Applicant guidance

(including information for academic supervisors, module leaders and research team members supporting the application)

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LOGGING INTO THE RESEARCH ETHICS ONLINE SYSTEM, PHOENIX

To log into Phoenix Research Ethics Application System, please go to the link Phoenix or https://researchethics.leeds.ac.uk/

For further information regarding research ethics, please go to Secretariat Research Ethics webpages: https://secretariat.leeds.ac.uk/home/research-ethics/

IT suggest you use the latest version of the following browsers:

- Chrome
- Edge
- Firefox
- Safari (for Apple Mac users)

If you experience problems, try clearing your cache or change browsers. You can also try going 'incognito', this will save you clearing your cache. If this does not resolve the issue or for other queries, please let us know by emailing the appropriate Faculty Research Ethics Committee (FREC) addresses listed below:

Business, Environment, Social Sciences - BESSResearchEthics@leeds.ac.uk

Arts, Humanities and Cultures - AHCResearchEthics@leeds.ac.uk

Engineering & Physical Sciences - EPSResearchEthics@leeds.ac.uk

BEFORE STARTING YOUR APPLICATION – ADDING OTHERS

For PGRs, supervised post-doctoral researcher, or anyone completing an application for a research team, you will need to add your supervisor or other research team members to your application.

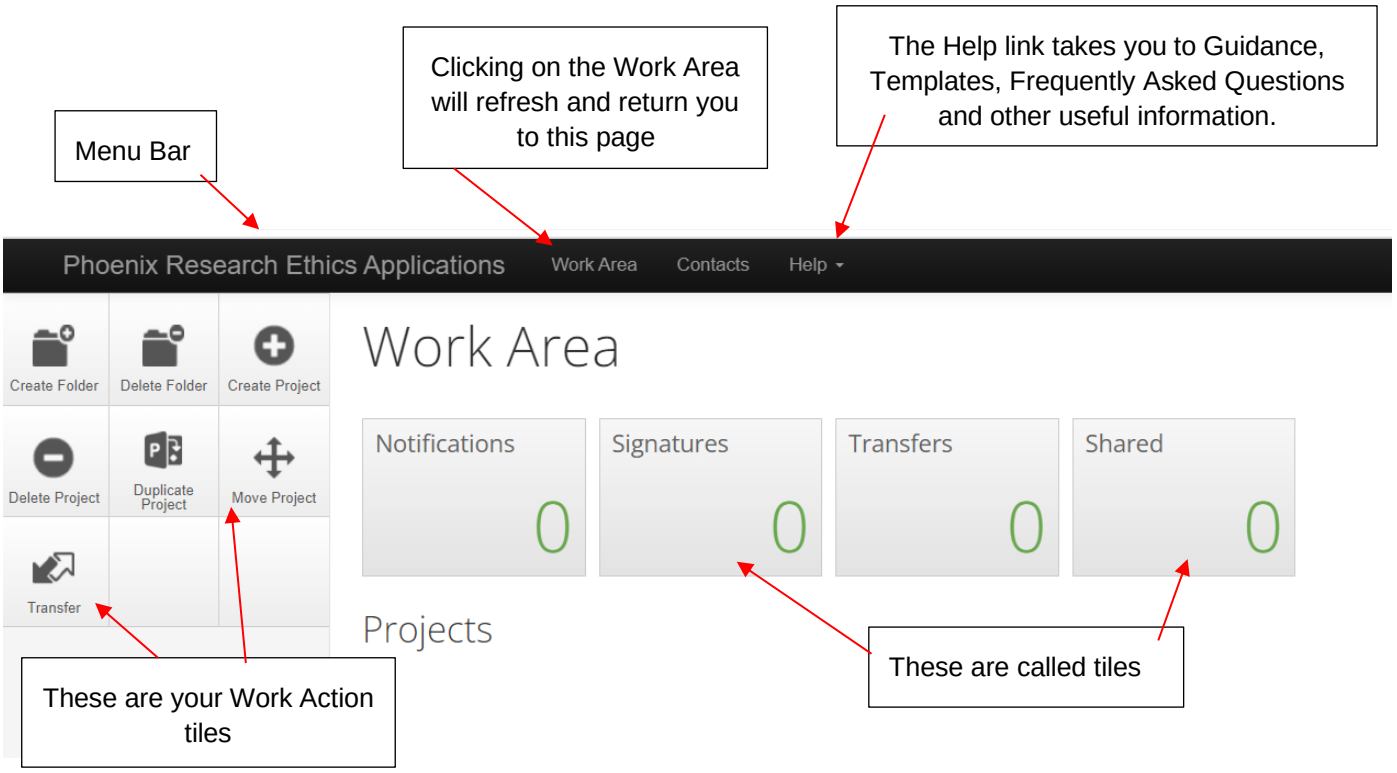
To add others to your application form, they must already have logged into Phoenix. This will allow you to find them when you are filling out the form.

Further details on logging into Phoenix are available from the Research Ethics webpages.

PLEASE NOTE: THIS APPLICANT GUIDANCE WILL BE REGULARLY UPDATED. **It is your responsibility to ensure you are using the most up-to-date version.**

THE WORK AREA – HOME PAGE

Logging into Phoenix will always bring you to this Work Area or Home Page.



Your Work Area provides you with a complete overview of your research ethics applications, present and past.

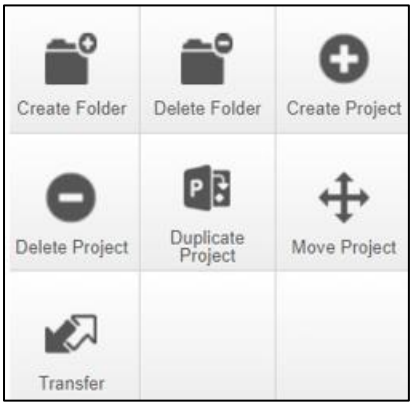
Notifications – you will receive these throughout the application process. For example, you will be notified your application has been submitted successfully, or your academic supervisor has responded to your request for their signature.

Signatures – (for Academic Supervisors/Module Leaders **ONLY**) if a colleague or a supervisee requests a signature from you, it will land here.

Transfers – (Academic Supervisors/Module leaders usually) you can transfer your application to a colleague or have an application transferred to you, who will then become the owner of the application. Please note, the original owner of the form will lose all control if this action is taken.

Shared – this tile indicates the number of forms that have been shared with you. It will allow you to view the form or to reject the access provided.

WORK ACTION TILES



Create Folder - This is used to create a bespoke folder in which you can store projects. This can be especially useful if you have many projects in your account.

Delete Folder - To delete a folder, select the appropriate folder, and click on **Delete**. If the folder contains projects a warning will advise that the folder cannot be deleted.

Create Project - This is used to create a new project. Enter the project title, select the 'Ethics Application' form, and click on **Create**. This will create a new project and the initial form within the project simultaneously. This project will then appear in the project list on the Work Area.

Delete Project - This is only possible if the main form has not been submitted, shared, signed, or has outstanding signature requests on it. If there are any sub-forms in the project the same restrictions apply.

Duplicate Project - This is used to duplicate an existing project within your account. The existing project can be duplicated regardless of whether the project has been submitted or not. It is possible to duplicate sub-forms from the original project at the same time.

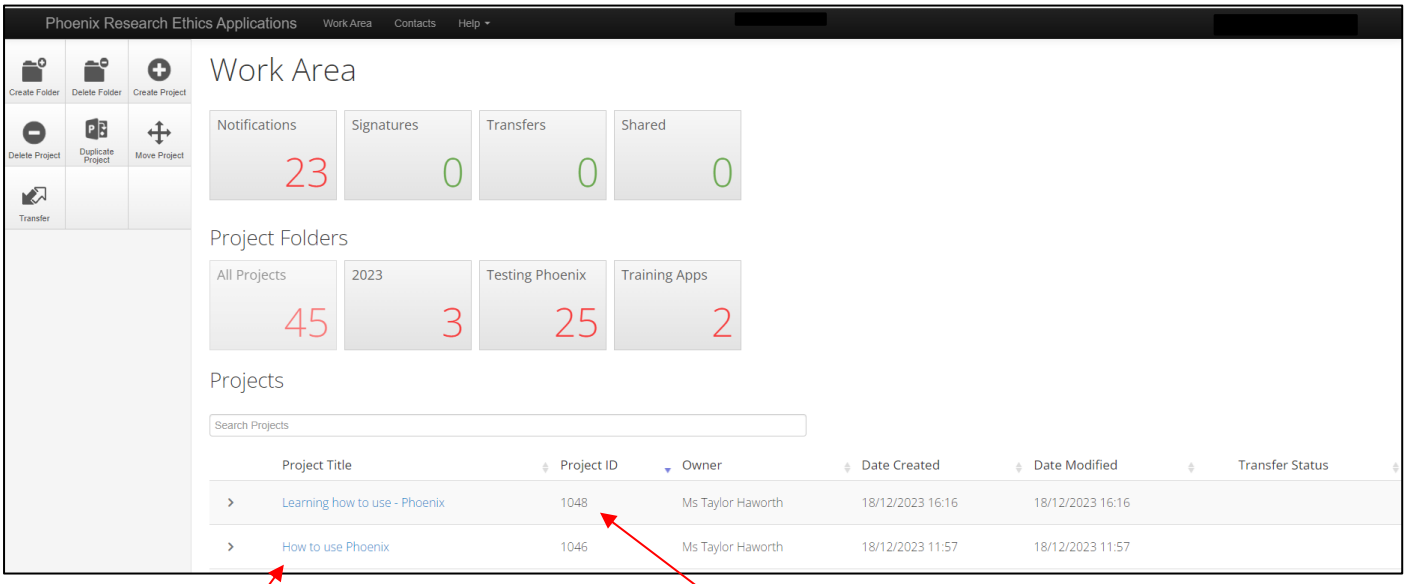
Move Project - This is used to move a project to a different folder.

Transfer - This is used if you need to transfer a project that you own to another Phoenix account. It is not used to transfer a specific form to another applicant, nor to share a form with another applicant. It removes the project from your account, so you no longer have access to it (unless the new owner makes you a collaborator).

This might be used when the person who submitted the form intends to leave or will no longer be connected with the project and therefore needs to transfer the project responsibilities to another collaborator in the research team.

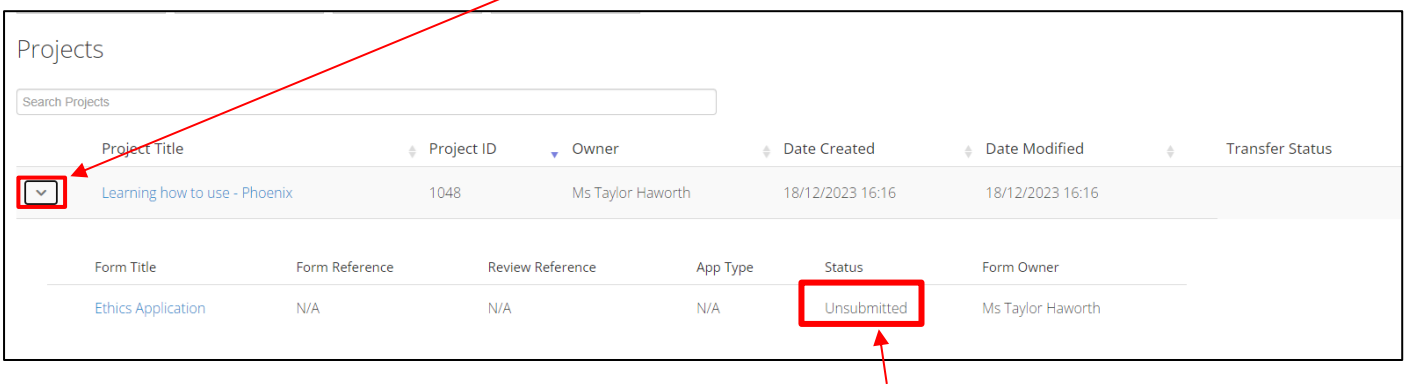
Ownership of the project is transferred including all sub-forms. The new owner can access the project from their Work Area and assign other research members access to the project.

HOME PAGE – YOUR PROJECTS



The list of projects will include details of the project title, the project i.d., the owner of the project, the date created, the date most recently modified and any relevant transfer status.

