

electronic  
Research  
Administration



# eRA EBE Faculty Ethics Application 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 on the EBE website at: <https://ebe.uct.ac.za/research/ethics-research>

# Table of Contents

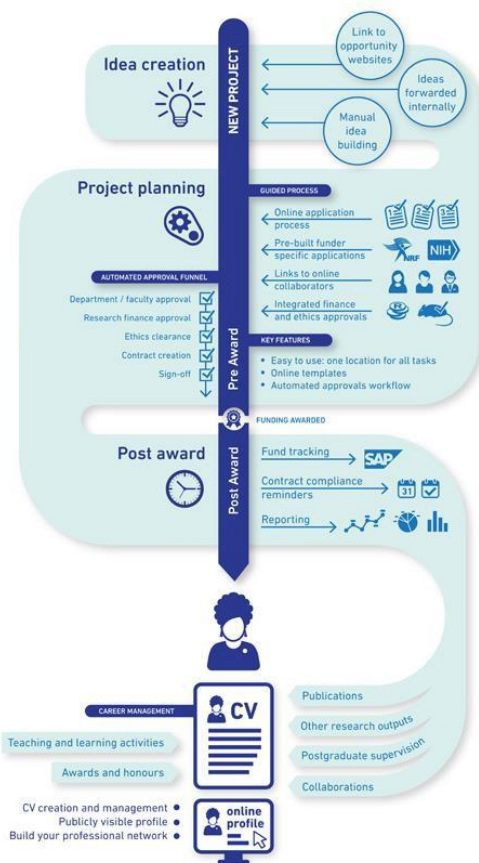
## Contents

Workflow Process .....	5
Differentiation of roles.....	6
Dashboards for different roles.....	8
Module 1: Logging on to the eRA system .....	11
Module 2: Ethics Application .....	13
Module 3: Supervisor .....	25
Module 4: Departmental Authority .....	28
Module 5: Committee Administrator .....	31
Module 6: The Reviewer .....	38
Module 7: First review by Committee EXCO.....	42
Module 8: Preparation by Committee Admin for final review .....	45
Module 9: Post Exco Final Decision.....	47
Module 10: Recording the Decision.....	50
Accessing the FAQ and Logging a call on ServiceNow .....	54

# 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:

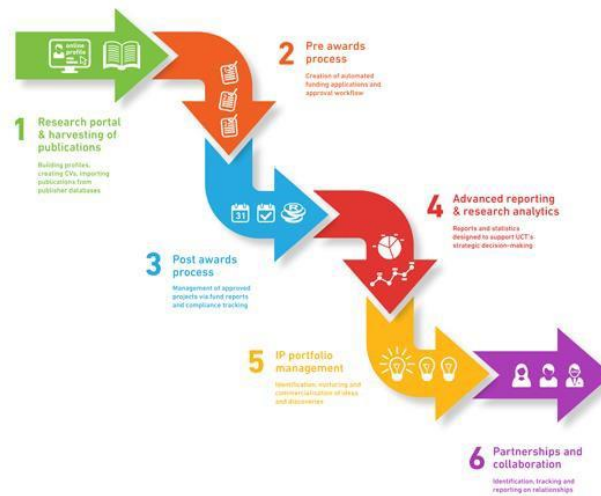
- a ‘one-stop shop’ to manage and track the administrative workflow within a project lifecycle and beyond
- user-friendly software that guides them from the point where an idea is born and a funding opportunity identified, through to post-publication with automatic CV updates
- streamlined and automated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

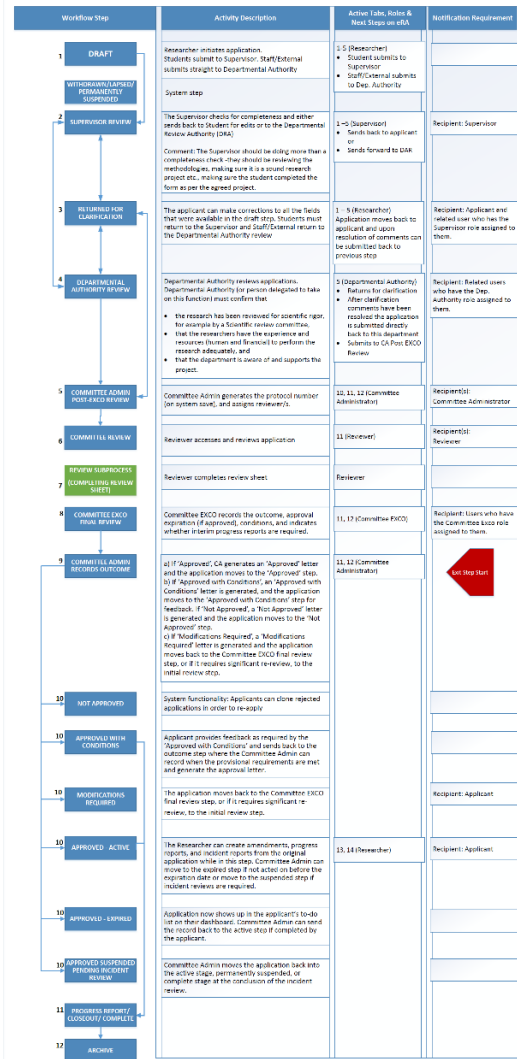
The implementation of eRA is freeing up resources so that UCT can offer more comprehensive research support and more efficient administration. eRA will allow for:

- 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

<b>Role Name</b>	<b>Description</b>	<b>Entry Point</b>
<b>Researcher</b>	<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"> <li>• 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.</li> <li>• 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.</li> </ul>	<i>Person</i>
<b>Committee Administrator</b>	<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"> <li>• check whether a submitted form has been completed correctly;</li> <li>• 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;</li> <li>• create Ethics Review Sheets for a particular submission if required, and manage the response to such individual submission reviews;</li> <li>• 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;</li> <li>• 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</li> <li>• 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.</li> </ul>	<p><i>Person</i></p> <p><i>Person</i></p>

