

electronic
Research
Administration



eRA Law Faculty Ethics Application Process Manual

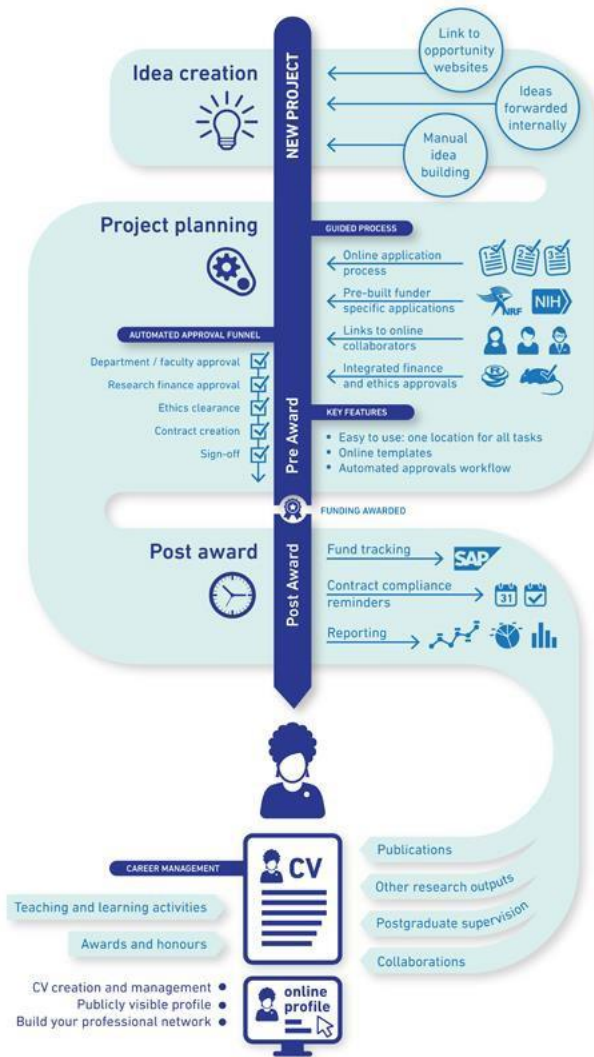
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About eRA

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.



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

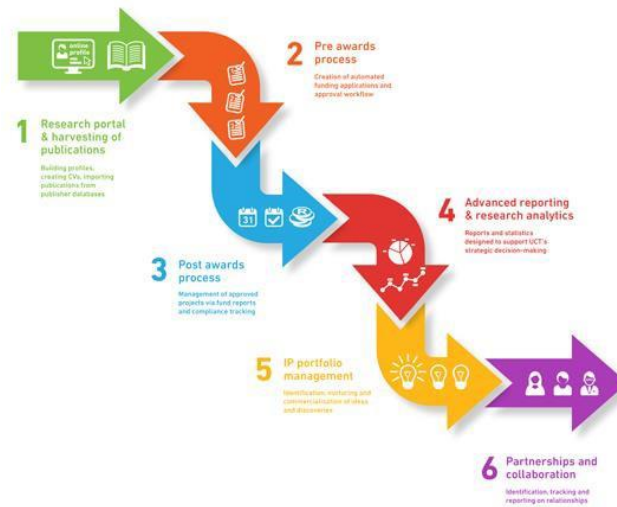
- a 'one-stop shop' to manage and track the administrative workflow within a project lifecycle and beyond
- user-friendly software that guides them from the point where an idea is born and a funding opportunity identified, through to post-publication with automatic CV updates
- streamlined and automated workflows, where all parties involved – including ethics, finance, and research contracts – are automatically notified of a project application coming their way
- the opportunity to track their applications and approvals through the automated process, reducing the risk of an application lying unseen in an inbox
- 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

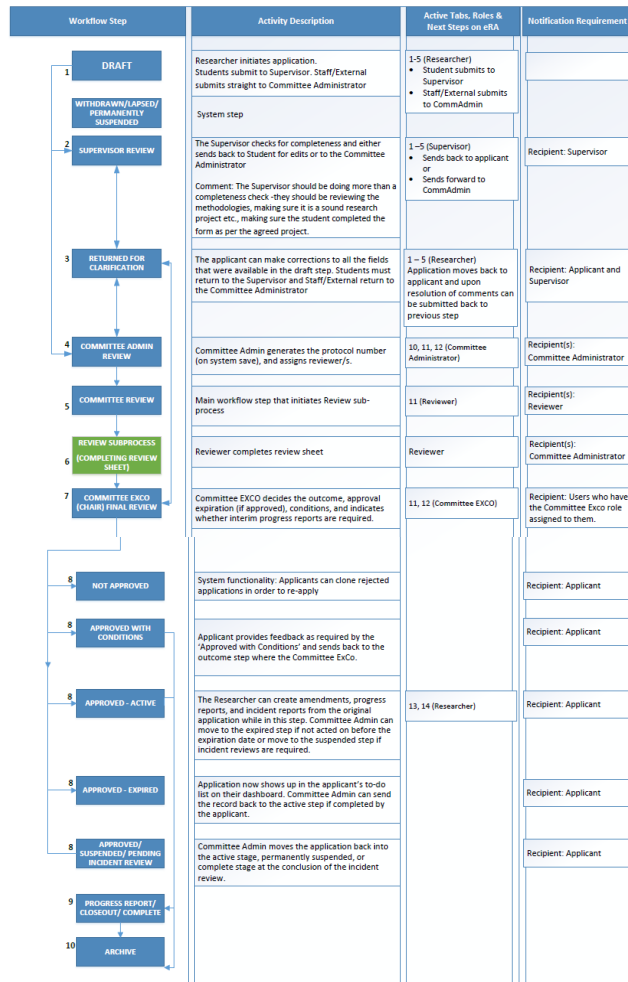
The implementation of eRA is freeing up resources so that UCT can offer more comprehensive research support and more efficient administration. eRA will allow for:

- 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



Differentiation of roles

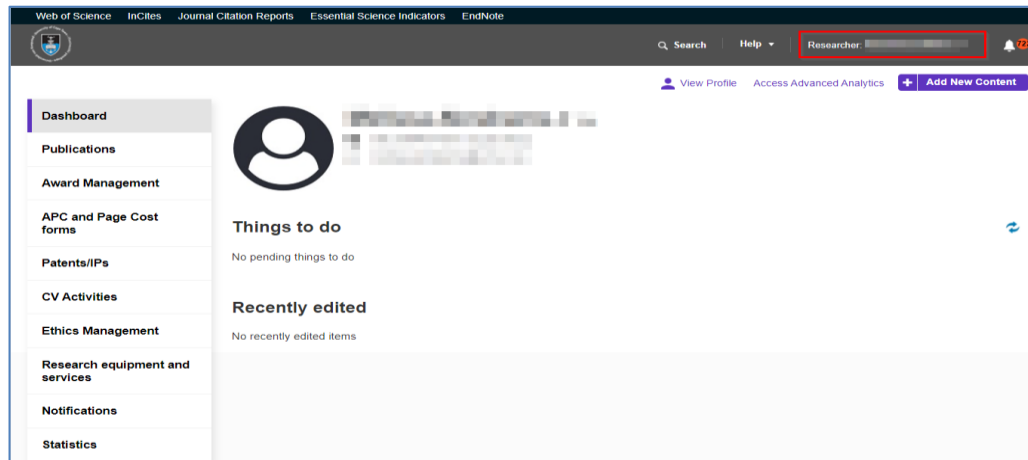
| Role Name | Description | Entry Point |
|--------------------------------|---|--------------------|
| Researcher | <p>Anyone can create an Ethics Application form by virtue of being a Researcher on the eRA system. Once an initial Ethics Application form has moved beyond the <i>Draft</i> step, and for 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:</p> <ul style="list-style-type: none"> • 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. | <i>Person</i> |
| Committee Administrator | <p>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.:</p> <ul style="list-style-type: none"> • 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. | <i>Person</i> |
| Committee Administrator | <p>The Committee Administrator role is also required to maintain the list of EXCO members, and</p> | <i>Person</i> |

| Role Name | Description | Entry Point |
|-----------------------|---|--------------------|
| (cont.) | <p>the list of Administrator staff on the related online Committee Form.</p> <p>(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.)</p> | |
| Committee EXCO | <p>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:</p> <ul style="list-style-type: none"> • 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. <p>(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.)</p> | <i>Person</i> |
| Supervisor | <p>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.</p> | <i>Person</i> |
| Reviewer | <p>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.</p> | <i>Person</i> |

