

electronic
Research
Administration



eRA EBE Faculty

Pre-Screening Questionnaire

Process Manual

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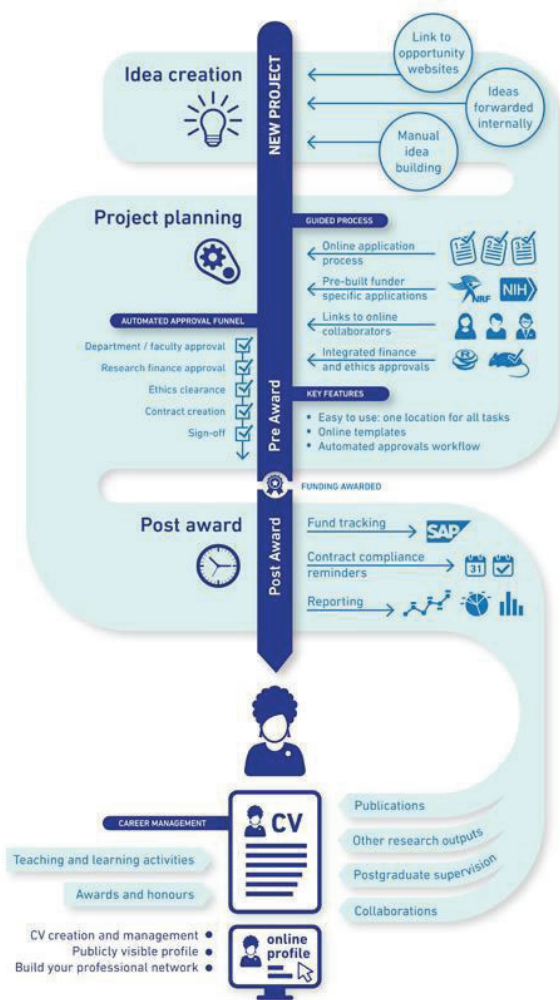
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About eRA

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.

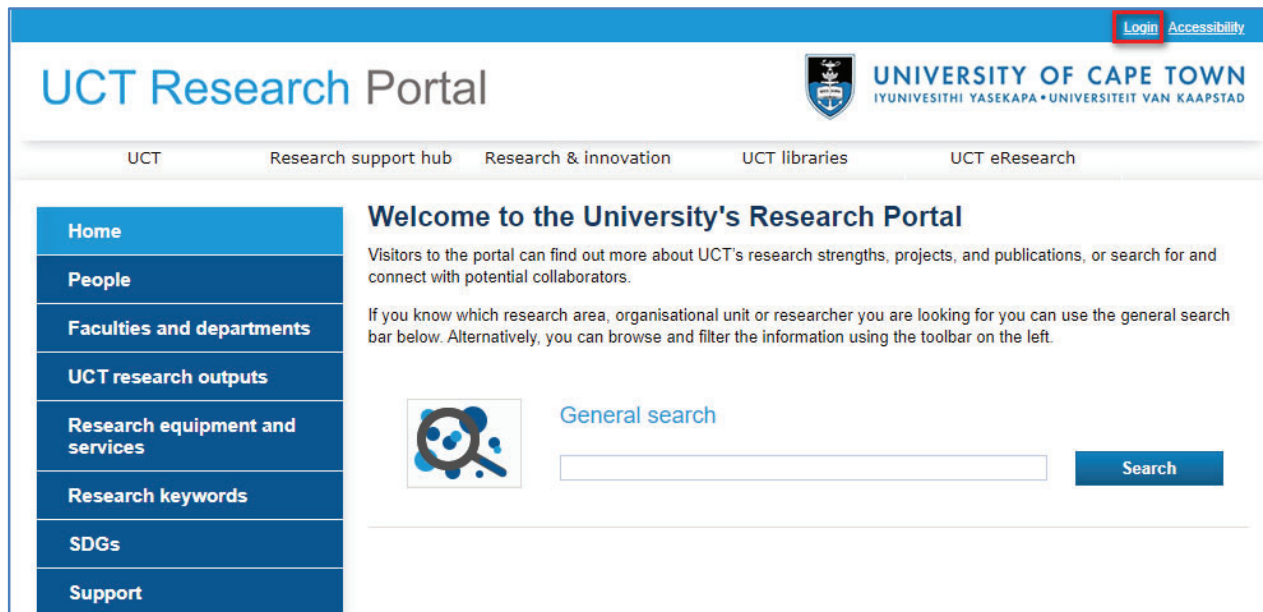
The implementation of eRA is being overseen by a team of specialists who are working on developing the systems according to UCT's needs, rollout of live modules, training of relevant staff and ongoing help-desk support.