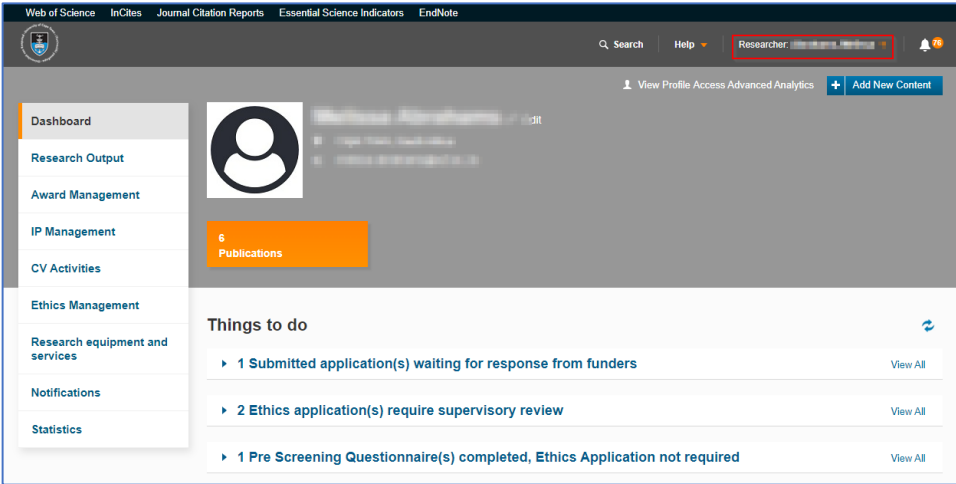
<b>Role Name</b>	<b>Description</b>	<b>Entry Point</b>
<b>Committee Administrator (cont.)</b>	<p>The Committee Administrator role is also required to maintain the list of EXCO members, and the list of Administrator staff on the related online Committee Form.</p> <p>(NOTE: In order for the system to work correctly, any user who is assigned the Committee Administrator role needs to be listed in the Administrator Staff on the related Committee Form.)</p>	
<b>Committee EXCO</b>	<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"> <li>• 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);</li> <li>• If deemed a requirement, provide Reviewer/s names for which someone with the Committee Administrator role must create online Ethics Review Sheets;</li> <li>• 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.</li> </ul> <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>
<b>Departmental Authority</b>	<p>The role of the <i>Departmental Authority</i> 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 <i>Departmental Authority</i> 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 <i>Departmental Authority</i> is senior to the Supervisor and will decide if the review of the supervisor is satisfactory.</p>	<i>Person</i>
<b>Supervisor</b>	<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>



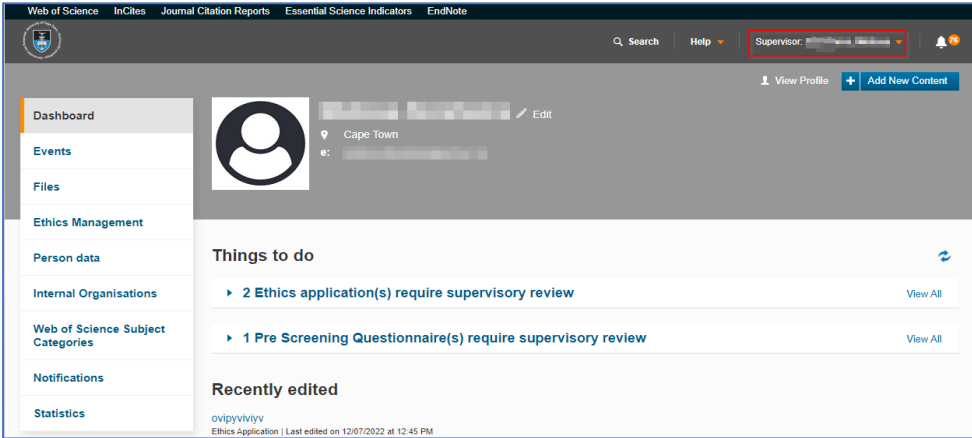
# Dashboards for different roles

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:

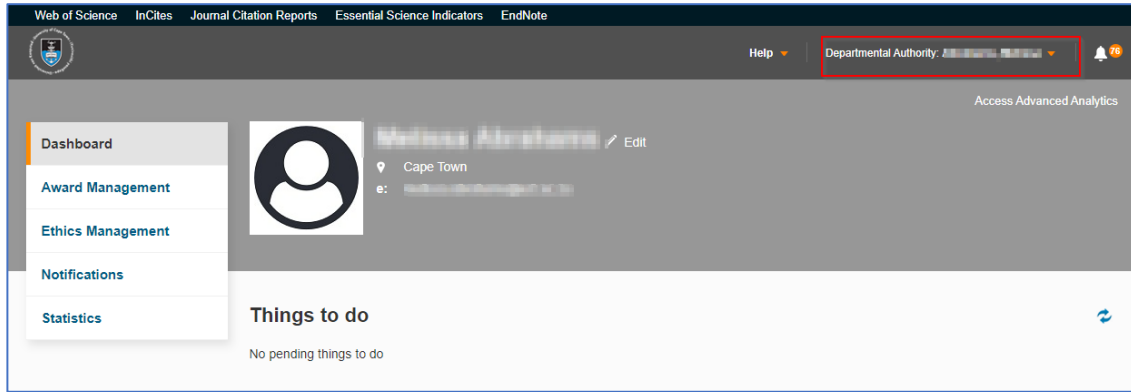
## 1. Researcher



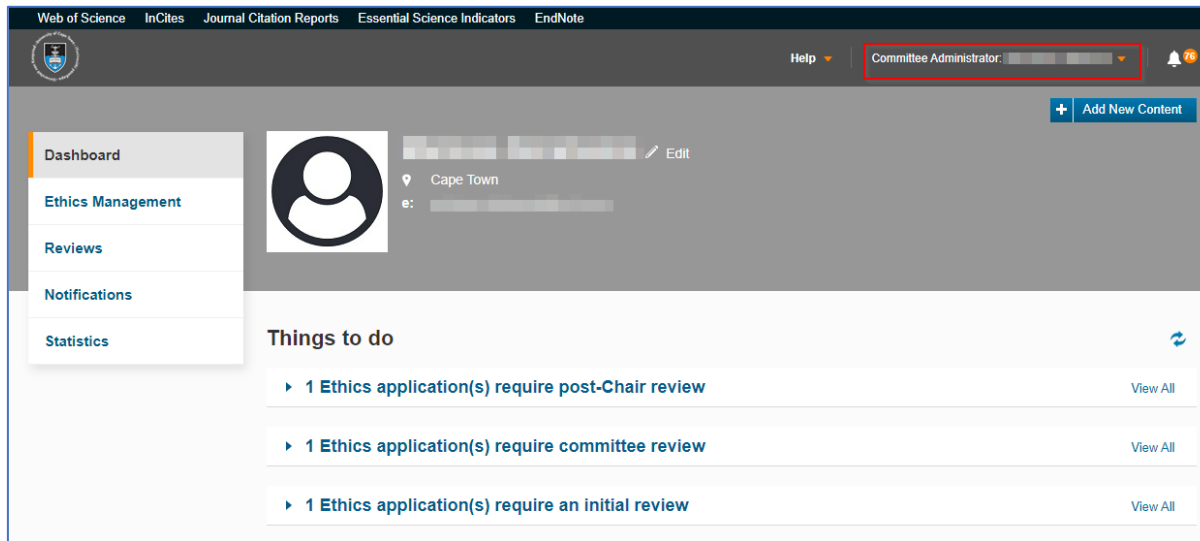
## 2. Supervisor



### 3. Departmental Authority



### 4. Committee Administrator



## 5. Committee EXCO

The screenshot shows the 'Committee EXCO' dashboard. At the top, there is a navigation bar with links for 'Web of Science', 'InCites', 'Journal Citation Reports', 'Essential Science Indicators', and 'EndNote'. A search bar and a 'Help' dropdown are also present. The user's profile is visible, showing a name, location 'Cape Town', and an email address. A sidebar on the left contains menu items: 'Dashboard', 'Ethics Management', 'Reviews', 'Notifications', and 'Statistics'. The main content area is titled 'Things to do' and lists two items: '1 Ethics application(s) require review' and '1 Review Sheet(s) completed by Reviewer(s)', each with a 'View All' link.

