

electronic
Research
Administration



eRA EBE Faculty

Pre-Screening Questionnaire

Process Manual

Note: This adjusted version is valid as per Feb 2023, which has improvements made to the visuals. The original and any updated version of these guidelines are in the EBE EiR Handbook that is located on the EBE website at: <https://ebe.uct.ac.za/research/ethics-research>

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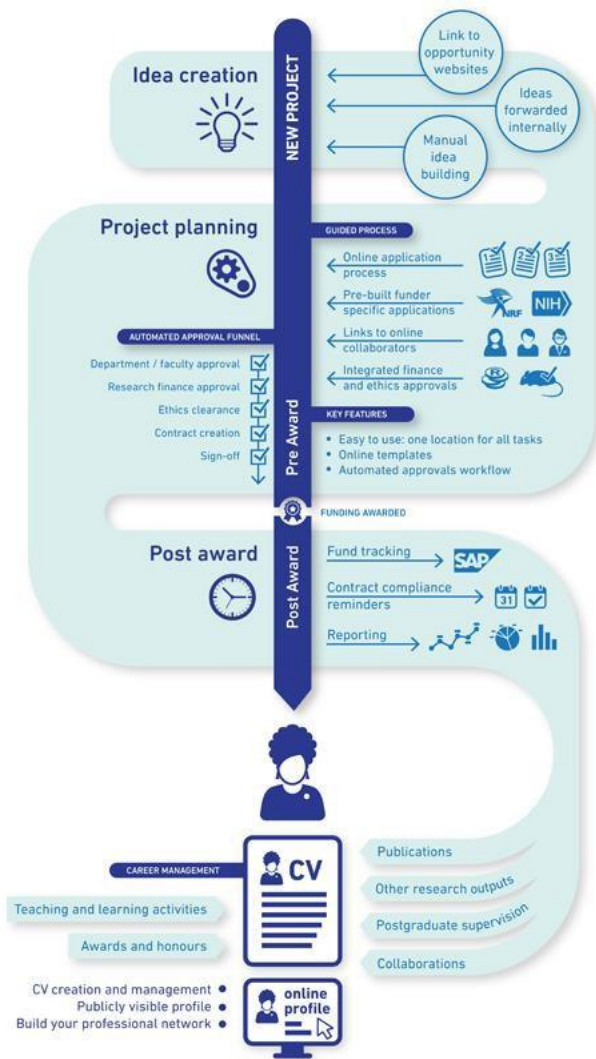
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About eRA

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:

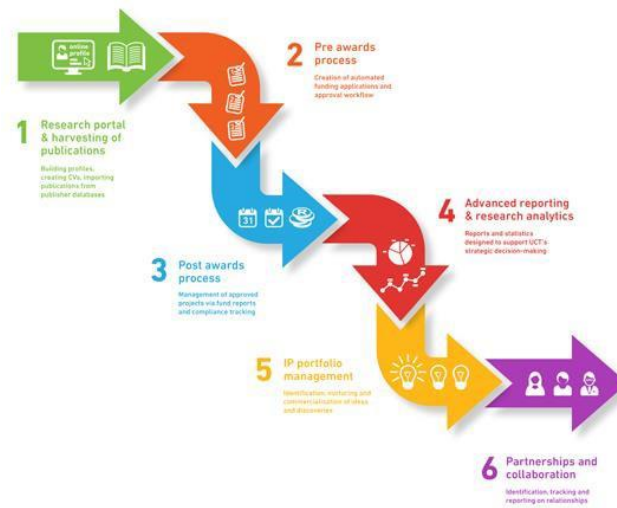
- a ‘one-stop shop’ to manage and track the administrative workflow within a project lifecycle and beyond
- user-friendly software that guides them from the point where an idea is born and a funding opportunity identified, through to post-publication with automatic CV updates
- streamlined and automated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

