eRA LAW Faculty

Pre-Screening Questionnaire

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:

- 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.

Diagram labels:

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 — MRF, 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
- Publications
- Other research outputs
- Postgraduate supervision
- Collaborations

Teaching and learning activities
Awards and honours

- CV creation and management
- Publicly visible profile
- Build your professional network

online 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.

Module 1: Logging on to the eRA system

- **Lesson Objectives:**

- Learn how to log in to the eRA system
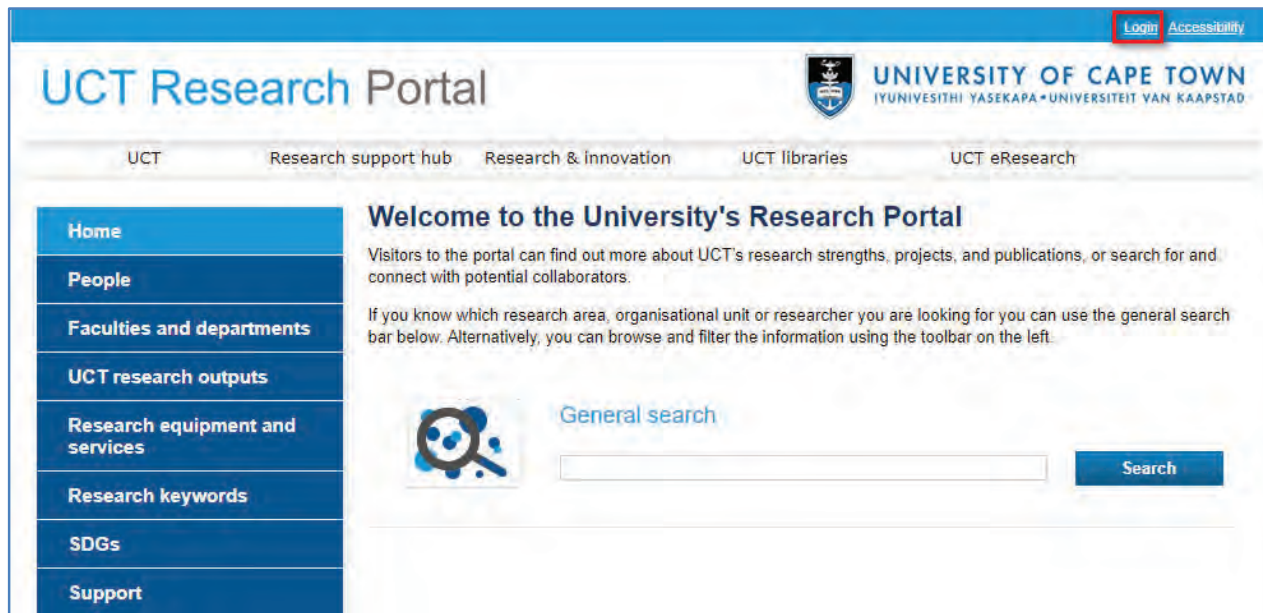
Access the eRA system by using this link: https://eraonline.uct.ac.za/converis/portal/overview?lang=en_GB

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.

Module 2: Pre-Screening Questionnaire

Lesson Objectives:

As an applicant you will learn how to initiate and complete a pre-screening questionnaire for ethics approval.