## 6. Reviewer

The screenshot shows the 'Reviewer' dashboard. The navigation bar at the top is identical to the previous dashboard, but the dropdown menu is set to 'Reviewer:'. The user's profile information is also present. The sidebar menu is the same. The 'Things to do' section now displays 'No pending things to do'.

# 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 homepage. At the top right, there are links for 'Login' and 'Accessibility'. The main header includes the 'UCT Research Portal' title and the University of Cape Town logo. Below this is a navigation bar with links for 'UCT', 'Research support hub', 'Research & innovation', 'UCT libraries', and 'UCT eResearch'. On the left, there is a vertical sidebar with menu items: '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 paragraph of text, a search bar with a magnifying glass icon, and a 'Search' button.

Access the eRA system by using this link: [https://eraonline.uct.ac.za/converis/portal/overview?lang=en\\_GB](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.

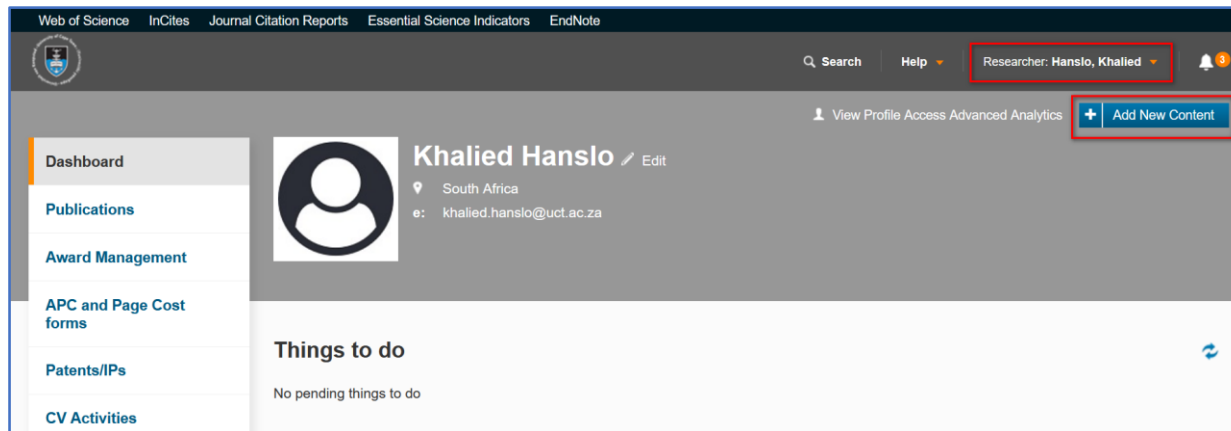
Sign in

A screenshot of a user dashboard for Edward Peter Rybicki. The dashboard includes a navigation menu on the left with items like Dashboard, Publications, Award Management, APC and Page Cost forms, CV Activities, Ethics Submissions, Reviews, Notifications, and Statistics. The main content area shows a profile card for Edward Peter Rybicki with a photo and contact information. Below the profile card are three orange boxes displaying statistics: 8819 Publications, 448 Times Cited, and 31 H-index. A 'Things to do' section lists 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 card.

# Module 2: Completing an Ethics Application

## Lesson Objectives:

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

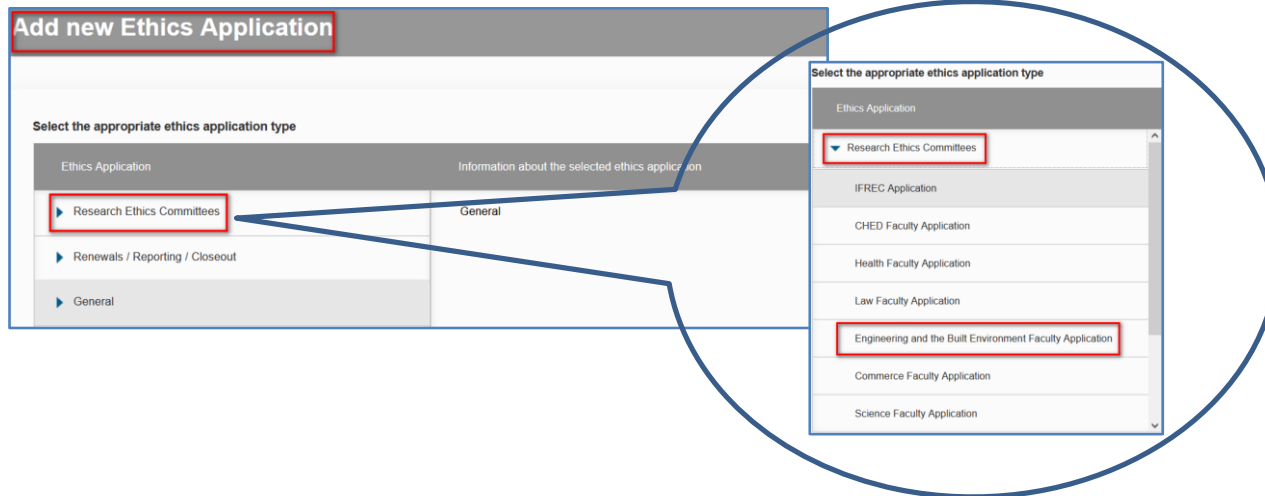
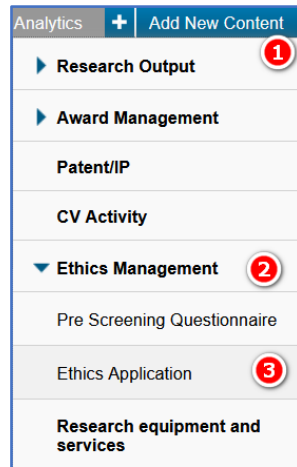


The dashboard has the **Ethics Submissions** tab on the left-hand side which will lead you to all existing Ethics submissions submitted over time. This is a dashboard that the researcher will see. There are other roles that have access to the Ethics functionality. Ensure you are switched to the default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

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

**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.

Student ▾

**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 using your student profile.

No ▾

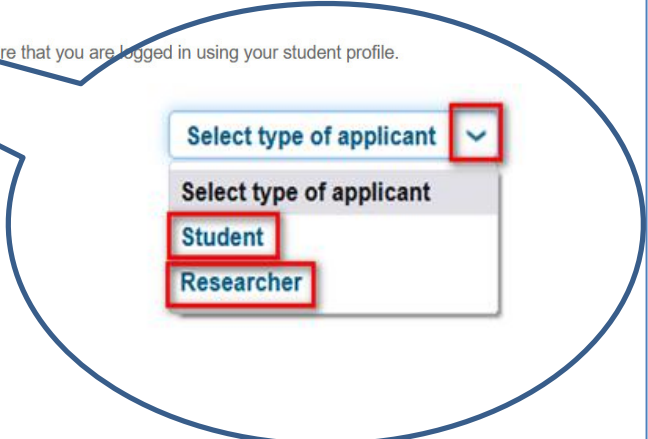
**If yes, please state level of degree**

Select level of education ▾

**Other degree not listed above**

**Type of ethics application**



Engineering and the Built Environment Faculty Applicatio ▾



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



**If you previously submitted an Ethics Pre-Screening Questionnaire (PSQ) please link it below**

Project Title	Status	Reference Number (Pre-Screening Questionnaire)	
Project Title *	Completed - Full Ethics Application required	STU-EBE-2022-PSQ000007	 



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.