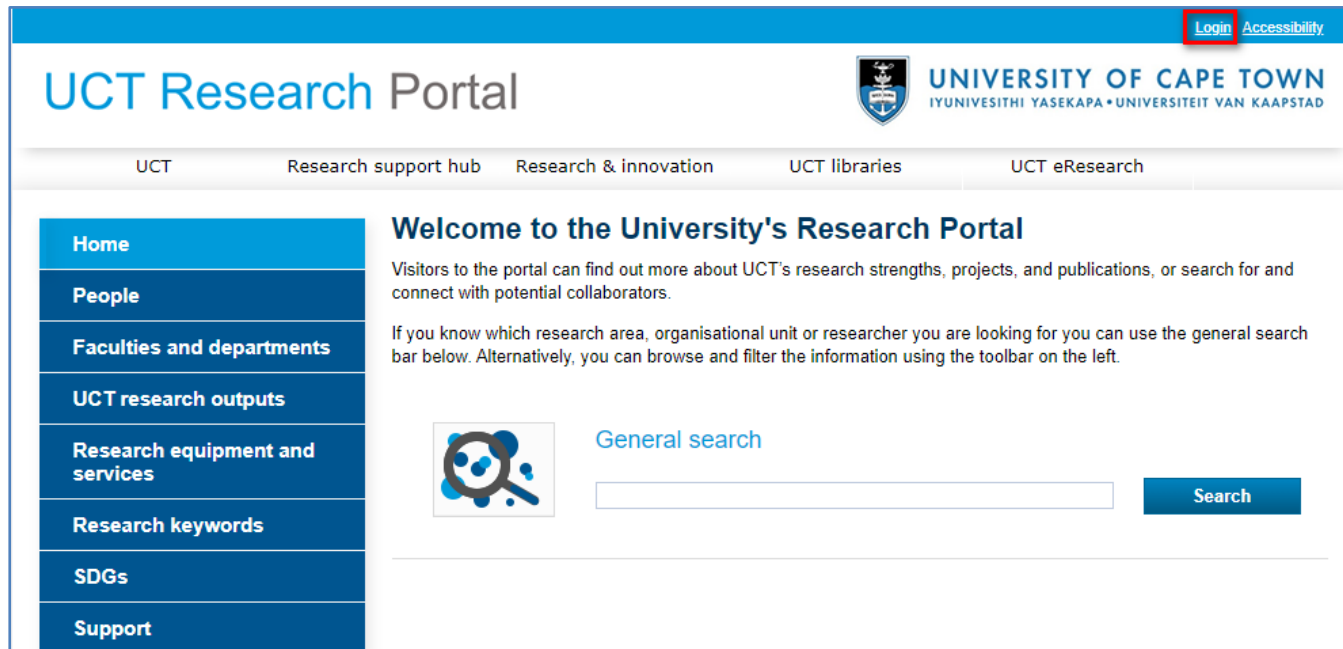
The implementation of eRA is being overseen by a team of specialists who are working on developing the systems according to UCT's needs, rollout of live modules, training of relevant staff and ongoing help-desk support.



Module 1: Logging on to the eRA system



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



The screenshot shows the UCT Research Portal website. At the top right, there are links for 'Login' and 'Accessibility'. The main header includes the UCT Research Portal logo and the University of Cape Town name in English and Afrikaans. Below the header is a navigation menu with options: UCT, Research support hub, Research & innovation, UCT libraries, and UCT eResearch. The main content area features a sidebar with a menu: Home, People, Faculties and departments, UCT research outputs, Research equipment and services, Research keywords, SDGs, and Support. The main content area is titled 'Welcome to the University's Research Portal' and contains a 'General search' section with a search bar and a 'Search' button. The search bar contains the text 'General search'.

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.

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: 8619 Publications, 445 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.

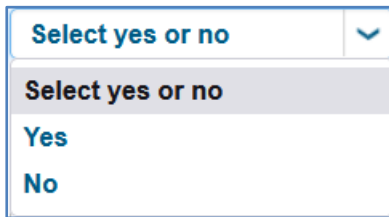
It is important to note that as a user in eRA; you can switch roles. You can switch to different roles by using the orange down arrow on the top right as shown in the steps below:

The screenshot displays the eRA user interface for Khalied Hanslo. The user is currently logged in as a Researcher. A dropdown menu is open, showing the following roles: Researcher: Hanslo, Khalied (highlighted with a red box), Departmental Authority: Hanslo, Khalied, Committee Administrator: Hanslo, Khalied, Committee EXCO: Hanslo, Khalied, Reviewer: Hanslo, Khalied, and Student: Hanslo, Khalied (highlighted with a red box). The interface also shows a sidebar with navigation options like Dashboard, Research Output, Award Management, IP Management, CV Activities, Ethics Management, and Research equipment and. The main content area shows a 'Things to do' section with a notification for '1 Research application(s) for completion'.

