eRA Law Faculty

Ethics Application

Process Manual

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About eRA

Research at UCT continues to grow year-on-year: every year, more research contracts are signed, and the number of postgraduates and postdoctoral fellows continues to grow. UCT continues to increase our publication count and attract more donations and funding. At the same time, the business of research management is rapidly changing with the exponential growth of big data, open access and international collaboration. Furthermore, universities face additional challenges as governments restrict research funding and donors demand more from research groups. It is clear that supporting the research enterprise of a university is becoming an increasingly complex task. In order to remain on top of our game and continue to make our mark both locally and internationally, UCT is implementing an electronic research administration (eRA) system, to provide technological solutions to the problems we have identified. The cornerstone of the system is Converis, supplied by Clarivate Analytics.

The research project lifecycle was a cumbersome administrative process, made all the more difficult by minimal online systems, duplicate data entry, a lack of templates and many manual steps involving internal mail or hand delivery. The implementation of eRA is changing that, lifting the administrative burden through automation, and streamlining the process at every step of the research project lifecycle.

Idea creation

NEW PROJECT
- Link to opportunity websites
- Ideas forwarded internally
- Manual idea building

Project planning

Pre Award

GUIDED PROCESS
- Online application process
- Pre-built funder specific applications — NRF, NIH
- Links to online collaborators
- Integrated finance and ethics approvals

AUTOMATED APPROVAL FUNNEL
- Department / faculty approval ☑
- Research finance approval ☑
- Ethics clearance ☑
- Contract creation ☑
- Sign-off ☑

KEY FEATURES
- Easy to use: one location for all tasks
- Online templates
- Automated approvals workflow

FUNDING AWARDED

Post award

Post Award
- Fund tracking — SAP
- Contract compliance reminders
- Reporting

CAREER MANAGEMENT — CV
- Teaching and learning activities
- Awards and honours
- CV creation and management
- Publicly visible profile
- Build your professional network
- online profile

- Publications
- Other research outputs
- Postgraduate supervision
- Collaborations

As the diagram to the left shows, eRA will provide researchers with:

- o a 'one-stop shop' to manage and track the administrative workflow within a project lifecycle and beyond
- o user-friendly software that guides them from the point where an idea is born and a funding opportunity identified, through to post-publication with automatic CV updates
- o streamlined and automated workflows, where all parties involved – including ethics, finance, and research contracts – are automatically notified of a project application coming their way
- o the opportunity to track their applications and approvals through the automated process, reducing the risk of an application lying unseen in an inbox
- o enable researchers to keep on top of their contract compliance requirements and integrate with SAP to track project funds. Through its online portal, researchers can create and manage their CV which they can draw on to apply for grants and funding and use to create a publicly visible profile.
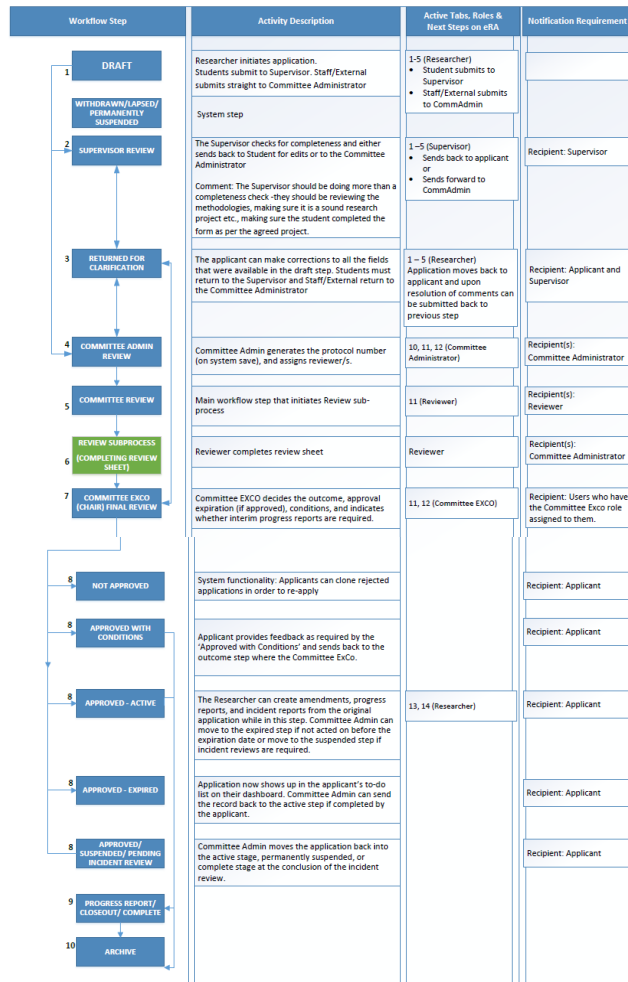
What eRA means for the university

The implementation of eRA is freeing up resources so that UCT can offer more comprehensive research support and more efficient administration. eRA will allow for:

- improved strategic understanding of all research

- improved ability to track research impact and collaborations

- reduced financial risk through improved financial controls

- improved support for researchers, including proposal development, and

- better management of data, analytics and reporting to support strategic decision-making and control.

The implementation of eRA is being overseen by a team of specialists who are working on developing the systems according to UCT's needs, rollout of live modules, training of relevant staff and ongoing help-desk support.

Workflow Process

Workflow Step	Activity Description	Active Tabs, Roles & Next Steps on eRA	Notification Requirement
1 DRAFT	Researcher initiates application. Students submit to Supervisor. Staff/External submits straight to Committee Administrator	1-5 (Researcher) • Student submits to Supervisor • Staff/External submits to CommAdmin	
WITHDRAWN/LAPSED/ PERMANENTLY SUSPENDED	System step		
2 SUPERVISOR REVIEW	The Supervisor checks for completeness and either sends back to Student for edits or to the Committee Administrator Comment: The Supervisor should be doing more than a completeness check -they should be reviewing the methodologies, making sure it is a sound research project etc., making sure the student completed the form as per the agreed project.	1 –5 (Supervisor) • Sends back to applicant or • Sends forward to CommAdmin	Recipient: Supervisor
3 RETURNED FOR CLARIFICATION	The applicant can make corrections to all the fields that were available in the draft step. Students must return to the Supervisor and Staff/External return to the Committee Administrator	1 – 5 (Researcher) Application moves back to applicant and upon resolution of comments can be submitted back to previous step	Recipient: Applicant and Supervisor
4 COMMITTEE ADMIN REVIEW	Committee Admin generates the protocol number (on system save), and assigns reviewer/s.	10, 11, 12 (Committee Administrator)	Recipient(s): Committee Administrator
5 COMMITTEE REVIEW	Main workflow step that initiates Review sub-process	11 (Reviewer)	Recipient(s): Reviewer
6 REVIEW SUBPROCESS (COMPLETING REVIEW SHEET)	Reviewer completes review sheet	Reviewer	Recipient(s): Committee Administrator
7 COMMITTEE EXCO (CHAIR) FINAL REVIEW	Committee EXCO decides the outcome, approval expiration (if approved), conditions, and indicates whether interim progress reports are required.	11, 12 (Committee EXCO)	Recipient: Users who have the Committee Exco role assigned to them.
8 NOT APPROVED	System functionality: Applicants can clone rejected applications in order to re-apply		Recipient: Applicant
8 APPROVED WITH CONDITIONS	Applicant provides feedback as required by the 'Approved with Conditions' and sends back to the outcome step where the Committee ExCo.		Recipient: Applicant
8 APPROVED - ACTIVE	The Researcher can create amendments, progress reports, and incident reports from the original application while in this step. Committee Admin can move to the expired step if not acted on before the expiration date or move to the suspended step if incident reviews are required.	13, 14 (Researcher)	Recipient: Applicant
8 APPROVED - EXPIRED	Application now shows up in the applicant's to-do list on their dashboard. Committee Admin can send the record back to the active step if completed by the applicant.		Recipient: Applicant
8 APPROVED/ SUSPENDED/ PENDING INCIDENT REVIEW	Committee Admin moves the application back into the active stage, permanently suspended, or complete stage at the conclusion of the incident review.		Recipient: Applicant
9 PROGRESS REPORT/ CLOSEOUT/ COMPLETE			
10 ARCHIVE			

