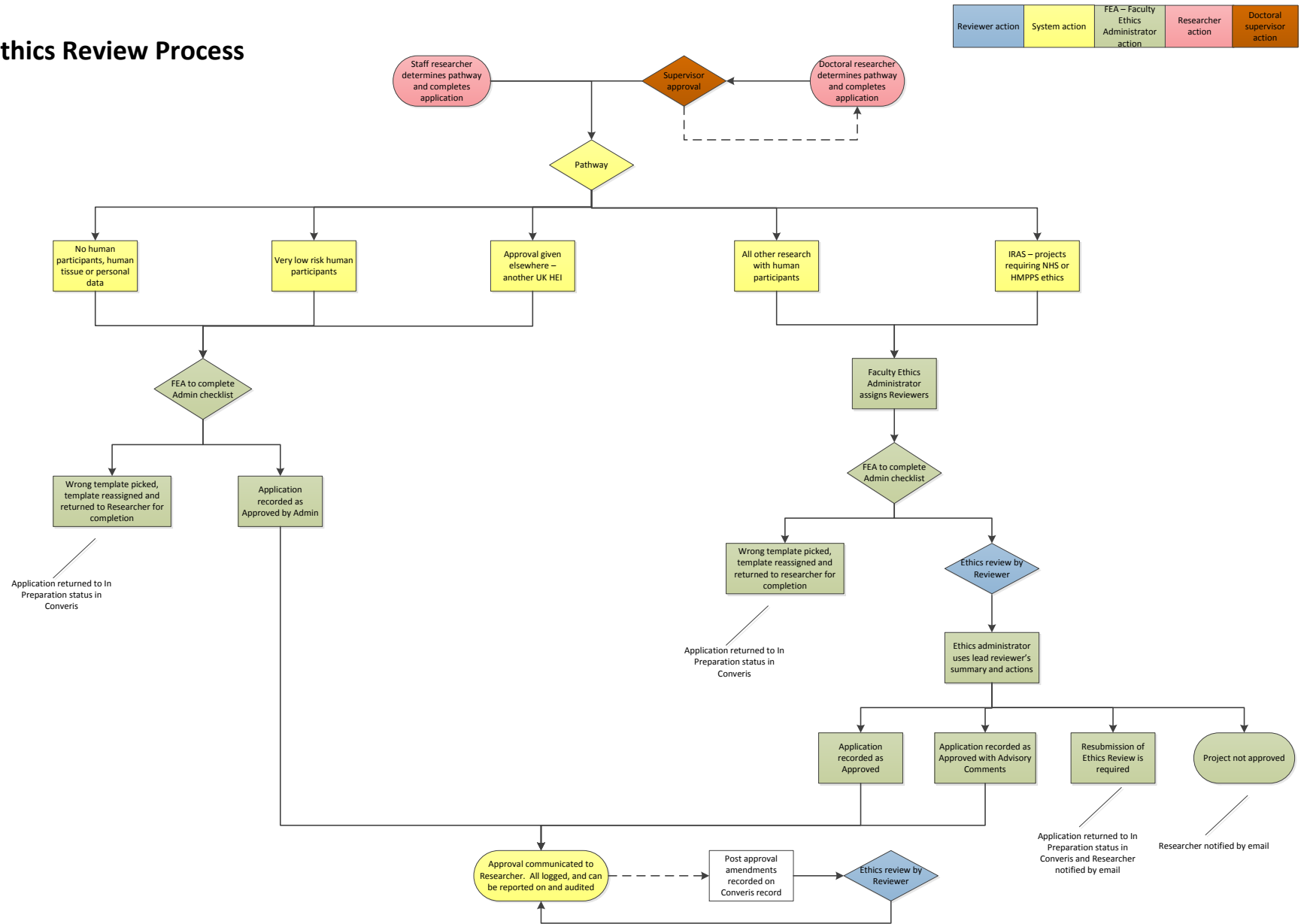
Legend:
- Reviewer action
- System action
- FEA – Faculty Ethics Administrator action
- Researcher action
- Doctoral supervisor action

Staff researcher determines pathway and completes application

Supervisor approval

Doctoral researcher determines pathway and completes application

Pathway

- No human participants, human tissue or personal data
- Very low risk human participants
- Approval given elsewhere – another UK HEI
- All other research with human participants
- IRAS – projects requiring NHS or HMPPS ethics