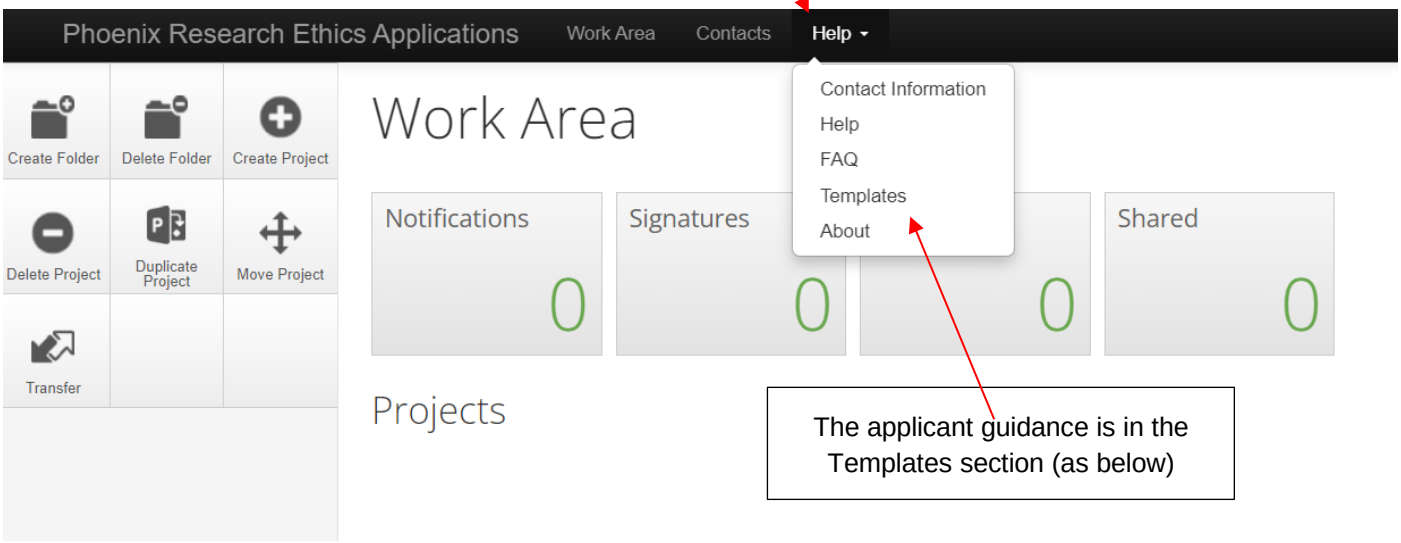
To see details of any form within a project, including sub-forms, click on the arrow beside the project title. This will show the form title, the review reference, the application type, the review status, and the owner of each form.

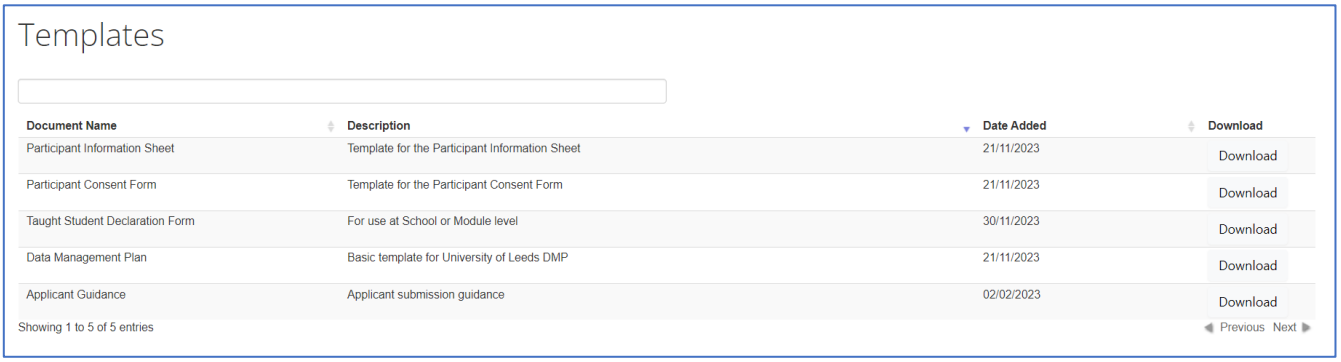


This will always tell you the status of the application

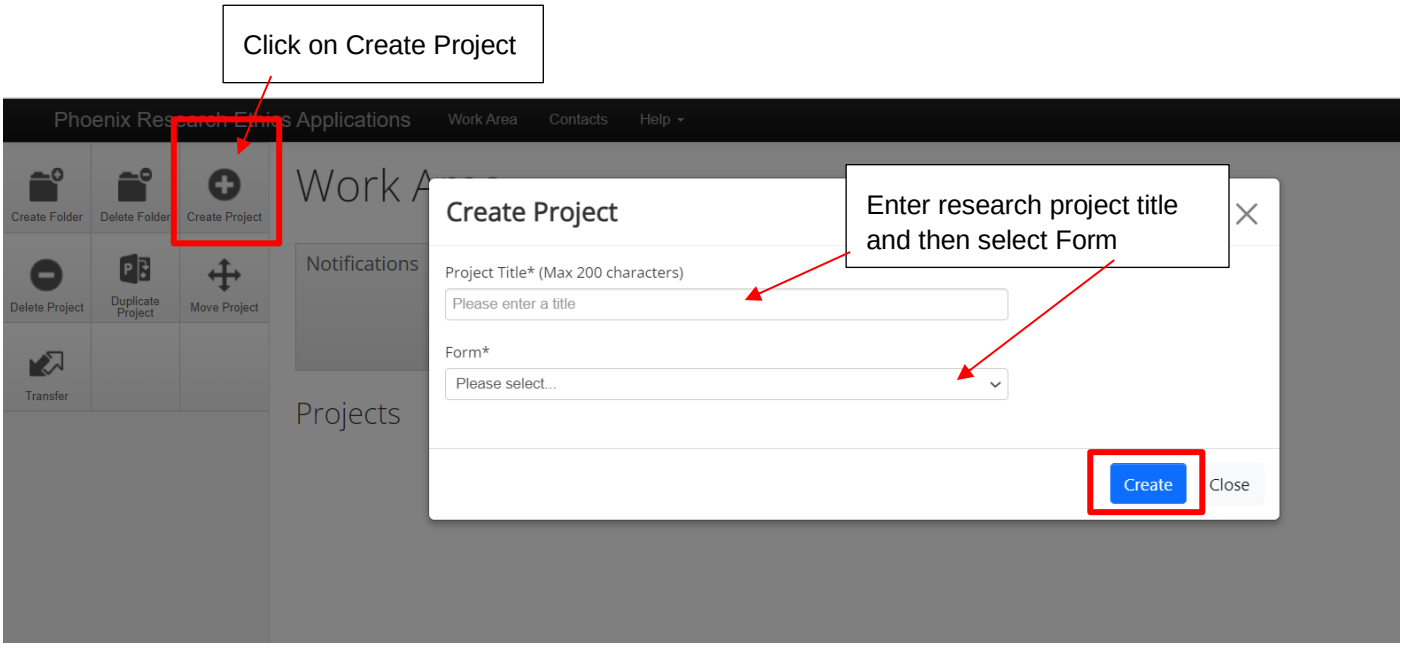
TEMPLATES – APPLICANT GUIDANCE - FAQ

To locate templates (for participant information sheets, consent forms and basic data management plan), this applicant guidance and other information, select the **Help** tab.

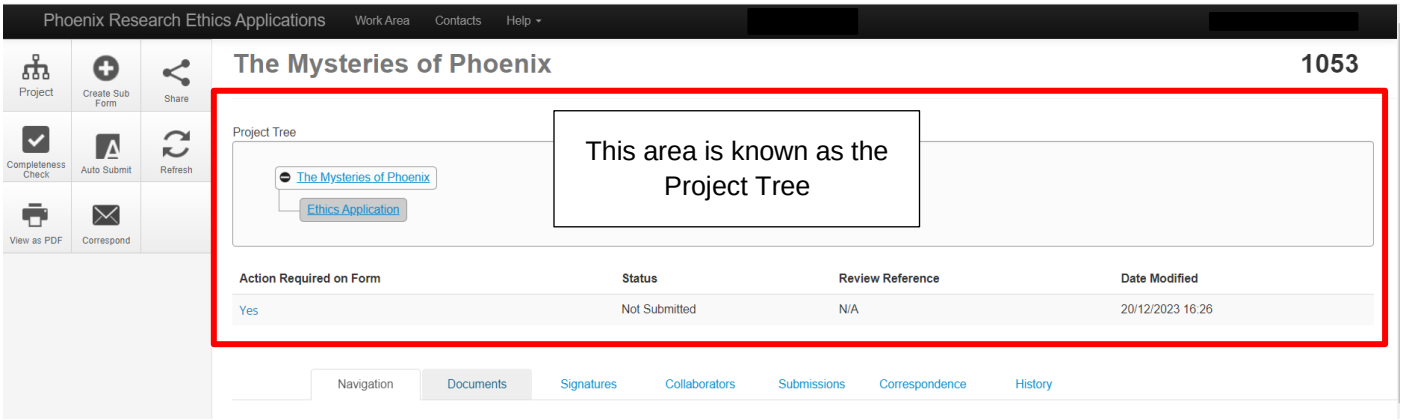


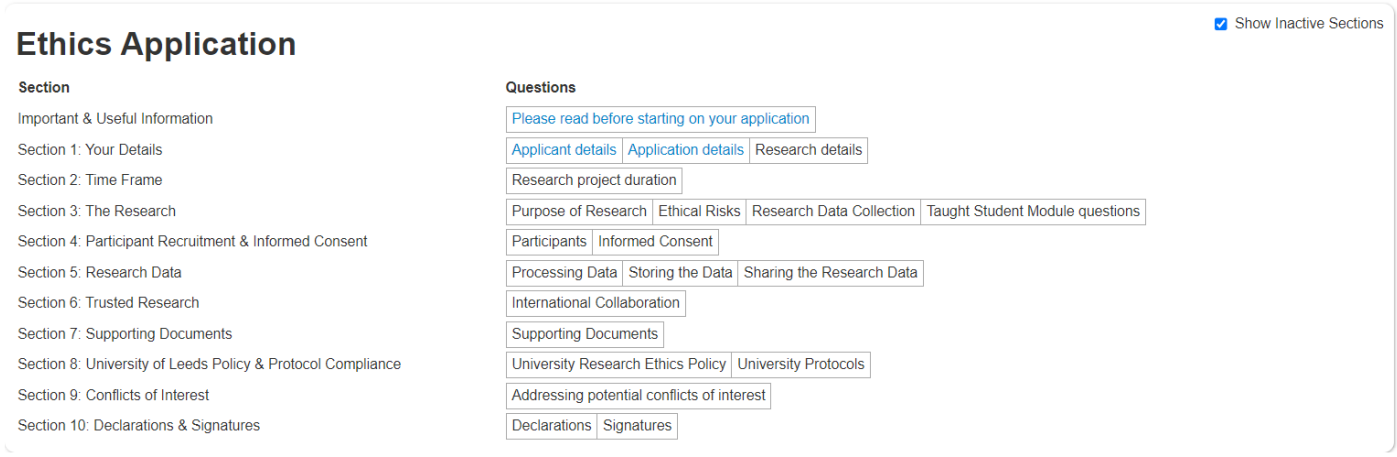


CREATE AN APPLICATION



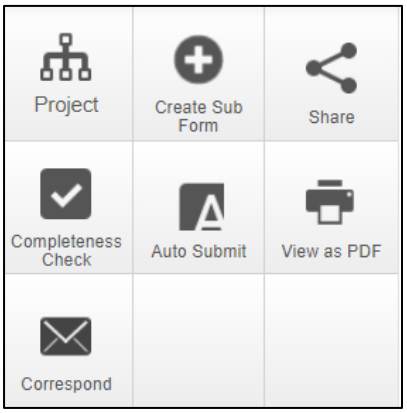
This is the front page of your application.





INSIDE THE APPLICATION FORM – FRONT PAGE ACTION TILES

Front Page ACTION TILES



Project – this gives you an overview of the project.

