eRA System

electronic
Research
Administration

University of Cape Town • iYunivesithi yaseKapa • Universiteit van Kaapstad

SPES BONA

eRA EBE Faculty

Ethics Application

Process Manual

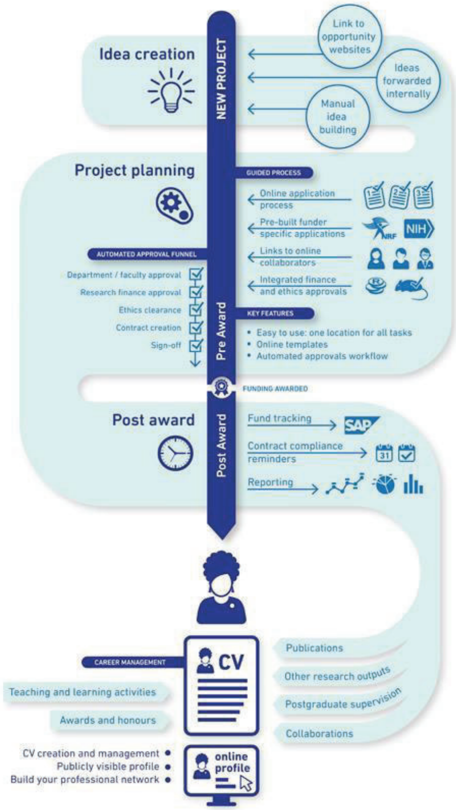
Table of Contents

Contents

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:

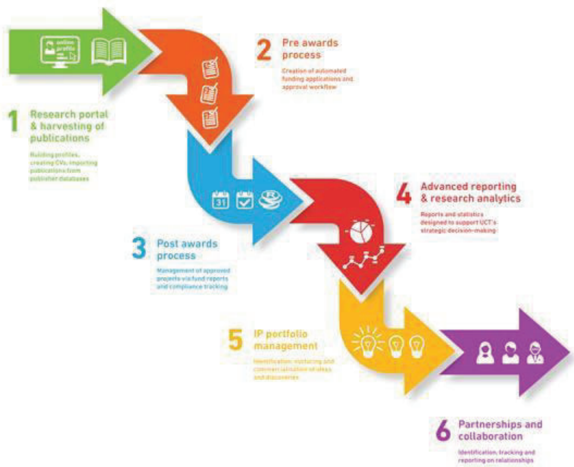
- a 'one-stop shop' to manage and track the administrative workflow within a project lifecycle and beyond
- user-friendly software that guides them from the point where an idea is born and a funding opportunity identified, through to post-publication with automatic CV updates
- streamlined and automated 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

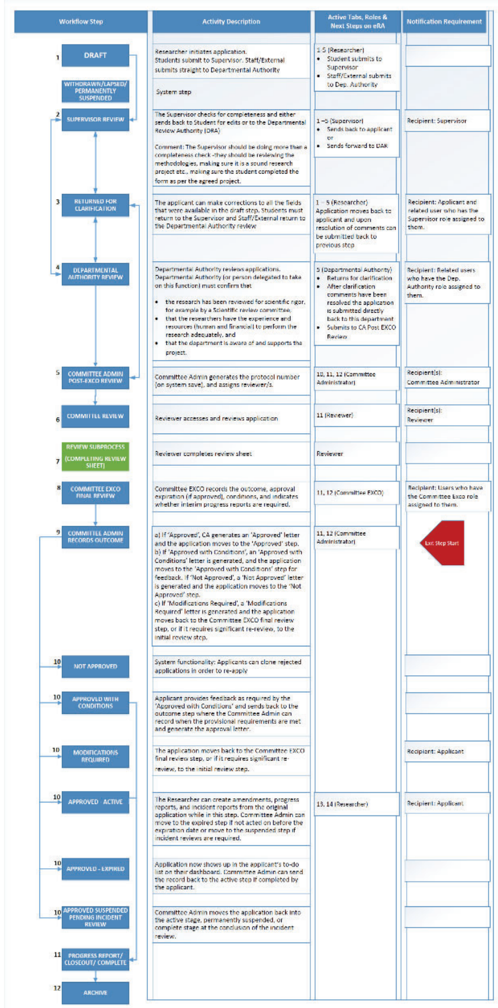
The implementation of eRA is freeing up resources so that UCT can offer more comprehensive research support and more efficient administration. eRA will allow for:

- 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



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 Departmental Authority	1-5 (Researcher) • Student submits to Supervisor • Staff/External submits to Dep. Authority	
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 Departmental Review Authority (DRA) 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 DAR	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 Departmental Authority review	1 – 5 (Researcher) Application moves back to applicant and upon resolution of comments can be submitted back to previous step	Recipient: Applicant and related user who has the Supervisor role assigned to them.
4 DEPARTMENTAL AUTHORITY REVIEW	Departmental Authority reviews applications. Departmental Authority (or person delegated to take on this function) must confirm that • the research has been reviewed for scientific rigor, for example by a Scientific review committee, • that the researchers have the experience and resources (human and financial) to perform the research adequately, and • that the department is aware of and supports the project.	5 (Departmental Authority) • Returns for clarification • After clarification comments have been resolved the application is submitted directly back to this department • Submits to CA Post EXCO Review	Recipient: Related users who have the Dep. Authority role assigned to them.
5 COMMITTEE ADMIN POST-EXCO REVIEW	Committee Admin generates the protocol number (on system save), and assigns reviewer/s.	10, 11, 12 (Committee Administrator)	Recipient(s): Committee Administrator
6 COMMITTEE REVIEW	Reviewer accesses and reviews application	11 (Reviewer)	Recipient(s): Reviewer
7 REVIEW SUBPROCESS (COMPLETING REVIEW SHEET)	Reviewer completes review sheet	Reviewer	
8 COMMITTEE EXCO FINAL REVIEW	Committee EXCO records 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.
9 COMMITTEE ADMIN RECORDS OUTCOME	a) If 'Approved', CA generates an 'Approved' letter and the application moves to the 'Approved' step. b) If 'Approved with Conditions', an 'Approved with Conditions' letter is generated, and the application moves to the 'Approved with Conditions' step for feedback. If 'Not Approved', a 'Not Approved' letter is generated and the application moves to the 'Not Approved' step. c) If 'Modifications Required', a 'Modifications Required' letter is generated and the application moves back to the Committee EXCO final review step, or if it requires significant re-review, to the initial review step.	11, 12 (Committee Administrator)	Ext. Step Start
10 NOT APPROVED	System functionality: Applicants can clone rejected applications in order to re-apply		
10 APPROVED WITH CONDITIONS	Applicant provides feedback as required by the 'Approved with Conditions' and sends back to the outcome step where the Committee Admin can record when the provisional requirements are met and generate the approval letter.		
10 MODIFICATIONS REQUIRED	The application moves back to the Committee EXCO final review step, or if it requires significant re-review, to the initial review step.		Recipient: Applicant
10 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
10 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.		
10 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.		
11 PROGRESS REPORT/ CLOSEOUT/ COMPLETE			
12 ARCHIVE			