It is important to note that as a user in eRA; you can switch roles. You can switch to different roles by using the orange down arrow on the top right as shown in the steps below:
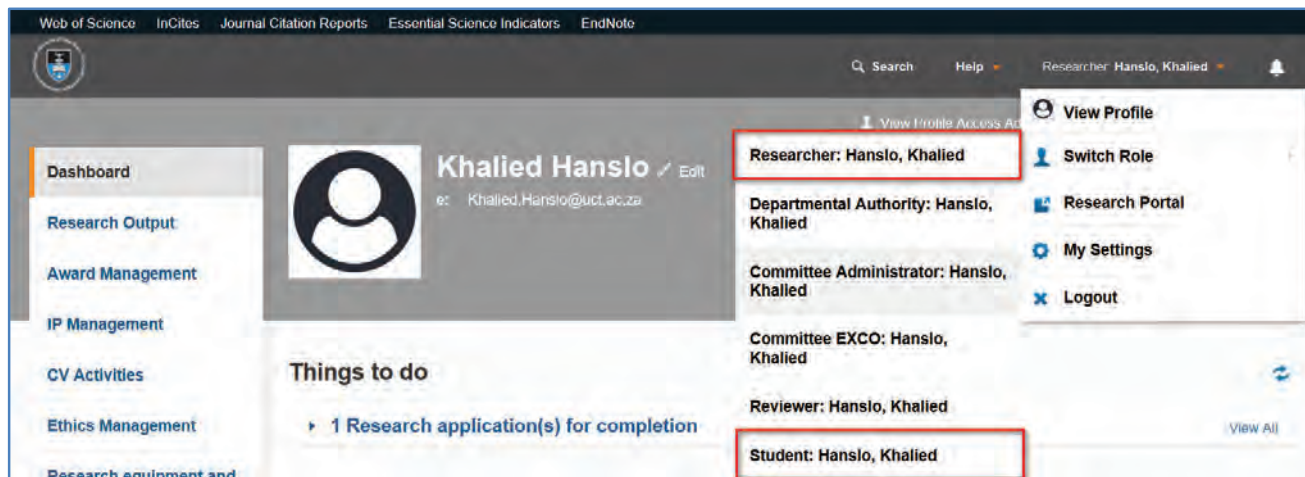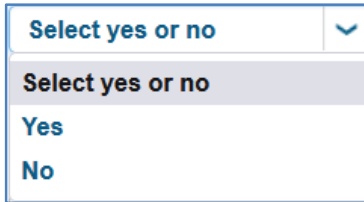

Instructions:

1. Click **Add New Content**
2. Click **Ethics Management**
3. Click **Pre-Screening Questionnaire**

   Once you have opened the Pre-Screening Questionnaire you may complete the form

Select yes or no	⌄
Select yes or no	
Yes	
No	

The applicant must complete each question in the form by selecting the appropriate **Yes** or **No** response in the dropdown box.

This ethics pre-screening checklist will help determine whether or not ethics review and approval is needed for your research. Complete if you think your research project does not require ethics approval by a Research Ethics Committee (REC) because it does not prospectively involve humans or their data. (See comment below for animal research)

Animal Research and Biosafety: This pre-screening questionnaire does not cover animal research or research with Biosafety concerns. If you plan any form of animal research or research with biohazards, please consult with your and faculty animal or biosafety committee.

All research projects that directly and prospectively involve either human or animals require ethics approval from a UCT Research Ethics Committee. The UCT Responsible Conduct of Research Policy can be found here for further information. Even if your study does not require formal ethical review, you must adhere to professional guidelines/regulatory requirements in your field as well.

This pre-screening questionnaire also captures issues that may trigger the Protection of Personal Information Act (POPIA) and require review by a REC as a safeguard. Researchers, including students and their supervisors, are responsible for ensuring they get appropriate ethics approval for all projects that require such approval, and if in doubt consult appropriately e.g., with supervisors, REC Chairperson or administrator, or the Office of Research Integrity.

Analytics   **+**   Add New Content

▶ **Research Output** ①

▶ **Award Management**

APC and Page Cost form

Patent/IP

CV Activity

▼ **Ethics Management** ②

Pre Screening Questionnair ③

Ethics Application

Research equipment and services

Principal Investigators *

Name	Organisation	
Hanslo, Khalied	Research Office (PASS)	

Project Title *

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.

Student ∨

Application faculty *

Faculty of Science ∨

Is this specifically for a degree or any other qualification purposes? *

No ∨

Abstract *

Full research proposal

Upload a full-text version of the research proposal.

Supervisor

This section is for Students only. Please add your primary Supervisor below.

Select type of applicant

Select type of applicant
Student
Researcher

If you are a Student select **Student** from the dropdown menu or select Researcher if you are a **Researcher**

The Applicant adds principal investigator, project title, abstract, full research proposal, and Supervisor
if the applicant is a student