Module 1: Logging on to the eRA system



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

A screenshot of the UCT Research Portal homepage. The page has a blue header with the text "UCT Research Portal" on the left and the University of Cape Town logo and name on the right. A "Login" button is highlighted with a red box in the top right corner. Below the header is a navigation bar with links for "UCT", "Research support hub", "Research & innovation", "UCT libraries", and "UCT eResearch". The main content area features a "Welcome to the University's Research Portal" section with a search bar and a "Search" button. A sidebar on the left contains a list of menu items: Home, People, Faculties and departments, UCT research outputs, Research equipment and services, Research keywords, SDGs, and Support.

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

A screenshot of a researcher's dashboard for Edward Peter Rybicki. The dashboard includes a navigation menu on the left with options like Dashboard, Publications, Award Management, APC and Page Cost forms, CV Activities, Ethics Submissions, Reviews, Notifications, and Statistics. The main content area shows the researcher's profile with a photo, name, location (Cape Town), and email (Ed.Rybicki@uct.ac.za). It also displays statistics: 8819 Publications, 446 Times Cited, and 11 H-index. Below this, there is a 'Things to do' section with three items: 1 Shortlisted research application(s) require additional information, 3 Research application(s) for completion, and 39 Research output(s) saved in draft status. A red arrow points from the 'Ethics Submissions' menu item to the profile picture.

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.

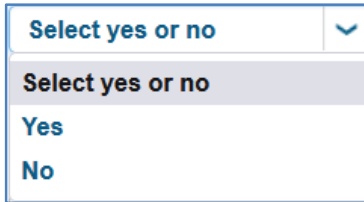
It is important to note that as a user in eRA; you can switch roles. You can switch to different roles by using the orange down arrow on the top right as shown in the steps below:

A screenshot of the eRA user interface. The user is logged in as 'Researcher: Hanslo, Khalied'. The interface shows a navigation menu on the left with options like 'Dashboard', 'Research Output', 'Award Management', 'IP Management', 'CV Activities', 'Ethics Management', and 'Research equipment and'. The main content area displays the user's profile for 'Khalied Hanslo' with an email address 'Khalied.Hanslo@uct.ac.za'. Below the profile, there is a 'Things to do' section with a notification: '1 Research application(s) for completion'. On the right side, a dropdown menu is open, showing various roles: 'Researcher: Hanslo, Khalied', 'Departmental Authority: Hanslo, Khalied', 'Committee Administrator: Hanslo, Khalied', 'Committee EXCO: Hanslo, Khalied', 'Reviewer: Hanslo, Khalied', and 'Student: Hanslo, Khalied'. The 'Researcher' and 'Student' roles are highlighted with red boxes. The dropdown menu also includes options for 'View Profile', 'Switch Role', 'Research Portal', 'My Settings', and 'Logout'.

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



A screenshot of a web form dropdown menu. The dropdown is open, showing three options: 'Select yes or no' (the current selection), 'Yes', and 'No'. The text is in a blue font.

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.

The image shows a navigation menu with the following items:

- Analytics + Add New Content
- ▶ Research Output (1)
- ▶ Award Management
- APC and Page Cost form
- Patent/IP
- CV Activity
- ▼ Ethics Management (2)
- Pre Screening Questionnaire (3)
- Ethics Application
- Research equipment and services

The menu is styled with a blue header bar and a light gray background. Red circular callouts with white numbers 1, 2, and 3 are placed next to 'Research Output', 'Ethics Management', and 'Pre Screening Questionnaire' respectively. A small gray square is visible in the background of the menu area.