Differentiation of roles

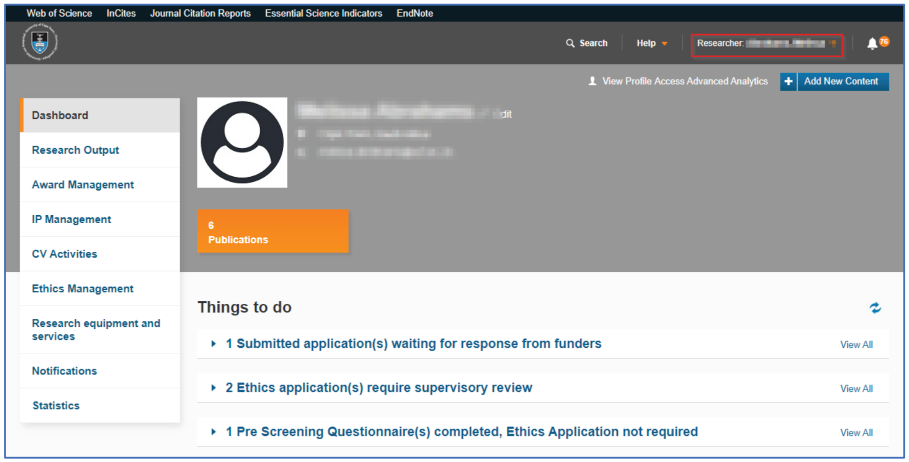
Role Name	Description	Entry Point
Researcher	Anyone can create an Ethics Application form by virtue of being a Researcher on the eRA system. Once an initial Ethics Application form has moved beyond the *Draft* step, and for all subsequent submissions for the same study, only those users who are named 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* *Person*

Role Name	*Description*	*Entry Point*
Committee Administrator (cont.)	The Committee Administrator role is also required to maintain the list of EXCO members, and 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*
Departmental Authority	The role of the *Departmental Authority* is to review applications made by researchers and to provide such input as to determine if applications may move forward in the process to be considered for approval. If the *Departmental Authority* determines that an application lacks the regulatory and policy guidelines set out, they may send it back to the researcher for amendment or outright disapproval. The Departmental Authority is senior to the Supervisor and will decide if the review of the supervisor is satisfactory.	*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*

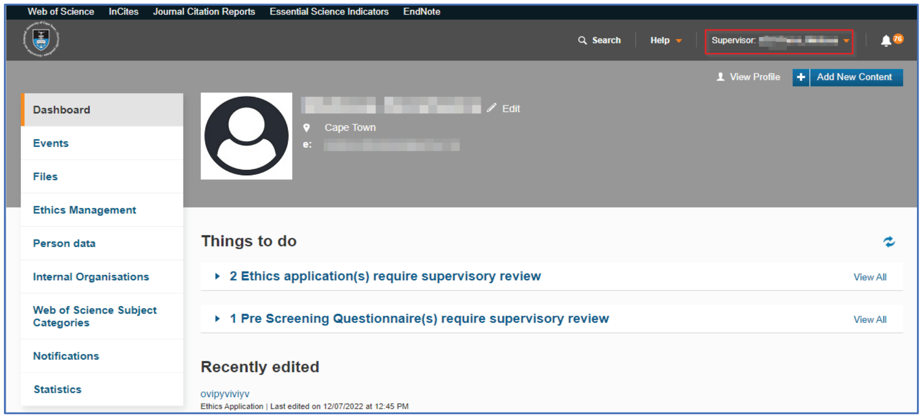
Dashboards for different roles

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:

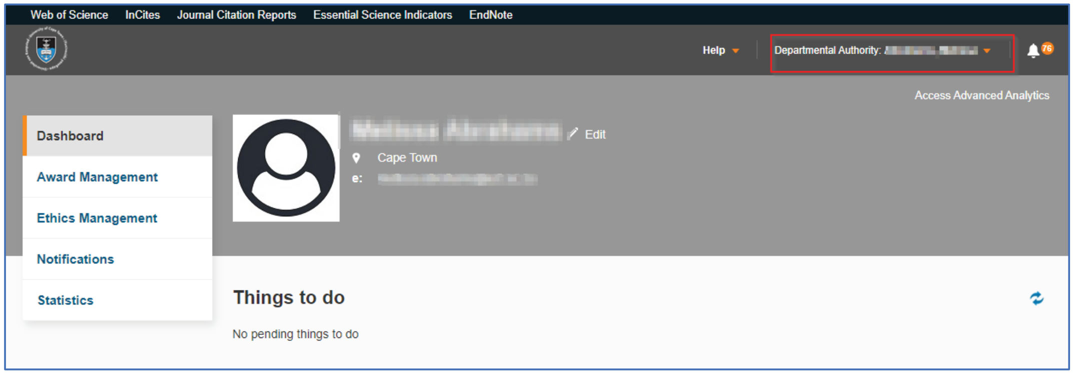
1. Researcher



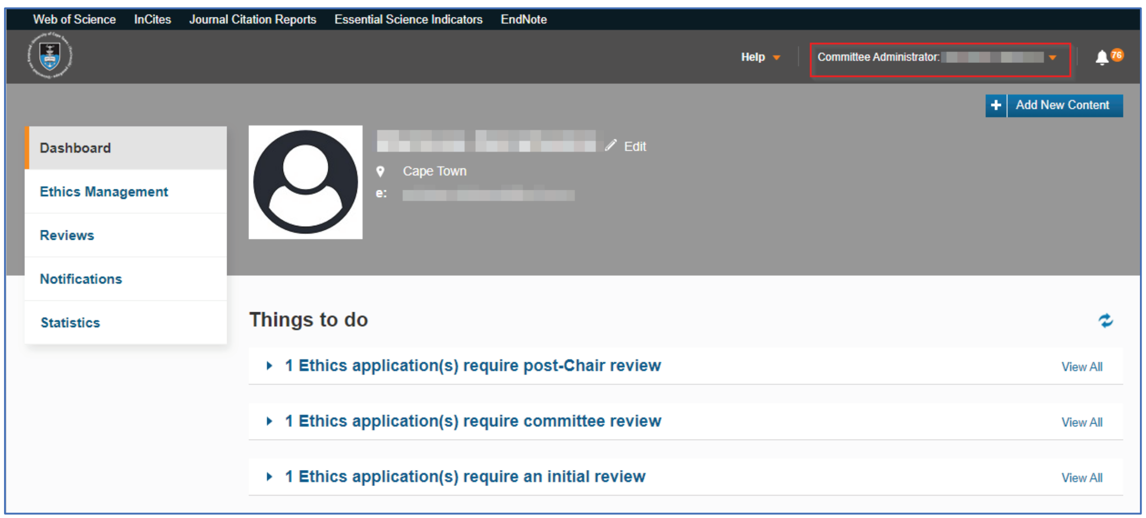
2. Supervisor



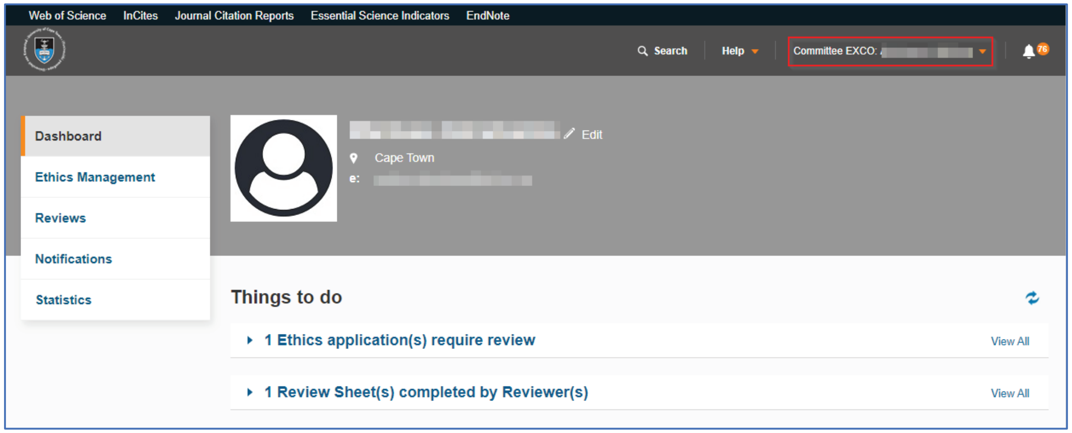
3. Departmental Authority



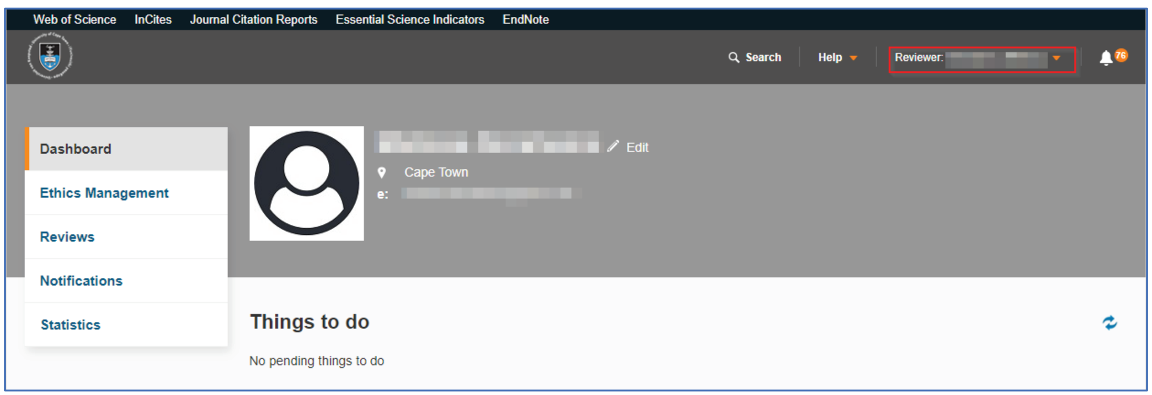
4. Committee Administrator



5. Committee EXCO



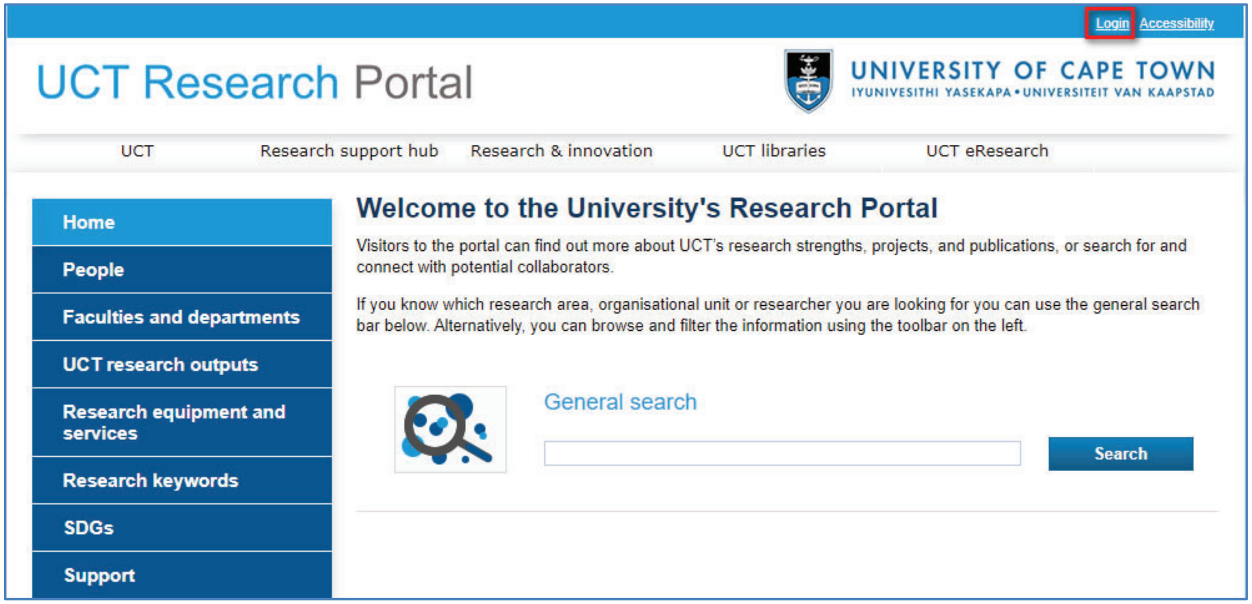
6. Reviewer



Module 1: Logging on to the eRA system

- **Lesson Objectives:**

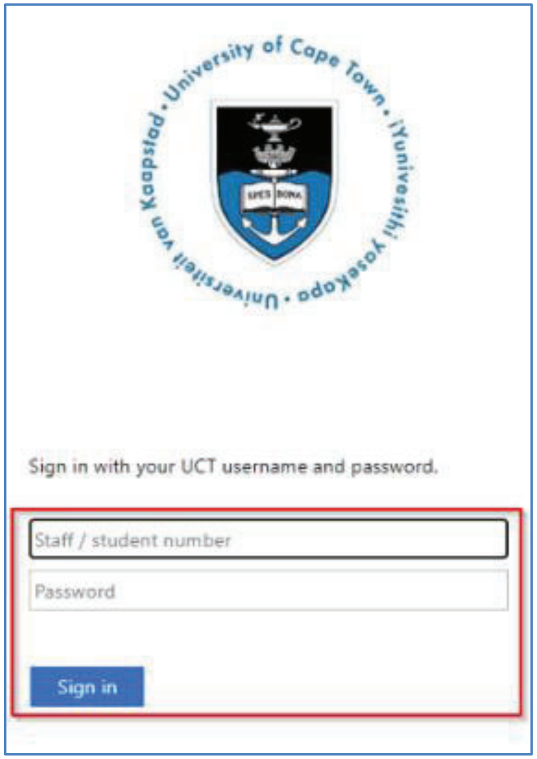
- Learn how to log in to the eRA system

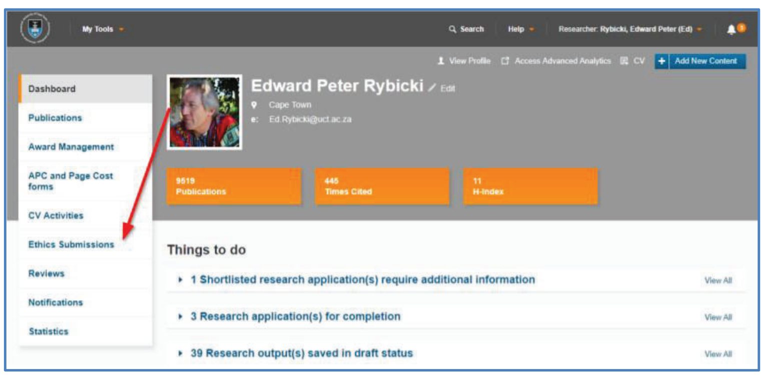


Access the eRA system by using this link: https://eraonline.uct.ac.za/converis/portal/overview?lang=en_GB

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.

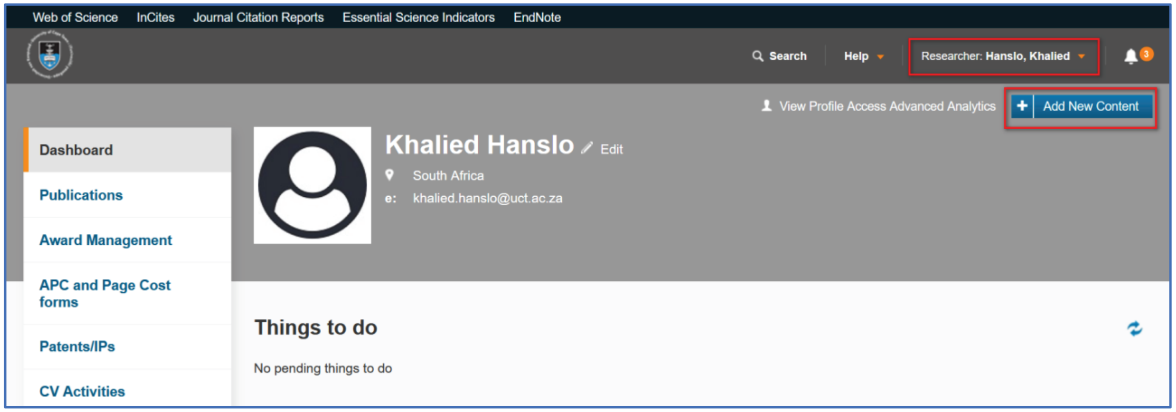

Sign in with your UCT username and password.
Staff / student number
Password
Sign in


My Tools
Search
Help
Researcher: Rybicki, Edward Peter (Ed)
View Profile
Access Advanced Analytics
CV
Add New Content
Dashboard
Publications