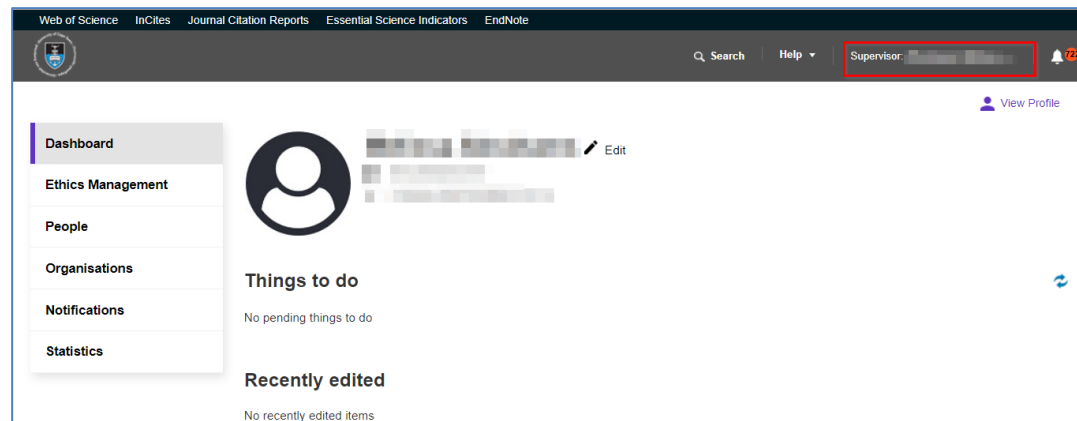
Dashboards for different roles

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

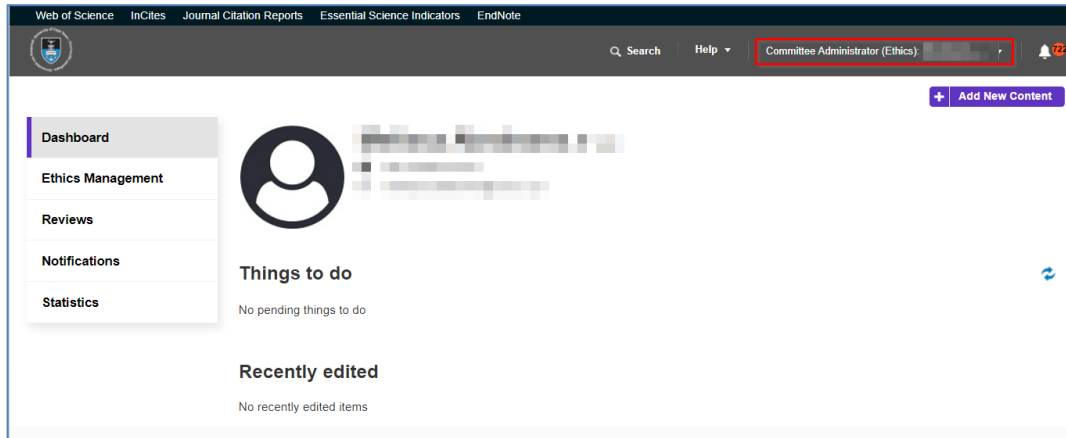
1. Researcher



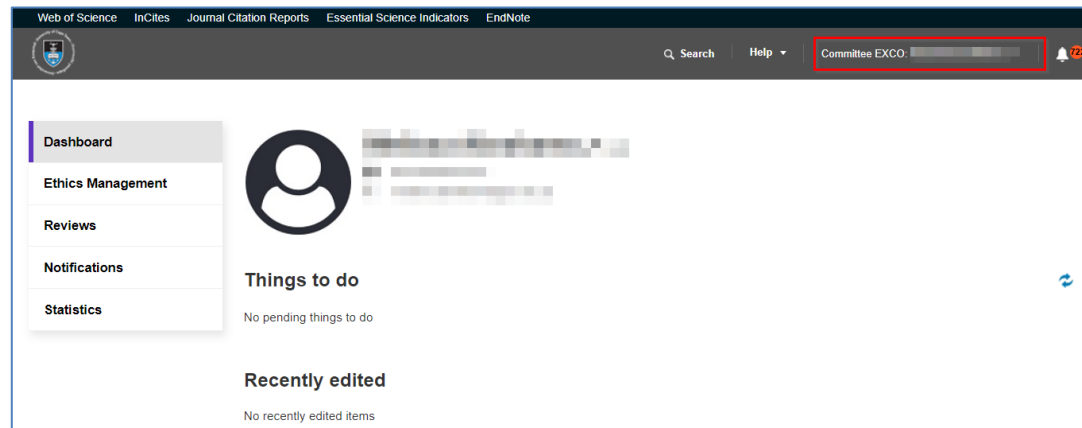
2. Supervisor



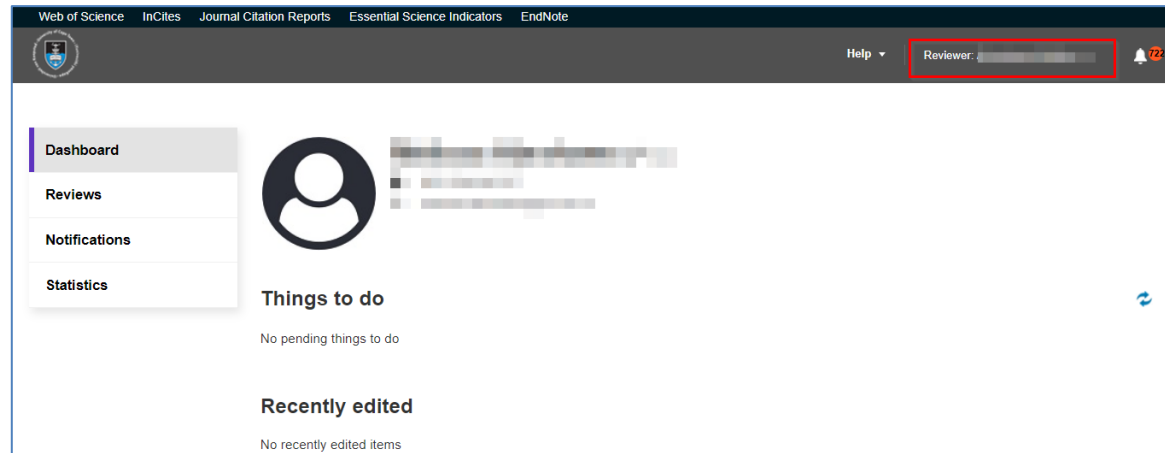
3. Committee Administrator



4. Committee EXCO



5. Reviewer



Module 1: Logging on to the eRA system


- **Lesson Objectives:**
- Learn how to log in to the eRA system

The screenshot shows the UCT Research Portal interface. At the top right, there are links for 'Login' and 'Accessibility'. The main header displays 'UCT Research Portal' and the University of Cape Town logo. Below this is a navigation menu with options like 'UCT', 'Research support hub', 'Research & innovation', 'UCT libraries', and 'UCT eResearch'. On the left, a vertical sidebar lists various categories such as 'Home', 'People', 'Faculties and departments', 'UCT research outputs', 'Research equipment and services', 'Research keywords', 'SDGs', and 'Support'. The central content area features a 'Welcome to the University's Research Portal' message, followed by a 'General search' section with a search icon, a text input field, and a 'Search' button.

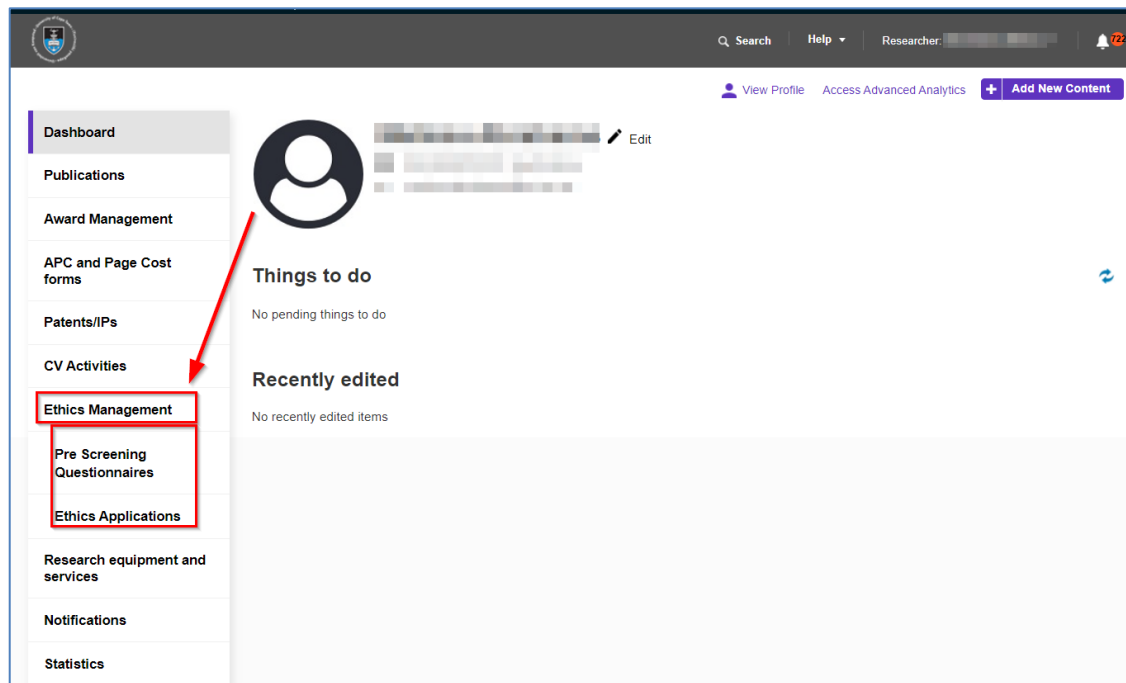
Access the eRA system by using this link: https://eraonline.uct.ac.za/converis/portal/overview?lang=en_GB

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.