FEA to complete Admin checklist

Faculty Ethics Administrator assigns Reviewers

Wrong template picked, template reassigned and returned to Researcher for completion

Application recorded as Approved by Admin

Application returned to In Preparation status in Converis

FEA to complete Admin checklist

Wrong template picked, template reassigned and returned to researcher for completion

Ethics review by Reviewer

Application returned to In Preparation status in Converis

Ethics administrator uses lead reviewer's summary and actions

- Application recorded as Approved
- Application recorded as Approved with Advisory Comments
- Resubmission of Ethics Review is required
- Project not approved

Application returned to In Preparation status in Converis and Researcher notified by email

Researcher notified by email

Approval communicated to Researcher. All logged, and can be reported on and audited

Post approval amendments recorded on Converis record

Ethics review by Reviewer

Accessing and logging into Converis.

Converis can be accessed by clicking on this link:
https://shu.converis.thomsonreuters.com/converis/secure/login

User name - Your username is your normal SHU network login
Password - Pre-Award Management Converis Users - use same password
New Converis Users - you will be emailed a password

If you have not received an email or want to change your password, you can reset your password by clicking on the **Forgot password** link from the login page.
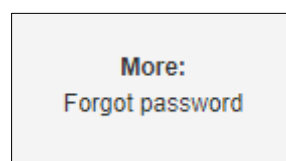
Converis Dashboard

After you log into Converis you will arrive at the **Dashboard.**

From this screen you can do a number of things, including:
- Create new Ethics Review
- View existing Ethics Reviews
- Quickly access your list of **Recently edited** applications
- Switch roles

Use the function menu to:
- **Switch Roles**
- **Change your settings**
- **Logout**

View applications that you are currently preparing in the Things to do list.

Converis   My Tools ▼   Q Search   Help ▼   Researcher: BIRCH, FIONA ▼   🔔

                                                                                                              ＋ Add new

Dashboard

Projects

Project Ideas   **FIONA BIRCH** ✎ Edit
                       e: rbdfb@exchange.shu.ac.uk
Project Applications

Projects

Funding Opportunities

Ethics Reviews   **Things to do**

Publications   ▸ **1 Ethics Reviews currently In Preparation**   All

IPR   **Recently edited**

Activities   ER4924761; Other UK HEI, BIRCH, FIONA - Research and Innovation Office; (Ethics approval sought elsewhere - another UK HEI)
                       Ethics Review | Last edited on 17/ 017 at 2:38 PM
                       ER4874016; Fiona (RES) i   s Report Test; BIRCH, FIONA - Research and Innovation Office; (Ethics approval sought elsewhere -
                       NHS IRAS)
                       Ethics Review | Last edited on 17/   7 at 2:35 PM

Use the Ethics Reviews menu to access existing Ethics Review applications

Use the Recently edited list to access Ethics Reviews you have recently edited

Create a new Ethics Review using the Add new menu

If you have more than one user role in Converis (for example Researcher or Director of Studies) you will need to switch roles.