Award Management
APC and Page Cost forms
CV Activities
Ethics Submissions
Reviews
Notifications
Statistics
Edward Peter Rybicki
Edit
Cape Town
Publications
Times Cited
H-index
Things to do
1 Shortlisted research application(s) require additional information
3 Research application(s) for completion
39 Research output(s) saved in draft status
View All

Module 2: Completing an Ethics Application

Lesson Objectives:

As an applicant you will learn how to initiate and complete an application for ethics approval.

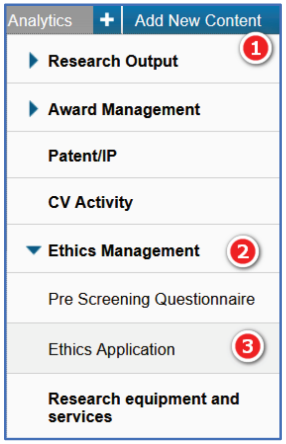


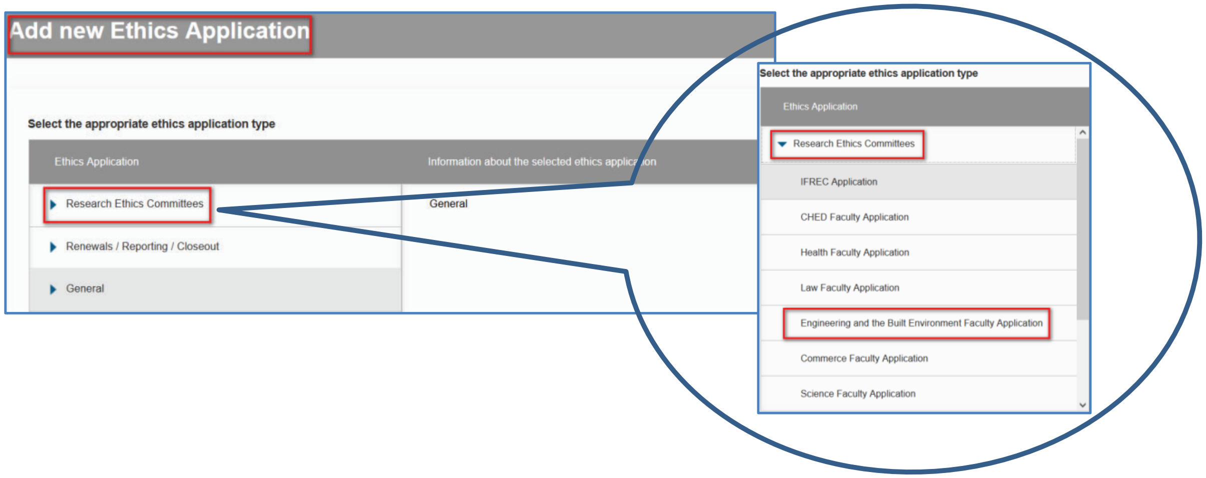
The dashboard has the **Ethics Submissions** tab on the left-hand side which will lead you to all existing Ethics submissions submitted over time. This is a dashboard that the researcher will see.
There are other roles that have access to the Ethics functionality. Ensure you are switched to the default **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**.