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



The image shows a screenshot of a dropdown menu. The top part of the menu is a header with the text "Select yes or no" and a small downward-pointing arrow icon. Below the header, the menu is open, showing two options: "Yes" and "No". The text "Select yes or no" is repeated in a greyed-out font above the options.

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

Callout 1 points to 'Research Output', callout 2 points to 'Ethics Management', and callout 3 points to 'Pre Screening Questionnaire'.

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.

Application faculty *

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

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

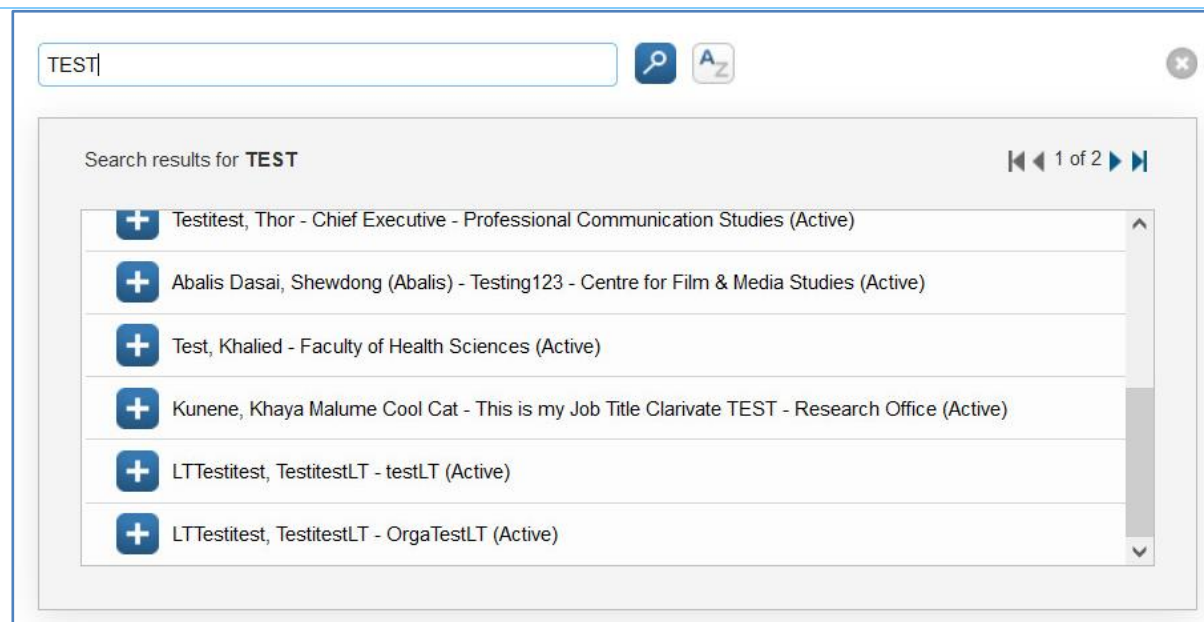
If you are a Student select **Student** from the dropdown menu or select Researcher if you are a **Researcher**