Search Help Researcher: [redacted] 722

[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

 [redacted] Edit

Things to do

No pending things to do

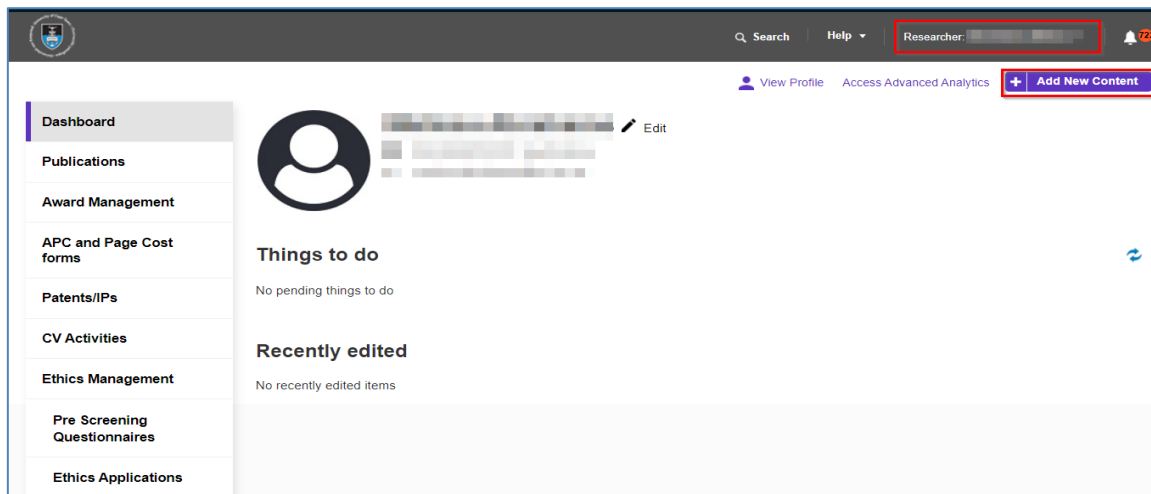
Recently edited

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.

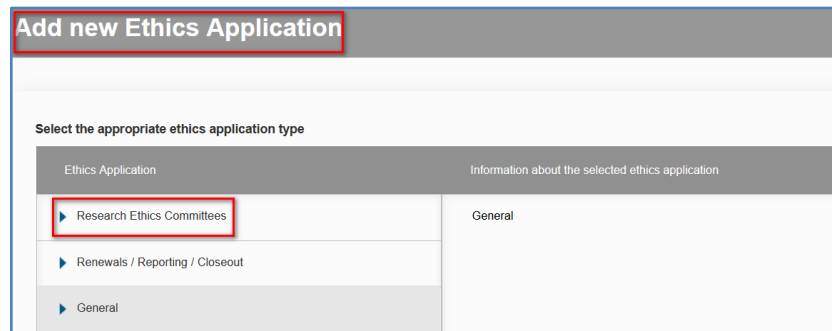
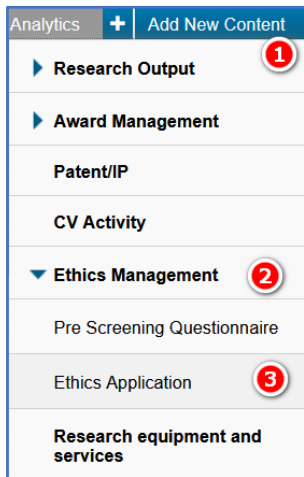


The dashboard has the **Ethics Submissions** tab on the left-hand side which will lead you to all existing Ethics submissions submitted over time. This is a dashboard that the researcher will see.

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.Key Information * 2. Project Details * 3. Research Methodology More ▾

Please note that you will not be able to proceed with a full ethics application while a pre-screening questionnaire is in progress

NB: All sections must be completed. If N/A please indicate so. If any section is left blank, your application will be sent back for completion.

Student or Researcher application *

Please indicate if your application is in your capacity as a student or as a researcher/post-doctoral fellow. All student applications need to be approved by their supervisor(s). If you choose the incorrect option, this will delay the processing of your application.

Select type of applicant ▾ **1**

Is this specifically for degree or any other qualification purposes?

If you answer yes, and you are both a staff member and a student, please ensure that you are logged in to your student profile.

Select yes or no ▾ **2**

If yes, please state level of degree

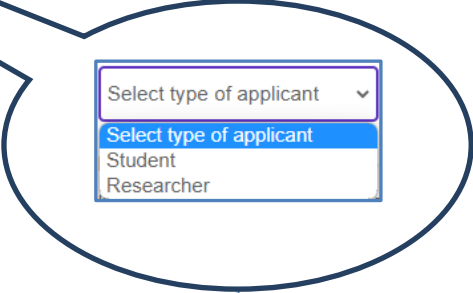
Select level of education ▾ **3**

Other degree not listed above

4
0/60

Type of ethics application

Law Faculty Application ▾ **5**



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

6

0/8

For proposal reference number (protocol)
This is a system-generated number used for approvals

7

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 8

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 9

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

10

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.

+ 11

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 12

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

13

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**

0/3500

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.

+ 16

Co-Investigators

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

+ 16

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.

+ 16

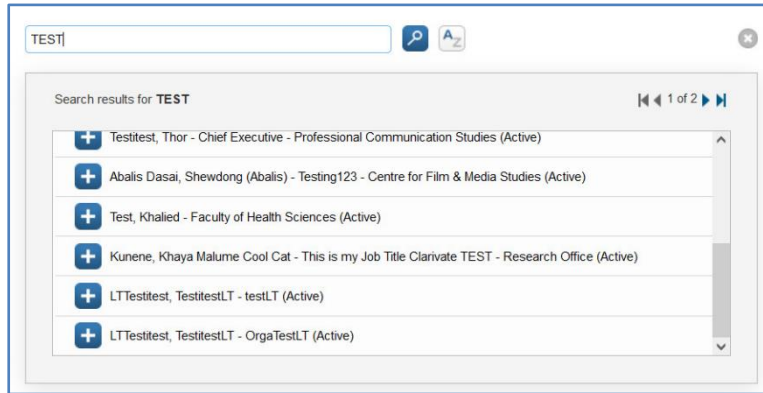
Does this study need to be submitted to another ethics committee for approval?

Select yes or no

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)

0/3500

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.

1. Key Information * **2. Project Details *** 3. Research Methodology More ▾

Insert the full title of your research proposal. If all your information was not added to your proposal document please add it here in the comments boxes provided.

Full title of research project (No abbreviations to be used) *

Research proposal summary (Max 500 words)

Please describe the research site(s) where the project will be carried out, including how you will secure research access for these research sites

Research site(s) where project will be carried out.

Research questions

Specify the research question(s) being evaluated in the project.

Aim/s (what you hope to achieve) and Objective/s (how you will achieve your aim/s) of study. Please list:

Set out your intended plan of work for the research, indicating important target dates necessary to meet your proposed deadline. Please indicate month and year for the study activity

Cancel **Save** Save & close

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.

1. Key Information * 2. Project Details * **3. Research Methodology** More ▾

Does your study cover research involving:

Children

Persons who are intellectually or mentally impaired

Persons who are HIV positive

Persons in captivity

Other vulnerable groups
Vulnerable groups include persons who may not be able to provide valid informed consent for whatever reason (poor literacy levels, poor understanding of research-related concepts, undue influence etc) or could be vulnerable to exploitation. There are many examples such as those highly dependent on medical care, persons living with HIV, stigmatized groups, illegal immigrants and many more. In the text box below please identify which vulnerable participant groups that will be recruited into your study and indicate steps taken to minimize risk of harm.