Create Sub Form – once you have received approval, you may want to make a change to your project, selecting this tile will allow you to create an amendment.

Share – select to share the application with collaborators.

Completeness Check – select this when you want to see if you have missed answering any of the questions.

Auto Submit – if you have shared your application with a collaborator and given them permission to submit this application for review, they can only submit by selecting this tile.

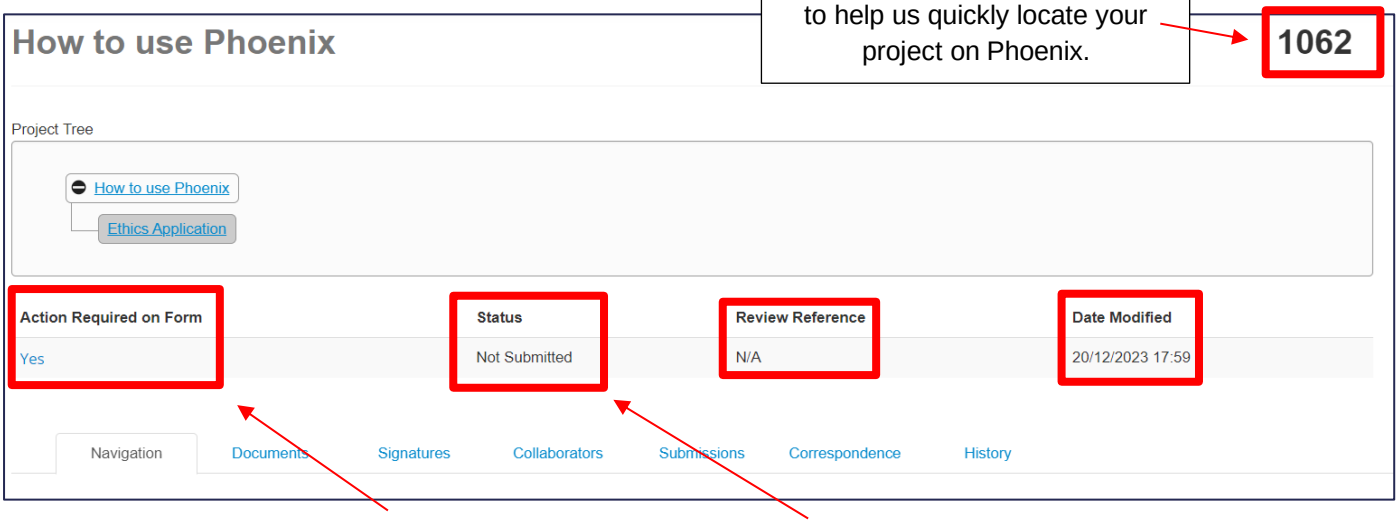
View as PDF – to view or download the entire form, including supporting documents.

Correspond – this only allows you to correspond with the Research Ethics Team.

INSIDE THE APPLICATION FORM – APPLICATION STATUS

This part of the application is **very important** – it will tell you the current status and whether or not you have been asked to respond to Reviewer Comments. This also includes any conditions which you must comply with as part of any approval issued.

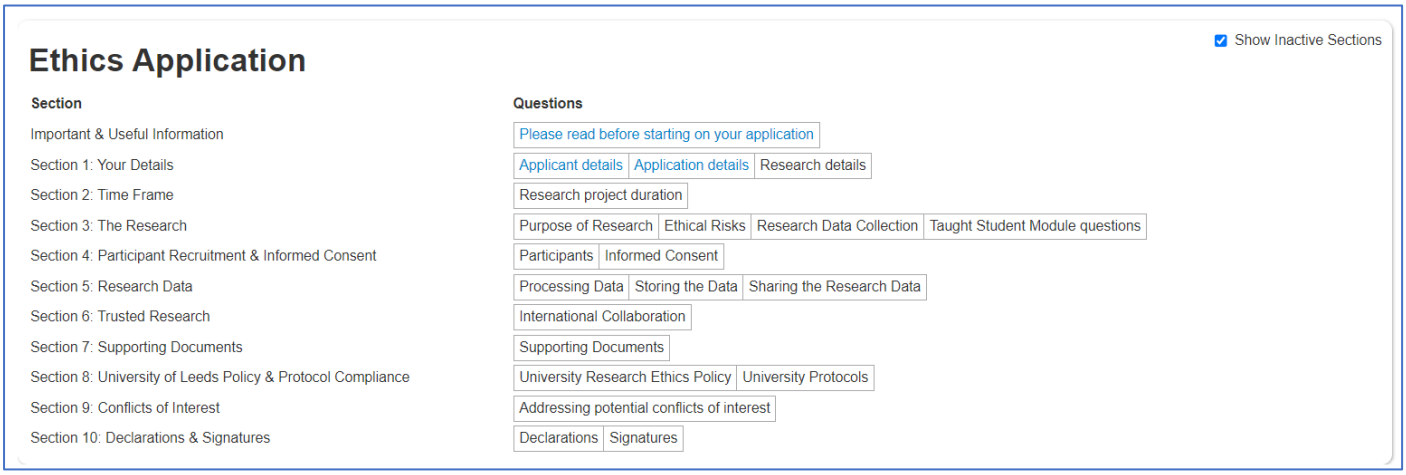
Project ID number – you MUST quote this in all correspondence to help us quickly locate your project on Phoenix.



These areas will change as the application goes through the approval process.

INSIDE THE APPLICATION FORM - SECTIONS

Eleven sections (including the introduction) make up the research ethics application form.



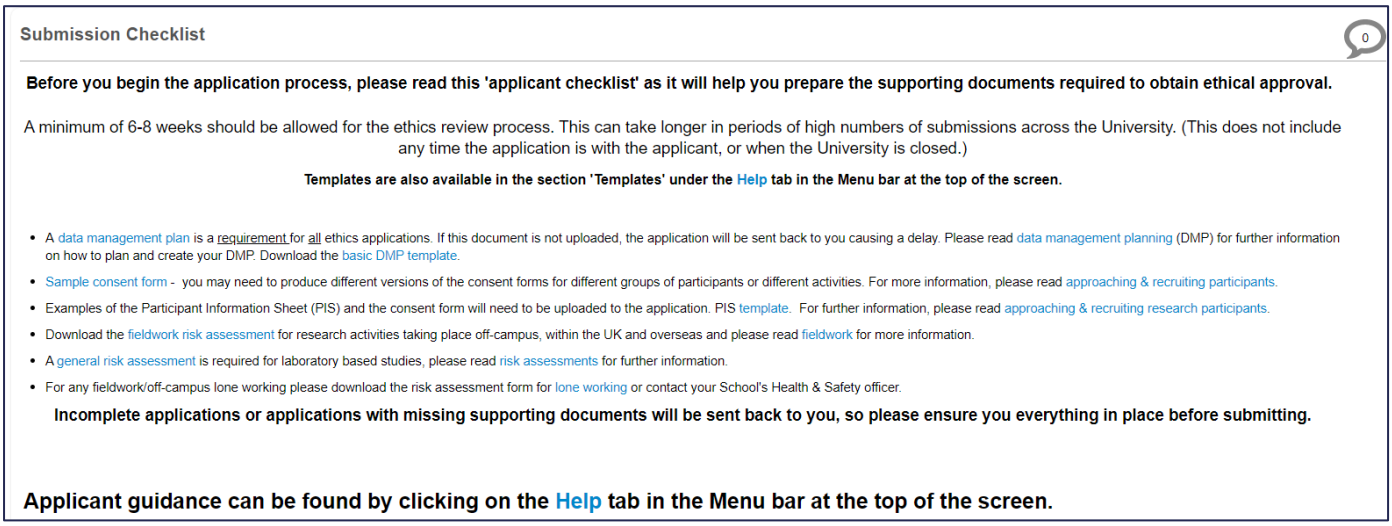
Show Inactive Sections

Ethics Application

Section	Questions
Important & Useful Information	Please read before starting on your application
Section 1: Your Details	Applicant details | Application details | Research details
Section 2: Time Frame	Research project duration
Section 3: The Research	Purpose of Research | Ethical Risks | Research Data Collection | Taught Student Module questions
Section 4: Participant Recruitment & Informed Consent	Participants | Informed Consent
Section 5: Research Data	Processing Data | Storing the Data | Sharing the Research Data
Section 6: Trusted Research	International Collaboration
Section 7: Supporting Documents	Supporting Documents
Section 8: University of Leeds Policy & Protocol Compliance	University Research Ethics Policy | University Protocols
Section 9: Conflicts of Interest	Addressing potential conflicts of interest
Section 10: Declarations & Signatures	Declarations | Signatures

If this is your first research ethics application, it is important to be aware of the supporting documents you will need to upload to Phoenix before you can submit for ethical review.

The first page will help you locate the information and templates.



Submission Checklist

Before you begin the application process, please read this 'applicant checklist' as it will help you prepare the supporting documents required to obtain ethical approval.

A minimum of 6-8 weeks should be allowed for the ethics review process. This can take longer in periods of high numbers of submissions across the University. (This does not include any time the application is with the applicant, or when the University is closed.)

Templates are also available in the section 'Templates' under the Help tab in the Menu bar at the top of the screen.

- A data management plan is a requirement for all ethics applications. If this document is not uploaded, the application will be sent back to you causing a delay. Please read data management planning (DMP) for further information on how to plan and create your DMP. Download the basic DMP template.
- Sample consent form - you may need to produce different versions of the consent forms for different groups of participants or different activities. For more information, please read approaching & recruiting participants.
- Examples of the Participant Information Sheet (PIS) and the consent form will need to be uploaded to the application. PIS template. For further information, please read approaching & recruiting research participants.
- Download the fieldwork risk assessment for research activities taking place off-campus, within the UK and overseas and please read fieldwork for more information.
- A general risk assessment is required for laboratory based studies, please read risk assessments for further information.
- For any fieldwork/off-campus lone working please download the risk assessment form for lone working or contact your School's Health & Safety officer.

Incomplete applications or applications with missing supporting documents will be sent back to you, so please ensure you everything in place before submitting.

Applicant guidance can be found by clicking on the Help tab in the Menu bar at the top of the screen.

INSIDE THE APPLICATION FORM – HOW THE QUESTIONS WORK

Each section and question are numbered.

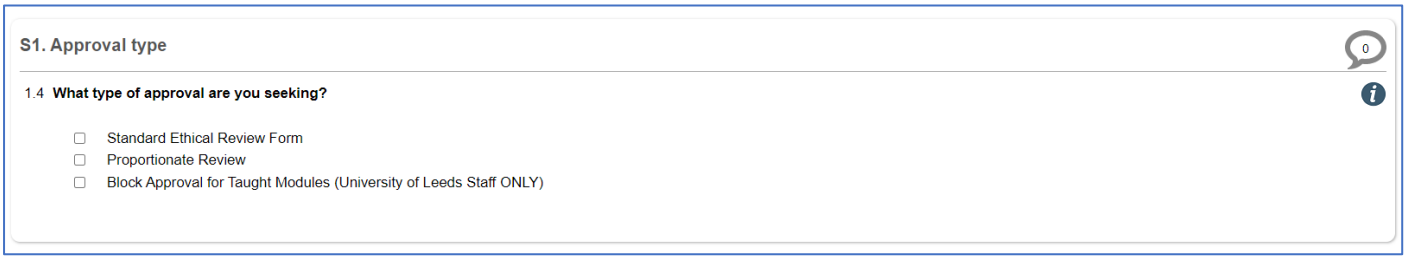
Every question has a speech bubble.

If you are in Section 1, all the questions will have a S1 above them – this is to help you gauge where you are up to within the application.

Each question has its own number. If you are in Section 1, the questions will begin with a 1. If you are in Section 2, the questions will all begin with a 2 and so on.

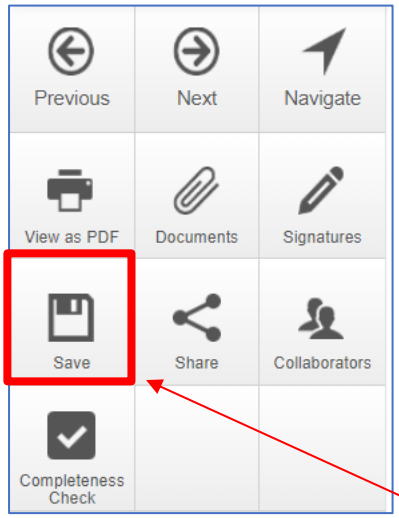
The speech bubble will have a number in it if either a Reviewer or your Academic Supervisor/Research Team Member has made a comment. You can click on it to see the comment.