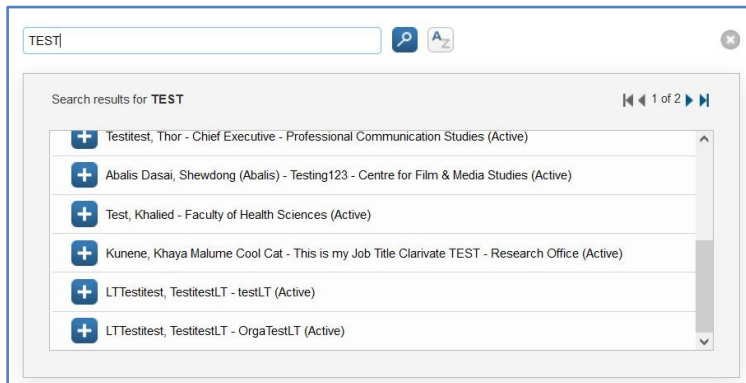
**Supervisor(s) if applicable**

**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.





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.

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

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

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

Select yes or no 

Select yes or no

Yes  committee(s) and/or institution and give the outcome - eg. pending, approved, rejected. Please attach the comments Tab (under other supporting documents)

No

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 ▾
<p>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.</p>			
<p><b>Full title of research project (No abbreviations to be used) *</b></p> <input type="text" value="STU-EBE-2022-PSQ000002"/>			
<p><b>Research proposal summary (Max 500 words)</b></p> <input type="text" value="STU-EBE-2022-PSQ000002"/>			
<p><b>Research site(s) where the project will be carried out.</b></p> <p>Research site(s) where project will be carried out.</p> <input type="text" value="STU-EBE-2022-PSQ000002"/>			
<p><b>Research questions</b></p> <p>Specify the research question(s) being evaluated in the project.</p> <input type="text" value="STU-EBE-2022-PSQ000002"/>			
<p><b>Aim/s (what you hope to achieve) and Objective/s (how you will achieve your aim/s) of study. Please list:</b></p> <input type="text" value="STU-EBE-2022-PSQ000002"/>			
<p><b>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</b></p> <input type="text" value="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 ▾
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**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**

**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**

## 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 ▼
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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

1.Key Information *	2. Project Details *	3. Research Methodology	4. Attachments ^	
Please ensure that all relevant documents are attached to this application. The preferred file format is PDF.			<b>5. Declaration and Faculty Review</b>	waiting for review.
<b>Attach information about this study as indicated below:</b>			6. REC Review	
Please attach your full research proposal here:			7. Outcome	
	Name		8. Amendments	
	~test.pdf		9. Renewals/Reporting Closeout	

1.Key Information *	2. Project Details *	3. Research Methodology	<b>5. Declaration and Faculty Review</b> v	
<b>Declaration by applicant:</b>				
I have read and understood UCT's <a href="#">Responsible Conduct of Research Policy</a> , UCT's <a href="#">Research Ethics Code for Research Involving Human Participants</a> , UCT's <a href="#">Authorship Practices policy</a> , and the relevant research ethics codes in my faculty and/or department.				
<input checked="" type="checkbox"/>				
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.				
<input checked="" type="checkbox"/>				
<b>I undertake to carry out my research in such a way that:</b>				
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				
<input checked="" type="checkbox"/>				
The findings could be subject to peer review and will be publicly available				
<input checked="" type="checkbox"/>				
I will respect intellectual property rights and avoid any practice that would constitute plagiarism				
<input checked="" type="checkbox"/>				

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. UC T'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 or commitment, please provide details here:

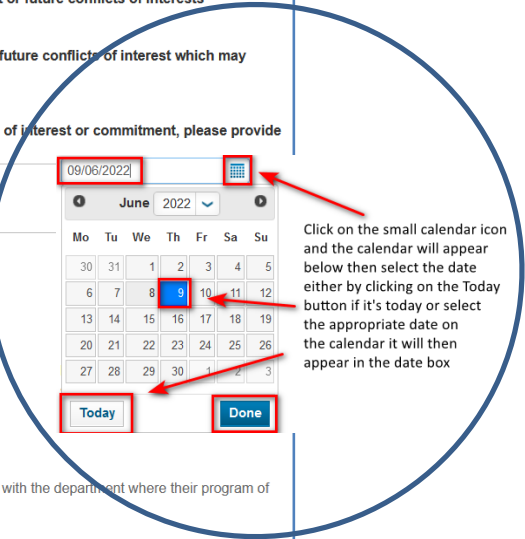
**I expect the project to be completed by:**

**Ethics application submission date**

This date will be automatically generated after submission

**Departmental Authority Review**


Researchers/Postdoc Fellows and Supervisors are to link a Departmental Authority associated with the department where their program of study resides.



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

**Departmental Authority Review**

Researchers/Postdoc Fellows and Supervisors are to link a Departmental Authority associated with the department where their program of study resides.



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**.

**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**

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.



**Select next step**

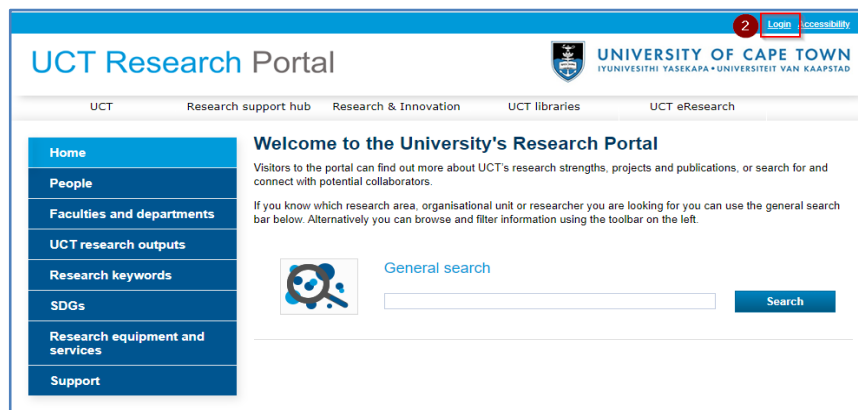
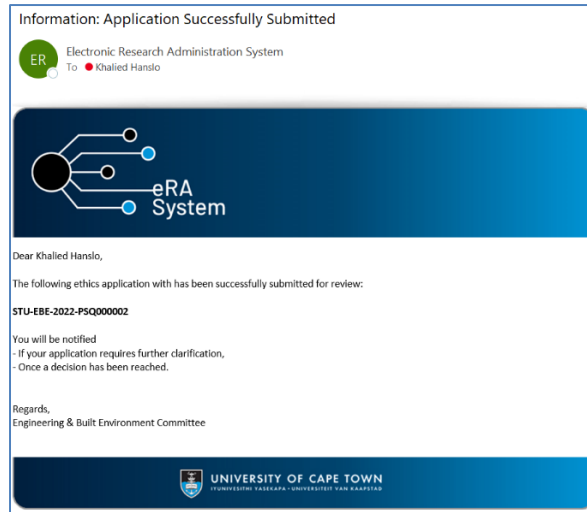
Please select the next step below and add an optional comment.