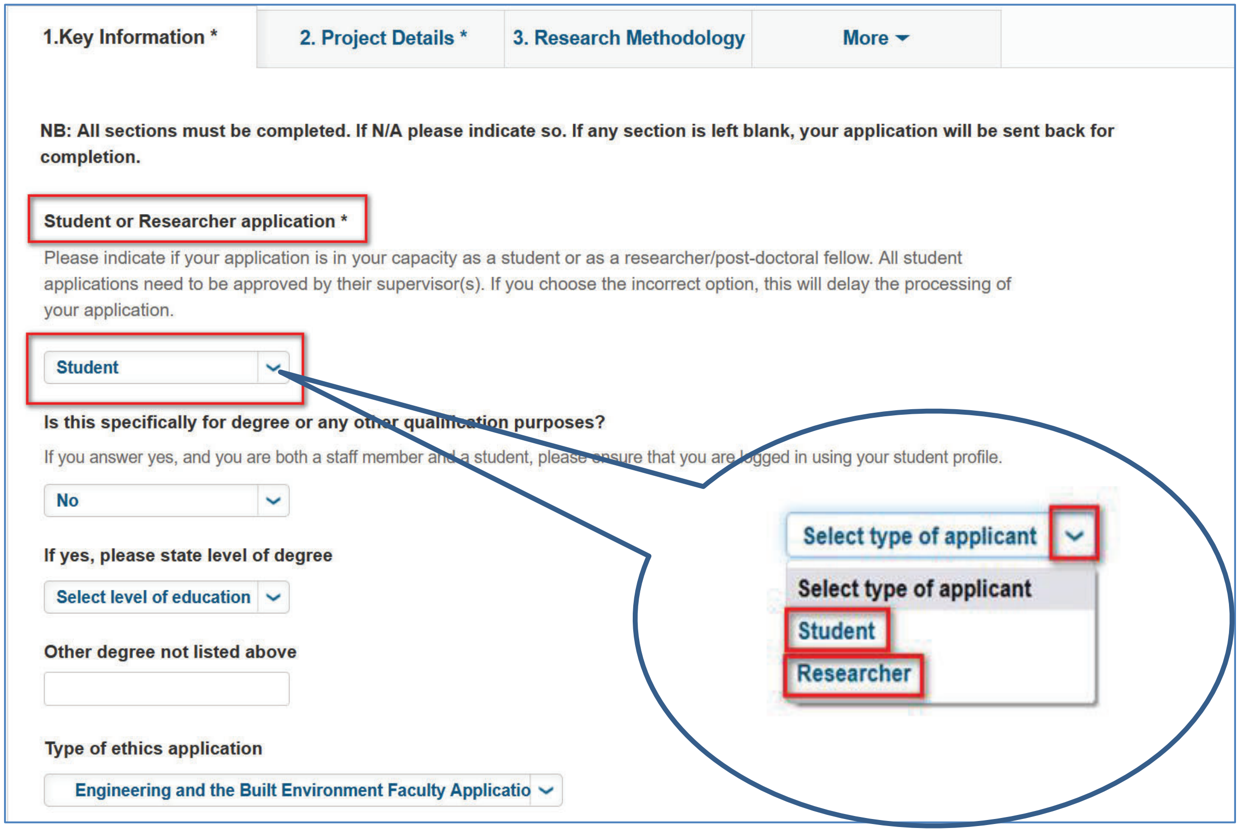
3. A list of all the **Ethics application** form types will be displayed before you. From the list, click on **Research Ethics committees**, then select the **Engineering and the Built Environment Faculty Application** form type.



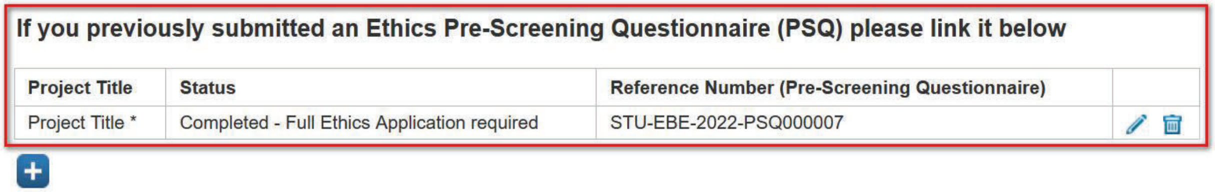


1. Click on **Research Ethics Committees**
2. Select **Engineering and the Built Environment Faculty Application**

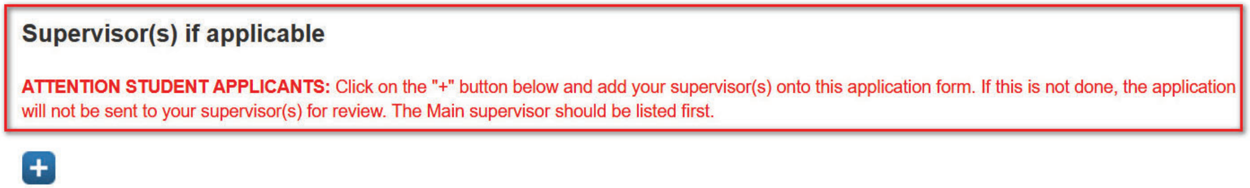
Key Information tab



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

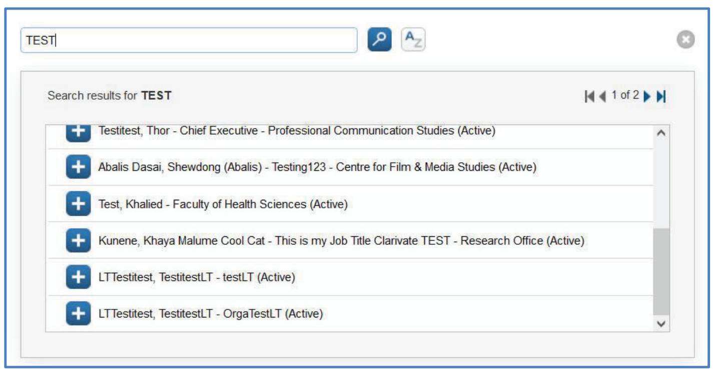


If you have a completed an ethics application, you may link the questionnaire here by clicking on the **blue plus sign** and insert the title of your project.



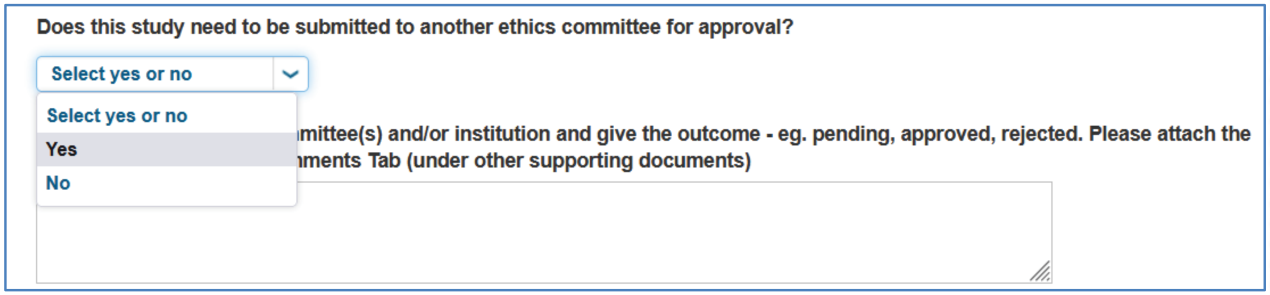
The applicant adds the required fields, and if the applicant is a student, the **Supervisor** field should be populated.