Please detail steps that will be taken to protect vulnerable participants

03950

Will data collection involve any of the following:

Access to confidential information without prior consent of participants

Participants being required to commit an act which might diminish self-respect or cause them to experience shame, embarrassment, or regret

Participants being exposed to questions which may be experienced as stressful or upsetting, or to procedures which may have unpleasant or harmful side effects

The use of stimuli, tasks or procedures which may be experienced as stressful, noxious, or unpleasant

Any form of deception

Will data collection involve any of the following:

Questionnaire
A questionnaire requires the respondents to read, understand and fill out the answers themselves.

Survey schedule
A schedule is a set of questions that the interviewer asks and records the answers personally. While the order and language of the questions nor the arrangements of the sections of the schedule may not be changed, the interviewer is allowed to explain the questions if the respondent requires clarity.

Interview schedule
(eg. Focus group discussion, key informant interview etc)

Observation schedule

Psychometric test

Other/ equivalent assessment instrument

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 purposes of the research

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

The fact that participation is voluntary

That responses will be treated in a confidential manner

Any limits on confidentiality which may apply

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

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

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

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.

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?

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](#).

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

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

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?

If yes, please explain and provide justification.

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

If yes, please indicate what the conditions are.

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

The screenshot shows the '4. Attachments' tab selected in a navigation bar. Below the navigation bar, there is a warning: 'Please ensure that all relevant documents are attached to this application before submitting for review. The preferred file format is PDF.' The main content area is titled 'Attach information about this study as indicated below:' and contains several sections with 'Upload new file' buttons: 'Please attach your full research proposal here:', 'Attach Participant Informed Consent documents here. For participants from the ages of 6 up to 17, parental documents and child assent forms are required. Translated participant informed consent documents are required where necessary. English versions are to be uploaded initially. Translated versions must be uploaded at a later stage when responding to queries, once the English version has been approved.', 'Attach copies of all research instruments such as questionnaires, interview schedules, data capturing sheets etc. here:', and 'Does your project require gatekeeper permission for example from an organization, business, government department, Health Care Facility or school, etc.? 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.' A dropdown menu with 'Select yes or no' is highlighted with a red box. Below this is a large text area for providing details and attaching gatekeeper permission letters. At the bottom, there is another 'Upload new file' button.



This screenshot shows a section titled 'Attach information about any previous applications that are related to this one as indicated below:'. It includes instructions: 'If the previous study is not in the system, attach it here.' and 'Where a re-submission is required for a current study, please attach a file highlighting the changes made.' There are two 'Upload new file' buttons. Below this is a section for 'Data Management Plan' with instructions to 'Upload the Data Management Plan here' and an 'Upload new file' button. The final section is 'Please attach any other supporting documents that may be required:' with instructions to 'Please attach any other supporting documents that may be required' and an 'Upload new file' button. At the bottom, it says 'Outcome letters (Only administrators can upload):'.

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

The screenshot shows three buttons: 'Cancel', 'Save', and 'Save & close'. The 'Save' button is highlighted with a red box.

Declaration and Faculty Review tab

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

| | | | | |
|---|----------------------|-------------------------|--|-----------------------------------|
| 1.Key Information * | 2. Project Details * | 3. Research Methodology | 4. Attachments  | |
| <p>Please ensure that all relevant documents are attached to this application before submitting. Accepted document format is PDF.</p> <p>Attach information about this study as indicated below:</p> <p>Please attach your full research proposal here:</p> <p>Upload new file </p> <p>Attach Participant Informed Consent documents here. For participants from the ages of 6 up to 17, translated participant informed consent documents are required where necessary. English versions must be uploaded at a later stage when responding to queries, once the English version has been approved.</p> | | | | |
| | | | | 5. Declaration and Faculty Review |
| | | | | 6. REC Review |
| | | | | 7. Outcome |
| | | | | 8. Amendments |
| | | | | 9. Renewals/Reporting Closeout |

| | | | |
|--|----------------------|-------------------------|---|
| 1.Key Information * | 2. Project Details * | 3. Research Methodology | 5. Declaration and Faculty Review  |
| <p>Declaration by applicant:</p> <p>I have read and understood UCT's Responsible Conduct of Research Policy, UCT's Research Ethics Code for Research Involving Human Participants, UCT's Authorship Practices policy, and the relevant research ethics codes in my faculty and/or department.</p> <p><input type="checkbox"/></p> <p>I will conduct this research according to all ethical, regulatory and legal requirements as well as national and international codes and guidelines in my discipline.</p> <p><input type="checkbox"/></p> <p>I undertake to carry out my research in such a way that:</p> <p>The research will not compromise staff or students or the interests of the university and, will not compromise the participants or the community being studied</p> <p><input type="checkbox"/></p> <p>The findings could be subject to peer review and will be publicly available</p> <p><input type="checkbox"/></p> <p>I will respect intellectual property rights and avoid any practice that would constitute plagiarism</p> <p><input type="checkbox"/></p> | | | |

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 not aware of any current or future conflicts of interests

As the principal researcher in this study, I hereby declare that I am aware 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 interest, please provide details here:

I expect the project to be completed by:

Ethics application submission date

This date will be automatically generated after submission

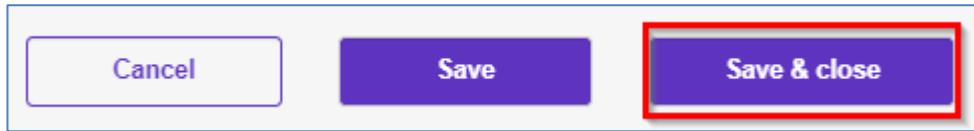
09/06/2022

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



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

Set status

Enter a comment about the status change (optional).

0/1024

Draft
Choose this status if you wish to continue working on this record at a later stage.

Supervisor review
Select this status for all student applications only. Your supervisor needs to review your ethics application before it can proceed to subsequent steps.

Committee Admin post EXCO review
Send reviewed application to Ethics Admin for processing.

Cancel Done

Set status

Enter a comment about the status change (optional).

0/1024

Draft
Choose this status if you wish to continue working on this record at a later stage.

Supervisor review
Select this status for all student applications only. Your supervisor needs to review your ethics application before it can proceed to subsequent steps.

Committee Admin post EXCO review
Send reviewed application to Ethics Admin for processing.

Cancel Done

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

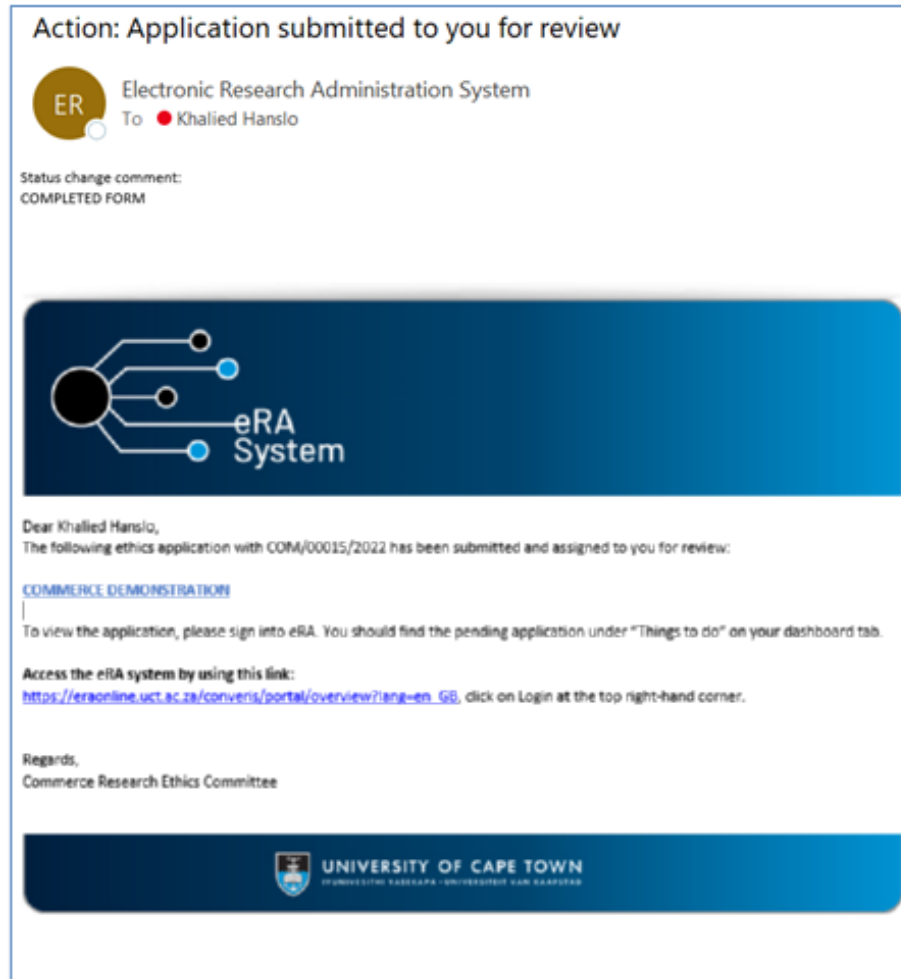
If the applicant is a student, the student can select **Supervisor review**. This will send a notification to the **Supervisor** to alert them that there is a form for them to review. (Navigate to Module 3).