Differentiation of roles

Role Name	Description	Entry Point
Researcher	Anyone can create an Ethics Application form by virtue of being a Researcher on the eRA system. Once an initial Ethics Application form has moved beyond the *Draft* step, and for all subsequent submissions for the same study, only those users who are named on the Application Form as members of study staff will have access to make changes to a submission form. There are two other instances in which the Researcher role is required: • Online Ethics Application forms require certain declarations to be acknowledged. The person who captures an Ethics Application form needs to select the name of such declarer/s. The existence of the Declarer's name on the online Ethics Application form will give the Declarer the necessary rights to acknowledge the related declaration. • Similarly, Committee Administrators capture online Ethics Review Sheets on which they select the name of the Reviewer. The existence of the Reviewer's name on the online Ethics Review Sheet will give such Reviewer the necessary rights to complete a review on the online form.	*Person*
Committee Administrator	The Committee Administrator role is the role required by the Administrators who work in the Research Ethics Committee (REC) office associated with a particular set of Ethics Application forms, e.g., the Administrators who work in the office of the HREC. This role is required in order to orchestrate the progression of an online Ethics Submission through the review process, i.e.: • check whether a submitted form has been completed correctly; • submit the form to EXCO in order for EXCO to assess whether the submission can be expedited, or whether it must be subjected to a Full Committee Review; • create Ethics Review Sheets for a particular submission if required, and manage the response to such individual submission reviews; • depending on whether the review track for the submission is expedited or full committee review, manage the workflow through the appropriate steps to arrive at the overall outcome of the ethics review process; • create a review response letter to the PI or Applicant providing the overall outcome of the review of the submission (this is done off the system); and finally • to attach the review response letter to the submission and save it in the required workflow status that will pass it back to the PI of the study concerned.	*Person*
Committee Administrator	The Committee Administrator role is also required to maintain the list of EXCO members, and	*Person*

Role Name	Description	Entry Point
(cont.)	the list of Administrator staff on the related online Committee Form. (**NOTE**: In order for the system to work correctly, any user who is assigned the Committee Administrator role needs to be listed in the Administrator Staff on the related Committee Form.)	
Committee EXCO	The Committee EXCO role, is the role required by the EXCO members of the REC office associated with a particular set of Ethics Application forms, e.g., the EXCO members of the HREC. This role is required in order to perform the following tasks on the system: • Assign the review track appropriate to an online ethics submission, i.e. the expedited process (no committee review required - usually assigned in the case of low risk research only), or a full committee review (the more commonly assigned track); • If deemed a requirement, provide Reviewer/s names for which someone with the Committee Administrator role must create online Ethics Review Sheets; • Assess the outcome of the ethics review process (in the case of an expedited review), or confirm the outcome of the ethics review process (in the case of a full committee review) for a particular submission. (**NOTE**: In order for the system to work correctly, any user who is assigned the Committee EXCO role needs to be listed in the list of EXCO members on the related Committee Form. EXCO members will need to have both the Committee EXCO role and a Researcher role. The Researcher role is required when they are names as the Reviewer on an Ethics Review Sheet.)	*Person*
Supervisor	The role of a supervisor is to guide the researcher or student through the research process and methodology, facilitate access and assist with the process of ethics applications who will also review and determine if an application meets all the regulations and policies of the university for a particular discipline.	*Person*
Reviewer	The role of the reviewer is to review the full ethics application which has been initiated by the researcher role. The committee-EXCO will advise the Committee Admin who would be best placed provide an expert review of the study, with the Committee Admin subsequently creating review sheets on which feedback will be captured.	*Person*

Dashboards for different roles

The view of the dashboard will be different for each role. The below images dipict what the dashboard and left navigation options will look like for each of the stakeholders in the Ethics Management process:

1. Researcher
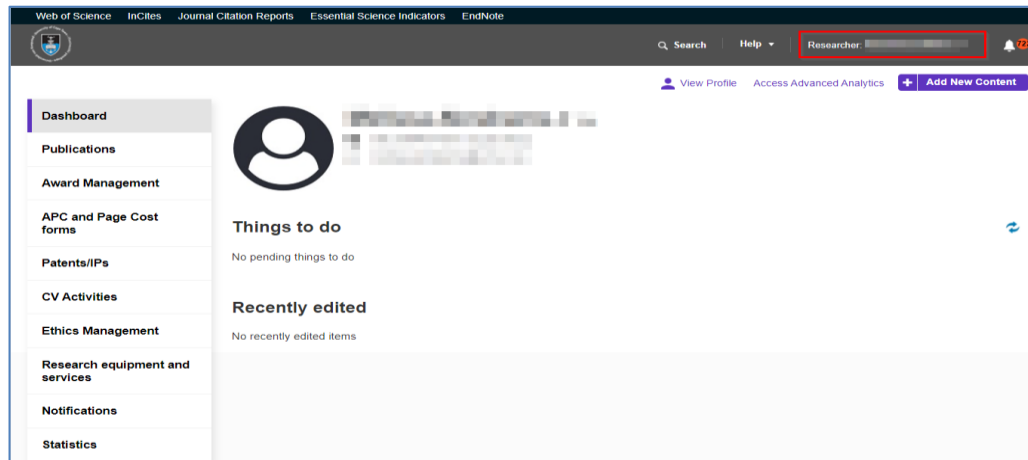
2. Supervisor
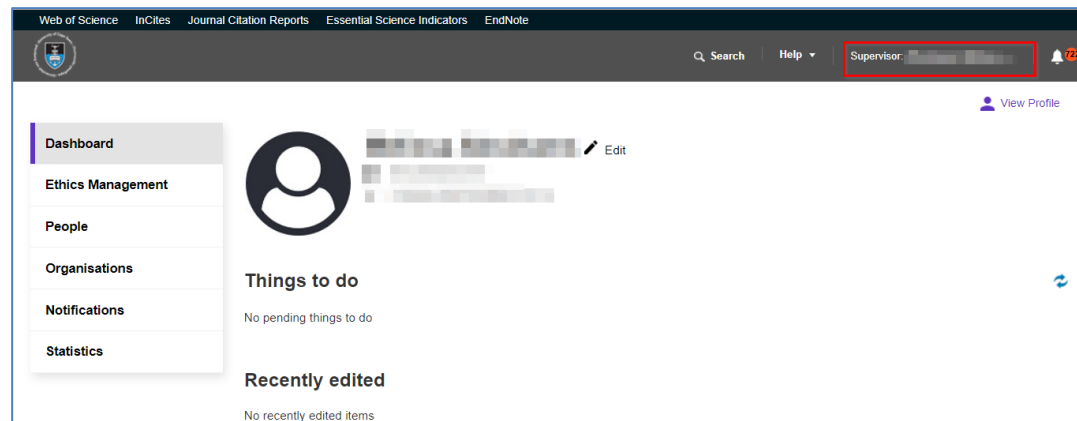
3. Committee Administrator
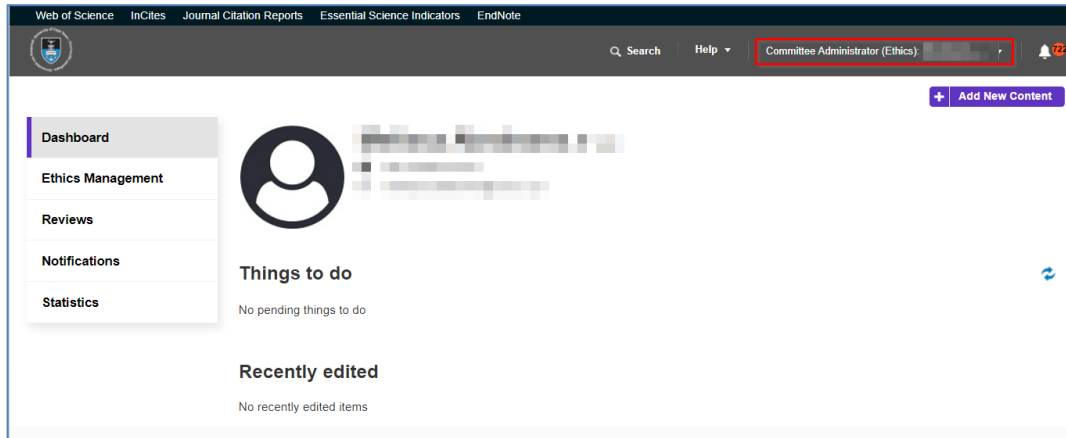
4. Committee EXCO
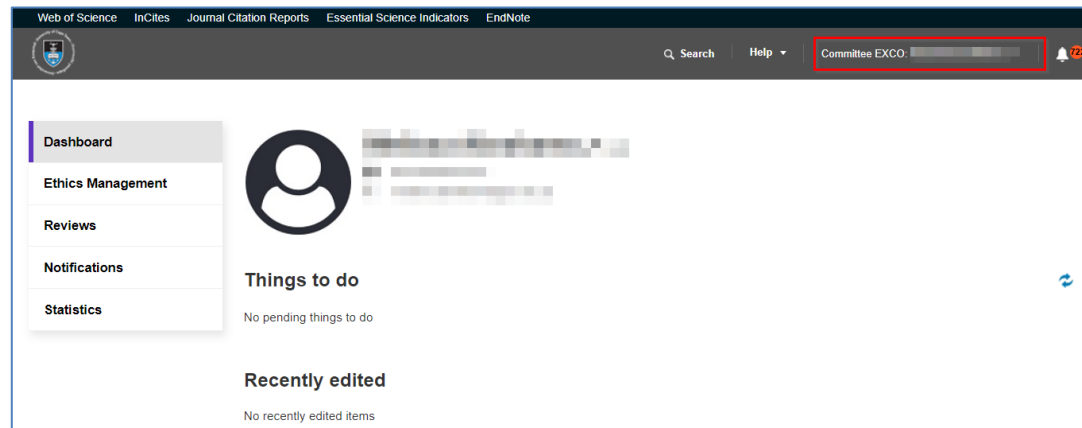
5. Reviewer
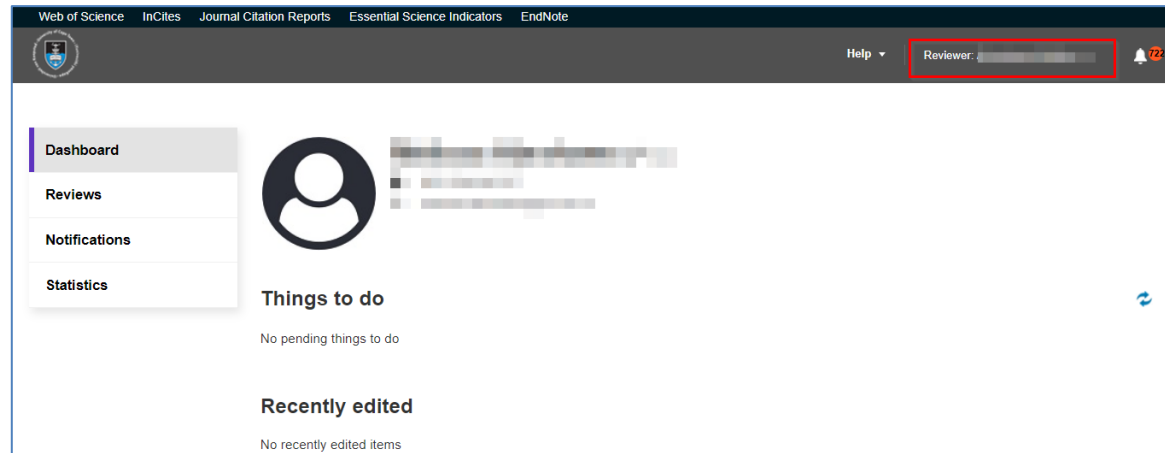
Module 1: Logging on to the eRA system