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.

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

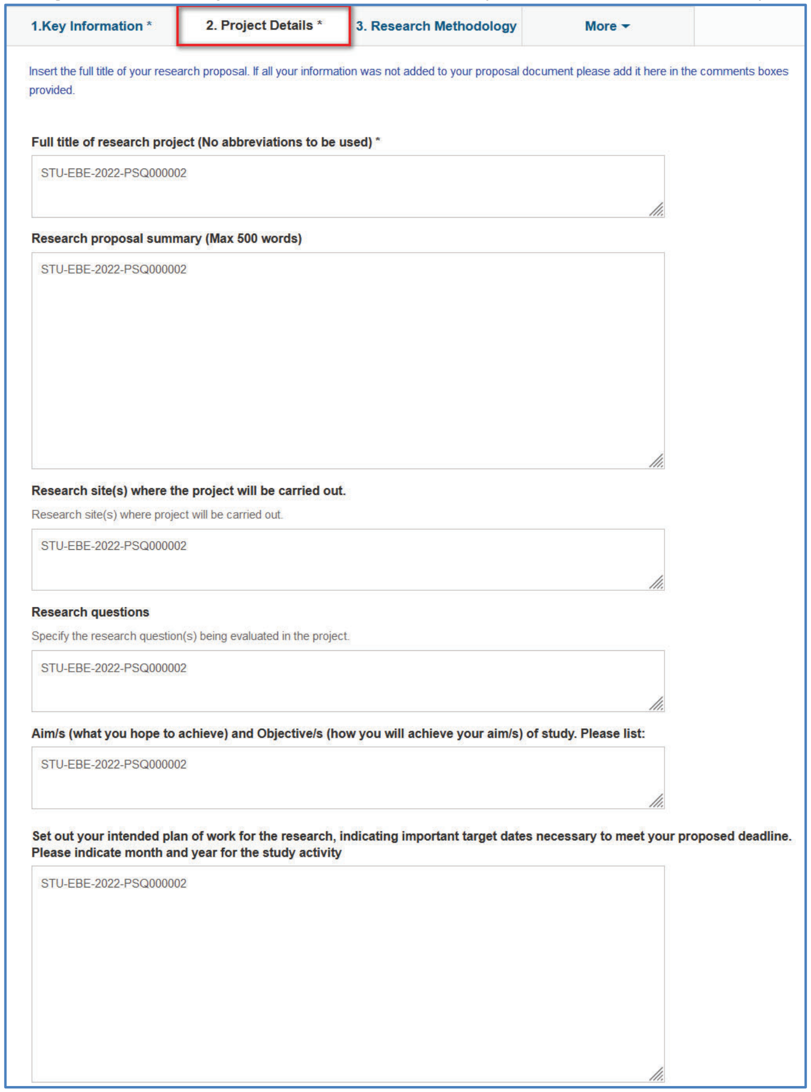


Select appropriately **Yes** or **No** if the study needs to be submitted to another ethics committee.

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


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) *

STU-EBE-2022-PSQ000002

Research proposal summary (Max 500 words)

STU-EBE-2022-PSQ000002

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

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

STU-EBE-2022-PSQ000002

Research questions

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

STU-EBE-2022-PSQ000002

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

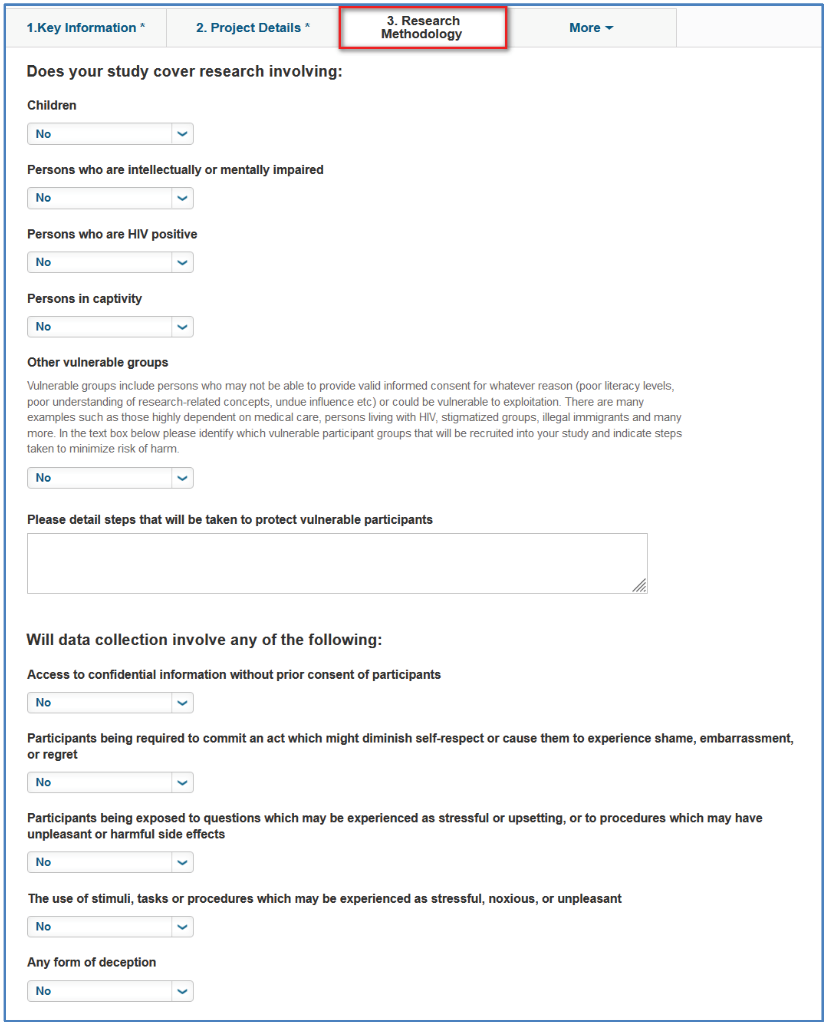
STU-EBE-2022-PSQ000002

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

STU-EBE-2022-PSQ000002

Research Methodology tab

Once the **Project Details** tab has been completed you may move on to the **Research Methodology** tab


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

Does your study cover research involving:

Children

No

Persons who are intellectually or mentally impaired

No

Persons who are HIV positive

No

Persons in captivity

No

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.