Once you have filled in your details and selected your faculty, department, or school, you will be given three options.



If you do not choose one of these options, you won't be allowed to proceed further.

INSIDE THE APPLICATION – NAVIGATING THROUGH THE FORM



Previous & Next – these buttons allow you to move between pages in the form. This can also be done using the Previous Page and Next Page buttons at the bottom of the page.

Navigate – this tab returns you to the project front page.

Documents – this displays documents that have been uploaded into the current submission of the selected form. The details displayed indicate the document type, document name, file name, version date and number.

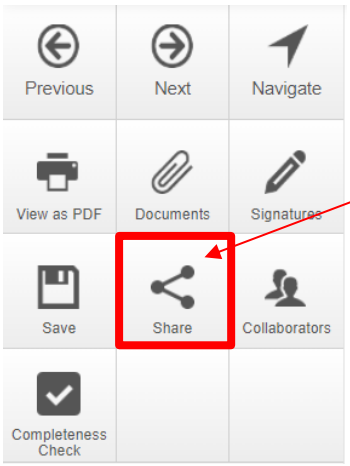
Signatures –this displays a chronological list of signature requests for the project. The details displayed include projects signed by the academic supervisor, signature requests, and if requests have been validated or require further action (displayed as 'invalid').

Save – select this to regularly save your work on the form.

VERY IMPORTANT: If you leave your application form unattended for 30 minutes, the system is unable to save the work most recently done on the form. When leaving your application for any length of time, press the SAVE button.

Any lost work cannot be retrieved.

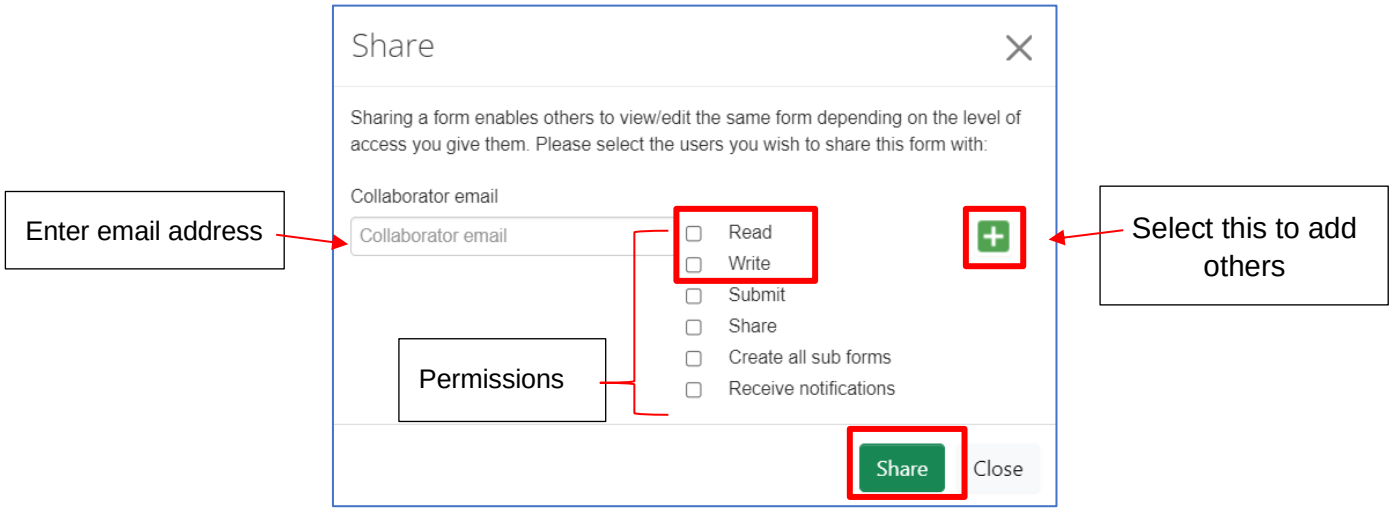
INSIDE THE APPLICATION – SHARING YOUR APPLICATION



You can Share your application with fellow research team members, your academic supervisor, and other collaborators.

The recipient must have an active account in Phoenix (Adding collaborators to Contacts will be covered in the next section.)

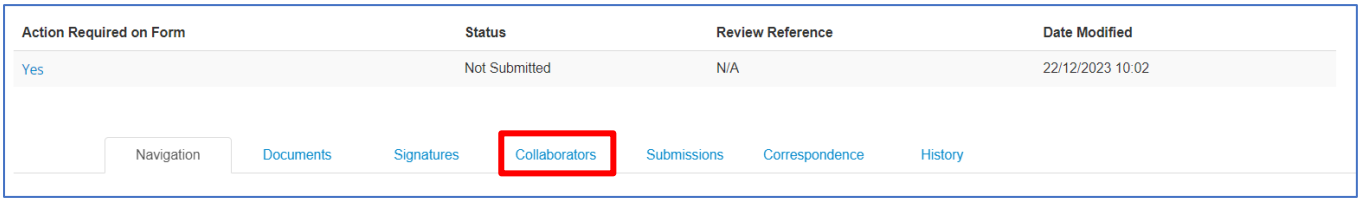
The system will only allow those with a University of Leeds email address to access the system.



IMPORTANT INFORMATION for PGRs, PGTs and UGs – only give the highlighted section ('Read' and 'Write') to your academic supervisor. If you tick all the permissions, they will be unable to sign your application form.

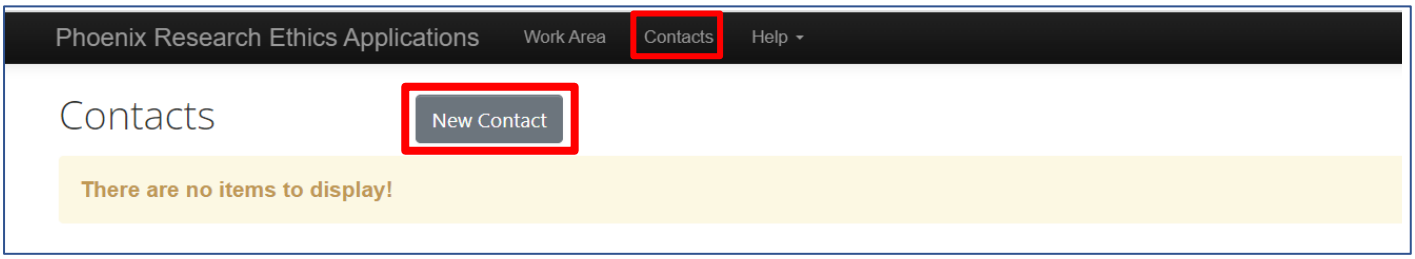
Once someone has had this form shared with them, they will receive a notification email advising them of this and they will appear under the Collaborator tab. In this tab their email address is visible to all other form collaborators when their name is clicked.

To check which permissions were given to your collaborator, select the relevant form in the Project Tree (Home page) and click on the Collaborators tab. If the Edit Permissions button is not greyed out this indicates that the form owner assigned permissions using the **Share** action. If it is greyed out this indicates that the form owner assigned permissions using the **Collaborator** button.

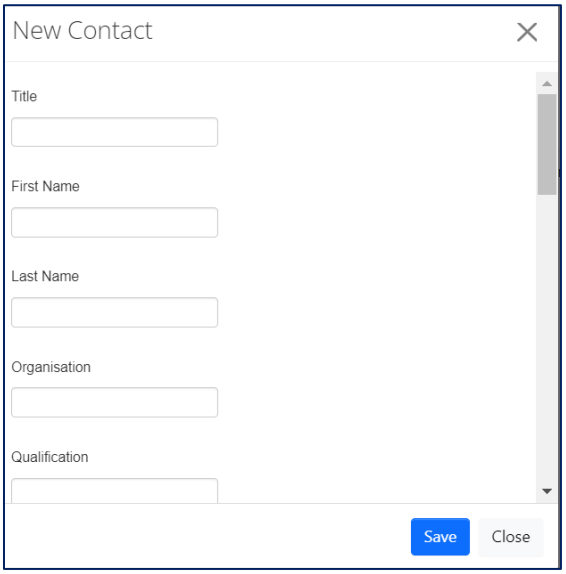


INSIDE THE APPLICATION – ADDING COLLABORATOR CONTACTS

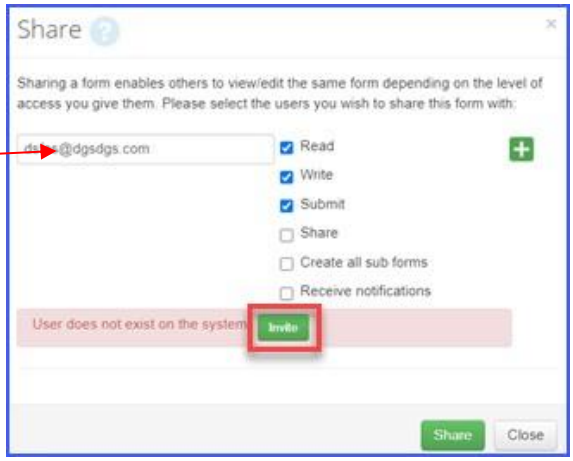
You can only add a collaborator with a University of Leeds email address (i.e., one ending with '@leeds.ac.uk').



Add your collaborator's details.

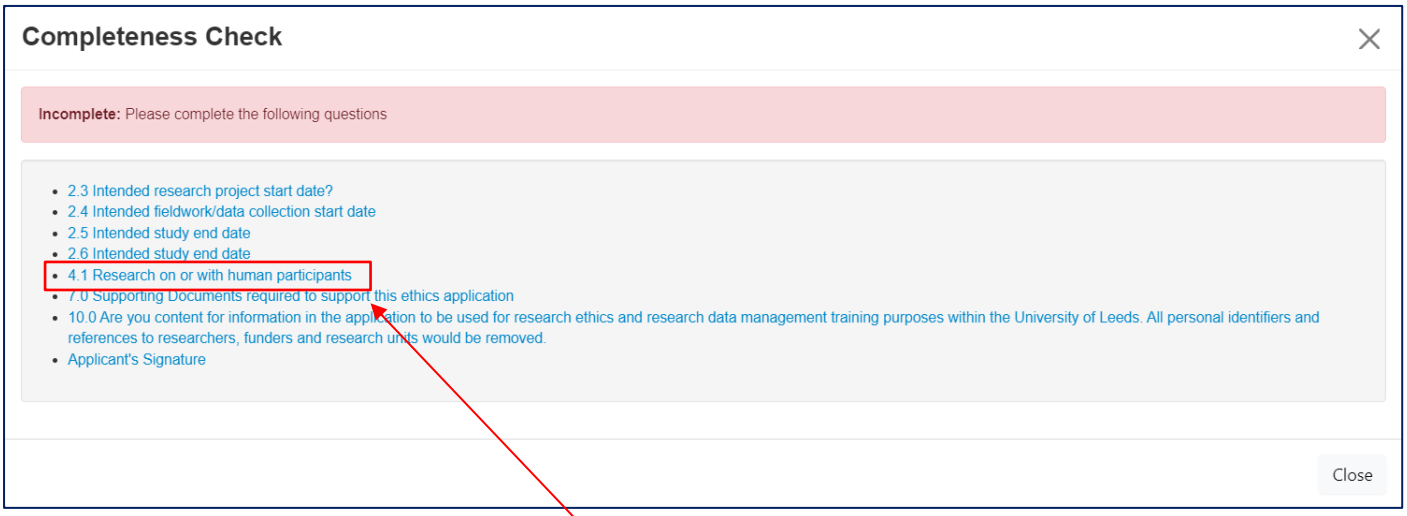


Must be a University of Leeds email address

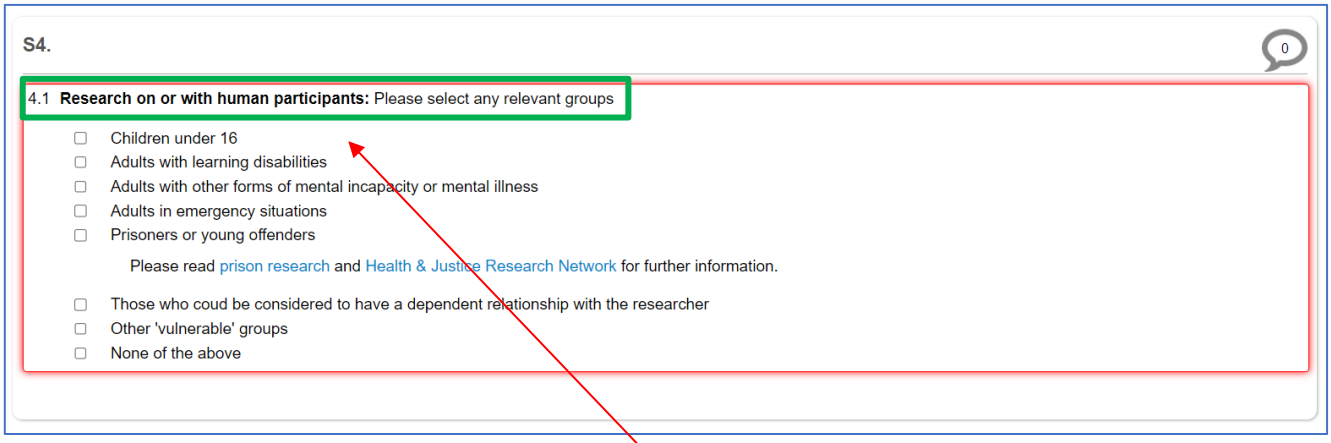


INSIDE THE APPLICATION – COMPLETENESS CHECK

The Completeness Check will show you what questions still require attention.