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

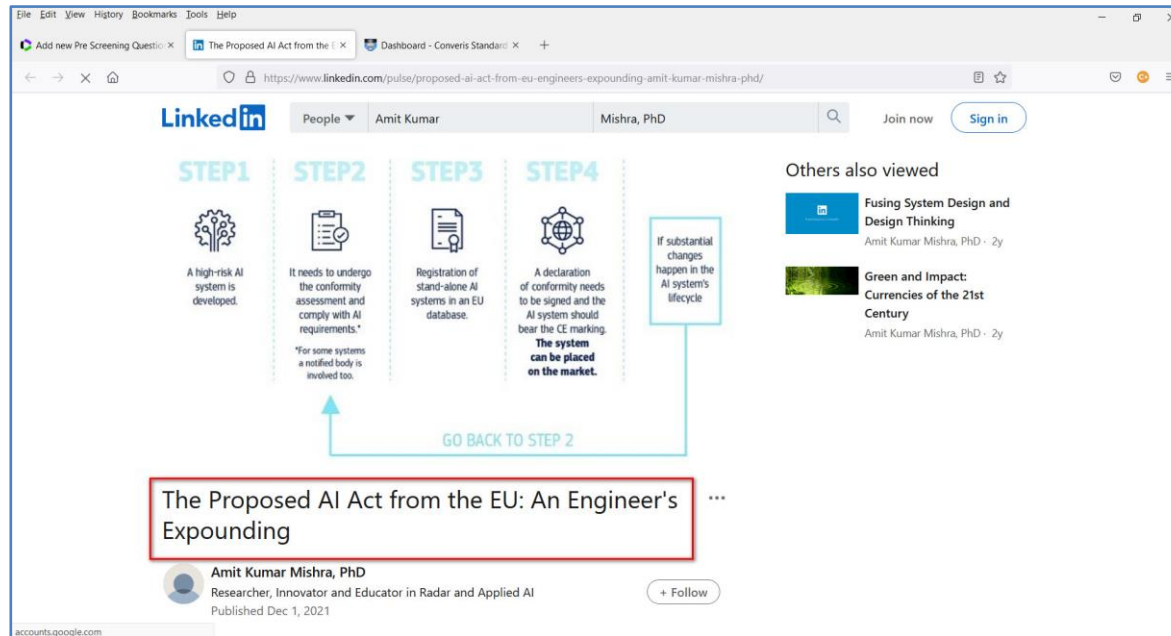
If you have all NO answers complete the rest of the form

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



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**

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**

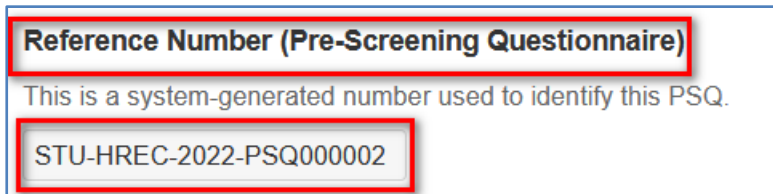
If the applicant needs to save the form to come back to it later, they can select **Draft**.

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.

Module 3: Supervisor

After the Student submits the Pre-Screening Questionnaire the Supervisor will receive a notification. They will be prompted to log in and review the application.

The Supervisor will note the reference number that has automatically been assigned for the pre-screening questionnaire:

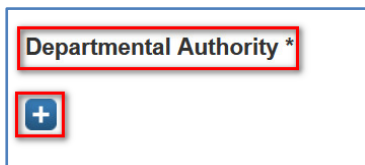


Reference Number (Pre-Screening Questionnaire)

This is a system-generated number used to identify this PSQ.

STU-HREC-2022-PSQ000002

The **Supervisor** will log in to eRA, once they have logged in, they need to switch to the **Supervisor** role by clicking the dropdown arrow next to their name then selecting **Switch Role** after which they can choose **Supervisor**. The **Supervisor** will check all the fields that they have been correctly and accurately populated



Departmental Authority *

+

The Supervisor will need to select the **Departmental Authority** click on the **blue plus sign** and insert the name of the **Departmental Authority**. For Electrical Engineering, the **Department Authority** is Prof Amit Mishra.

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. *

Declaration by Supervisor

I declare that all the information provided is correct and that I have reviewed the applicant's research project and have concluded that ethics approval by an REC is not required for this project.

←

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

Cancel Save Save & close

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

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**

The Supervisor sends the form onto the Departmental Authority.

A popup box will appear. They can choose from **Returned for clarification** for changes that need to be made or select **Departmental Authority Review** and then click **Done**