- **Lesson Objectives:**

- Learn how to log in to the eRA system

Access the eRA system by using this link: https://eraonline.uct.ac.za/converis/portal/overview?lang=en_GB

Click on **Login** at the top right-hand corner.

If you are not already logged in to another UCT platform, you will be prompted to enter your UCT credentials to login.

Sign in with your UCT username and password.

Staff / student number

Password

Sign in

Search   Help   Researcher:

View Profile   Access Advanced Analytics   Add New Content

Dashboard

Publications

Award Management

APC and Page Cost forms

Patents/IPs

CV Activities

Ethics Management

Pre Screening Questionnaires

Ethics Applications

Research equipment and services

Notifications

Statistics

Edit

Things to do

No pending things to do

Recently edited

No recently edited items

Module 2: Completing an Ethics Application

Lesson Objectives:

As an applicant you will learn how to initiate and complete an application for ethics approval.
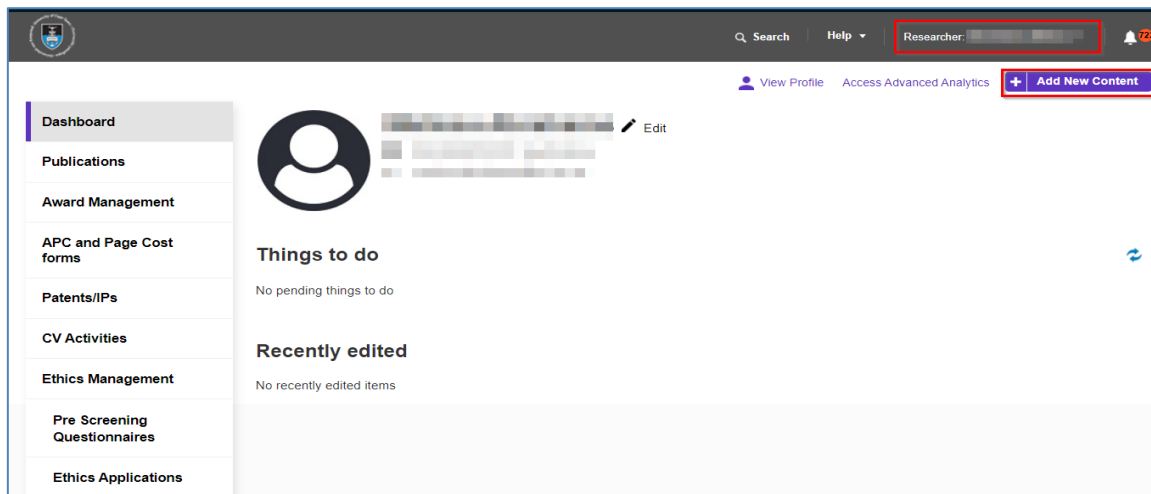
The dashboard has the **Ethics Submissions** tab on the left-hand side which will lead you to all existing Ethics submissions submitted over time. This is a dashboard that the researcher will see.
There are other roles that have access to the Ethics functionality. Ensure you are switched to the default **Researcher** role.

Instructions:

1. Click on the **Add New Content** button.

2. From the dropdown, click on the **Ethics Management** tab, then select **Ethics Application**.

3. A list of all the **Ethics application** form types will be displayed before you. From the list, click on **Research Ethics committees**, then select the **Law Faculty Application** form type.

Key Information tab

1. If you are a student select **Student** from the dropdown menu or select **Researcher** if you are a Researcher.
Note and complete all other drop-down fields with required information as you go along.
2. Use the drop-down list to indicate whether the application is for degree or other qualification purposes.
3. If **Yes**, state the level of degree.
4. Use the textbox to type in the degree if it is not listed under drop-down 3.
5. This field shows the type of ethics application currently being completed.

System ID Number

This is a system-generated number used to identify this application

0/8

For proposal reference number (protocol)

This is a system-generated number used for approvals

0/100

Is this application for an individual (i.e. you are the researcher) or is it for a Research Group or Unit?
NB: Only a Lead/Principal Investigator or Supervisor is allowed to submit Unit Applications

Select type of applicant

Is this study linked in any way to an approved or existing study e.g. a sub-study or nested study?

Select yes or no

If yes, please type in the previous proposal number here.

0/1024

Link this application to a related UCT ethics approval by uploading the approval letter here. (only if applicable)

There will be an opportunity to upload supporting documentation for this related application on the attachments tab.

6. This is a system generated number to help identify the application.
7. The proposal reference number is also auto-generated for all applications.
8. Use the drop-down to select if the application is for an individual, a group or a unit.
9. Use the drop-down to indicate if the application is linked to an approved or existing study.
10. If the answer to the previous question is yes, please insert the proposal number.
11. You will have the opportunity to link a previous ethics application to the current one if the previous application was not approved.

Is this a re-submission of a previous study that was not approved by the Research Ethics Committee?

Select yes or no

If yes, please type in the previous proposal number here. (protocol)

0/1024

12. Use the drop-down to select the applicable option.
13. If the answer to the previous question is **Yes**, please include the proposal (protocol) number here.