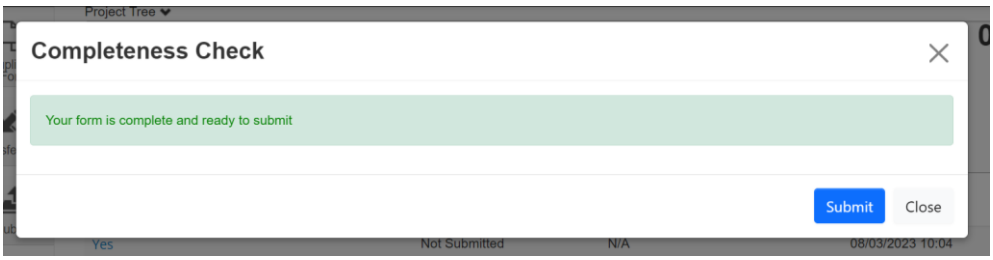


Click on any of the questions to go to the specific area.



The red box around the question indicates this question has not been answered. Select the appropriate response.

To continue to check your application this way, reselect the Completeness Check and repeat.

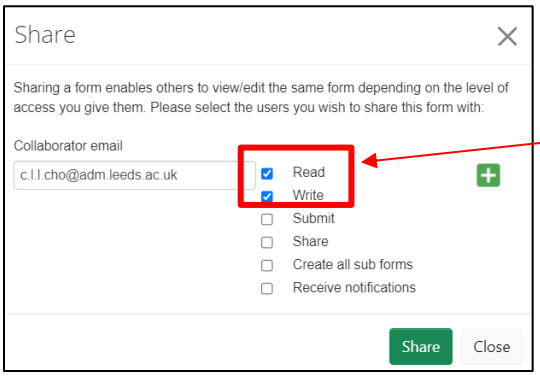


Once the application is submitted, you can no longer make changes or alter it in anyway.

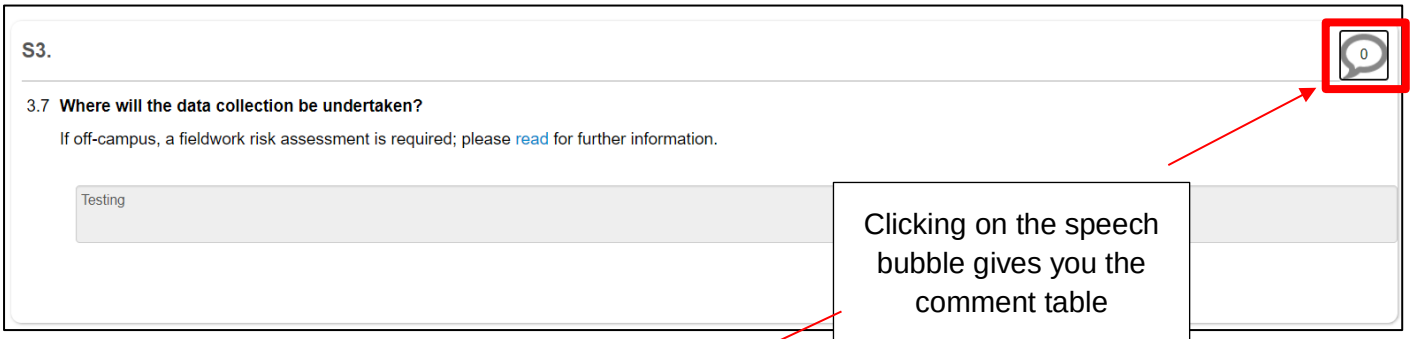
It is locked for review.

INSIDE THE APPLICATION – SUPERVISOR/COLLABORATOR COMMENTS

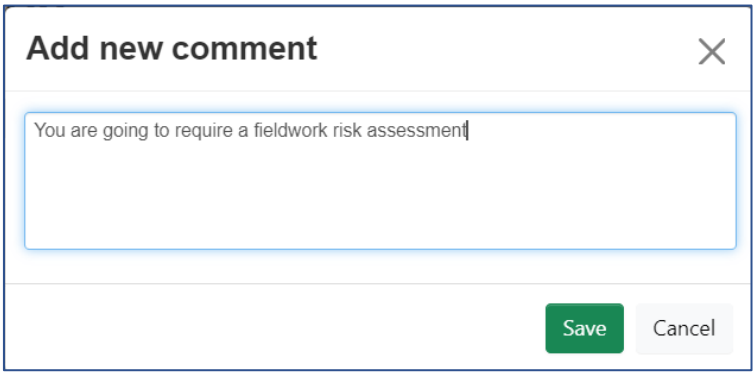
If you have 'Shared' your application with either your supervisor or members of the research team, they will be able to make comments on any question within the application.



Please note, it is important to only give your academic supervisor these permissions as the system is unable to differentiate between supervisors and collaborators when all these boxes are selected.

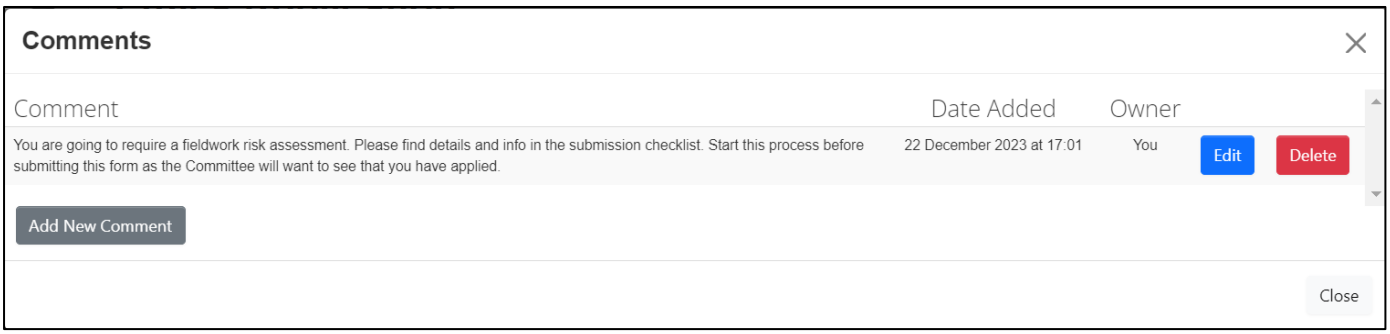


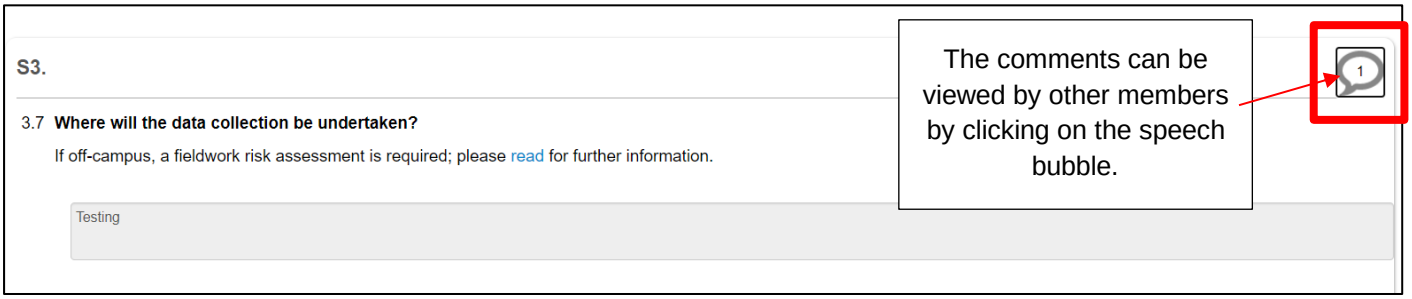
Clicking on the speech bubble gives you the comment table



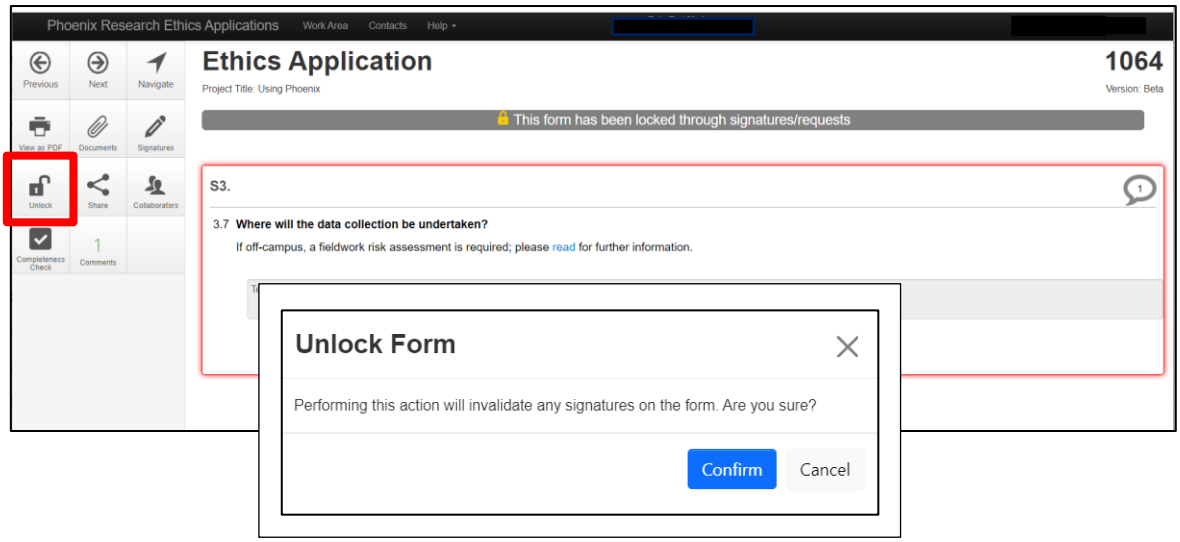
INSIDE THE APPLICATION – SUPERVISOR/COLLABORATOR COMMENTS – CONTINUED

All members of the research team can have their say on a question before a final decision is made.





All comments made here are only viewable by the applicant and research team member/academic supervisors/collaborators.