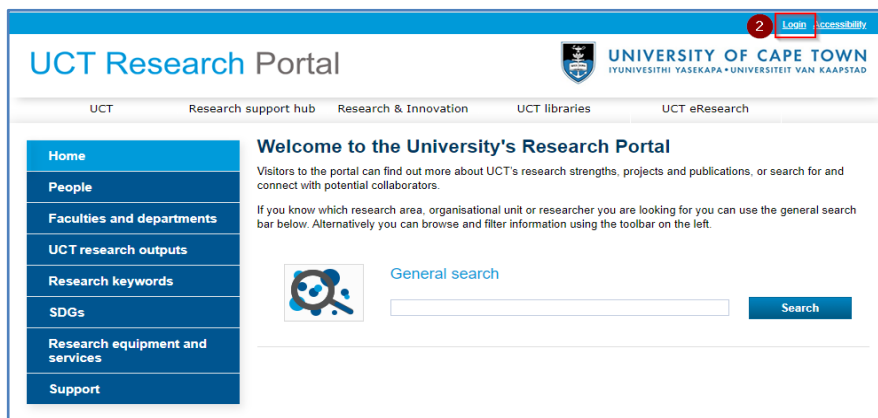
If the applicant is a researcher, the form can be sent to the **Committee Admin post EXCO review** stage. (Skip Module 3 and move to Module 4)

Module 3: Supervisor

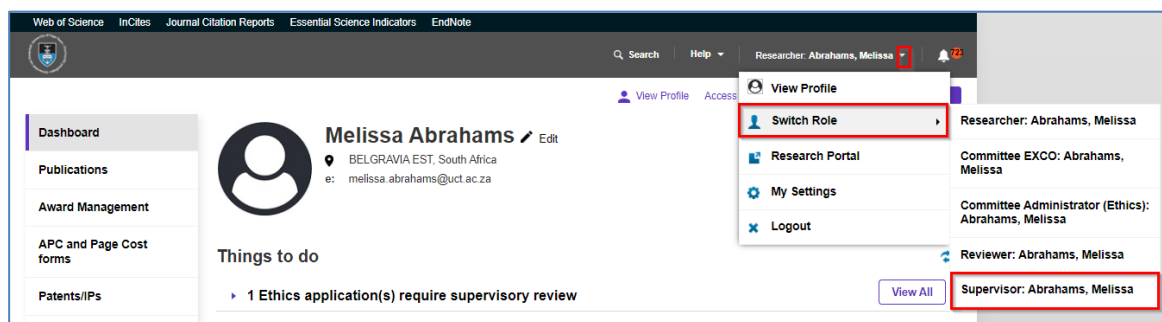
(Consult this module if the applicant is a student)

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.

1. Key Information * 2. Project Details * 3. Research Methodology More ^

4. Attachments

5. Declaration and Faculty Review

6. REC Review

7. Outcome

8. Amendments

9. Renewals/Reporting Closeout

Student or Researcher application *

Student

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.

Supervisor Approval

Do you support this application?

Select yes or no

Yes

No

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

Cancel Save Save & close

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.

The screenshot shows a 'Set status' dialog box. At the top, there is a text input field with the placeholder text 'Enter a comment about the status change (optional)'. Below this is a scrollable list of status options. The first option is 'Draft' with the description 'Choose this status if you wish to continue working on this record at a later stage.' The second option is 'Supervisor review' with the description 'Select this status for all student applications only. Your supervisor needs to review your ethics application before it can proceed to subsequent steps.' The third option, 'Committee Admin post EXCO review', is highlighted with a red box and has the description 'Send reviewed application to Ethics Admin for processing.' At the bottom of the dialog, there are two buttons: 'Cancel' and 'Done', with the 'Done' button also highlighted by a red box.

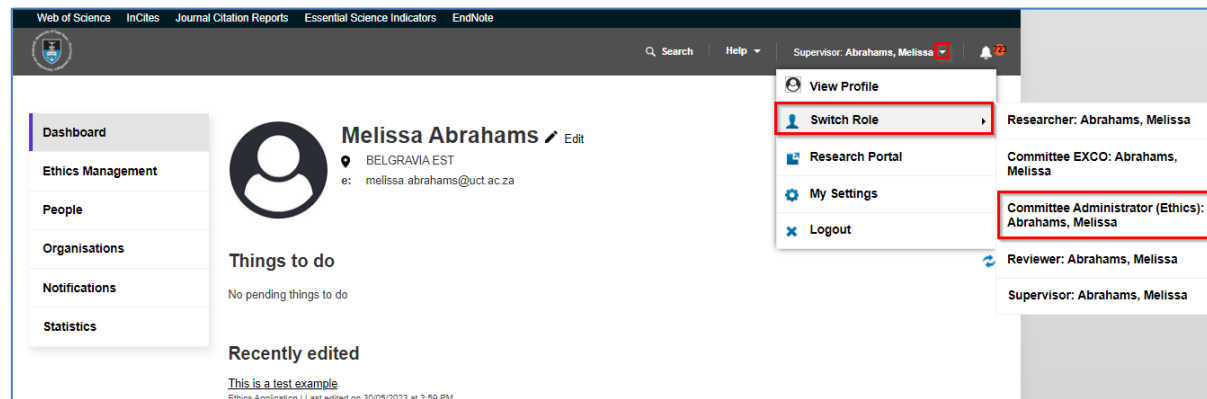
Module 4: Committee Administrator

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.

The screenshot shows a data management interface with the following elements:

- Top navigation bar: Filter, Export, Report, Deduplicate.
- Control bar: Select / Deselect all, Updated on descending (dropdown), Refresh, 10 | 50 | 100, Page navigation (1 of 2).
- Application list:
 - Final Notifications Test in DEV** (Supervisor review)
 - Primary Investigator: Ncube, Mbongeni
 - Primary Investigator: Keith, Kim
 - Primary Investigator: Deyzel, Simoné
 - Primary Investigator: Sauer, Paula
 - Primary Investigator: Seale, Tina
 - Primary Investigator: Hanslo, Khalied
 - Primary Investigator: Abrahams, Melissa
 - Type of ethics application: IFREC Application
 - Created by: mbongeni.ncube1
 - Created on: 17/02/2022
 - Last updated on: 12/07/2022
 - Edit/Open** (highlighted with a red box)
 - Paula PSQ Test 06May 2022 (will be fine)** (Departmental Authority review)
 - Primary Investigator: Ncube, Mbongeni
 - Type of ethics application: IFREC Application
 - Created by: mbongeni.ncube1
 - Created on: 26/04/2022
 - Last updated on: 09/05/2022
 - Edit/Open

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

The screenshot shows an application form with the following sections and a dropdown menu:


- Form tabs: 1. Key Information *, 2. Project Details *, 3. Research Methodology, **More** (dropdown menu).
- Text: Please note that you will not be able to proceed with a full ethics application while a pre-sc...
- Text: NB: All sections must be completed. If N/A please indicate so. If any section is left blank, your app...
- Section: **Student or Researcher application ***
 - Text: Please indicate if your application is in your capacity as a student or as a researcher/post...
 - Text: applications need to be approved by their supervisor(s). If you choose the incorrect option...
 - Text: your application.
 - Dropdown: Student
 - Text: Is this specifically for degree or any other qualification purposes?
- Dropdown menu items:
 - 4. Attachments
 - 5. Declaration and Faculty Review
 - 6. REC Review** (highlighted with a red box)
 - 7. Outcome
 - 8. Amendments
 - 9. Renewals/Reporting Closeout

| | | | |
|---------------------|----------------------|-------------------------|-----------------|
| 1.Key Information * | 2. Project Details * | 3. Research Methodology | 6. REC Review ▾ |
|---------------------|----------------------|-------------------------|-----------------|

Generate proposal number (protocol)

Review Sheets

The Research Ethics Committee Administrator must create Review Sheet(s) for Reviewer(s) by clicking on the + and then + below. A Supervisor should not be added as a Reviewer.



Committee

This application will be automatically linked to a Research Ethics Committee

Law Research Ethics Committee



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.

Generate proposal number (protocol)

Review Sheets

The Research Ethics Committee Administrator must create Review Sheet(s) for Reviewer(s) by clicking on the  and then  below.