**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.

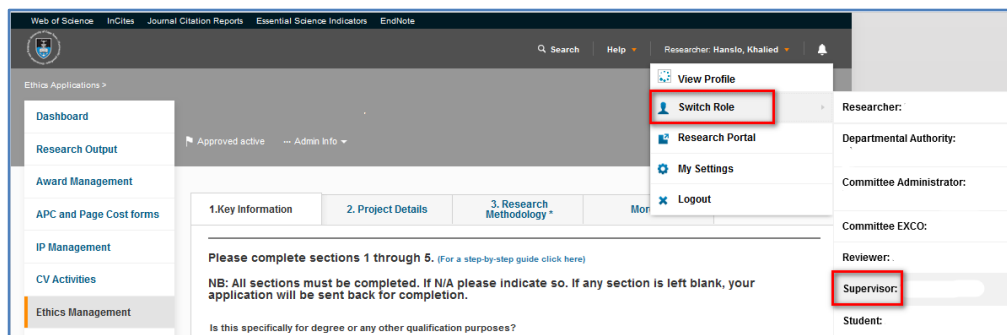
If the applicant is a Researcher, then select **Departmental Authority review** This will send a notification to the **Departmental Authority** to alert them that there is a form for them to review.

# Module 3: Supervisor

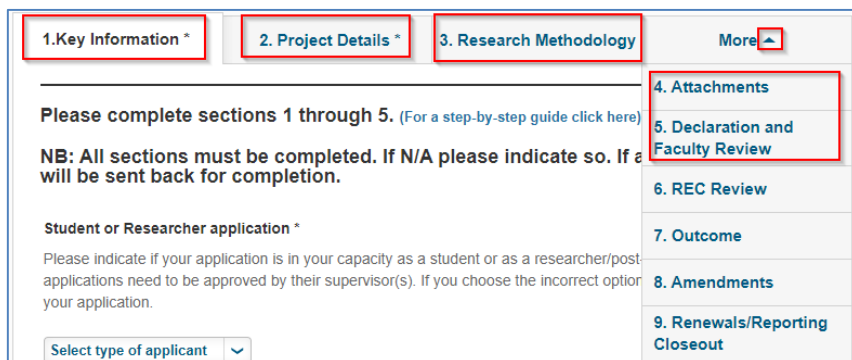
After the Student submits the ethics application the Supervisor will receive a notification. They will be prompted to log in and review the application. The image below is an example of the e-mail notification the Supervisor will receive.



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.



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.





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

**Select next step**

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

**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**

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 Admin Post EXCO review** and then click **Done**.

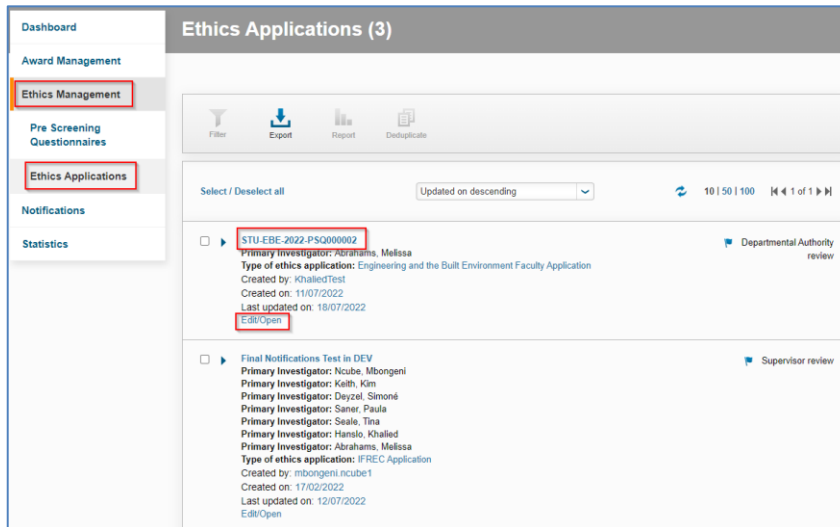
The **Committee Admin** will receive a notification in email advising them an application is ready for review.

# Module 4: Committee Administrator

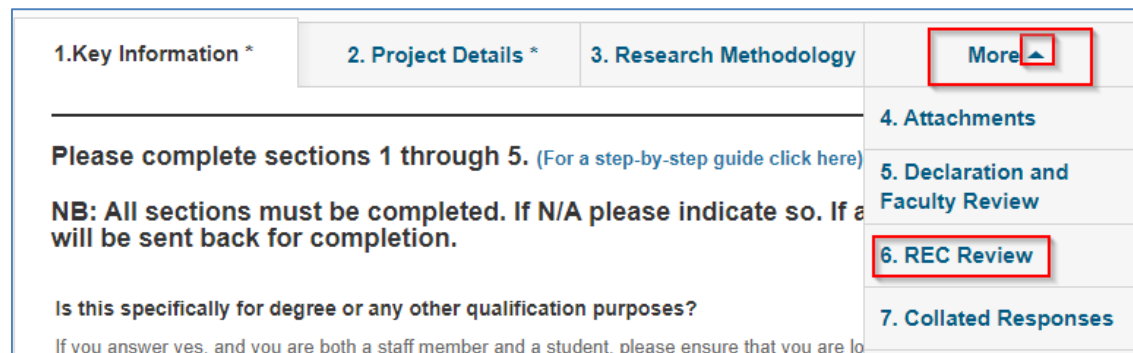
After the Departmental Authority reviews the ethics application and submits it to the **Committee Admin Post EXCO review** stage for review, the Committee Administrator will be alerted that there are applications that require an initial review. They will be prompted to log in and review the application. Ensure that you've switched your role to **Committee Administrator**.

The screenshot shows the user interface for a Committee Administrator. At the top, there is a navigation bar with links for 'Web of Science', 'InCites', 'Journal Citation Reports', 'Essential Science Indicators', and 'EndNote'. The user's name 'Melissa Abrahams' and role 'Committee Administrator' are displayed in the top right. A dropdown menu is open, showing options: 'Switch Role', 'Research Portal', 'My Settings', and 'Logout'. The 'Switch Role' option is highlighted with a red box. Below the navigation bar, the user's profile is shown, including a profile picture, name 'Melissa Abrahams', location 'Cape Town', and email 'melissa.abrahams@uct.ac.za'. A 'Things to do' section is visible, containing three items: '1 Ethics application(s) require post-Chair review', '1 Ethics application(s) require committee review', and '1 Ethics application(s) require an initial review'. The first item is highlighted with a red box. A 'View All' link is present next to each item. On the right side, a list of roles is shown, with 'Committee Administrator: Abrahams, Melissa' highlighted by a red box. Other roles include 'Researcher: Abrahams, Melissa', 'Student: Abrahams, Melissa', 'Supervisor: Abrahams, Melissa', 'Departmental Authority: Abrahams, Melissa', 'Committee EXCO: Abrahams, Melissa', and 'Reviewer: Abrahams, Melissa'.