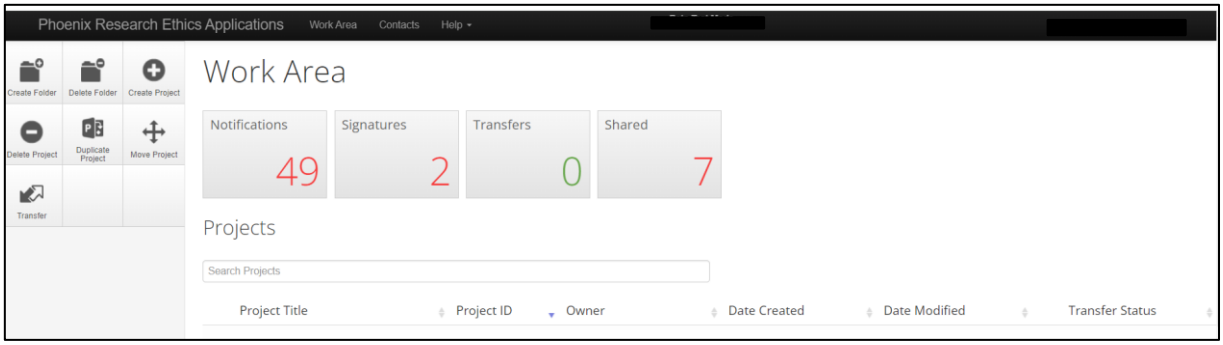
If your supervisor makes a comment on the application form after you have requested their signature, the form will be locked, which means you cannot access the question to make any suggested changes.

To unlock the form, click on the tile 'Unlock' and form will return to normal, you now have access to the questions. You will need to re-request the signature at the end of the form.

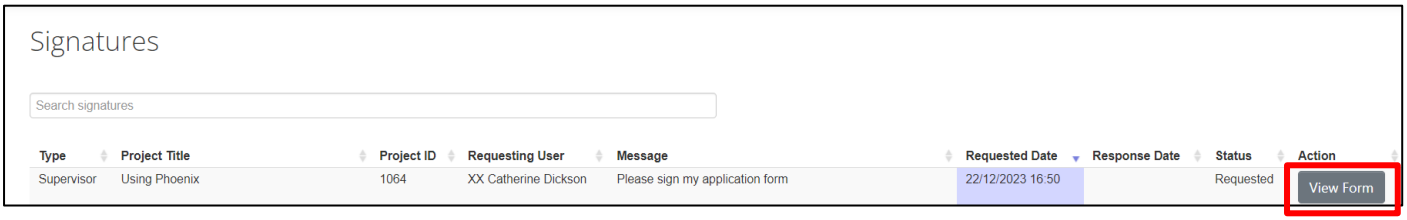
ACADEMIC SUPERVISOR – SIGNATURE REQUESTS

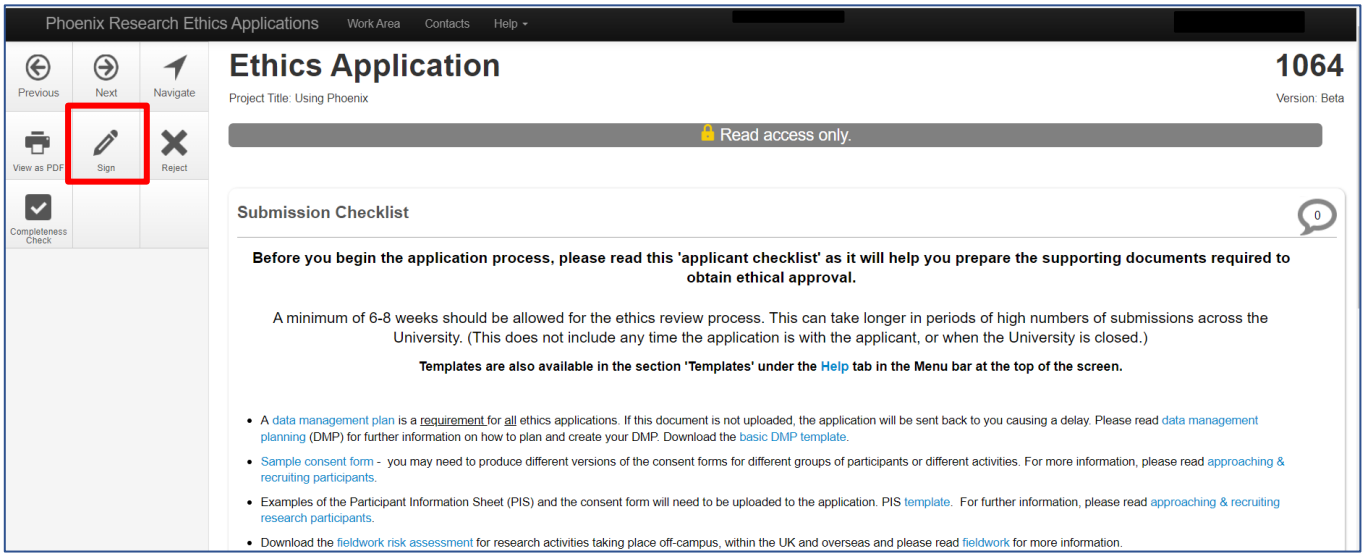
Your supervisees will share their applications with you and request your signature when their application is complete. (Please see page 16 on how to add comments to the application form).

Please check the form carefully, to be sure you are satisfied with the standard of the application.



To view requested signatures, click on the Signatures tile. A list will appear as below.





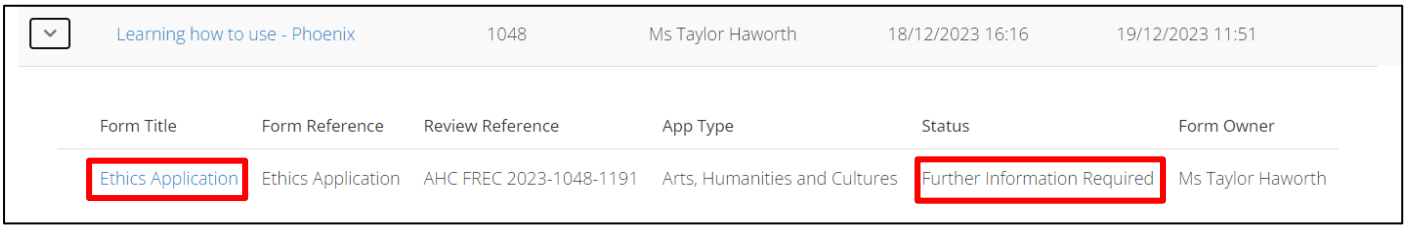
Sign the application here or at the end of the application

There is also a Reject button.

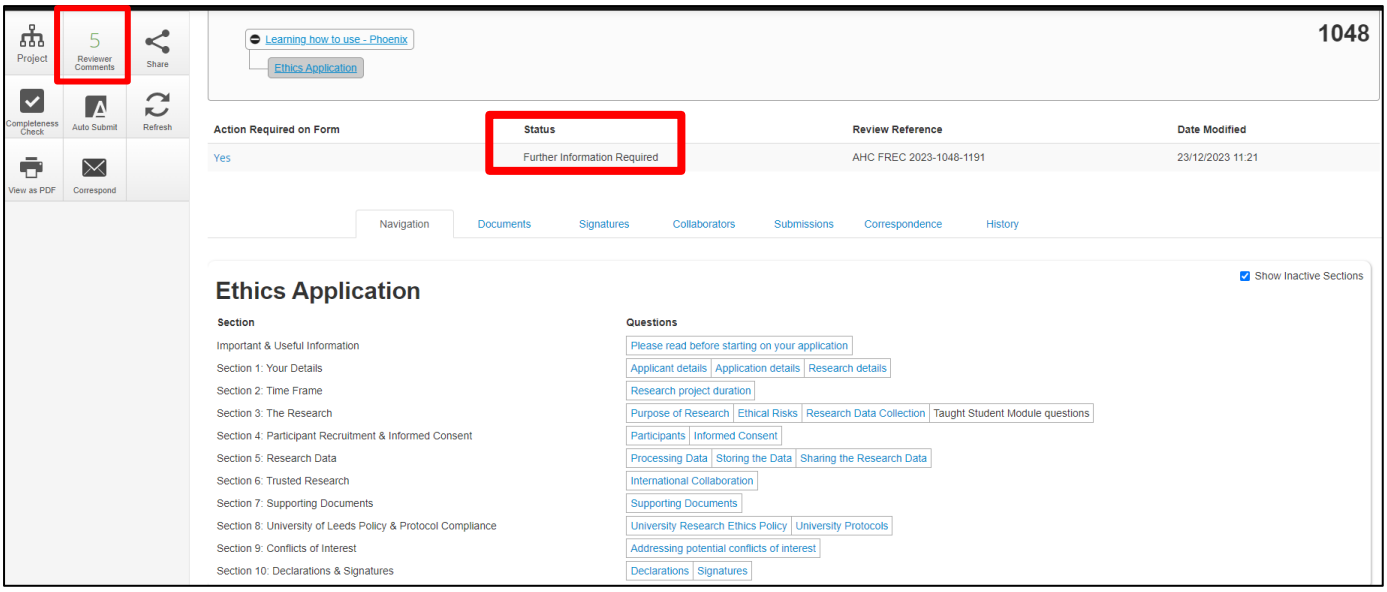
COMMENTS TO ADDRESS FROM REVIEWERS

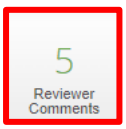
Once you have submitted your application, the Faculty Research Ethics Committee (FREC) will review it and make comments.

Phoenix will send an email notification which will include a list of the Reviewers Comments.



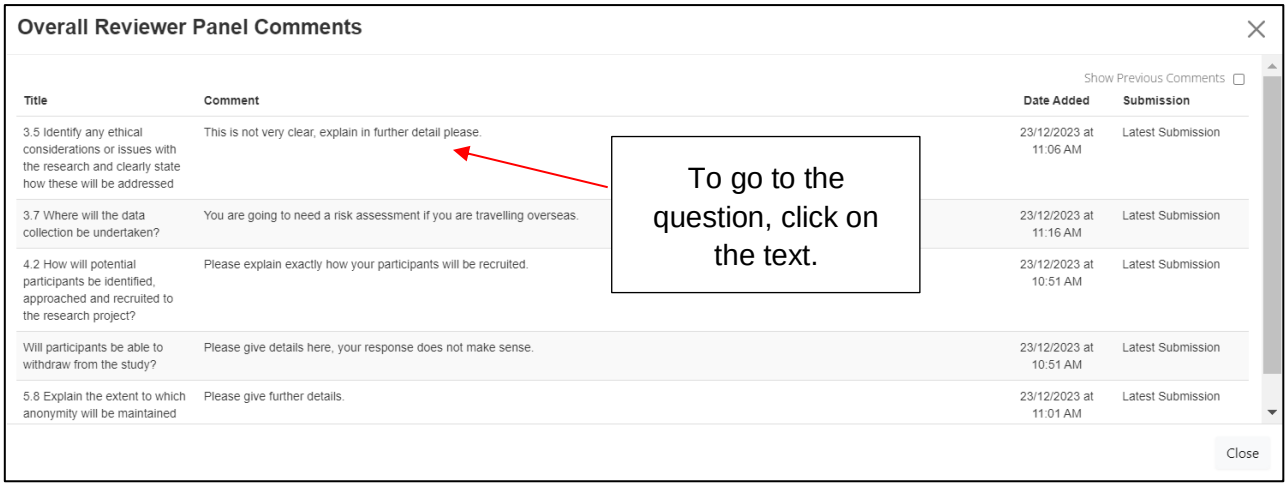
Open up the application.