If this is a resubmission of an application that was not approved, link to that initial application

There will be an opportunity to upload supporting documentation for this related application on the attachments tab.

[+] (14)

If applicable, briefly explain changes you have made in this application from your previous application. (15)

```
[                                    ]
                              0/3950
```

14. You can link to a previous application by clicking on the plus icon to search and tag a previous application submitted on eRA.
15. In the textbox provided, explain the changes between this application, and a previous submission if this application is a resubmission.

Principal Investigators *

Please select all principal investigators by clicking on the + below.

[+]

Co-Investigators

Please select all co-investigators by clicking on the + below.

[+]

Student Investigators

Please select student investigators by clicking on the + below.

[+]   (16)

Supervisor(s) if applicable

ATTENTION STUDENT APPLICANTS: Click on the "+" button below and add your supervisor(s) onto this application form. If this is not done, the application will not be sent to your supervisor(s) for review. The Main supervisor should be listed first.

[+]

Does this study need to be submitted to another ethics committee for approval?

```
[ Select yes or no        v ]
```

If yes, please name the committee(s) and/or institution and give the outcome - eg. pending, approved, rejected. Please attach the relevant letter via the Attachments Tab (under other supporting documents)

```
[                                    ]
                              0/3950
```

16. Tag the Principal Investigator (which is the applicant), co-investigators and student investigators on the application (If applicable). If the applicant is a student, they are required to tag the Supervisor. Click on the **blue plus sign** and insert the name(s) of the appropriate people under each of the fields provided.
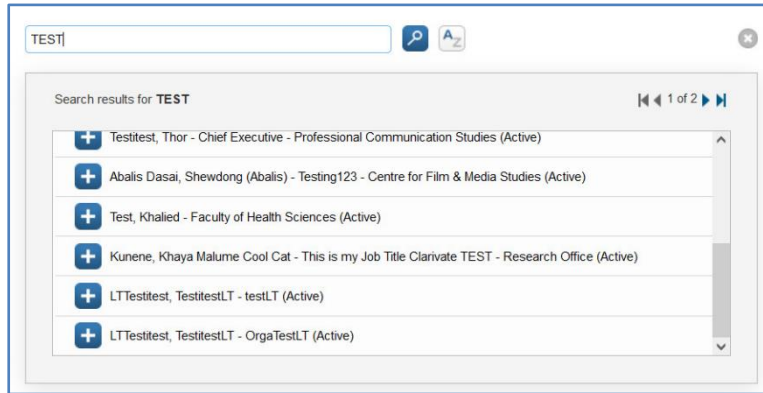
A **search window** will appear where you may insert your search term. A **list of search results** will appear which will allow you to select the appropriate option by clicking on the **plus sign** adjacent to the name.

Your selection will appear allowing you to continue with completing the form.

Name	Organisation	
Test,	Faculty (UNIVERSITY OF CAPE T...)	✉ 🗑

17. Select appropriately **Yes** or **No** if the study needs to be submitted to another ethics committee.
18. If you've answered Yes to the previous question, use the text box to expand on the information required.

Once you have completed a tab it is good practice to click **Save** at the bottom of the page to save the information captured on the respective fields.

Project Details tab

Navigate to the **Project Details** tab and complete the information required in the appropriate fields. Once you've captured the required information, click Save at the bottom of the screen.

Research Methodology tab

Once the Project Details tab has been completed you may move on to the **Research Methodology** tab. Complete the information required in the appropriate fields, and once captured, click Save at the bottom of the screen.

Will the autonomy of participants be protected through the use of an informed consent form, which specifies (in language that respondents will understand).

The nature and purpose/s of the research

Select yes or no ▼

The identity and institutional association of the researcher and supervisor/project leader and their contact details

Select yes or no ▼

The fact that participation is voluntary

Select yes or no ▼

That responses will be treated in a confidential manner

Select yes or no ▼

Any limits on confidentiality which may apply

Select yes or no ▼

That anonymity will be ensured where appropriate (e.g. coded/ disguised names of participants/ respondents/ institutions)

Select yes or no ▼

The fact that participants are free to withdraw from the research at any time without any negative or undesirable consequences to themselves

Select yes or no ▼

The nature and limits of any benefits participants may receive as a result of their participation in the research

Select yes or no ▼

If NO to any of the above: (a) please justify/explain, and (b) indicate what measures will be adopted to ensure that the respondents fully understand the nature of the research and the consent that they are giving.

[text box]
0/3950

Please describe whether the study will use translated informed consent documents (for example, in community-based research or where the participants will be interviewed in a different language). Where/how will these be translated? What quality assurance mechanisms will be used to ensure rigour?

[text box]
0/3950

Data Management: How will data security be ensured? How will your supervisor have access to the stored data? How will the data be stored and disposed of?

NB A separate Data management Plan is advisable and might in some instances be required. The plan should be added on the attachments tab. A template DMP can be found here.

[text box]
0/3950

How will the research participant's anonymity or confidentiality be maintained?

[text box]
0/3950

How will you give feedback to your research participants once the study has been completed?

[text box]
0/3950

Is this research supported by funding that is likely to inform or impact in any way on the design, outcome and dissemination of the research?

Select yes or no ▼

If yes, please explain and provide justification.

[text box]
0/3950

Has any organization/company participating in the research or funding the project, imposed any conditions to the research?

Select yes or no ▼

If yes, please indicate what the conditions are.

[text box]
0/3950

Cancel   **Save**   **Save & close**

Attachments tab

Once the Research Methodology tab has been completed you may move on to the **Attachments** tab
Complete the form as required, attaching the required documentations in the prescribed file format. You will do this by clicking on the **File** icon under the specified heading and searching for the file that you would like to upload.
Please take note of the Gatekeeper question and what it refers to:

Do you require permission from a 3rd party stakeholder before being able/permitted to access a research population? Please note you may require permission from multiple stakeholders, depending on your study

Once you have uploaded all the required attachments and completed the form to the best of your ability, click **Save.**

Declaration and Faculty Review tab

Once the Attachments tab has been completed you may move on to the **Declaration and Faculty Review** tab

Read all the declarations and tick all the appropriate check boxes. Complete all related sections up until the **Project**

completion date on this tab.

I am satisfied that:

I have the time, training, expertise (or supervision from a supervisor with adequate expertise), and resources required to conduct this research in an ethical and responsible manner

☑

The research methodology is ethically sound and that where human participants or communities are concerned, that attention has been given to issues of privacy and dignity of the participants and the communities from which they are drawn

☑

Ethical issues and processes regarding data collection, storage, ownership, and protection have been suitably addressed

☑

Conflict of Interest:

Researchers are expected to declare the presence of any potential or existing conflict of interest or commitment that may potentially pose a threat to the scientific integrity and ethical conduct of this research. The committee will decide whether such conflicts are sufficient as to warrant consideration of their impact on the ethical conduct of the study. UCT's Conflicts of Interest policy is available here.

Disclosure of conflict of interest or commitment does not imply that a study will be deemed unethical, as the mere existence of a conflict does not mean that a study cannot be conducted ethically. However, failure to declare a conflict of interest or commitment known to the researcher at the outset of the study will be deemed to be unethical conduct.

As the principal researcher in this study, I hereby declare that I am <u>not aware</u> of any current or future conflicts of interests

☑

As the principal researcher in this study, I hereby declare that I am <u>aware</u> of any current or future conflicts of interest which may influence my ethical conduct of this study

☑

If you, or any collaborators on this research project, have or foresee any potential conflicts of inter details here:

09/06/2022   🗓

	June	2022 ▾		
Mo	Tu	We	Th	Fr	Sa	Su
30	31	1	2	3	4	5
6	7	8	**9**	10	11	12
13	14	15	16	17	18	19
20	21	22	23	24	25	26
27	28	29	30	1	2	3

Today   Done

Click on the small calendar icon and the calendar will appear below then select the date either by clicking on the Today button if it's today or select the appropriate date on the calendar it will then appear in the date box

I expect the project to be completed by:

11/07/2022   🗓

Ethics application submission date

This date will be automatically generated after submission

🗓
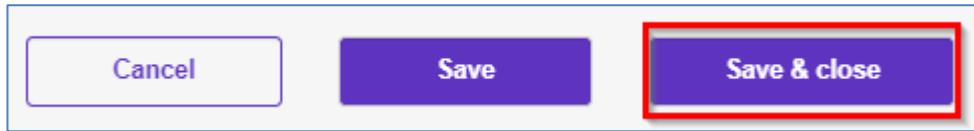
Once all the relevant details have been captured, click **Save & close.**

If the applicant needs to save the form to come back to it later, they can select **Draft.**

If the applicant is a student, the student can select **Supervisor review**. This will send a notification to the **Supervisor** to alert them that there is a form for them to review. (Navigate to Module 3).