Click on the orange drop-down arrow from the function menu.
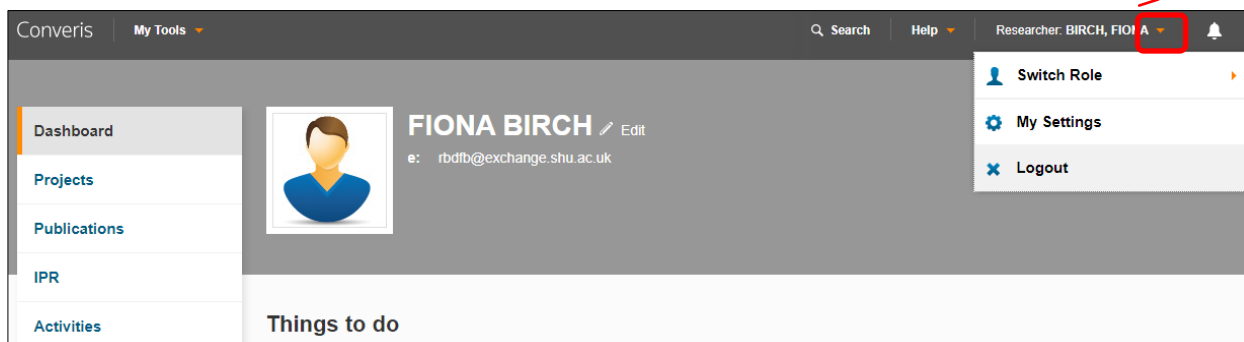
From the menu, select **Switch Role.**
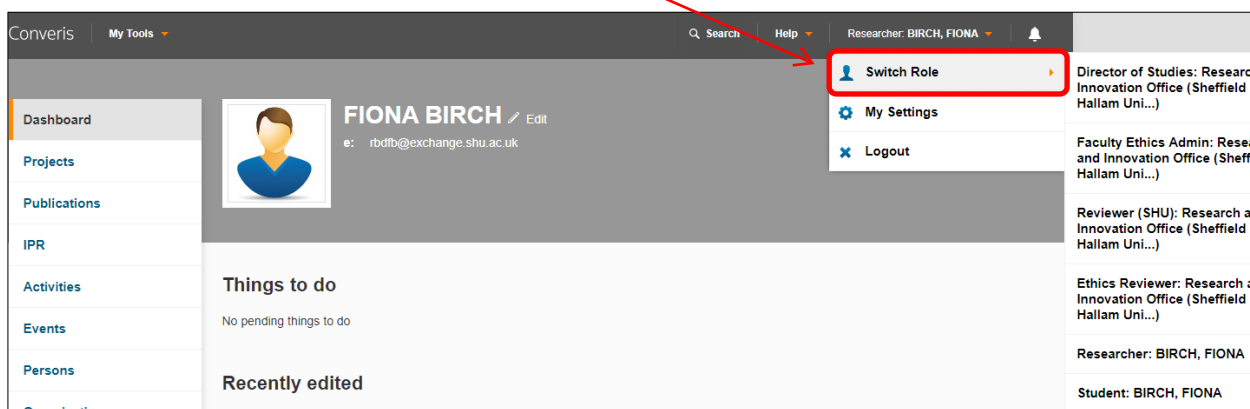
For staff research projects, you should select your **Researcher** role.

For doctoral research, select your **Student** role.

You will be returned to the Dashboard.

Creating a new Ethics Review application

From the Dashboard, click on:

1. **Add New**
2. **Projects**
3. **Ethics Review**
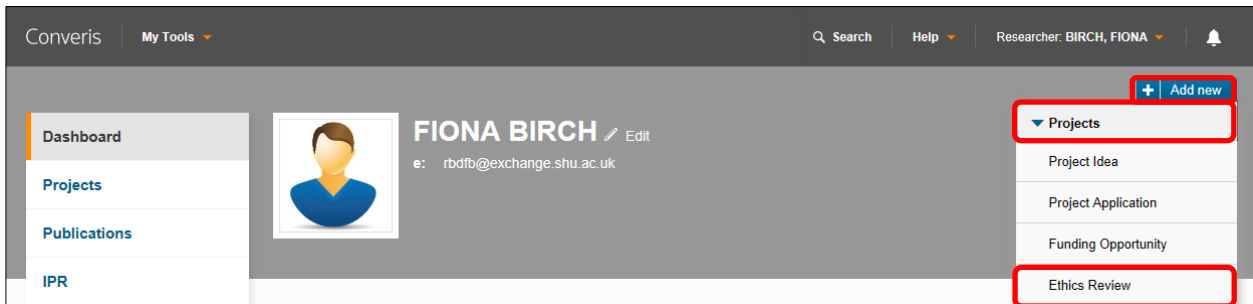
You will then be asked to select the **Ethics Review Type.**
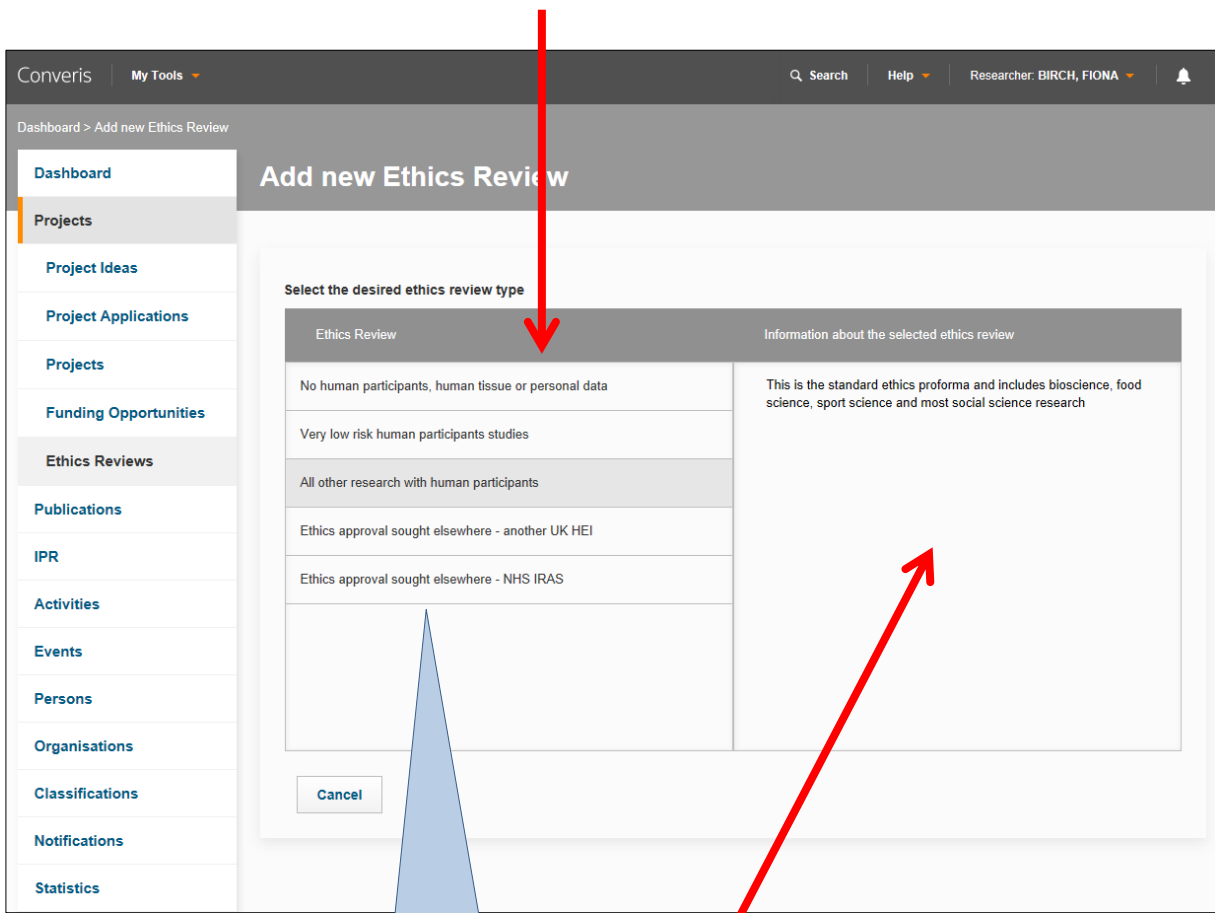
Hover with your mouse pointer over each of the pathway titles to see a description for each template in the right hand panel (descriptions also provided over the page)

There are five pathways (Ethics Review Types) to choose from. Each one reflects the level of risk associated with the research.

Filters are used to tailor the application based on the nature of the research project, so the more potentially high-risk the project, the more information will be required to inform the review.

Template	Description/to be used for
No human participants, human tissue or personal data	• Desk based reviews. • Analysis of anonymised data. • No interaction with human participants. • Typically only in areas such as humanities, engineering and physical sciences; although not all research in those areas has no participants.
Very low risk human participants studies	• Participants not vulnerable; • No foreseeable risk of physical or emotional harm; • No potential pain; • Not a sensitive topic; • All participants giving informed consent; • No covert observation; • No drugs, food substances or invasive procedures being administered.
All other research with human participants	This is the standard ethics proforma and includes: • Bioscience; • Food science; • Sport science • And most social science research.
IRAS – projects requiring NHS or HMPPS ethics	Project is being submitted to NHS or HMPPS (prisons and probation) ethics through IRAS
Approval given elsewhere - another UK HEI	In the case of collaborations reviewed under another UK university's approval process.

Select the appropriate **Ethics Review Type**.

A blank ethics review application will now be available for completion. The review consists of a number of tabs, which will vary depending on the template selected.