   

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


1. Key Information * | **2. Reviewer Assessment** | **3. Feedback**

Review sheets should only be created from the application they are reviewing.

Type of Review Sheet
For system use only




Ethics Application
Committee Administrator to link associated ethics application.




Title of related submission
For system use only


Reviewer type



Reviewer *
Please select one reviewer below, then click done to send it to this individual for completion.



Committee
The committee will automatically link to this review sheet after it is sent for review.



Review sheets should only be created from the application they are reviewing.

Type of Review Sheet
For system use only

Review of Ethics Application

Ethics Application
Committee Administrator to link associated ethics application.

STU-EBE-2022-PSQ000002

Search results for STU-EBE-2022-PSQ000002

+ STU-EBE-2022-PSQ000002

Select an Ethics application to link to from the search list

Reviewer type

Select type

Select type

Primary

Secondary

Other

w, then click done to send it to this individual for completion.

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

Reviewer *

Please select one reviewer below, then click done to send it to this individual for completion.

Committee

This application will be automatically linked to a Research Ethics Committees

Commerce Research Ethics Committee

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.

Back Done

Set status

Enter a comment about the status change (optional).

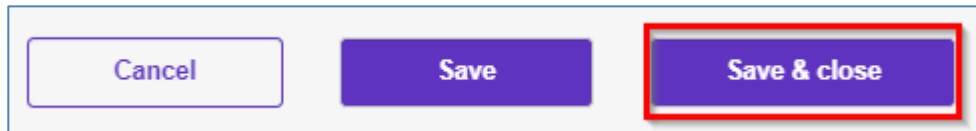
0/1024

Draft

Reviewer to complete review sheet
Assign the review sheet to the Reviewer.

Cancel Done

A popup box will appear. From the popup box, select the **Reviewer to complete the review sheet**.



Set status

Enter a comment about the status change (optional).

0/1024

Returned for clarification
Send back to Applicant for clarification, additional information or outstanding documents.

Committee Admin post EXCO review
Send reviewed application to Ethics Admin for processing.

Committee review
Send application to Committee Reviewers for comments or feedback.

Cancel **Done**

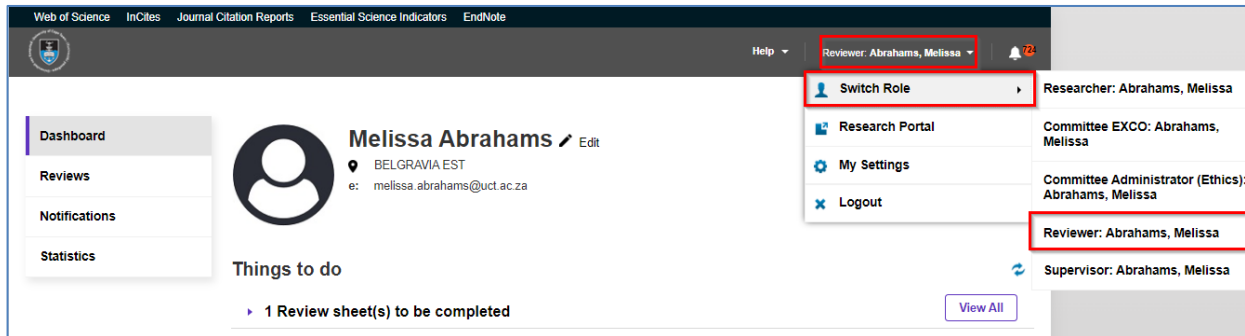
Then, click **Save & close**.

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

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

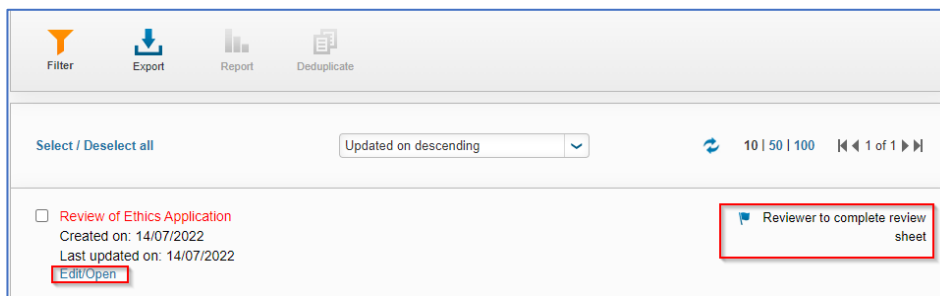
Module 5: The Reviewer

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**.

| | | |
|----------------------|------------------------|-------------|
| 1. Key Information * | 2. Reviewer Assessment | 3. Feedback |
|----------------------|------------------------|-------------|

Review sheets should only be created from the application they are reviewing.

Ethics Application

- Committee Administrator to link associated ethics application. *Use the title of the research project to search in the field below.*
- Reviewers must ensure that the Ethics Application below is set to the Committee Review status.

| Full title of research project (No abbreviations to be used) | Status | |
|--|------------------|---|
| This is a test example | Committee review |  |

Title of related submission
For system use only


0/1024

Reviewer type

Primary ▼

Reviewer *

Please select one reviewer below, then click done to send it to this individual for completion.

| Name | Organisation | |
|-------------------|------------------------|---|
| Abrahams, Melissa | Research Office (PASS) |  |

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.

1. Key Information * **2. Reviewer Assessment** 3. Feedback

Reviewer Comments

Synopsis

1. Is this application complete? Has the applicant submitted: a cover letter summarising the application, a copy of the research proposal, if appropriate, the questionnaire to be used in the research, if appropriate, an informed consent form?
2. Indicate if the documents submitted and responses to the form are adequate to make an assessment of this application?
3. Comment on whether the applicant has explained the ethical issues that arise from the proposed research:
 - Adequately
 - Explained, but vague and unclear
 - Inadequately, ethical issues have been ignored or not explained.

Queries

After having reviewed the application, are there any queries you have for the applicant? Please indicate if additional information is required.

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

Reviewer's Final Assessment

Please select one of the following ratings from the drop-down list provided:

1. **Approved - no changes:** There is an acceptable risk: benefit ratio and the protocol is acceptable as submitted.
2. **Approved with stipulations:** There is an acceptable risk: benefit ratio and the protocol is acceptable as submitted, however stipulations as noted in the accompanying comments apply to this approval.
3. **Modifications required - minor changes:** Minor changes needed to consent form or other study materials; minor clarifications regarding specific aspect(s) of study or additional information requested from PI, Chair or designee will approve revisions.
4. **Modifications required - major changes:** Major changes needed as protocol is poorly written, lacking information relating to scientific and/ or ethical aspects, needs to be rewritten and resubmitted.
5. **Not approved:** Risks significantly outweigh the benefit or value of the knowledge to be gained; there are significant ethical concerns or questions that make the study unacceptable.

Select Review Assessment

Select Review Assessment

Approved - no changes

Approved with Stipulations

Modifications required - major

Modifications required - minor

Not approved

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

Cancel Save **Save & close**

Set status

Enter a comment about the status change (optional).

0/1024

Review declined
The Reviewer declines to be a reviewer.

Reviewer to complete review sheet
Assign the review sheet to the Reviewer.

Review complete by Reviewer
The Reviewer has populated the review sheet

Cancel Done

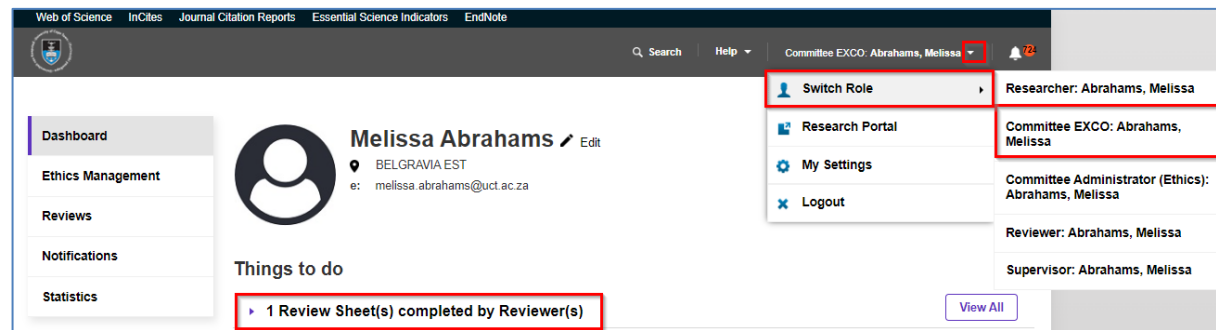
A popup box will appear.