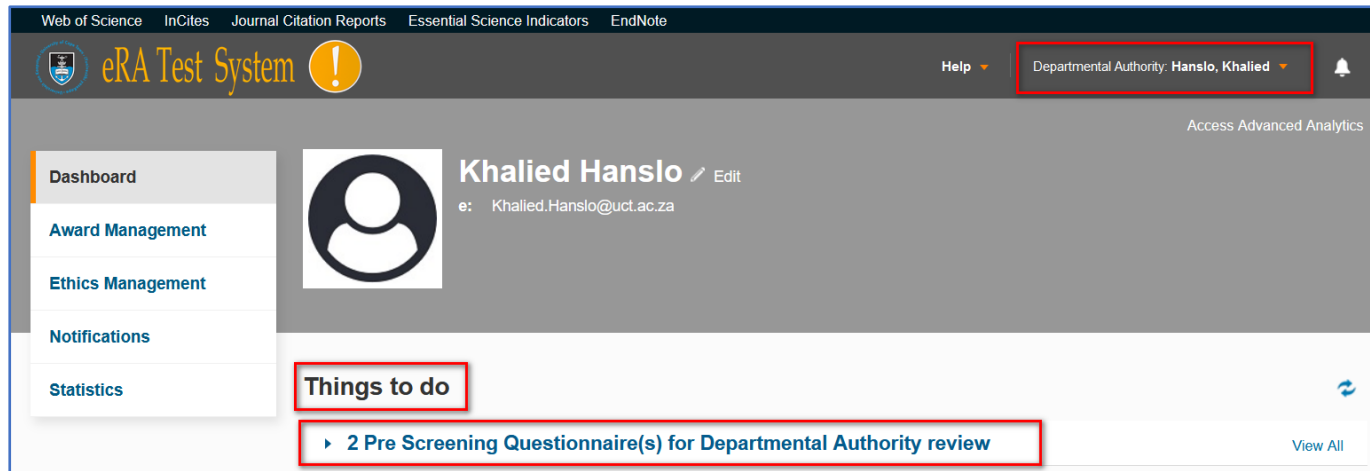
The Departmental Authority will receive a notification in email advising them an application is ready for review.

Module 4: Departmental Authority

After the Supervisor submits the Pre-Screening Questionnaire from the student and a notification will be received by the Departmental Authority. They will be prompted to log in and review the application. The Researcher will send the form directly to the Departmental Authority for review

The Departmental Authority will log in and switch role to Departmental Authority role.

Under **Things to do** they will select the application that requires reviewing.



The screenshot shows the eRA Test System dashboard for a user named Khalied Hanslo, who is acting as a Departmental Authority. The dashboard includes a navigation menu on the left with options like Dashboard, Award Management, Ethics Management, Notifications, and Statistics. The main content area displays the user's profile and a 'Things to do' section. A red box highlights the 'Things to do' section, which contains a link to '2 Pre Screening Questionnaire(s) for Departmental Authority review'. Another red box highlights the user's name and role in the top right corner.

The form will open, and the Departmental Authority will be able to review the application. Once they have checked the form, they can complete the declaration by HoD.

Declaration by Departmental Authority

I have reviewed the form and project abstract and confirm that ethics approval by an REC is not required for this project.

The Departmental Authority can click in the check box and provide the approval.

The Departmental Authority makes a decision and selects the appropriate workflow step.

Select next step

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

Select this status if you are a Departmental Authority who would like to approve the application because you are satisfied that the applicant does not need to complete a full ethics application in order to proceed with their research.

Completed - Full Ethics Application required
Select this status if you are a Departmental Authority who does not approve the application because the applicant needs to complete a full ethics application in order to proceed with their research.

Cancel **Done**


A popup box will appear. They can choose from **Returned for clarification** for changes that need to be made or select **Completed - Full Ethics Application not required** alternatively **Completed - Full Ethics Application required** and then click **Done** The Student will receive a notification in email displaying the decision advising them of Completed - Full Ethics Application not required alternatively Completed - Full Ethics Application required.

Module 5: Application Outcome

Once the Departmental Authority have made the decision; the student or researcher will receive a notification advising them of the outcome and if they need to complete the full ethics application or not.

Information: Application exempted from full ethics application



Electronic Research Administration System
To  Khalied Hanslo



Dear Khalied Hanslo,

The following ethics pre-screening questionnaire has been assessed and it has been determined that your research project is exempted from requiring a full ethics application.