The first three tabs (i.e. Introduction, P1 - General Information and P2 - Project Outline) will always be visible at the top of the application. The fourth tab can be changed by clicking on the small arrow and selecting a new tab.
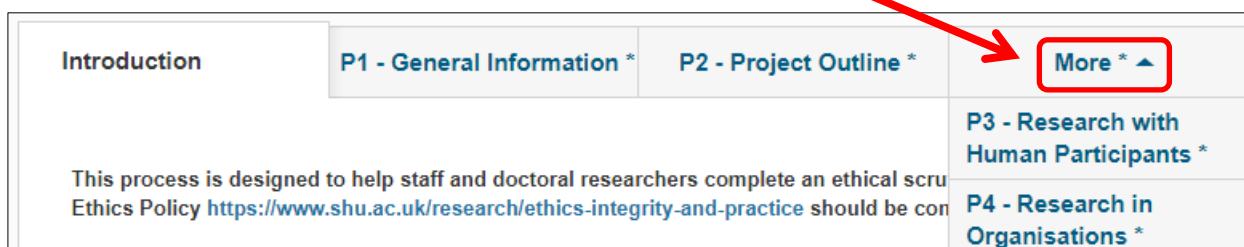
You can move backwards and forwards between tabs. However, the information entered into the fields *is not* automatically saved. It is therefore recommended that you click on the **Save** button at the bottom of the screen at regular intervals to avoid losing information.

The **Save and Close** button will close the record you are working on as well as saving the data that has been entered. You will have to confirm the status of the application when you click this button.

Adding information to a new Ethics Review application

Please consider the text on the **Introduction** tab before navigating to **P1 - General Information.**

Mandatory Fields *
Mandatory Fields have an * next to them; this means they must be completed before the status of the application can be changed from 'In Preparation'.

A **Principal Investigator (PI)** _must_ be added before progressing.
If you have saved the application before adding a PI, you will be presented with an error message and you will not be able to retrieve the application. However, a record will have been created, which may result in duplicate records and inaccurate reporting. If you think this may have happened please email converis@shu.ac.uk

To add your name to the application, click on .

There are two methods for searching for your name:
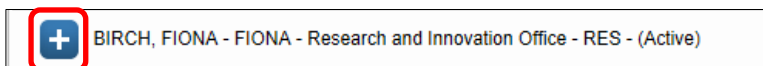a) Type your surname into the search box and click on the magnifying glass icon.
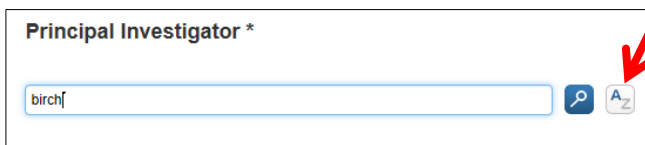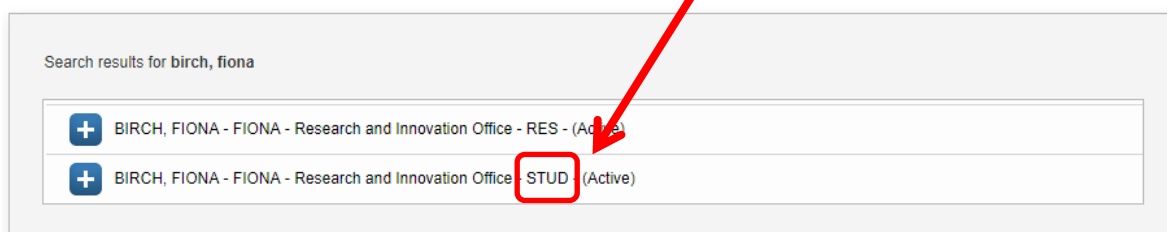
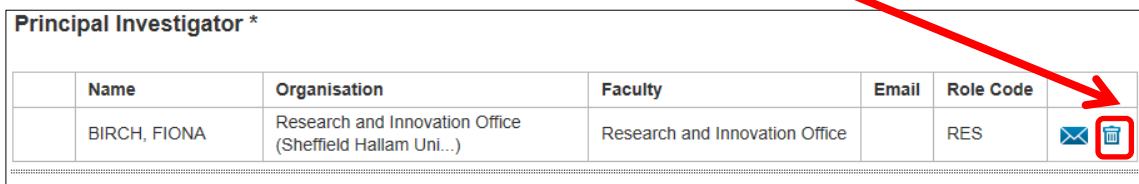b) Click on the AZ icon to search alphabetically.

Click on the blue plus icon next to your name to add your Converis business card to the application.

Note - If you are undertaking doctoral research, please ensure that you select your Student Card. Select the card with the role code **STUD** next to it.