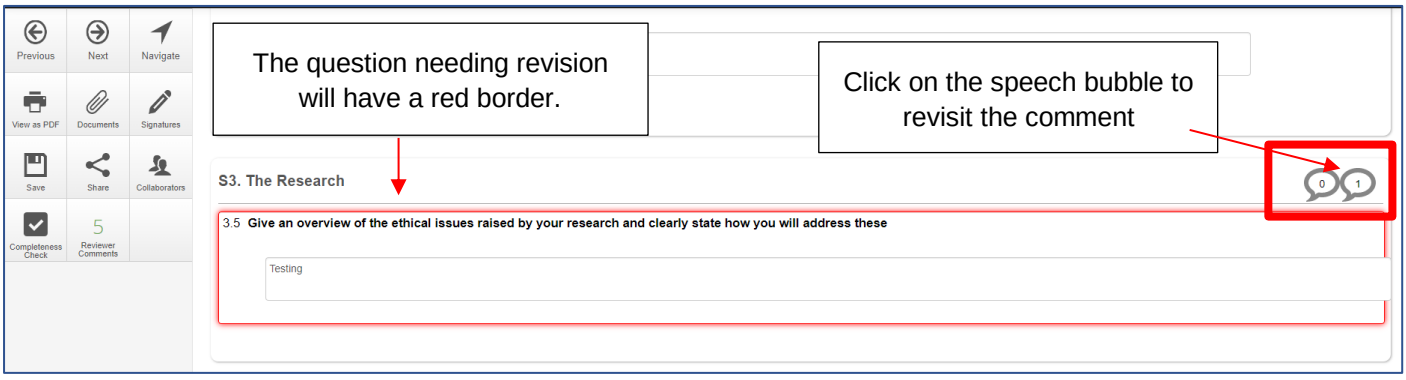




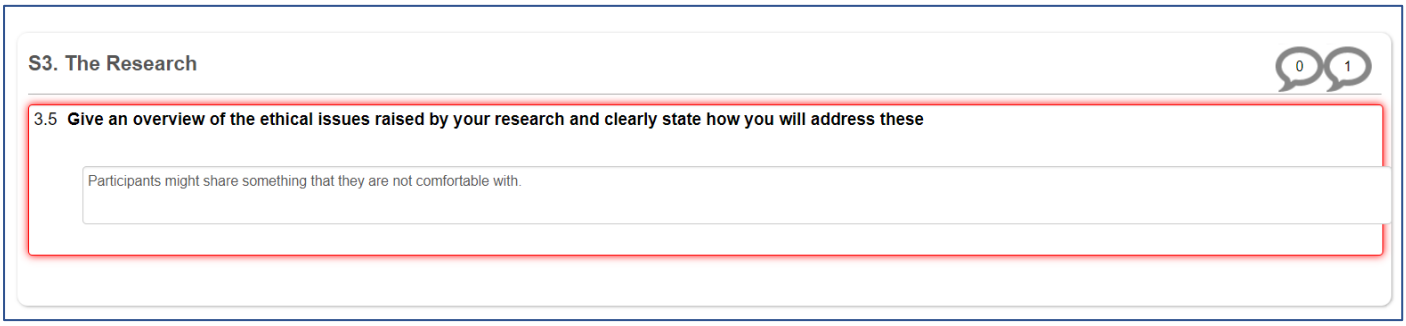
To view the list of comments, select this tile.

COMMENTS TO ADDRESS FROM REVIEWERS - CONTINUED





Make your change.



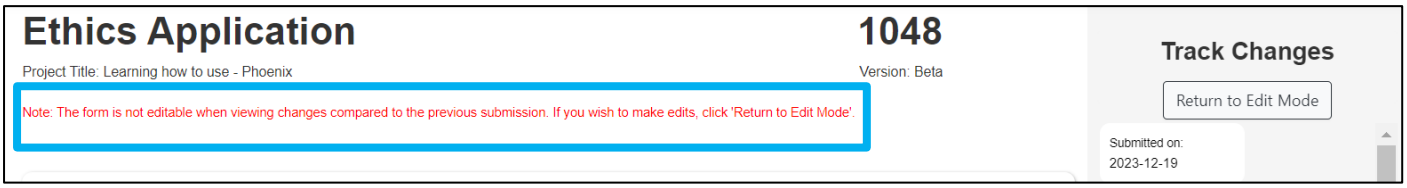
Repeat these steps to respond to all the Reviewers Comments.

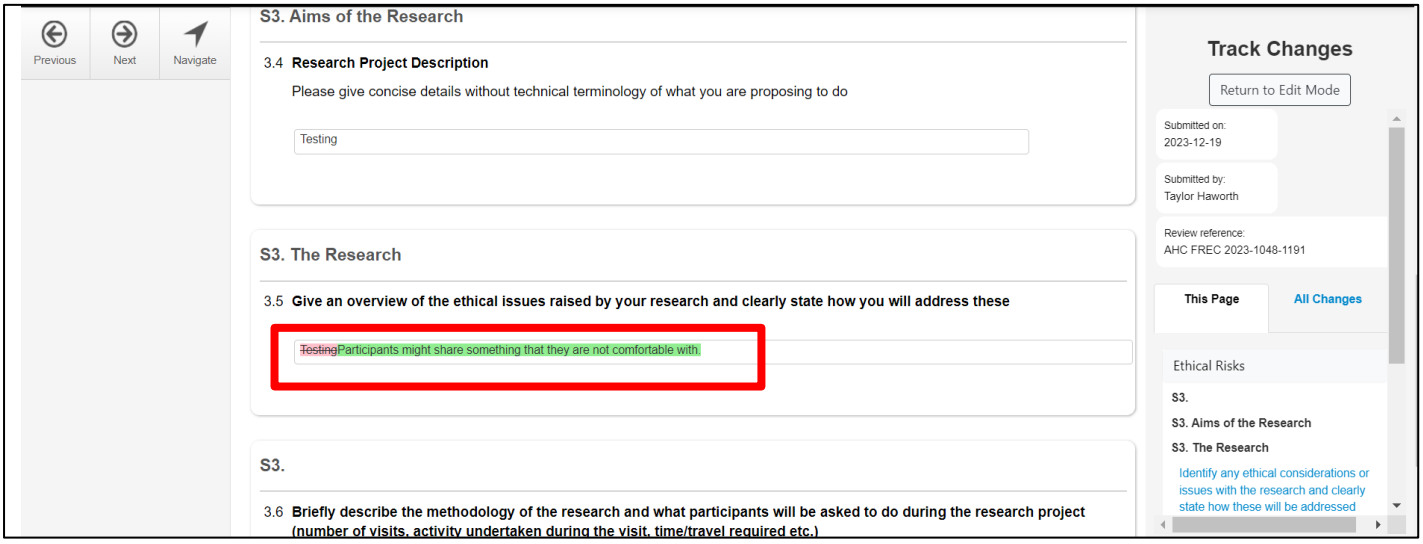
Phoenix will track change the text automatically for you.

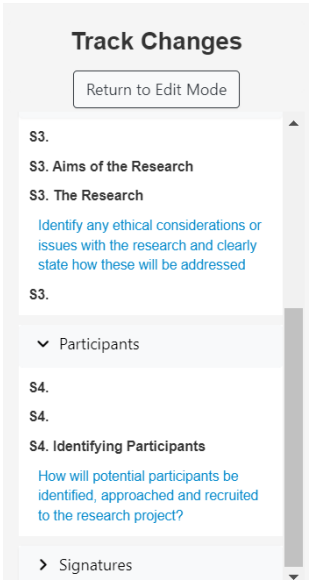
IMPORTANT NOTE: once the application form has been submitted, text cannot be deleted from the form. There is always going to be a version in a previous submission (see below).

COMMENTS TO ADDRESS FROM REVIEWERS - CONTINUED

At the top of every page there is button to enable you to check what was written in the previous version.

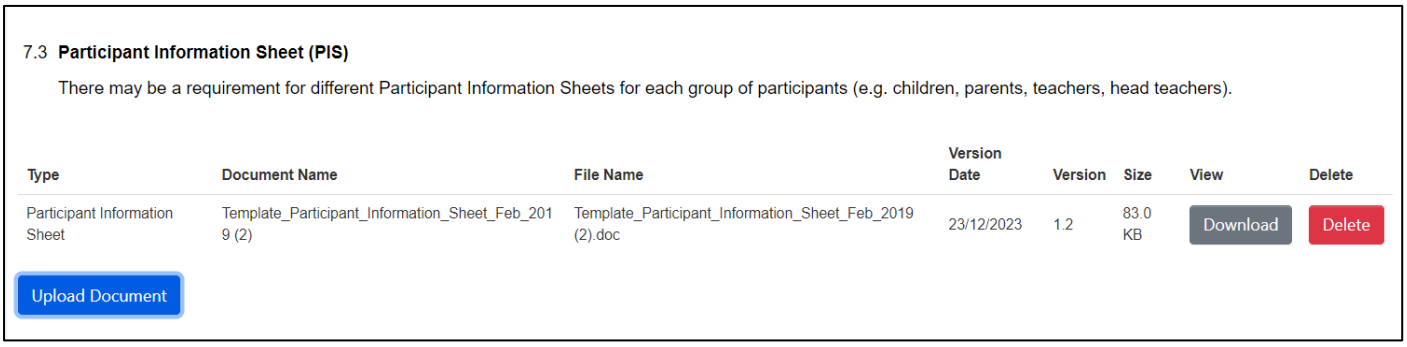






COMMENTS TO ADDRESS FROM REVIEWERS - CONTINUED

To make changes to any of the supporting documents, please upload the updated version with changes highlighted.



7.3 **Participant Information Sheet (PIS)**

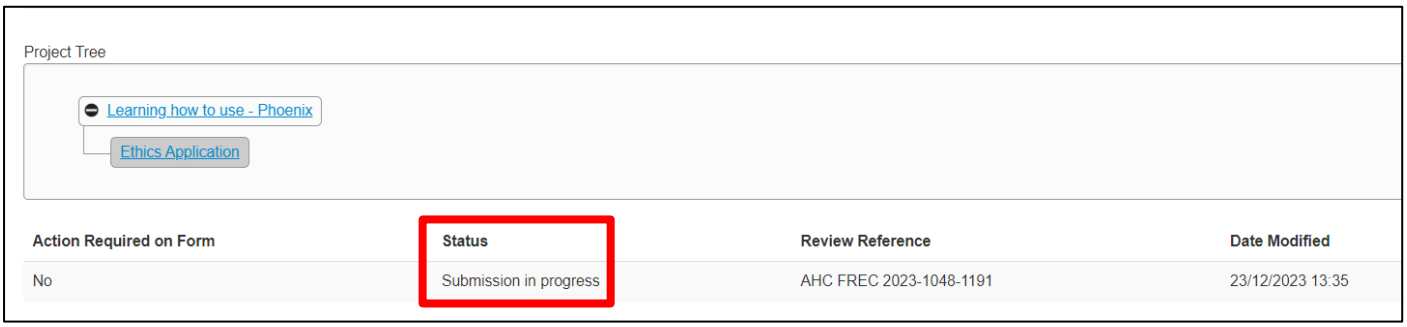
There may be a requirement for different Participant Information Sheets for each group of participants (e.g. children, parents, teachers, head teachers).

Type	Document Name	File Name	Version Date	Version	Size	View	Delete
Participant Information Sheet	Template_Participant_Information_Sheet_Feb_2019 (2)	Template_Participant_Information_Sheet_Feb_2019 (2).doc	23/12/2023	1.2	83.0 KB	Download	Delete

Upload Document

If you are a PGR, PGT or UG, you will have to request your supervisor's signature when you have addressed the Reviewers comments.

Please check on the front page of your application (Project Tree) if it has been successfully submitted.



Project Tree

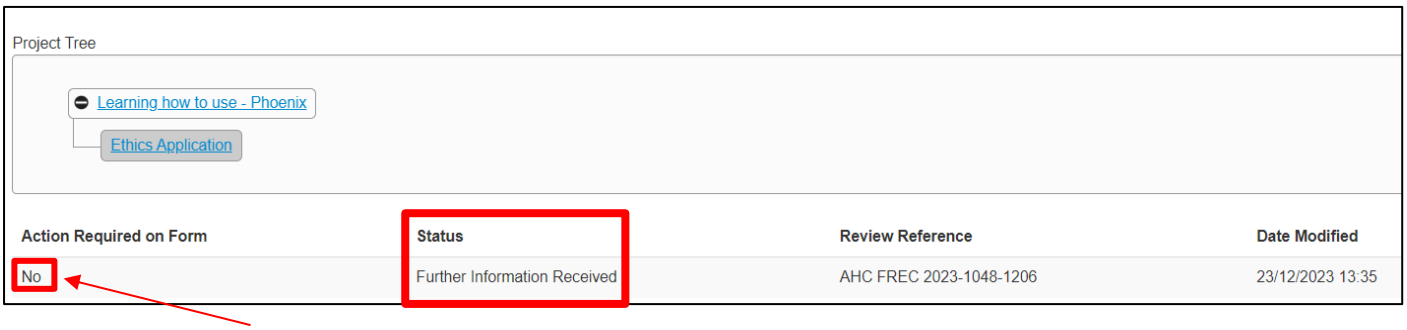
Learning how to use - Phoenix

Ethics Application

Action Required on Form	Status	Review Reference	Date Modified
No	Submission in progress	AHC FREC 2023-1048-1191	23/12/2023 13:35

Submission can take up to 30 minutes, especially if there is a high volume of other submissions.

another round of comments to you



Project Tree

Learning how to use - Phoenix

Ethics Application

Action Required on Form	Status	Review Reference	Date Modified
No	Further Information Received	AHC FREC 2023-1048-1206	23/12/2023 13:35

If this says Yes after you have submitted your application, please click on it, as a step has been missed.