If the applicant is a researcher, the form can be sent to the **Committee Admin post EXCO review** stage. (Skip Module 3 and move to Module 4)

Module 3: Supervisor

(Consult this module if the applicant is a student)

After the Student submits the ethics application the Supervisor will receive a notification. They will be prompted to log in and review the application. The image below is an example of the e-mail notification the Supervisor will receive.
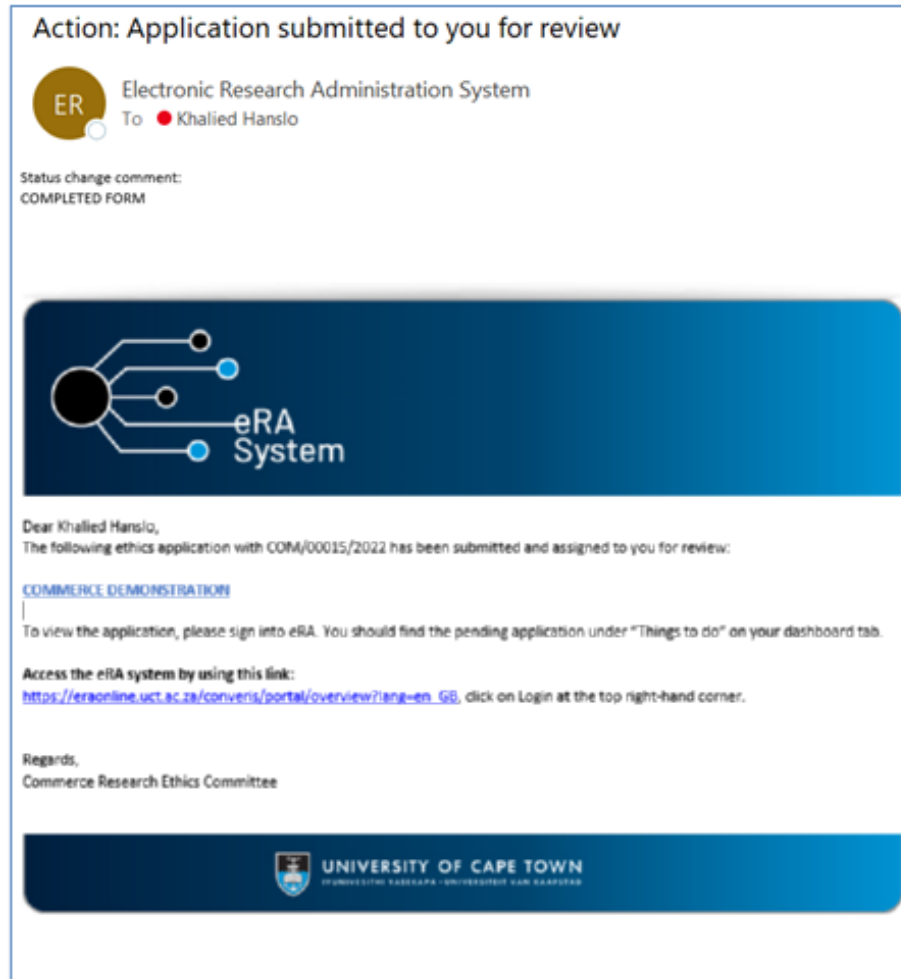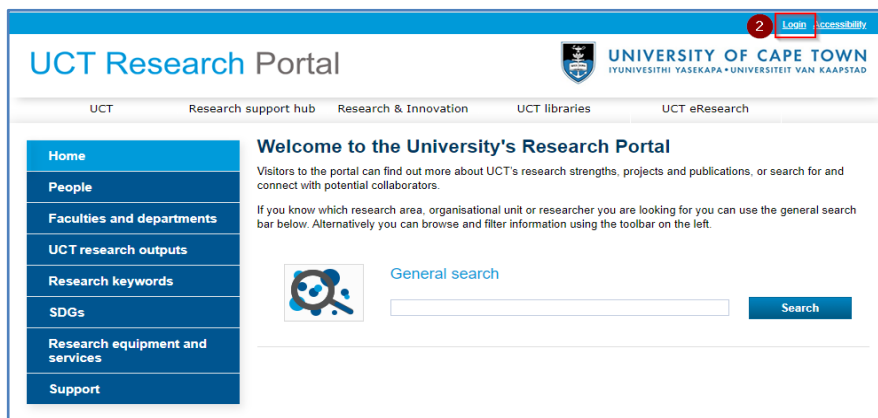
Access the eRA system by using this link: https://eraonline.uct.ac.za Click on **Login** at the top right-hand corner.
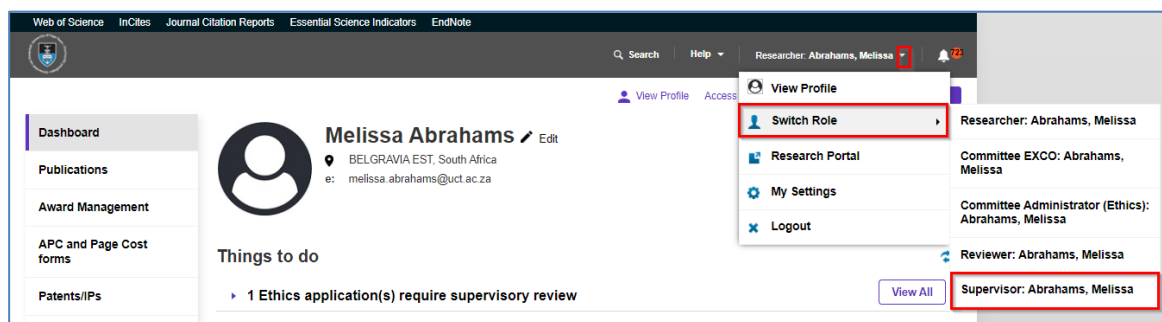
If you are not already logged in to another UCT platform, you will be prompted to enter your UCT credentials to login. Once you have logged in, ensure that you switch to the **Supervisor** role.

The **Supervisor** will check all the fields that they have been correctly and accurately populated.

Then navigate to the **Declaration and Faculty Review** tab by clicking on **More** (or guided by the blue drop down arrow). Here, the Supervisor will indicate their support of the application under the **Supervisor Approval** tab.

The **Supervisor** completes the declaration by clicking the **check box**.

The **Supervisor** will submit the application by clicking **Save & Close**

The Supervisor sends the form to the Committee Administrator.

A popup box will appear. They can choose from **Returned for clarification** for changes that need to be made by the applicant, or if satisfied, select **Committee Administrator Post Exco Review,** and then click **Done.**

The Committee Administrator will receive a notification in email advising them an application is ready for review.

Module 4: Committee Administrator

The form would be moved to the Committee Admin either:
- By the Researcher once they have completed capturing information on the form.
- By the Supervisor, after reviewing the form once it was submitted to them by the student.

The form is submitted to the **Committee Admin Post EXCO review** stage for review, the Committee Administrator will be alerted that there are applications that require an initial review**.** They will be prompted to log in and review the application.