Your business card will then be attached to the record. If an incorrect business card has been added, you can remove it by clicking on 🗑. Then reapply the correct card.
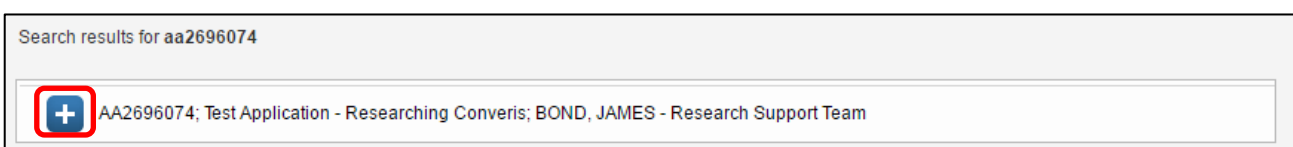

Adding a Converis Project Application (Pre Award Grant/Consultancy/CPD/KTP)

If your review is linked to a project application in Converis, you can use the **Converis Project Application** field to link the records.

Click on ➕. Enter the **Title** or **Project ID** of the application and click the magnifying glass icon.

Select the record by clicking on ➕.

To complete the P1 - General Information tab, answer questions **Q1** to **Q12.**

If the project is doctoral research you will need to add your **Director of Studies.** This can be done in the same way as adding a PI, see instructions on previous page(s).

If Doctoral research, please name your Director of Studies

Click on the blue plus icon below to add the Director of Studies. Another member of your supervisory team may be nominated to undertake this on behalf of your Director of Studies.

If the Director of Studies cannot be found in the system please email converis@shu.ac.uk

Where appropriate, add **Other Investigators**, the **Funder** and **Lead Partner**.

If the Funder or Partner is not in the system, you can add them by clicking on

Q8b. If the research is externally funded, who is the Funder?

Before adding a new organisation, please be certain that it does not already exist otherwise duplicate entries will be created resulting in inaccurate reporting.

Adding a New Organisation

New Organisation

Not Publicly Visible   Not Internally Visible   Active

Key Information *

Key Information *

Name *
Please use the following naming convention:
EPSRC - Engineering and Physical Sciences Research Council

English *

Acronym

URL
Enter the URL in the format http://www.organisation.org.

Country

Country:

Complete the following fields:

- **Name** - enter the legally registered name of the organisation.
- **Country** - select the country of location
- **Internal or external** - always select external
- **Type of organisation** - select the most appropriate option from the choice group. If you do not know the type of organisation, please select unknown.
- **Is selectable** - always select yes
- **Is Funder** - always select yes

When you have completed the fields, click **Done**.

The Set status box will open. Leave the status as **Active** and click **Done**.

You will then be returned to the Ethics Review template.

Uploading documents

To upload a document, click on 📁 .

Select your document and click **Open**.

Select the **Document Type** from the dropdown menu and provide a **Description** in the text box provided.

When you have answered all the questions on P1, click **Save** and click on the next tab.

The tabs you will see will depend on which pathway you have selected. The table below details each tab per pathway template.

Template	Tabs to be completed by Researcher
No human participants, human tissue or personal data	• P1 - General Information • P2 - Project Outline • P3 - Research with Human Participants • P4 - Research in Organisations • P5 - Research with Products and Artefacts • P8 - Attachments • P9 - Adherence to SHU Policy and Procedures
Very low risk human participants studies	• P1 - General Information • P2 - Project Outline • P3 - Research with Human Participants • P4 - Research in Organisations • P5 - Research with Products and Artefacts • P7 - Health and Safety Risk Assessment • P8 - Attachments • P9 - Adherence to SHU Policy and Procedures
All other research with human participants	• P1 - General Information • P2 - Project Outline • P3 - Research with Human Participants • P4 - Research in Organisations • P5 - Research with Products and Artefacts • P6 - Human Participants - Extended • P7 - Health and Safety Risk Assessment • P8 - Attachments • P9 - Adherence to SHU Policy and Procedures
IRAS - projects requiring NHS or HMPPS ethics	• P1 - General Information • P8 - Attachments • P9 - Adherence to SHU Policy and Procedures
Approval given elsewhere - another UK HEI	• P1 - General Information • P9 - Adherence to SHU Policy and Procedures

Complete the required tabs for your template up to P9.