The reviewer has the following options available:

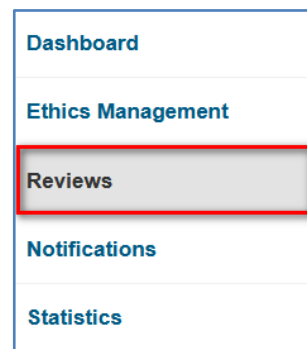
1. Should the reviewer wish to decline to complete the review, the form can be sent to the **Review Declined** step.
2. Select **Review complete by Reviewer** to return the review form to the committee EXCO for review and final comments.

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**.



Review of Ethics Application
Created on: 30/05/2023
Last updated on: 31/05/2023

[Edit/Open](#)

 Review complete by
Reviewer

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

1. Key Information * 2. Reviewer Assessment 3. Feedback

EXCO comments and recommendation

This is approved!

Reviewer response

Please do not edit original comments

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**.

Set status

Enter a comment about the status change (optional).

0/1024

Additional review post-applicant feedback
Save the form in this status once it is ready to be viewed by the Reviewer

Review complete by Reviewer
The Reviewer has populated the review sheet

Review processed

Cancel Done

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

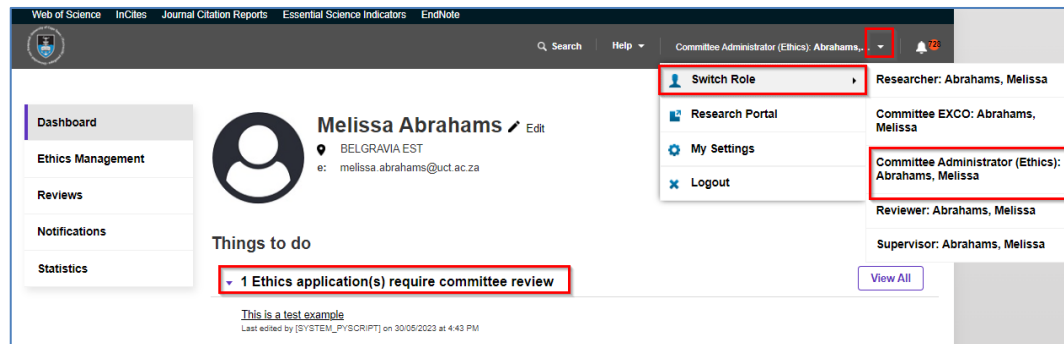
Select **Additional review post-applicant feedback**, which will be sent back to the reviewer for an additional review after clarity is sought by the applicant.

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.

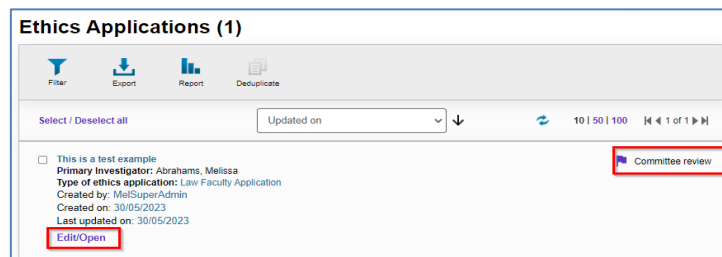
Then, click **Done**.

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.

1. Key Information * 2. Project Details * 3. Research Methodology **More ▾**

4. Attachments

5. Declaration and Faculty Review

6. REC Review

7. Outcome

8. Amendments

9. Renewals/Reporting Closeout

Please note that you will not be able to proceed with a full ethics application while a pre-sc...
NB: All sections must be completed. If N/A please indicate so. If any section is left blank, your ap...
Student or Researcher application *
Please indicate if your application is in your capacity as a student or as a researcher/post...
applications need to be approved by their supervisor(s). If you choose the incorrect option...
of your application.
Student ▾
Is this specifically for degree or any other qualification purposes?

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.

Committee Comments

Comments from committee meeting or reviews

[Empty text box]

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

Cancel Save **Save & close**

Set status

Enter a comment about the status change (optional).
0/1024

Committee review
Send application to Committee Reviewers for comments or feedback.

Committee EXCO final review
Send to Chair to select Final Outcome.

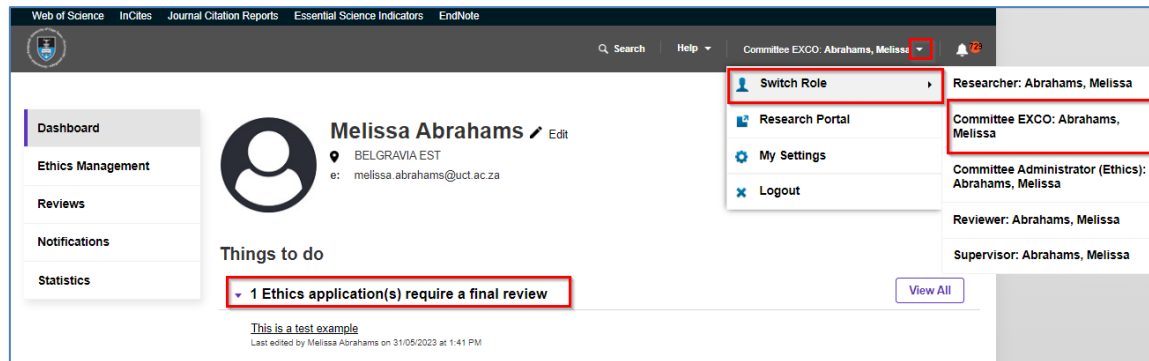
Cancel **Done**

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

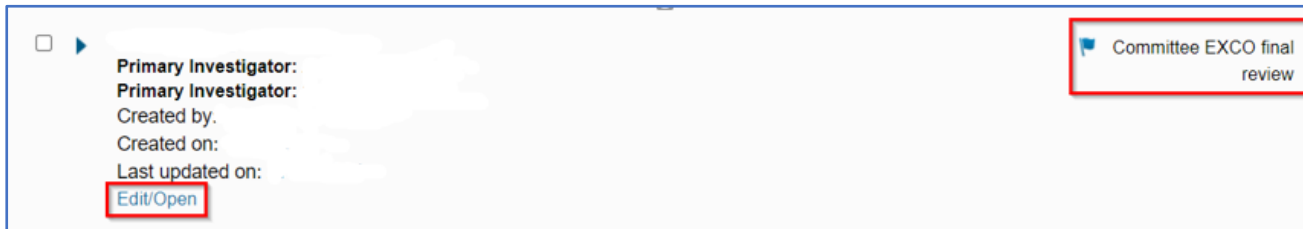
Module 8: Exco Final Decision

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.

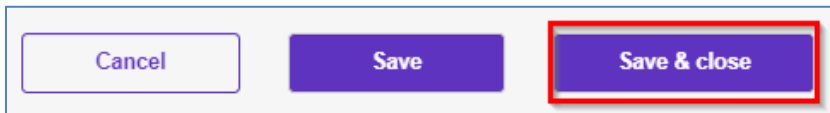
Outcome

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

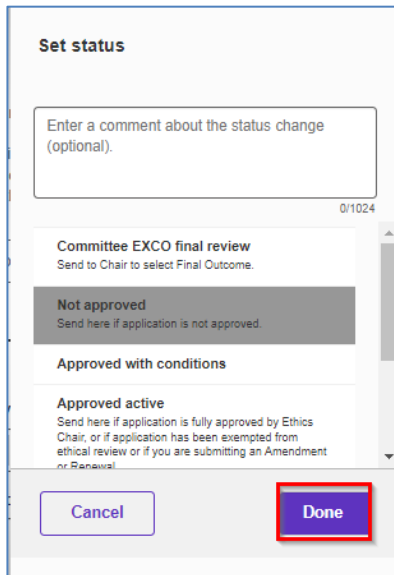
applicant to ensure these conditions are complied with before the project begins. In some instance additional information will need to be supplied to the REC

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**.



Set status

Enter a comment about the status change (optional).

0/1024

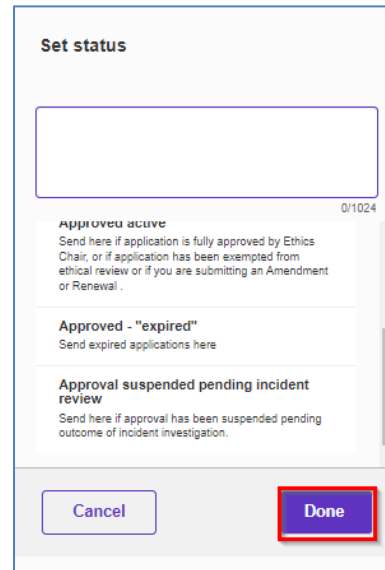
Committee EXCO final review
Send to Chair to select Final Outcome.

Not approved
Send here if application is 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.