Ensure that you've switched your role to **Committee Administrator.**
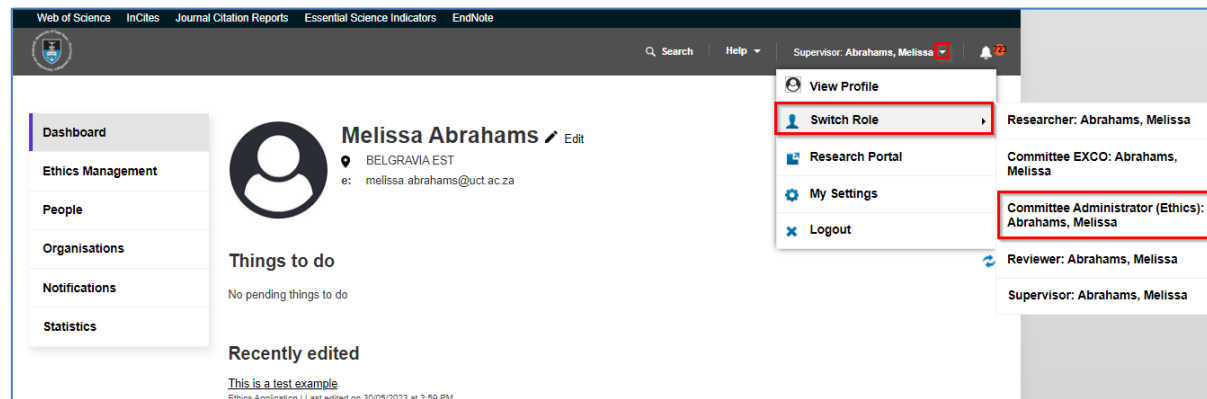
From your list of **Things to do**, click the heading **Ethics application require post-Chair review** to find the relevant application. You may also select the **View All** option to the right of the heading to view all applications currently on that step. Alternatively, by clicking on **Ethics Management** then **Ethics Applications** from the left navigation, you will open a list view of all the applications to be reviewed.

To open an application from the list view, find the relevant application and click **Edit/Open** to access it.

The **Committee Administrator** is required to navigate through all the respective tabs to check the information which has been captured by the previous role/s, noting the areas where comments can be left in text boxes provided as well as spaces where files can be uploaded.

Then, click on **More** (or guided by the blue drop down arrow) and navigate to the **REC Review** tab.

The first action would be for the Committee Admin to generate the proposal number (protocol) for the ethics application by ticking the check box provided.

Scroll down and click the plus sign for **Review Sheets**

Select an Ethics application to link to from the search list

Scroll down then select a **Reviewer Type** in this case **Primary** and link a **Reviewer** by clicking on the blue plus sign

A committee will automatically be linked to this review sheet once the sheet is sent to a stage accessible to the reviewer.

Then, at the bottom of the screen, click Done.

A popup box will appear. From the popup box, select the **Reviewer to complete the review sheet.**
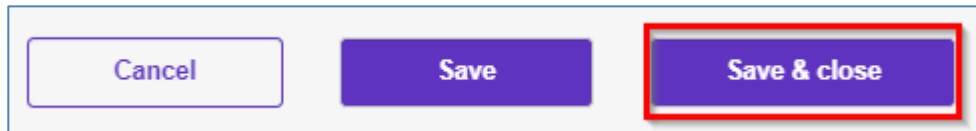
Then, click **Save & close.**

Another popup box will appear from which you will select **Committee review.**

The Reviewer will receive a notification that a review form requires completion.

Module 5: The Reviewer

The Reviewer will receive an email notification advising that there is a review of an application that requires their attention. They will log in to eRA and ensure they switch to the **Reviewer** role.
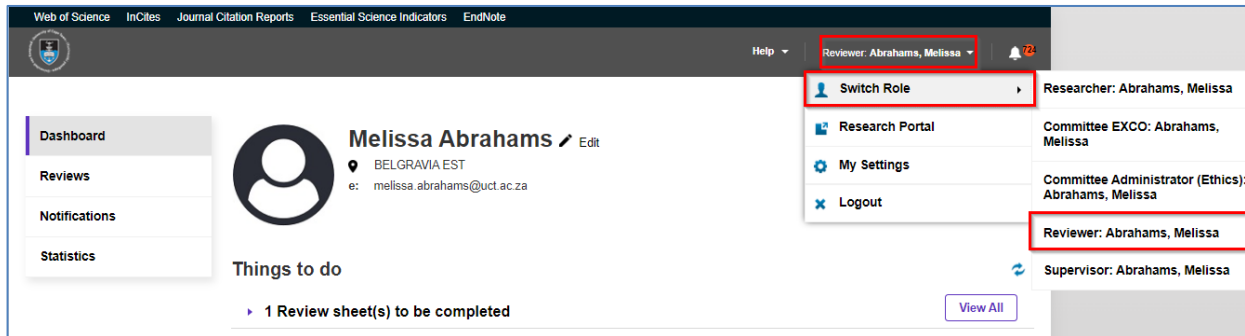
You may peruse the application you would like to review by clicking on the **Ethics Management** tab and navigating to **Ethics Applications** on the left navigation bar before completing the review sheet.

To access the respective review sheet, from **Things to do** on your dashboard, click on the heading **Review Sheet(s) to be completed** and select the relevant application. To open a list view of all the applications to be reviewed, you can also click on **View All** to the left of the heading. Alternatively, from the left navigation, selecting the **Reviews** tab will also take you to a list view of all review sheets assigned to you.
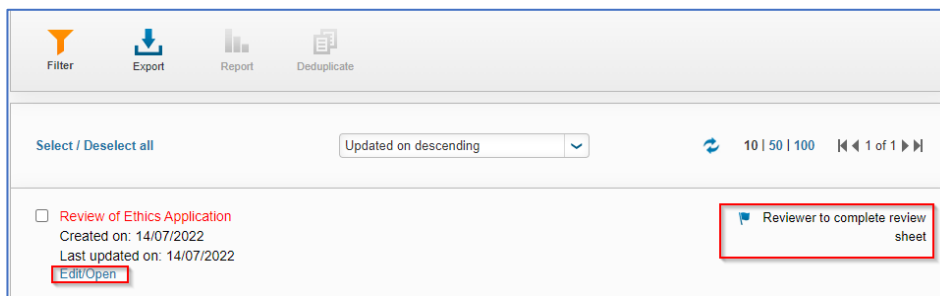
From the list view, select the review sheet you wish to complete by clicking on **Edit/Open**.

On the **Key Information** tab, you will have the opportunity to peruse the full ethics application before you continue with your review. To do so, click the ***pencil icon*** next to the title of the research project. This will open the full ethics application. To exit the full application, click **Back** at the bottom of the page. You will be returned to the review form.

The Reviewer will navigate to the **Review Assessment** tab and complete all the appropriate fields

At the bottom of the screen the Reviewer will make their decision. Once done, the Reviewer will click **Save & close**.

A popup box will appear.
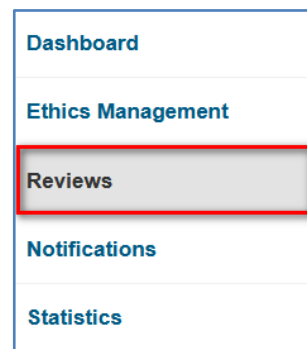
The reviewer has the following options available:

1. Should the reviewer wish to decline to complete the review, the form can be sent to the **Review Declined** step.
2. Select **Review complete by Reviewer** to return the review form to the committee EXCO for review and final comments.

Module 6: Review by Committee EXCO

The **Committee Exco** will receive an email notification advising that there is a completed review sheet for an ethics application (post-reviewer's input) that requires their review and feedback. They will log in to eRA and ensure they switch their role to **Committee Exco**.
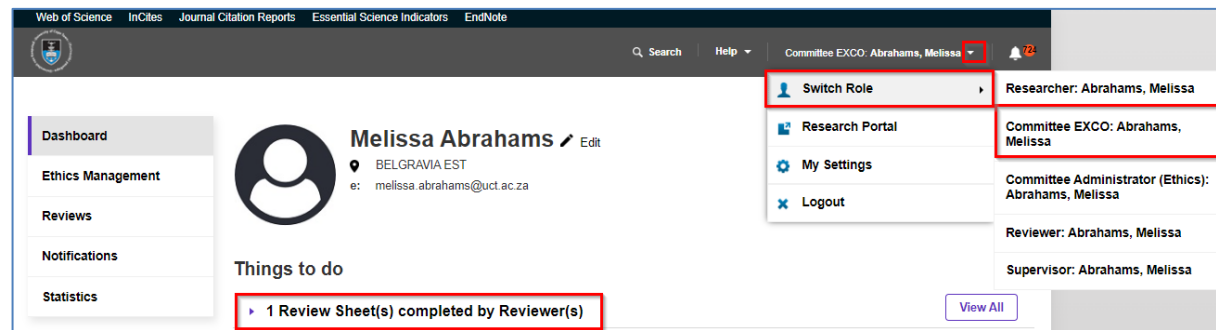
To access the respective review sheet, from **Things to do** on the dashboard, click the heading **Review Sheet(s) completed by Reviewer(s)**. For a list view of all review sheets to be reviewed, click on the View All option to the left of the heading. Alternatively, the Committee EXCO can also access the review sheets from the left navigation by clicking on **Ethics Management** then **Reviews**.