Principal Investigator Sign-off

Click on the **P9 - Adherence to SHU Policy and Procedures** tab and complete the Principal Investigator Sign-off.
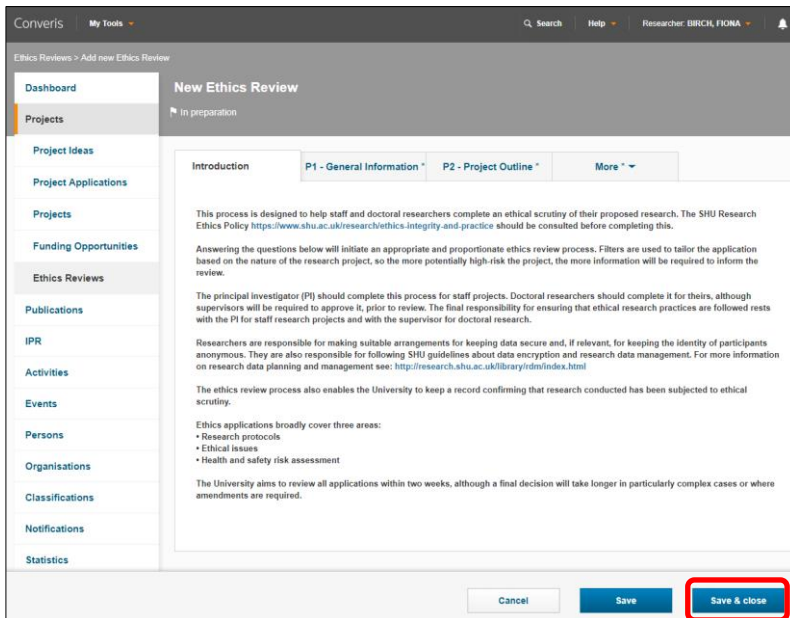
Moving your application on to the next stage
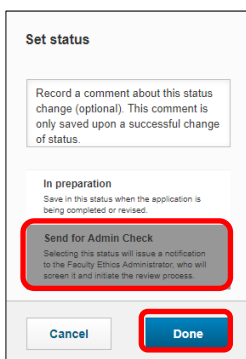
Staff research

For staff research projects, move the status of the application on to **Send for Admin Check**.

Click on the **Save & Close** button at the bottom right of the Converis screen.

Then choose **Send for Admin Check** from the set status box and click **Done.** This will issue a notification to the Faculty Ethics Administrator, who will screen it and initiate the review process.

Doctoral research

For doctoral research, your Director of Studies will need to approve your application before it can be sent for admin check.

Click on the **Save & Close** button at the bottom right of the Converis screen.
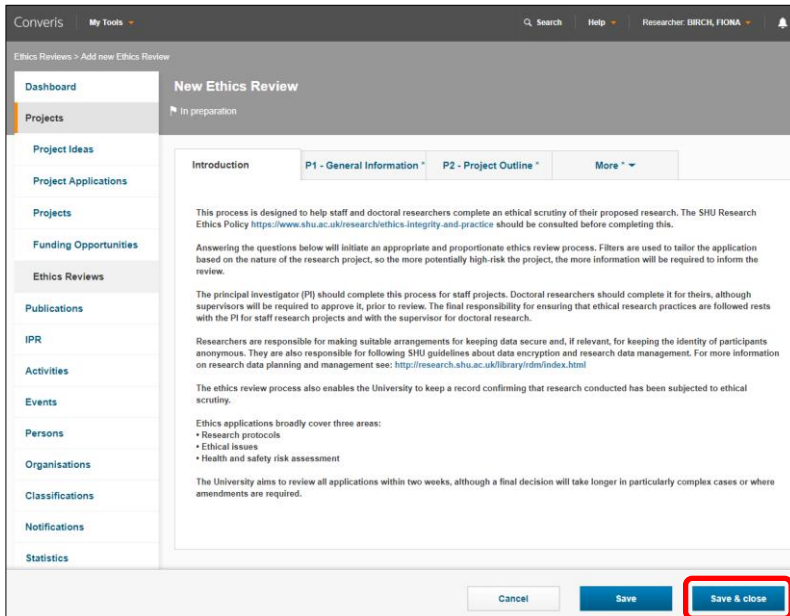
Choose **Send for Director of Studies Approval** from the set status box and click **Done.** This will issue a notification to your Director of Studies.
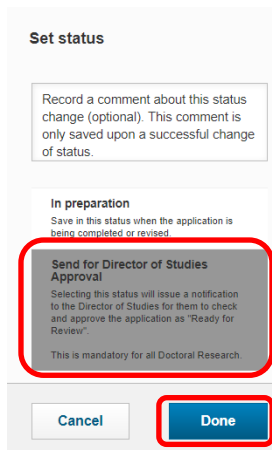
Your Director of Studies will be asked to review and sign-off your application. They will then change the status to **Send for Admin Check.**

What happens next?