Cancel Done



Set status

0/1024

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

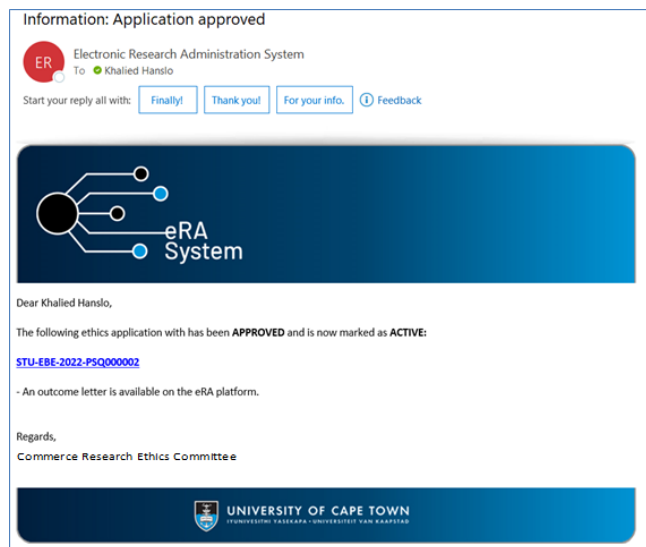
Approval suspended pending incident review
Send here if approval has been suspended pending outcome of incident investigation.

Cancel Done

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.

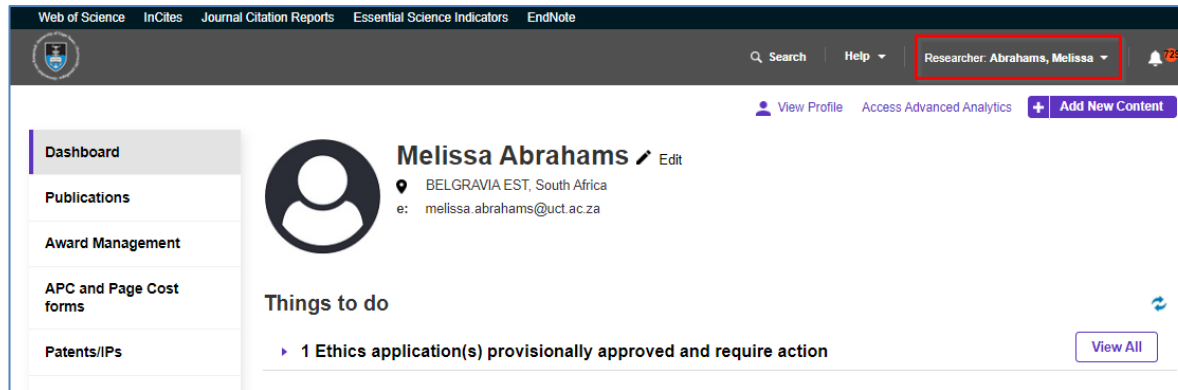
Then, click **Done**.



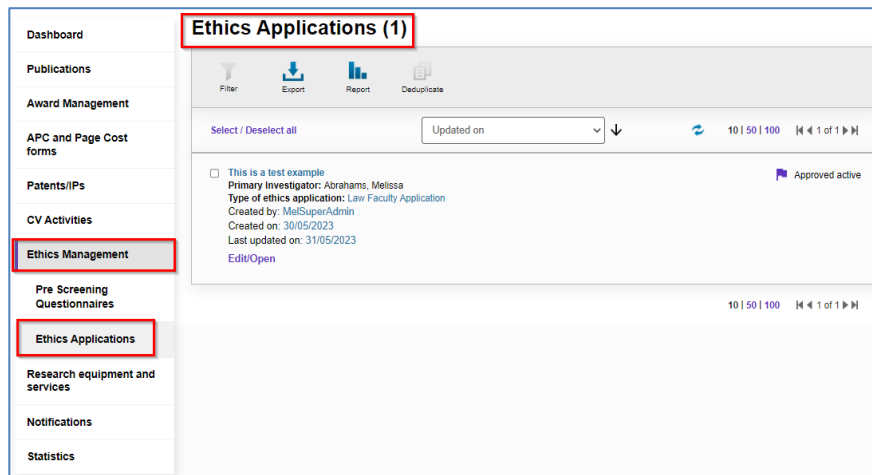
The Researcher or student will receive an email notification of the outcome and the letter is retrievable directly from the system by the applicant.

Module 9: Generating the outcome letter

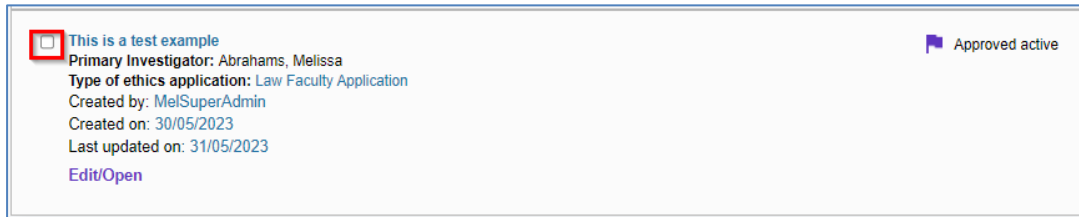
Once the outcome of the application has been decided, the applicant can generate the outcome letter directly from the system. To do this, login to the eRA system and ensure that you are using your **Researcher** role.



Using the left navigation, click on **Ethics Management**, then **Ethics Applications** to view a list of all applications that have been submitted over time.

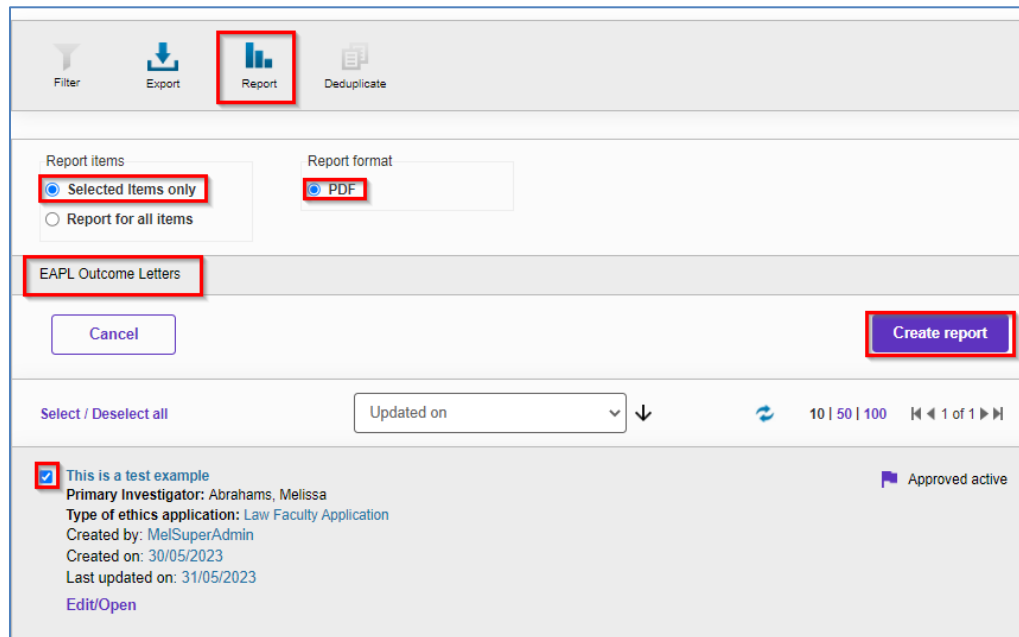


Select the application you would like to generate the letter for by clicking on the associated tick box.

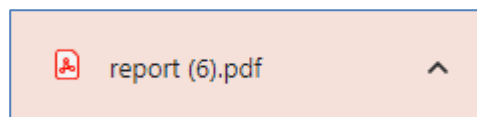


Click the **Report** button in the action bar. *Reported items* should be for **Selected items only** and *Report format* should be **PDF**.

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/>

The screenshot displays the Research Support Hub website. The browser address bar shows the URL researchsupport.uct.ac.za/electronic-research-administration-era-system. The page features the University of Cape Town logo and a navigation menu with items like PROPOSALS, FUNDING & CONT..., RESEARCHER DE..., INTEGRITY, RESEARCH DATA, OUTPUTS, ACCREDITATION & ..., and ERA SYSTEM. A dropdown menu is open under ERA SYSTEM, listing options such as eRA overview, eRA login, Log a call for eRA support, Research portal and general, eRA pre-awards application process, eRA post-awards, Publications, Researcher profiles, Support, eRA rollout updates, and eRA team. A red box highlights the 'Research portal and general' option. The main content area includes a search bar, a sidebar with a list of eRA System links, and a large image of light trails.

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>