Click on the **blue plus sign** and insert the name of the **Supervisor**
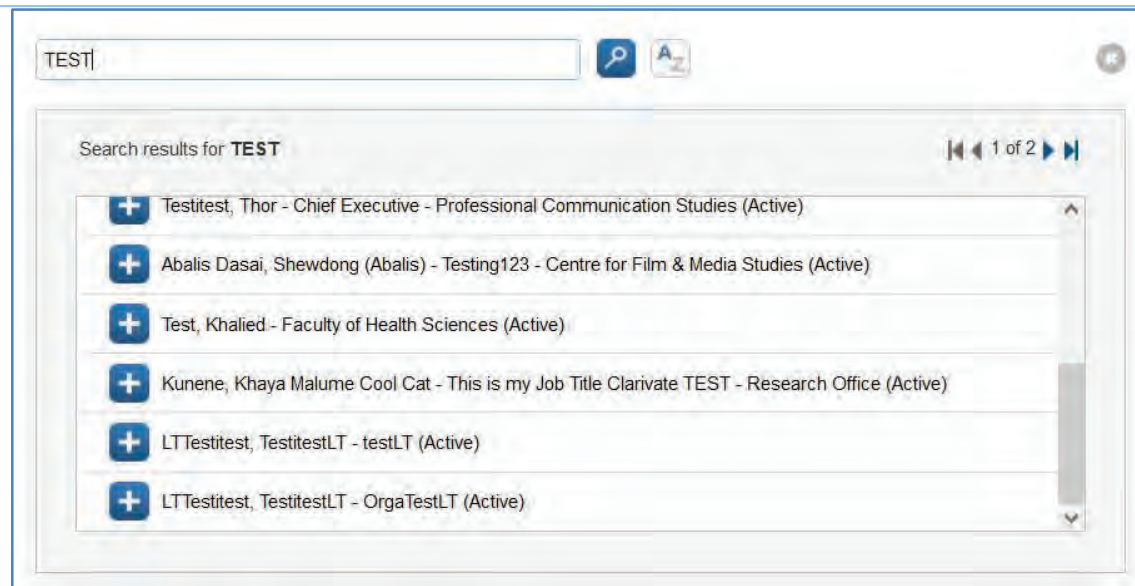
A **search window** will appear where you may insert your search term. A **dropdown menu** will appear which will allow you to select the appropriate option by clicking on the **plus sign** adjacent to the name.

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

Your selection will appear allowing you to continue with completing the form. If the applicant is a Researcher, the Departmental Authority should be added

Does your project involve: *

Direct interaction with human participants including via questionnaires, interviews or experimental interventions? *

Select yes or no ⌄

Analysis of secondary human data (data initially collected for another purpose) that contains any potential identifying personal information (with or without their knowledge or consent at the time)? *

Select yes or no ⌄

Research on stored data or biological specimens where the researcher has access to codes that link the data to personal identifying information? *

Select yes or no ⌄

Research that requires data matching or merging of databases where a personal identifier such as name, ID, student number, etc. will be used to link data? *

Select yes or no ⌄

Observation of persons in a context where they would reasonably have an expectation of privacy – even if the individual is in a public place? *

Select yes or no ⌄

Access to historical or other archives/repositories that contain identifiable information of living persons or confidential institutional or company information? *

Select yes or no ⌄

Access to historical or other archives/repositories that contain information about deceased persons that may be regarded as sensitive? *

Select yes or no ⌄

Social media research without direct consent in contexts where data subjects would not anticipate being researched, where their data may have been placed in the public domain without their knowledge or consent, or where the research questions could be regarded as ethically sensitive even if information is in the public domain? *

Select yes or no ⌄

Quality assurance studies and program evaluations where you are likely to publish or present the results so that they can contribute to generalisable knowledge? *

Select yes or no ⌄

Machine Learning or/and Artificial Intelligence algorithms with more than a minimal risk potential? *

See guidance The Proposed AI Act from the EU: An Engineer's Expounding

Select yes or no ⌄

Sponsorship with the potential for conflicts of interest? *

Select yes or no ⌄

If you have all NO answers complete the rest of the form

If the Artificial Intelligence question applies to your application, then it will provide you with a LinkedIn hyperlink to the Artificial Intelligence proposed act which you can read and be informed about

Machine Learning or/and Artificial Intelligence algorithms with more than a minimal risk potential? *

See guidance The Proposed AI Act from the EU: An Engineer's Expounding

No ▾

The Applicant Completes the questionnaire by clicking on **2. Declarations** tab.

Applicant completes declarations by ticking the **check boxes**

Applicant will submit the application by clicking **Save & Close**

Select next step

Please select the next step below and add an optional comment.

Draft
Save the application in this status if you want to return to it and make edits before submitting it later.

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

Departmental Authority review

Cancel   **Done**

Select next step

Please select the next step below and add an optional comment.

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

Departmental Authority review
Select this status if you are a supervisor who has reviewed and approved a student application or a staff researcher/post-doctoral fellow applying for ethics approval. The Departmental Authority selected in the system will then review the application and provide an outcome to the applicant.

Cancel   **Done**

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

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. If you're a student applicant, move on to Module 3. If you're a Researcher, move on to module 4.