

electronic
Research
Administration



eRA Commerce Faculty

Ethics Application

Process Manual

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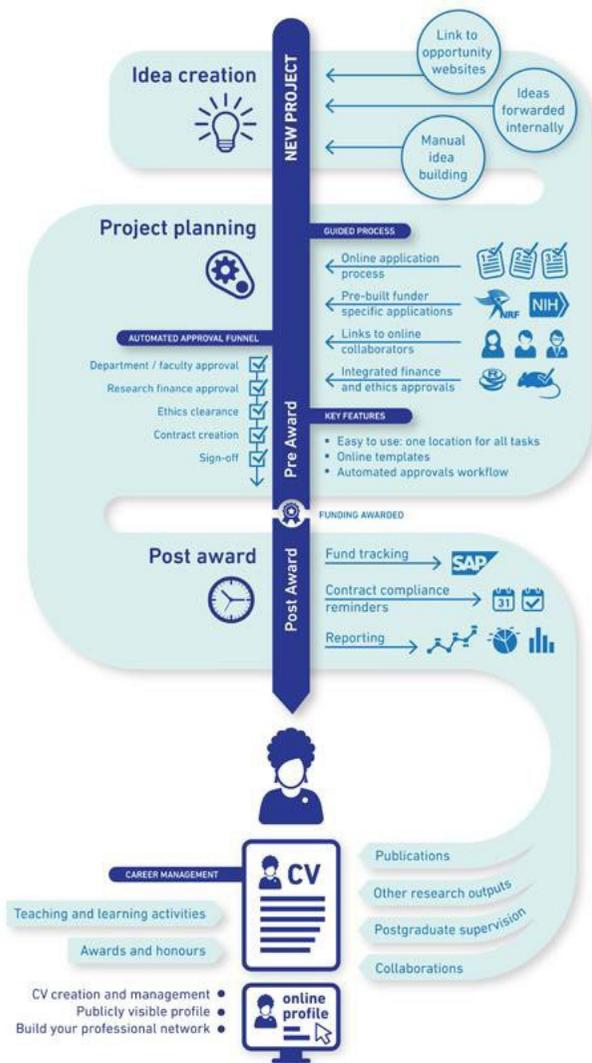
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About eRA

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:

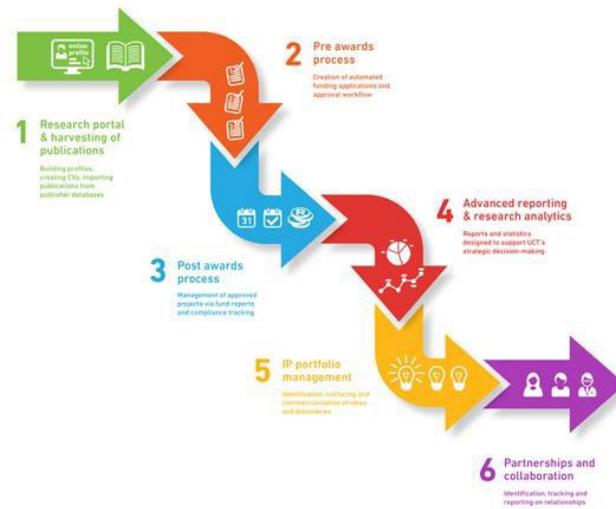
- a ‘one-stop shop’ to manage and track the administrative workflow within a project lifecycle and beyond
- user-friendly software that guides them from the point where an idea is born and a funding opportunity identified, through to post-publication with automatic CV updates
- streamlined and automated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