Please note: if the Reviewers are not satisfied with your responses to their comments, the application will be sent back to you – approval will not be given until all comments have been addressed.

RECEIVING THE REVIEWERS DECISION

You will receive an email notification when a final decision has been made. It is important to remember you will only be sent one copy of the approval e-letter.

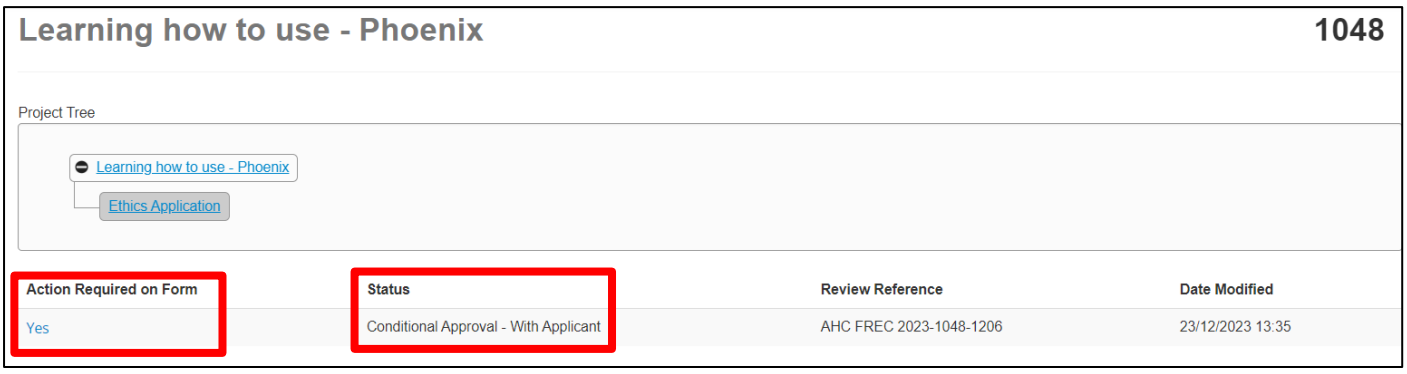
1. Favourable Opinion (you can start work immediately on your research project).
2. Conditional Approval (see next section)
3. Unfavourable Opinion (your application has been rejected. NO RESEARCH can take place).

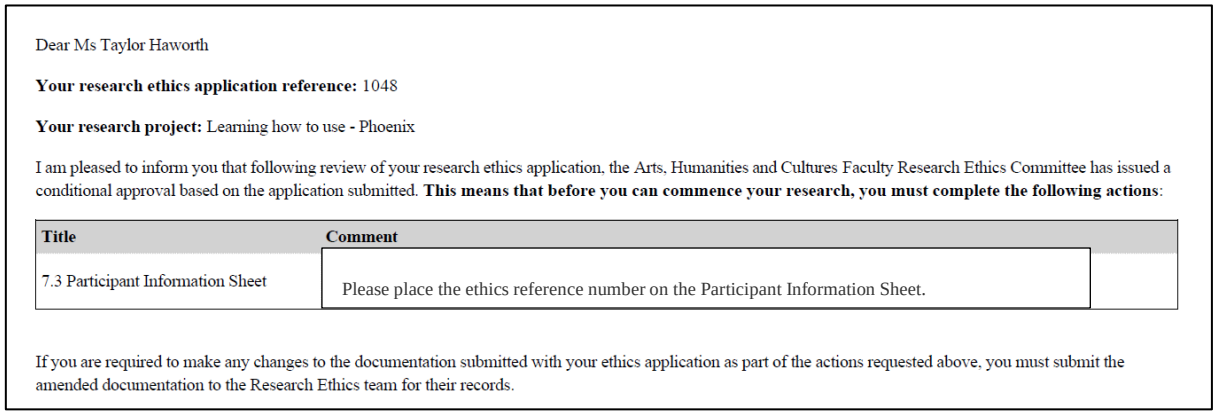
RECEIVING A CONDITIONAL APPROVAL – WHAT TO DO

What does a Conditional Approval mean?

The Reviewers are content to issue approval on a set of conditions – **which means you need to complete these before you can begin work on your research project.**

The conditions are set out in the approval letter and can also be found in the Reviewer Comment tile when you open the application form.





Dear Ms Taylor Haworth

Your research ethics application reference: 1048

Your research project: Learning how to use - Phoenix

I am pleased to inform you that following review of your research ethics application, the Arts, Humanities and Cultures Faculty Research Ethics Committee has issued a conditional approval based on the application submitted. **This means that before you can commence your research, you must complete the following actions**:

Title	Comment
7.3 Participant Information Sheet	Please place the ethics reference number on the Participant Information Sheet.

If you are required to make any changes to the documentation submitted with your ethics application as part of the actions requested above, you must submit the amended documentation to the Research Ethics team for their records.

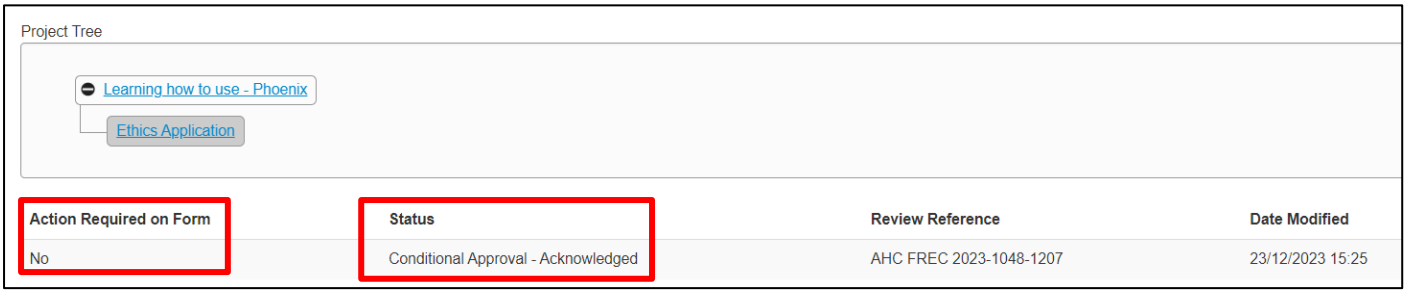
The application is with you, and you can upload or make a change to the text as directed by the Reviewers conditions. **Please comply with the conditions as soon as you are able**.

Once you have met the conditions, submit the application.

RECEIVING A CONDITIONAL APPROVAL – WHAT TO DO

Once you submitted the conditions the Project Tree will state:

When the Research Ethics team have processed and checked you have met the conditions set out by the Reviewers, the Project Tree will state:



Phoenix will not send you anything further.

Research can begin.

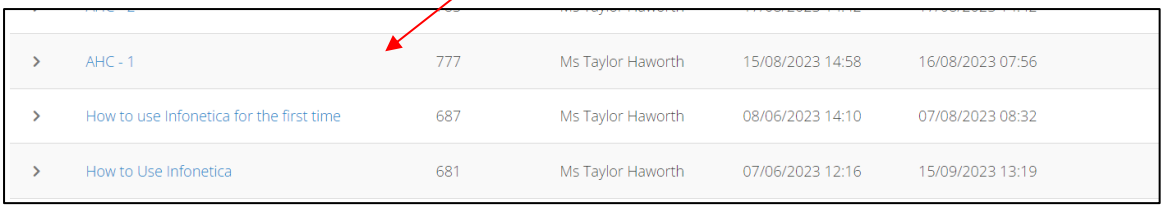
Good luck!

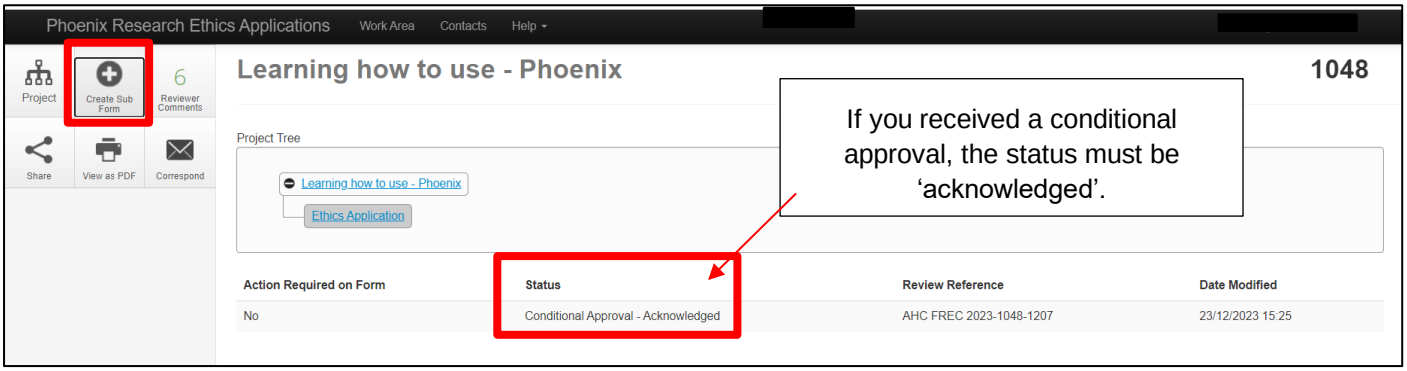
APPLYING FOR AN AMENDMENT

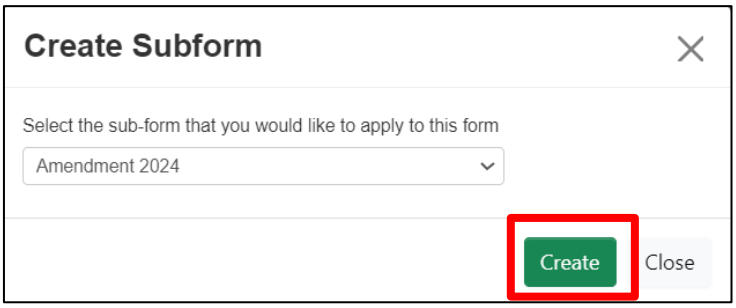
IMPORTANT NOTE: You can only apply for an amendment if you have received a favourable opinion, or you have met the conditions set in a conditional approval.

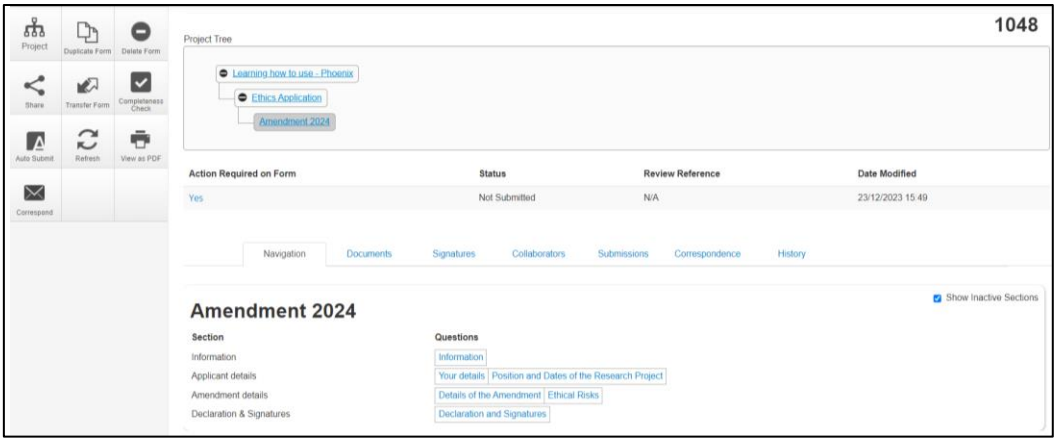
Phoenix will not give you the option to apply for an amendment until you have received approval.

Select the project you wish to amend.









Fill in and submit.