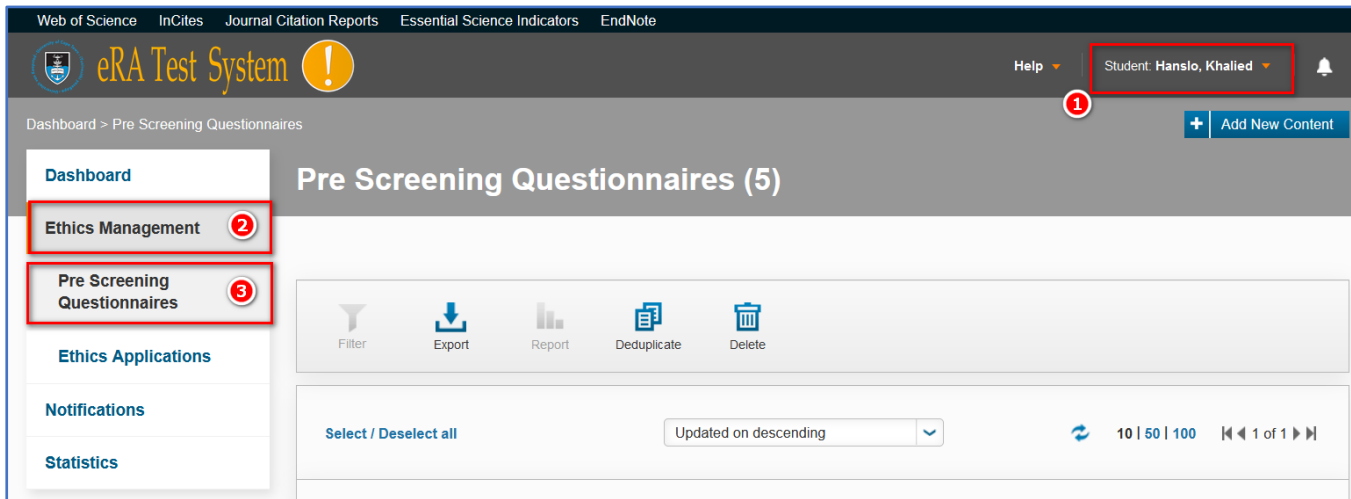
this is a test case KH

There is no further action required – this is an advisory notification.
You will receive a separate notification containing your exemption letter.

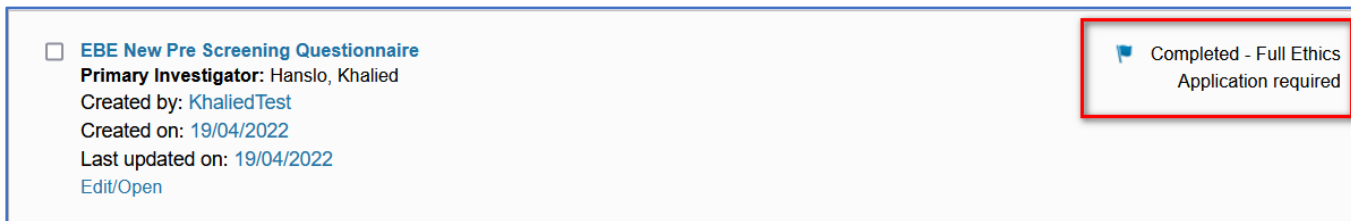
Regards,
Faculty Research Ethics Committee



UNIVERSITY OF CAPE TOWN
IYUNIVESITHI YASEKAPA - UNIVERSITEIT VAN KAAPSTAD



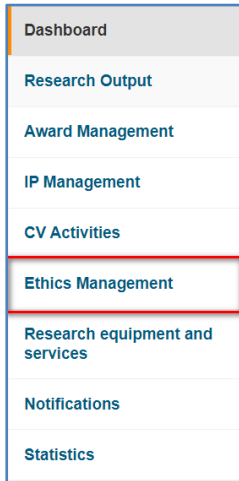
They will log in to eRA as a Student or Researcher and navigate to Pre-Screening Questionnaires in left-hand menu.



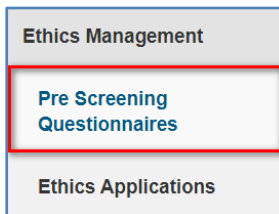
They will then be able to view the outcome of the application on the right-hand side of the application.

Module 6: How to Generate a Report

In eRA, if you would like to generate a report for your records you may follow the steps below to download and print a PDF report.