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

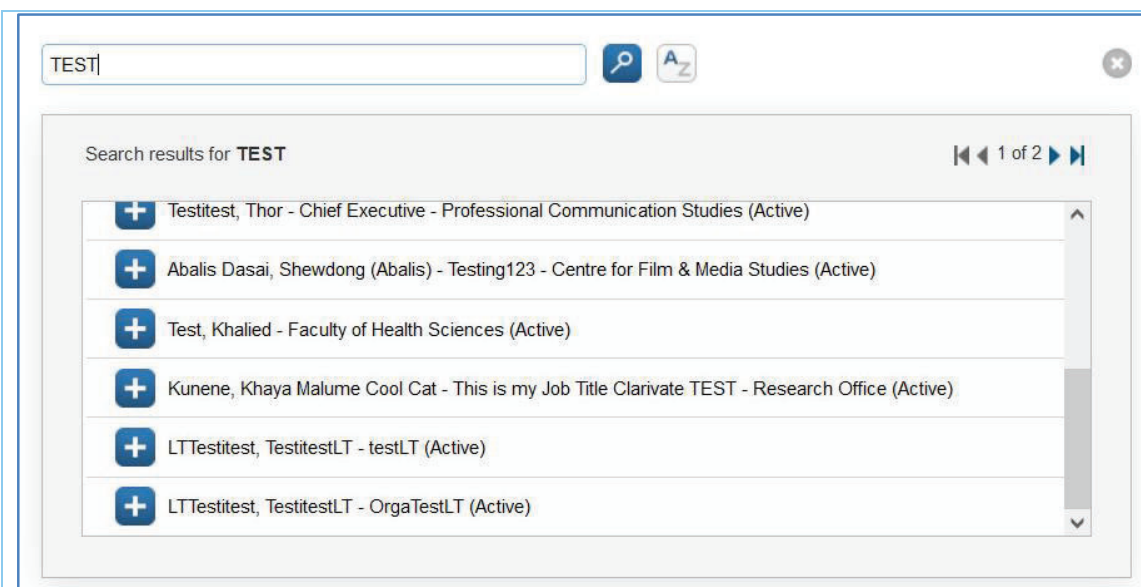
If you are a Student select **Student** from the dropdown menu or select Researcher if you are a **Researcher**

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

Supervisor



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



STEP1
A high-risk AI system is developed.

STEP2
It needs to undergo the conformity assessment and comply with AI requirements.*
*For some systems a notified body is involved too.

STEP3
Registration of stand-alone AI systems in an EU database.

STEP4
A declaration of conformity needs to be signed and the AI system should bear the CE marking.
The system can be placed on the market.

If substantial changes happen in the AI system's lifecycle

GO BACK TO STEP 2

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

Amit Kumar Mishra, PhD
Researcher, Innovator and Educator in Radar and Applied AI
Published Dec 1, 2021

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

1.Key Information *

2.Declarations *

Declaration by Applicant *

I declare that all the information provided is correct and that I have consulted adequately prior to completing this form. *



I acknowledge that by submitting this form I take full responsibility for its contents. *



I accept that if I conclude my research project without obtaining REC approval and it is determined that research ethics approval by a REC was required for my research project, I will be held accountable. *



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

Cancel

Save

Save & close

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

| | |
|---|---|
| <p>Select next step</p> | <p>Select next step</p> |
| <p>Please select the next step below and add an optional comment.]</p> | <p>Please select the next step below and add an optional comment.</p> |
| <p>Draft Save the application in this status if you want to return to it and make edits before submitting it later.</p> | <p>applications) Select this status for all student applications only. Your supervisor needs to review your ethics application before it can proceed to subsequent steps.</p> |
| <p>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.</p> | <p>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.</p> |
| <p>Departmental Authority review</p> | |
| <p>Cancel</p> | <p>Done</p> |
| <p>Cancel</p> | <p>Done</p> |

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.