A list of reviews will be displayed. Select the application they would like to view by clicking on **Edit/Open** to open the form.

After checking the **Key Information** and **Reviewer Assessment** tabs, the Committee EXCO may insert their comments and recommendations in the **Feedback** tab. Then, click **Save & close**.

A pop-up box will appear and the Committee EXCO has the following options:

Select **Additional review post-applicant feedback,** which will be sent back to the reviewer for an additional review after clarity is sought by the applicant.

If satisfied, the Committee EXCO can select **Review processed.** This will alert the Committee Administrator that the review has been processed, and final preparations can be made for final comments and review.
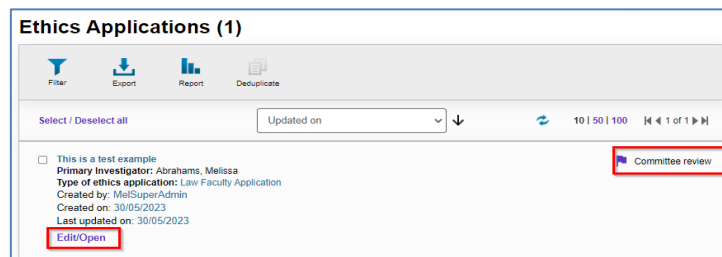
Then, click **Done.**

Module 7: Preparation by Committee Admin for final review

Once the Committee EXCO has finalised their review of the review sheet and moved it to the Review processed stage, the Committee Administrator will be alerted to this, and if there are no points of clarity needed, can prepare the ethics application for a final review by the Committee EXCO.
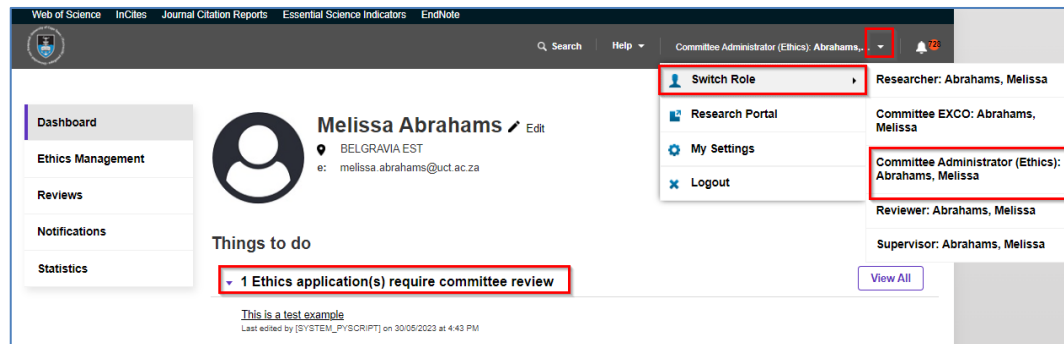
Ensure that you are logged in with the **Committee Administrator** role. You can find your application from the **Things to do** under the heading **Ethics application(s) require committee review** or click **View All** to open a list of all ethics applications currently on this step. Alternatively, you can find the application you would like to review by clicking on the **Ethics Management** tab and navigating to **Ethics Applications** on the left navigation bar.

A list of all Ethics applications will be displayed. Select the form you would like to review in the list by clicking on **Edit/Open** to open the form.

The Committee Administrator is required to navigate to the **Rec Review** tab by clicking on **More** (or guided by the purple drop-down arrow), to check the information which has been captured.

If there are any additional comments to make, they can be made in the comments box at the bottom of the screen.

The **Committee Administrator** clicks on **Save and close** and a pop-up will appear. Select **Committee EXCO final review**, then click **Done.**

Module 8: Exco Final Decision

The ethics application will be moved to the Committee EXCO who will receive an email notification and log in to eRA.

Please ensure that you have switched your role to **Committee EXCO**.
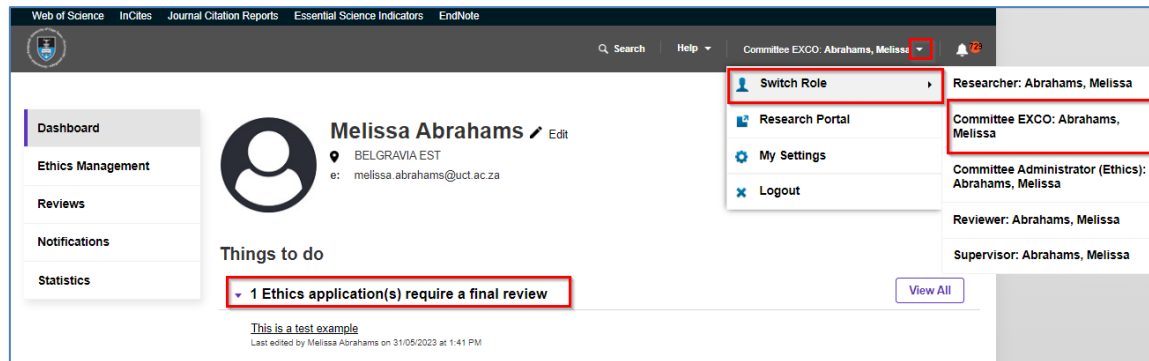
You can find your application from the **Things to do** under the heading **Ethics application(s) require a final review** or click **View All** to open a list of all ethics applications currently on this step. Alternatively, you can find the application you would like to review by clicking on the **Ethics Management** tab and navigating to **Ethics Applications** on the left navigation bar.
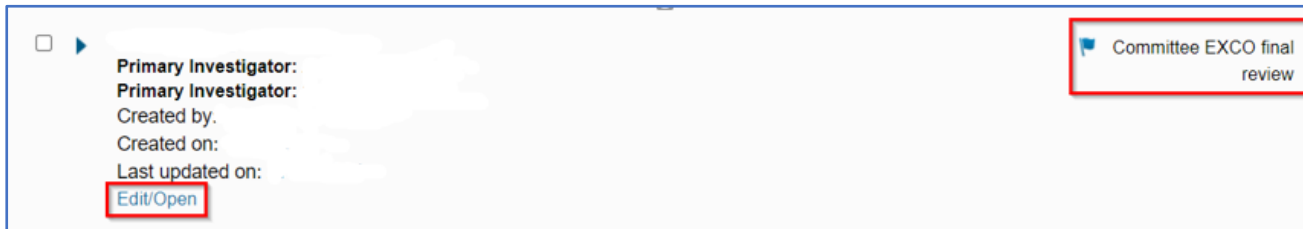
A list of all Ethics applications will be displayed. Select the form you would like to review in the list by clicking on **Edit/Open** to open the form.

The Exco navigates to the **More** tab and selects the **Outcome** tab in the navigation.

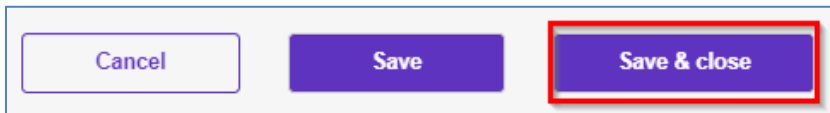Under final decision they can make their selection in terms of the outcome.

Outcome

1. **Approved:** Project can start
2. **Modifications required:** Applicant must respond to queries raised by the REC/reviewers
3. **Lapsed/Withdrawn**
4. **Approved with condition(s):** The project is approved but there are additional requirements, such as gatekeeper permission, which must be fulfilled before the project can start. It is the responsibility of the

applicant to ensure these conditions are complied with before the project begins. In some instance additional information will need to be supplied to the REC

5. **Rejected**

After the outcome is reflected, the Committee EXCO will provide more details under the section that relates to the outcome reflected.

Then, click **Save & close**.

A popup box will appear. The **Committee Exco** has the following options available depending on what was decided:

- **Not approved**
- **Approved with conditions**
- **Approved active**

  Send here if application is fully approved by Ethics Chair, or if application has been exempted from ethical review or if you are submitting an Amendment or Renewal.