On the navigation menu click on **Ethics Management**



Select **Pre Screening Questionnaires**

Filter Export Report Deduplicate Delete

Select / Deselect all Updated on ascending 10 | 50 | 100 1 of 1

Test Pack for EBE Completed - Full Ethics Application required
Primary Investigator: Hanslo, Khalied
Created by: KhaledTest
Created on: 03/02/2022
Last updated on: 04/02/2022
[Edit/Open](#)

From the list that appears place a tick in the checkbox of the record you want downloaded.

Filter Export **Report** Deduplicate Delete

Select **Report**

The screenshot shows a software interface for generating reports. At the top, there is a toolbar with icons for Filter, Export, Report, Deduplicate, and Delete. Below this, there are two sections: 'Report items' and 'Report format'. In the 'Report items' section, the 'Selected Items only' radio button is selected and circled in red with a '1' in a red circle. In the 'Report format' section, the 'PDF' radio button is selected and circled in red with a '2' in a red circle. Below these sections, there is a 'PreScreeningQuestionnaire' section with a 'Cancel' button on the left and a 'Create report' button on the right, which is circled in red with a '3' in a red circle. Below the buttons, there is a table with a 'Select / Deselect all' button, a dropdown menu set to 'Updated on ascending', a refresh icon, and pagination controls showing '10 | 50 | 100' and '1 of 1'. The table contains one row with a checked checkbox, the text 'Test Pack for EBE', and a status indicator 'Completed - Full Ethics Application required'. Below the table, there is a list of details for the selected item: 'Primary Investigator: Hanslo, Khalied', 'Created by: KhaliedTest', 'Created on: 03/02/2022', 'Last updated on: 04/02/2022', and 'Edit/Open'.

1. Ensure the **selected items only** radio button is selected
2. The radio button is selected for **PDF**
3. Click **Create report**

You may only create 1 report at a time, so ensure you only click 1 checkbox.



PRE-SCREENING QUESTIONNAIRE OUTCOME LETTER

STU-EBE-2022-PSQ000002

Dear Hanslo, Khalied,

Your Ethics pre-screening questionnaire (PSQ) has been evaluated by your supervisor and your departmental ethics representative. Based on the information supplied in your PSQ, it has been determined that you do not need to make a full ethics application for the research project in question.

You may proceed with your research project titled:

this is a test case KH

Please note that should aspect(s) of your current project change, you should submit a new PSQ in order to determine whether the changed aspects increase the ethical risks of your project. It may be the case that project changes could require a full ethics application and review process.

Regards,

Faculty Research Ethics Committee

This is an example of the PDF report that will be downloaded to your local 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 shows the Research Support Hub website. The browser address bar displays researchsupport.uct.ac.za/electronic-research-administration-era-system. The page header includes the University of Cape Town logo and navigation links: Home, COVID-19 FAQs, Research Announcements, and eRA Login. A search bar is located in the top right. The main navigation menu includes: PROPOSALS, FUNDING & CONT..., RESEARCHER DE..., INTEGRITY, RESEARCH DATA, OUTPUTS, ACCREDITATION &..., and ERA SYSTEM. The ERA SYSTEM menu is expanded, showing a list of options: eRA overview, eRA login, Log a call for eRA support, Research portal and general (highlighted with a red box), eRA pre-awards application process, eRA post-awards, Publications, Researcher profiles, Support, eRA rollout updates, and eRA team. The main content area features the heading "The electronic Research Administration (eRA) system" and a large image of light trails from a long-exposure photograph.

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>

The screenshot shows the Research Support Hub website. The header includes the University of Cape Town logo and navigation links: Home, COVID-19 FAQs, Research Announcements, and eRA Login. A search bar is also present. The main navigation bar lists: PROPOSALS, FUNDING & CONTRACTS, RESEARCHER DEVELOPMENT, INTEGRITY, RESEARCH DATA, OUTPUTS, ACCREDITATION & EVALUATION, ERA SYSTEM, and MEET THE TEAM. The 'ERA SYSTEM' menu is open, showing options: eRA overview, eRA login, Log a call for eRA support (highlighted with a red box), Research portal and general, eRA pre-awards application process, eRA post-awards, Publications, Researcher profiles, Support, eRA rollout updates, and eRA team. Below the navigation, the 'eRA System' section is visible with a breadcrumb 'Home > eRA system'. A sidebar on the left lists the same menu items. The main content area features a banner for 'The electronic Research Administration (eRA)' with a background image of light trails from a car at night.