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 left of the heading or by clicking on **Ethics Management** then **Ethics Applications** from the left navigation, which will open a list view of all the applications to be reviewed.



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



The Committee Administrator is required to navigate to the **Rec Review** tab by clicking on **More** (or guided by the blue drop down arrow), to check the information which has been captured.

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

**Committee**

This application will be automatically linked to a Research Ethics Committees

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*

Review of Ethics Application 


**Ethics Application**  
Committee Administrator to link associated ethics application.




**Title of related submission**  
*For system use only*

**Reviewer type**  
Select 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**

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

Engineering & Built Environment 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.

**Select next step**

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

Draft

**Reviewer to complete review sheet**

Cancel Done

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

**Select next step**

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

Draft

**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

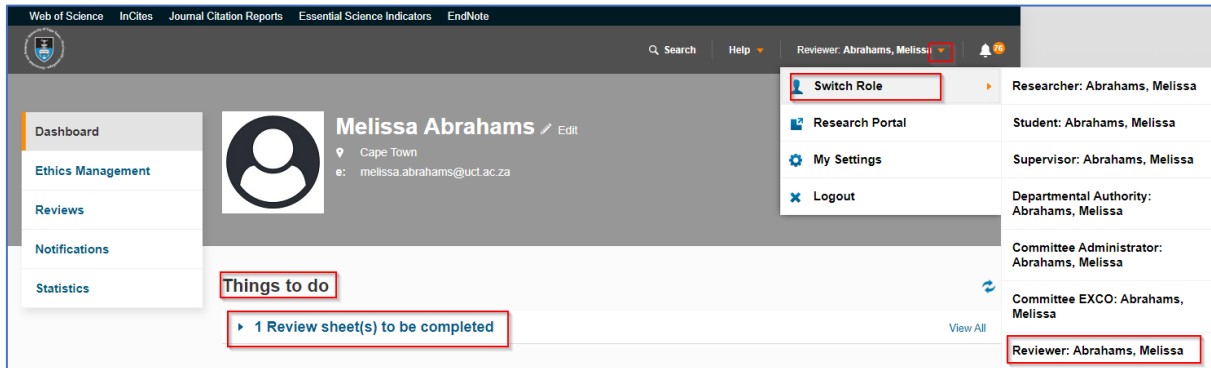
Then, click **Save & close**.

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

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

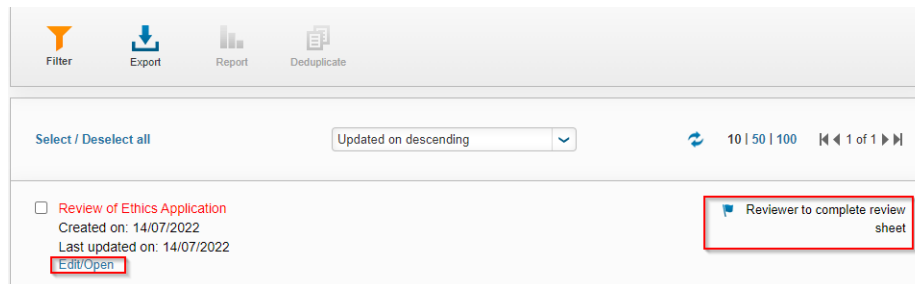
# Module 5: The Reviewer

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.


STU-EBE-2022-PSQ000002 

**Title of related submission**

*For system use only*


STU-EBE-2022-PSQ000002 

**Reviewer type**

Primary 

**Reviewer \***

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

Name	Organisation	
Hanslo, Khalied	Research Office (PASS)	

Ensure all the key information is correct

<b>1. Key Information *</b>	<b>2. Reviewer Assessment</b>	<b>3. Feedback</b>
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### 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**

**Select next step**

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

Review declined

Reviewer to complete review sheet

**Review complete by Reviewer**

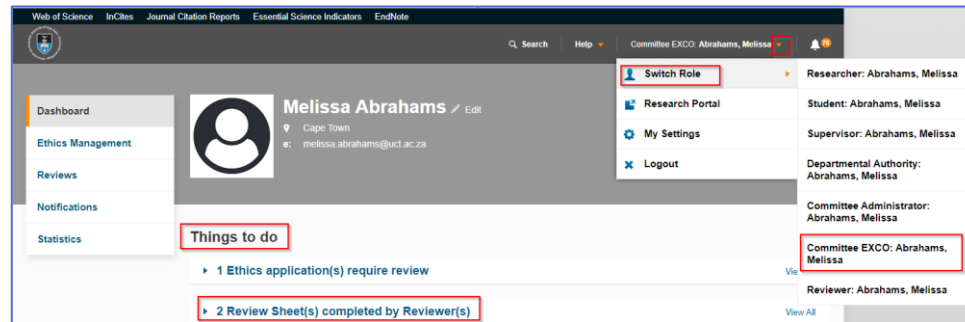
Cancel Done

A popup box will appear. From the popup box, select **Review complete by Reviewer** to return the review form to the committee EXCO for review and final comments.

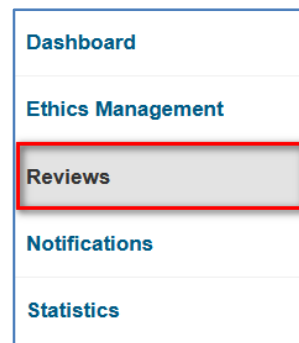
# Module 6: Review by Committee EXCO

The **Committee Exco** will receive an email notification advising that there is a 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**.

Commented [MA1]: Explain how they can use the view all option as well.



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**.





**STU-EBE-2022-PSQ000002** Review of Ethics Application  
Created on: 12/07/2022  
Last updated on: 12/07/2022  
[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**.

**Select next step**

Enter a comment about the status change (optional).

**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**

**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.

The screenshot shows the user interface for a committee administrator. At the top, there are navigation links for 'Web of Science', 'InCites', 'Journal Citation Reports', 'Essential Science Indicators', and 'EndNote'. The user is logged in as 'Committee Administrator: Abrahams, Melissa'. The main dashboard area includes a left-hand navigation menu with 'Ethics Management', 'Reviews', 'Notifications', and 'Statistics'. The user profile for 'Melissa Abrahams' is displayed, showing her location as 'Cape Town' and email as 'melissa.abrahams@uct.ac.za'. A 'Things to do' section is highlighted, containing two items: '3 Ethics application(s) require post-Chair review' and '2 Ethics application(s) require committee review'. A dropdown menu is open, showing options like 'Switch Role', 'Research Portal', 'My Settings', and 'Logout', along with a list of roles: 'Researcher: Abrahams, Melissa', 'Student: Abrahams, Melissa', 'Supervisor: Abrahams, Melissa', 'Departmental Authority: Abrahams, Melissa', 'Committee Administrator: Abrahams, Melissa', 'Committee EXCO: Abrahams, Melissa', and 'Reviewer: Abrahams, Melissa'.