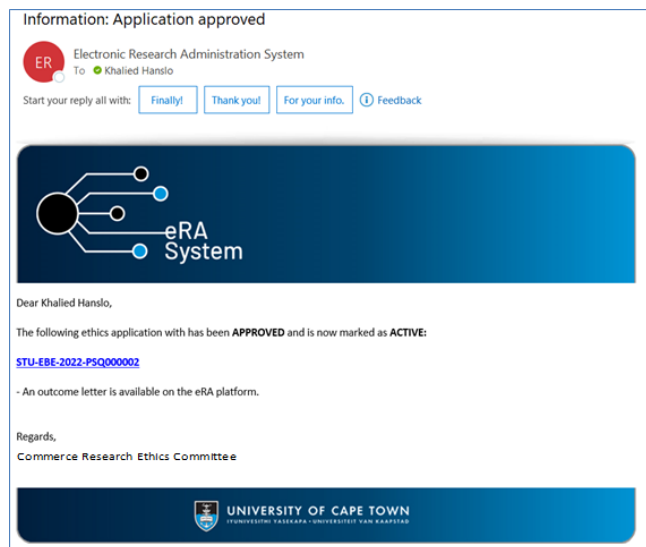- **Approved - "expired"**

  Send expired applications here

- **Approval suspended pending incident review**

 Send here if approval has been suspended pending outcome of incident investigation.

Then, click **Done**.

The Researcher or student will receive an email notification of the outcome and the letter is retrievable directly from the system by the applicant.

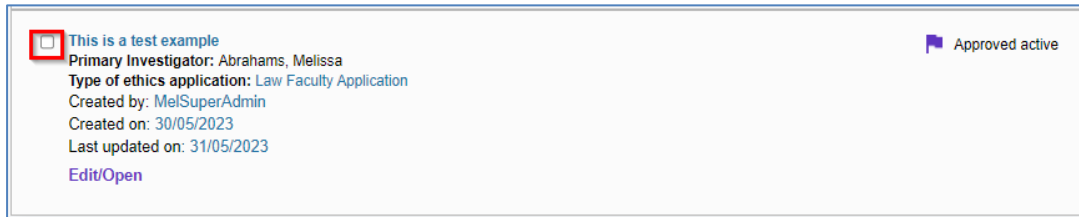# Module 9: Generating the outcome letter

Once the outcome of the application has been decided, the applicant can generate the outcome letter directly from the system. To do this, login to the eRA system and ensure that you are using your **Researcher** role.
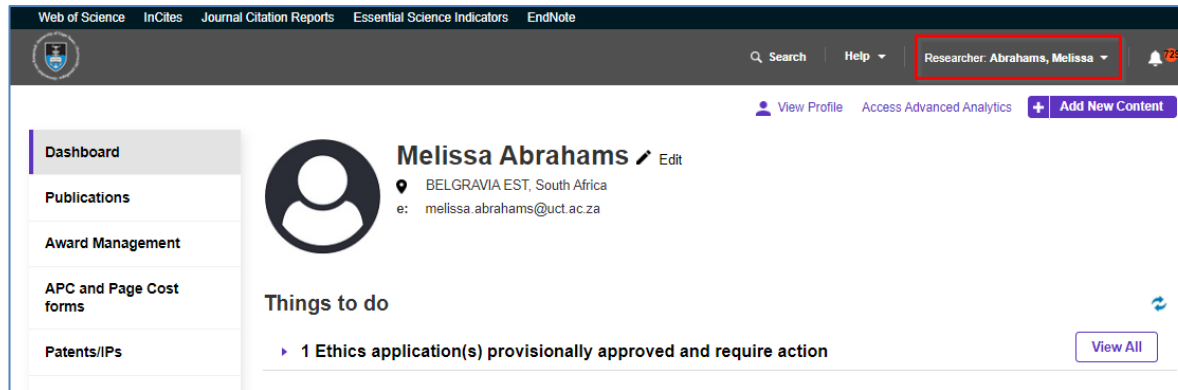
Using the left navigation, click on **Ethics Management**, then **Ethics Applications** to view a list of all applications that have been submitted over time.
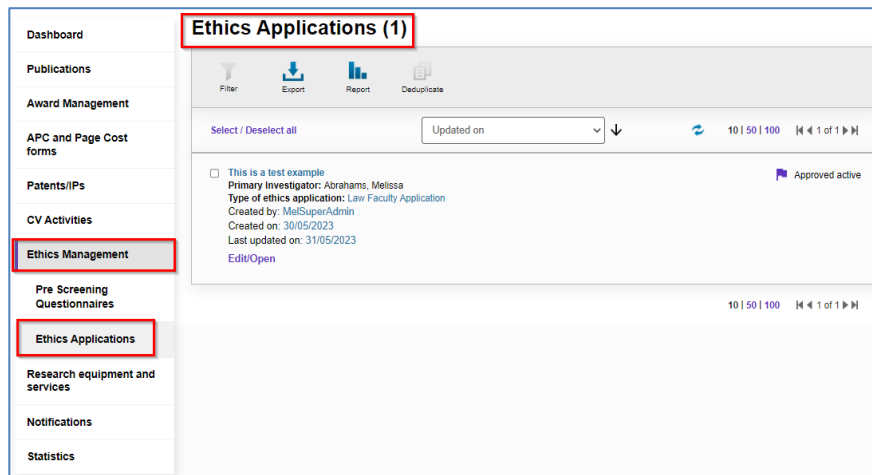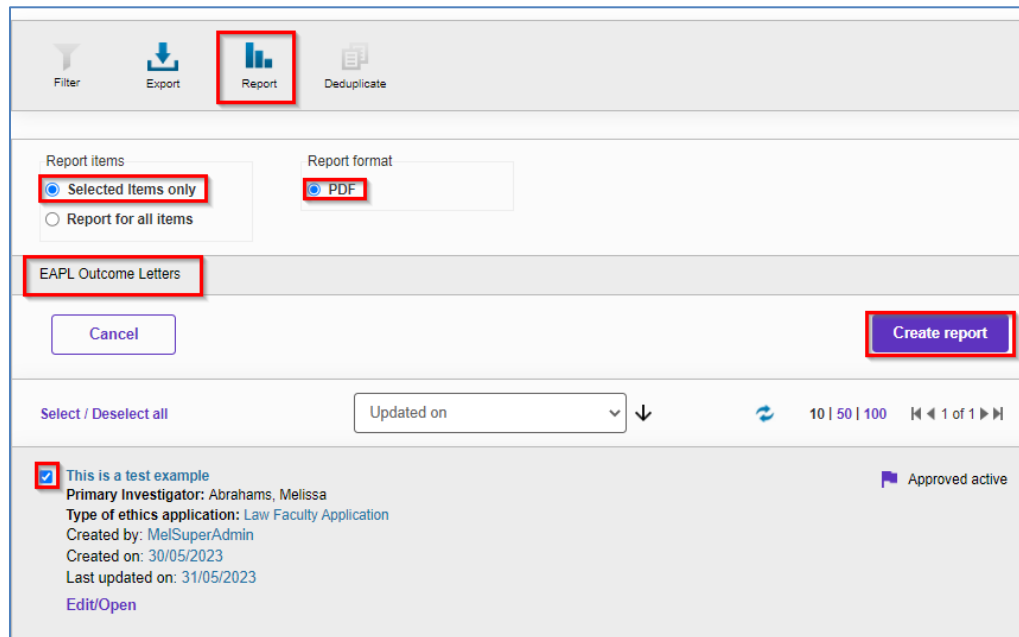
Select the application you would like to generate the letter for by clicking on the associated tick box.
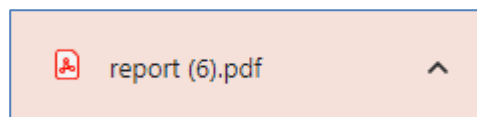

Click the **Report** button in the action bar. *Reported items* should be for **Selected items only** and *Report format* should be **PDF**.

Select the **EAPL Outcome Letters** option, then click **Create Report**.

The outcome letter will generate and should either appear in the downloads bar in your browser or will save directly to your Downloads folder on your computer.

Accessing the FAQ and Logging a call on ServiceNow

Please use the frequently asked questions (FAQ) to quickly check for solutions to common problems.
If you can't find the information that you need on the FAQ, you can log a call through Service Now.

Accessing eRA Information

Go to the research support hub: http://www.researchsupport.uct.ac.za/

Logging a Call on ServiceNow

From the Research Support Hub, go to Log a call for eRA Support: https://uct.service-now.com/navpage.do