No

Please detail steps that will be taken to protect vulnerable participants

Will data collection involve any of the following:

Access to confidential information without prior consent of participants

No

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

No

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

No

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

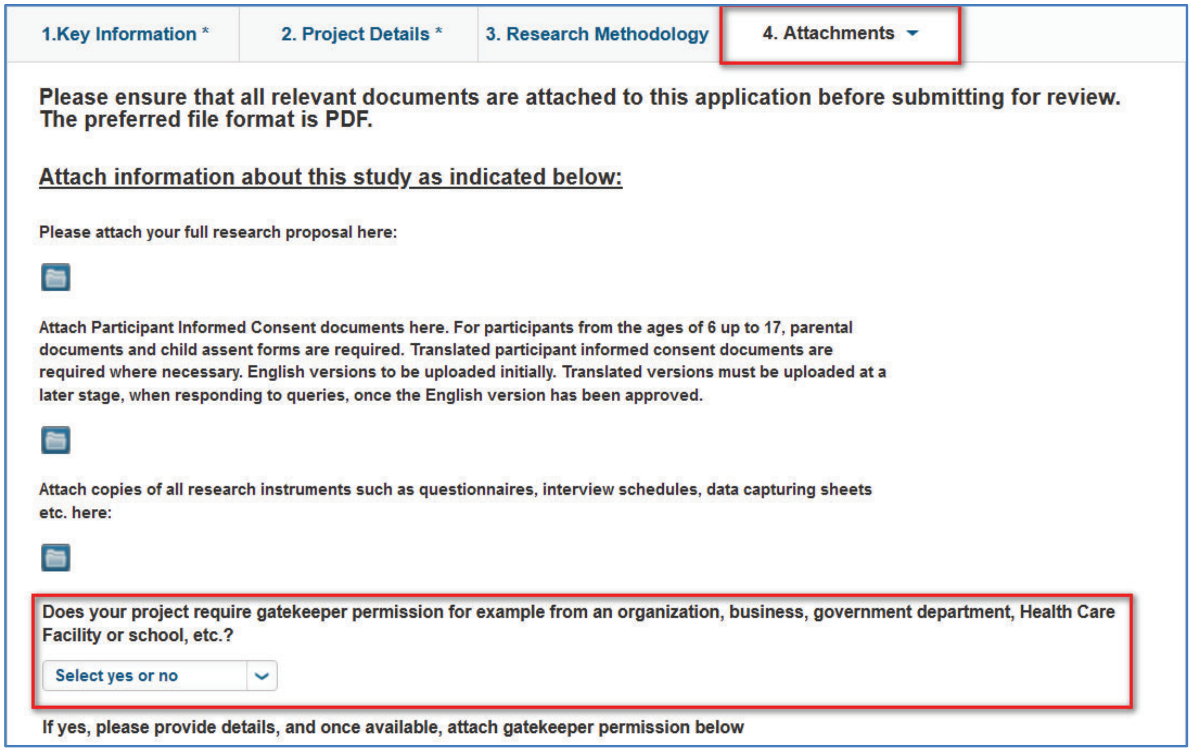
No

Any form of deception

No

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



1.Key Information * | 2. Project Details * | 3. Research Methodology | 4. Attachments

Please ensure that all relevant documents are attached to this application before submitting for review. The preferred file format is PDF.

Attach information about this study as indicated below:

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 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:

Does your project require gatekeeper permission for example from an organization, business, government department, Health Care Facility or school, etc.?

Select yes or no

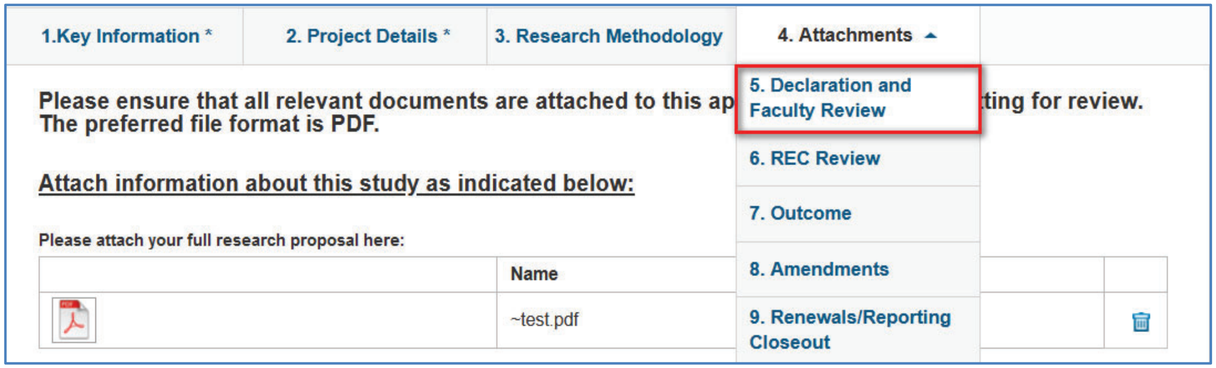
If yes, please provide details, and once available, attach gatekeeper permission below

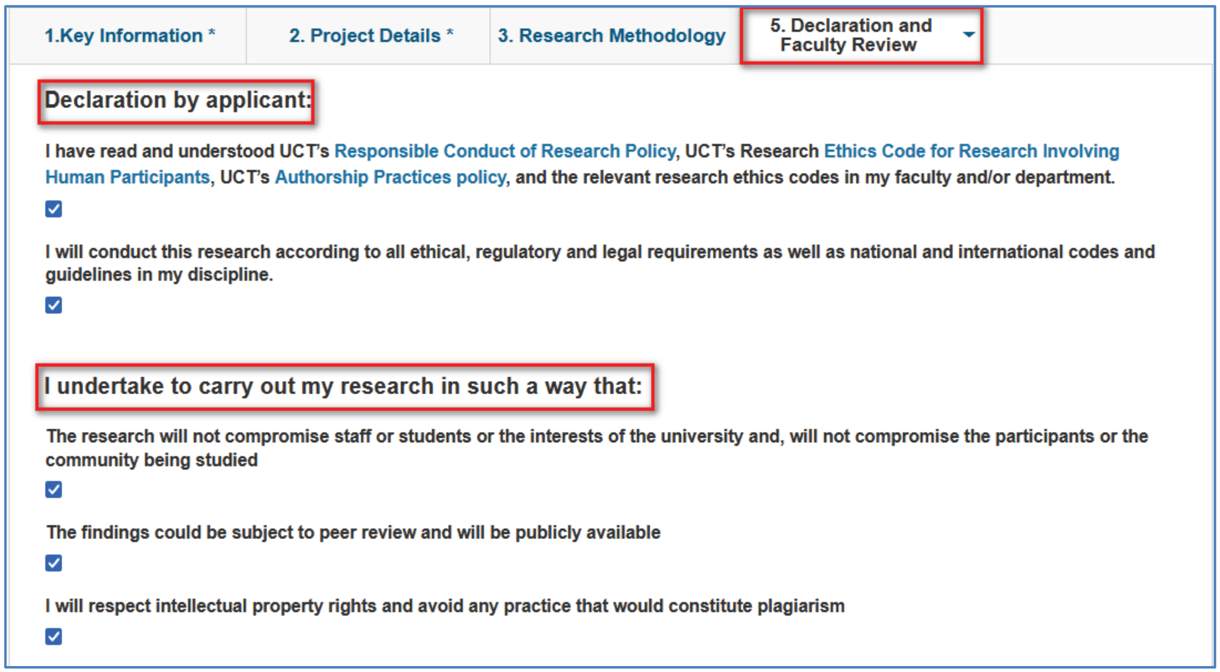
Please take note of the Gatekeeper question and what it refers to:

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

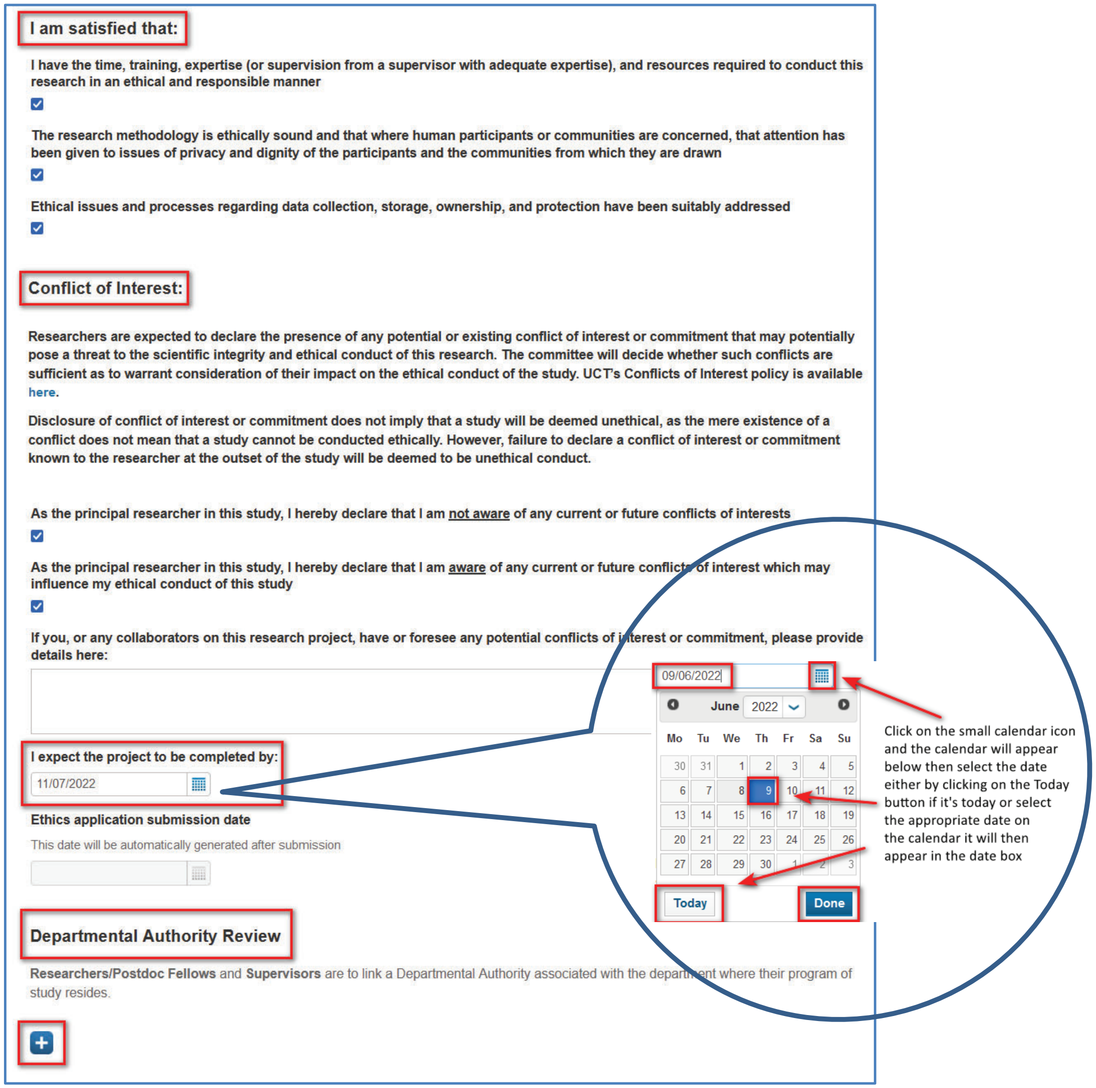
Declaration and Faculty Review tab

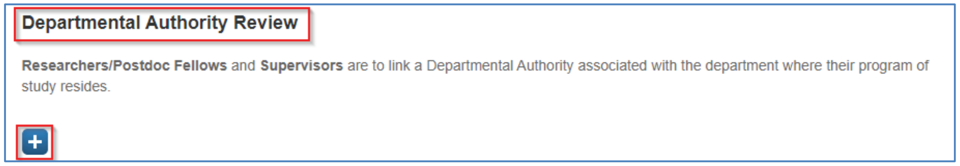
Once the **Attachments** tab has been completed you may move on to the **Declaration and Faculty Review** tab



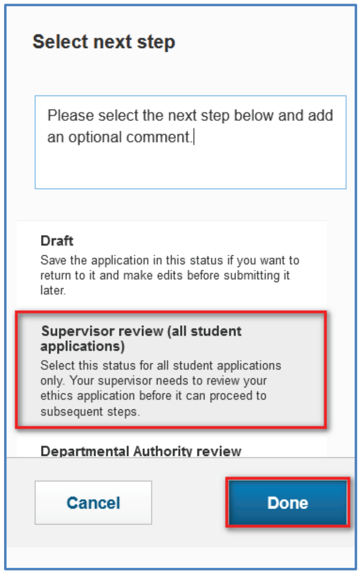


Read all the declarations and tick all the appropriate check boxes. Complete all related sections up until the **Project completion date** on this tab.



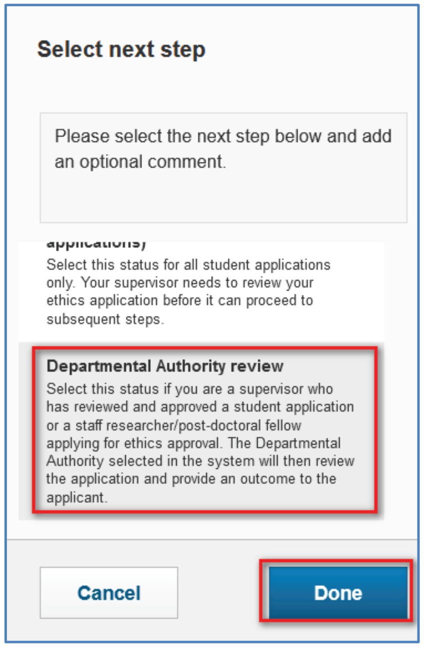


If you are a researcher, you must click on the plus button below the **Departmental Authority Review** and add the person who will be your **Departmental Authority**.



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.



If the applicant is a Researcher, then select **Departmental Authority review** This will send a notification to the **Departmental Authority** to alert them that there is a form for them to review.