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 ▾**

Please complete sections 1 through 5. (For a step-by-step guide click here)

**NB: All sections must be completed. If N/A please indicate so. If a 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-applications need to be approved by their supervisor(s). If you choose the incorrect option your application.

Student ▾

- 4. Attachments
- 5. Declaration and Faculty Review
- 6. REC Review**
- 7. Outcome
- 8. Amendments
- 9. Renewals/Reporting Closeout

The Committee Administrator is required to navigate to the **Rec Review** tab by clicking on **More** (or guided by the blue drop down arrow), to check the information which has been captured.

**Commented [MA2]:** Please show instructions for the role on how to get to this point (logging in, switching roles, etc)\_

**Committee Comments**

Comments from committee meeting or reviews

[Text input field]

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

**Select next step**

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

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

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

Cancel    Done

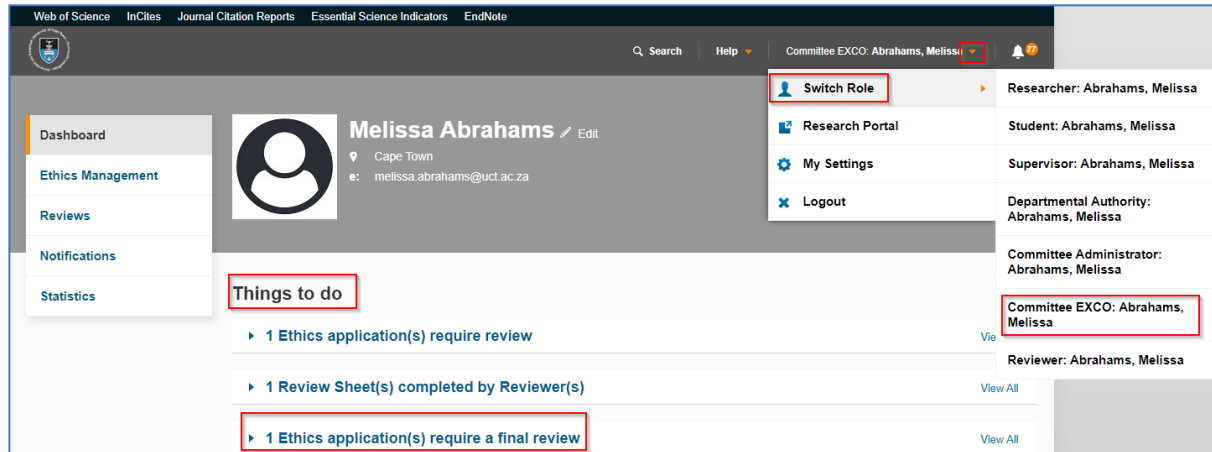
The **Committee Administrator** clicks on **Save and close** and a pop-up will appear. Select **Committee EXCO final review**, then click **Done**.

# Module 8: Post Exco Final Decision

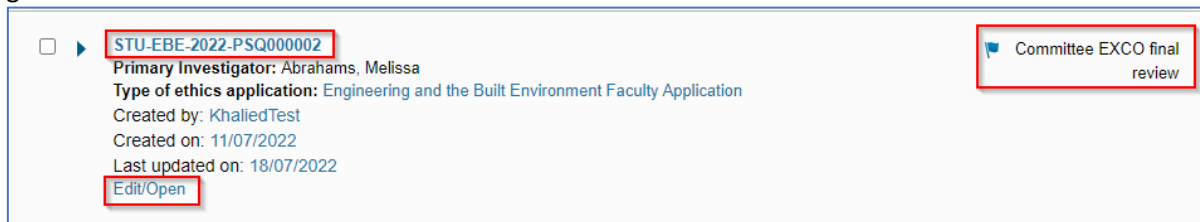
The ethics application will be moved to the Committee EXCO who will receive an email notification and log in to eRA.

Please ensure that you have switched your role to **Committee EXCO**.

**Commented [MA3]:** This should be another module, and instructions should be given on how to get there for the respective role.



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.

1.Key Information *	2. Project Details *	3. Research Methodology	More ^
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Please complete sections 1 through 5. (For a step-by-step guide click here)

**NB: All sections must be completed. If N/A please indicate so. If not completed 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/postdoctoral fellow. Postdoctoral fellow applications need to be approved by their supervisor(s). If you choose the incorrect option your application will be sent back for completion.

Student

4. Attachments
5. Declaration and Faculty Review
6. REC Review
7. Outcome
8. Amendments
9. Renewals/Reporting Closeout

The Exco navigates to **More** and selects **Outcome** in the navigation

1.Key Information *	2. Project Details *	3. Research Methodology	7. Outcome v
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**Final Decision**

**Outcome**

- Approved:** Project can start
- Modifications required:** Applicant must respond to queries raised by the REC/reviewers
- Lapsed/Withdrawn**
- Approved with condition(s):** The project is approved but there are additional requirements, such as gatekeeper permission, that 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
- Rejected**

Select status of ethics application

Select status of ethics application

- Approved
- Modifications required
- Lapsed/withdrawn
- Approved with condition(s)
- Rejected

Finally approved, complete the fields below

Personal approval letter

Under final decision they can make their selection in terms of the outcome.

Outcome

- Approved:** Project can start
- Modifications required:** Applicant must respond to queries raised by the REC/reviewers
- 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**



Then, click **Save & close**.

A dialog box titled 'Select next step'. It contains a text area with the instruction 'Please select the next step below and add an optional comment.' Below this are two options. The first is 'Committee EXCO final review' with the subtext 'Send to Chair to select Final Outcome.' The second is 'Committee Admin records outcome' with the subtext 'Send here to generate letter.' This second option is highlighted with a red border. At the bottom of the dialog are two buttons: 'Cancel' and 'Done'. The 'Done' button is highlighted with a red border.