Applications that do not require ethics review
Pathways:
- No human participants, human tissue or personal data;
- Very low risk human participants;
- Approval given elsewhere - another UK HEI

Your application will be checked by the Faculty Ethics Administrator to:

- ensure the correct template has been selected and fully completed, for the level of risk of the research
- that if you have answered yes to certain questions around insurance implications or health and safety for example, the relevant notification emails are sent to Insurance, Data Management, Health and Safety and IT Help (for secure storage).

If the correct template has been selected and completed, your application will be recorded as Approved and you will receive email notification to this effect.

Applications that require ethics review
Pathways
- All other research with human participants
- IRAS - projects requiring NHS or HMPPS ethics

Your application will be checked by the Faculty Ethics Administrator to:

- assign reviewers
- ensure the correct template has been selected and fully completed, for the level of risk of the research
- that if the researcher has answered yes to certain questions around insurance implications or health and safety for example, the relevant notification emails are sent to Insurance, Data Management, Health and Safety and IT Help (for secure storage).

Three Reviewers will be assigned to the review. One of the Reviewers will be assigned as Lead, and it will be their responsibility to collate all comments and make a final decision.

Where there has been a difference of opinion between the three Reviewers that cannot be resolved, the Lead Reviewer may ask the Faculty Research Ethics Chair (FREC) to arbitrate.

How you will be notified of the decision

When a decision has been made, you will receive an email to notify you of the outcome. There are four possible decisions that Reviewers can make:

1. Application Approved
2. Application Approved with Advisory Comments
3. Application Referred back for Resubmission
4. Application Not Approved

In cases 2, 3 and 4, you will also be provided with the collated comments of the Reviewers.

If your Ethics Review application has been referred back for resubmission your project will be returned to the In Preparation status in Converis. You should then amend your application based on the collated comments of the Reviewers. Doctoral Students are encouraged to seek the advice of their Director of Studies before resubmitting the application.

In cases where the application is not approved, you have the right to appeal to the University Research Ethics Committee (UREC) by contacting the Head of Research Ethics, Ann Macaskill (a.macaskill@shu.ac.uk)

Once ethics approval has been granted, you are expected to deliver the project in accordance with the University's research ethics and integrity policies and procedures: https://www.shu.ac.uk/research/ethics-integrity-and-practice.

As the Principal Investigator you are responsible for monitoring the project on an ongoing basis and ensuring that the approved documentation is used. The project may be audited by the University during or after its lifetime.

If amendments to your study are required after approval has been granted, these should be recorded and approved in Converis.

Post Approval Amendments

If amendments to your study are required after approval has been granted, these should be recorded on the tab called "P12 - Post Approval Amendments".

The following fields should be completed by the Researcher:
- Title of Amendment
- Details of Amendment
- Date of Amendment
- Upload of file (if required)

Once the required fields have been completed, you should email your Faculty Ethics Admin who will instigate the review process for the amendment.

The decision to approve the amendment is made by a Lead Reviewer. The outcome and date should be recorded by the Faculty Ethics Admin.

N.B. Once you have received research ethics approval you can begin your study. Collecting data without ethical approval or ethical scrutiny constitutes research misconduct under the University policy.

Accessing Help and Support

Converis Technical Help	converis@shu.ac.uk
ACES - MERI PG Administrator	aces-meripgradministrator-mb@hallam.shu.ac.uk
ACES - C3RI PG Administrator	aces-pgradmin-mb@hallam.shu.ac.uk
FDS PG Administrator	ds-FDSResearch-pf@exchange.shu.ac.uk
HWB Doctoral Admin	HWB-DoctoralAdmin-mb@exchange.shu.ac.uk
SBS Doctoral Admin	sbs-doctorates-mb@exchange.shu.ac.uk
ACES Faculty Research Ethics Chair	acesfrec@shu.ac.uk
FDS Faculty Research Ethics Chair	ds-ResearchEthics-mb@exchange.shu.ac.uk
HWB Faculty Research Ethics Chair	hwbethics@shu.ac.uk
SBS Faculty Research Ethics Chair	sbs-ethics-mb@exchange.shu.ac.uk