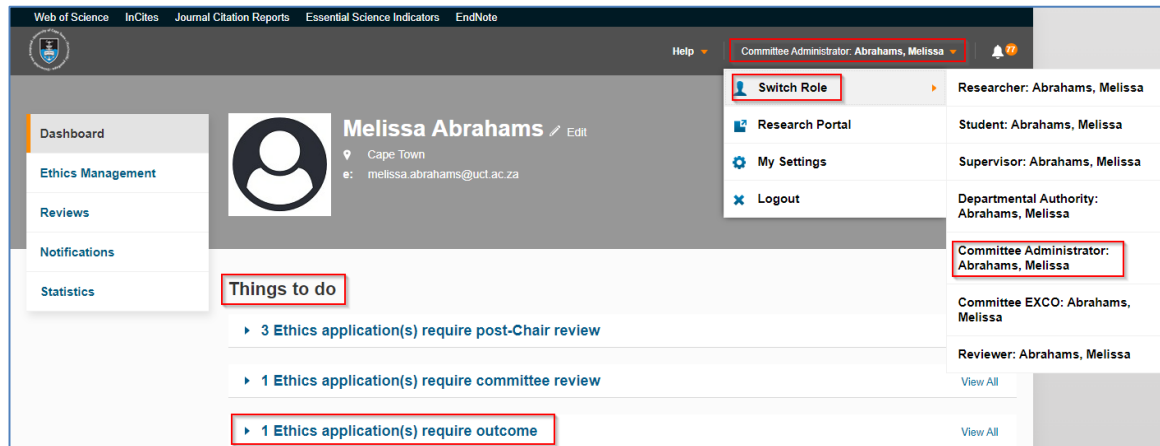
A popup box will appear. The Committee Exco moves the form to the **Committee Admin records outcome** stage.

Then, click **Done**.

# Module 9: Recording the Outcome

The Committee Administrator will log in to eRA once more. Ensure that you are switched to the **Committee Administrator** role.

You can find your application from the **Things to do** under the heading **Ethics application(s) require outcome** 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 screenshot shows a form with five tabs: '1. Key Information \*', '2. Project Details \*', '3. Research Methodology', and 'More ^'. The 'More ^' tab is selected, showing a list of sections: '4. Attachments', '5. Declaration and Faculty Review', '6. REC Review', '7. Outcome' (highlighted with a red box), '8. Amendments', and '9. Renewals/Reporting Closeout'. The main content area contains instructions: 'Please complete sections 1 through 5. (For a step-by-step guide click here)'. Below this is a note: 'NB: All sections must be completed. If N/A please indicate so. If e will be sent back for completion.' The form is for a 'Student or Researcher application \*' and includes a dropdown menu with 'Student' selected.



The Committee Administrator will navigate to the **Outcome** tab to reflect the decision made by the Committee EXCO.

1. Key Information \*    2. Project Details \*    3. Research Methodology    **7. Outcome ▾**

**Final Decision**

**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, that 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 instances additional information will need to be supplied to the REC
5. **Rejected**

**Approved** ▾

**If this application is provisionally approved, complete the fields below**

**Outline the conditions for the provisional approval letter**

**If this is provisionally approved, click here to enable the creation of the provisional approval letter.**  
After generating the letter, please attach it to the letters section at the bottom of the Attachments tab.

**If this was previously provisionally approved, have all conditions now been met?**

Select yes or no ▾

**Comments on clearance of provisional approval**

Attach any supporting documentation here:

**If this application is approved, complete the fields below**

**Expiration date of approval**

30/07/2022

**Conditions to be included in the letter**

Depending on the outcome, a letter will be generated whether the application is conditionally approved or approved, by clicking on the check box under the relevant section. The Levy payment and additional supporting documents can also be uploaded depending on the outcome.



Then, click **Save & close**.

A screenshot of a 'Select next step' popup box. It contains a text area for an optional comment, followed by five radio button options: 'Committee Admin records outcome', 'Not approved', 'Approved with conditions', 'Modifications Required', and 'Approved active'. At the bottom are 'Cancel' and 'Done' buttons.A screenshot of a 'Select next step' popup box. It contains a text area for an optional comment, followed by three radio button options: 'Approved active', 'Approved - "expired"', and 'Approval suspended pending incident review'. At the bottom are 'Cancel' and 'Done' buttons.

**Commented [MA4]:** Show a screenshot of what the outcome tab will look like and where they are required to record the outcome.

A popup box will appear. The **Committee Admin** has the following options available depending on what was decided:

**Not approved**

**Approved with conditions**

**Modifications Required**

**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**.

Information: Application approved

 Electronic Research Administration System  
To  Khalied Hanslo

Start your reply all with: [Finally!](#) [Thank you!](#) [For your info.](#)  Feedback




Dear Khalied Hanslo,

The following ethics application with has been **APPROVED** and is now marked as **ACTIVE**:

[STU-EBE-2022-PSQ000002](#)

- An outcome letter is available on the eRA platform.

Regards,  
Engineering & Built Environment Committee

 UNIVERSITY OF CAPE TOWN  
IUNIVESITHI YASEKAPA • UNIVERSITEIT VAN KAAPSTAD

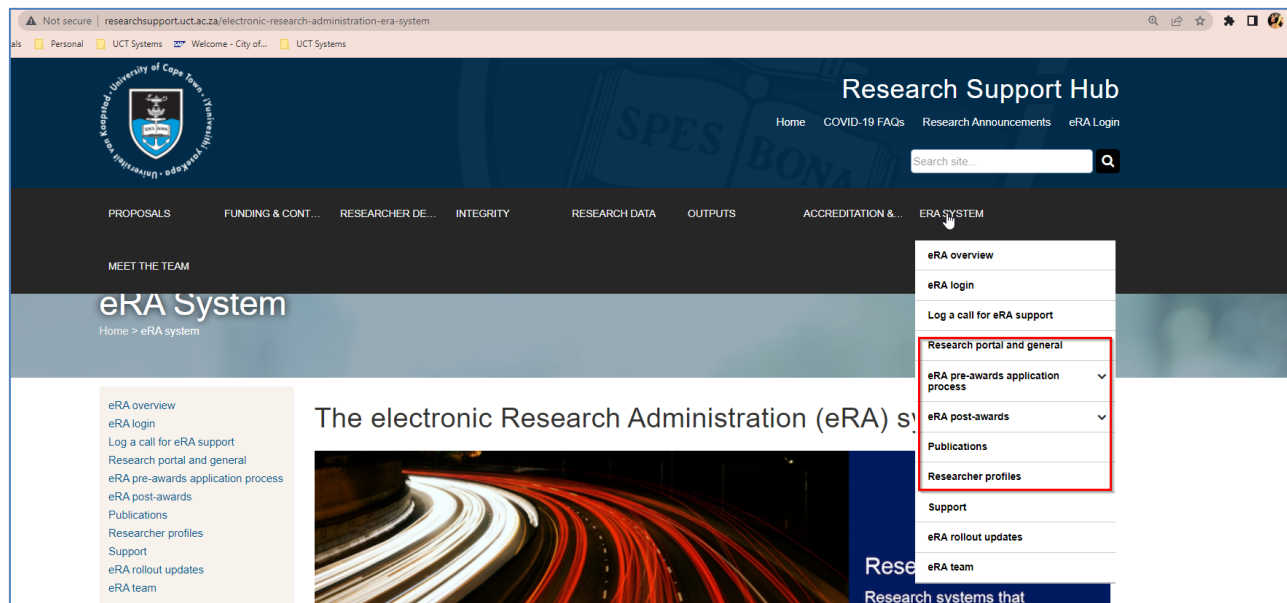
The Researcher or student will receive an email notification of the outcome and the letter will be made available on the attachments tab by the Committee Administrator.

# 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/>



## 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>