Workflow Process

Workflow Step	Activity Description	Active Tabs, Roles & Next Steps on eRA	Notification Requirement
1 DRAFT	Researcher initiates application. Students submit to Supervisor. Staff/External submits straight to Committee Administrator	1-5 (Researcher) • Student submits to Supervisor • Staff/External submits to CommAdmin	
WITHDRAWN/LAPSED/ PERMANENTLY SUSPENDED	System step		
2 SUPERVISOR REVIEW	The Supervisor checks for completeness and either sends back to Student for edits or to the Committee Administrator Comment: The Supervisor should be doing more than a completeness check -they should be reviewing the methodologies, making sure it is a sound research project etc., making sure the student completed the form as per the agreed project.	1-5 (Supervisor) • Sends back to applicant or • Sends forward to CommAdmin	Recipient: Supervisor
3 RETURNED FOR CLARIFICATION	The applicant can make corrections to all the fields that were available in the draft step. Students must return to the Supervisor and Staff/External return to the Committee Administrator	1-5 (Researcher) Application moves back to applicant and upon resolution of comments can be submitted back to previous step	Recipient: Applicant and Supervisor
4 COMMITTEE ADMIN REVIEW	Committee Admin generates the protocol number (on system save), and assigns reviewer/s.	10, 11, 12 (Committee Administrator)	Recipient(s): Committee Administrator
5 COMMITTEE REVIEW	Main workflow step that initiates Review sub-process	11 (Reviewer)	Recipient(s): Reviewer
6 REVIEW SUBPROCESS (COMPLETING REVIEW SHEET)	Reviewer completes review sheet	Reviewer	Recipient(s): Committee Administrator
7 COMMITTEE EXCO (CHAIR) FINAL REVIEW	Committee EXCO decides the outcome, approval expiration (if approved), conditions, and indicates whether interim progress reports are required.	11, 12 (Committee EXCO)	Recipient: Users who have the Committee Exco role assigned to them.
8 NOT APPROVED	System functionality: Applicants can clone rejected applications in order to re-apply		Recipient: Applicant
8 APPROVED WITH CONDITIONS	Applicant provides feedback as required by the 'Approved with Conditions' and sends back to the outcome step where the Committee ExCo.		Recipient: Applicant
8 APPROVED - ACTIVE	The Researcher can create amendments, progress reports, and incident reports from the original application while in this step. Committee Admin can move to the expired step if not acted on before the expiration date or move to the suspended step if incident reviews are required.	13, 14 (Researcher)	Recipient: Applicant
8 APPROVED - EXPIRED	Application now shows up in the applicant's to-do list on their dashboard. Committee Admin can send the record back to the active step if completed by the applicant.		Recipient: Applicant
8 APPROVED/ SUSPENDED/ PENDING INCIDENT REVIEW	Committee Admin moves the application back into the active stage, permanently suspended, or complete stage at the conclusion of the incident review.		Recipient: Applicant
9 PROGRESS REPORT/ CLOSEOUT/ COMPLETE			
10 ARCHIVE			

Differentiation of roles

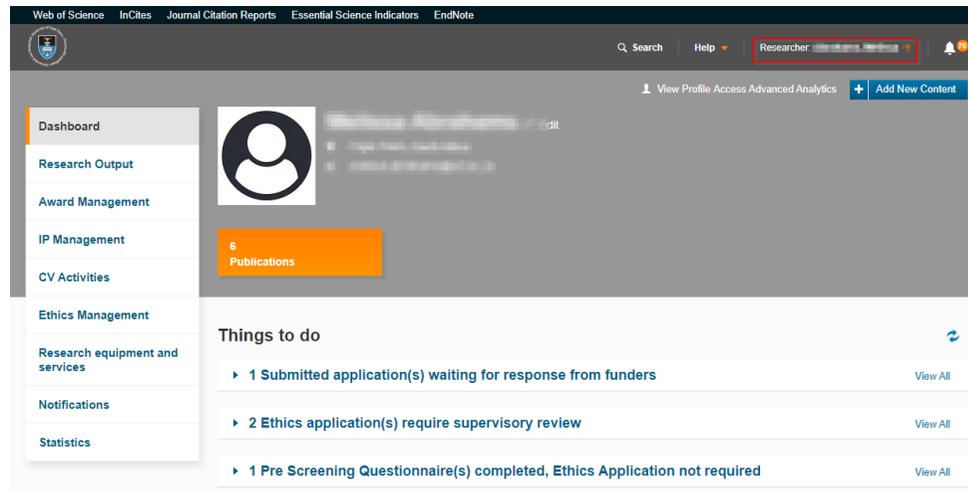
Role Name	Description	Entry Point
Researcher	<p>Anyone can create an Ethics Application form by virtue of being a Researcher on the eRA system. Once an initial Ethics Application form has moved beyond the <i>Draft</i> step, and for all subsequent submissions for the same study, only those users who are 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"> • Online Ethics Application forms require certain declarations to be acknowledged. The person who captures an Ethics Application form needs to select the name of such declarer/s. The existence of the Declarer's name on the online Ethics Application form will give the Declarer the necessary rights to acknowledge the related declaration. • Similarly, Committee Administrators capture online Ethics Review Sheets on which they select the name of the Reviewer. The existence of the Reviewer's name on the online Ethics Review Sheet will give such Reviewer the necessary rights to complete a review on the online form. 	<i>Person</i>
Committee Administrator	<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"> • check whether a submitted form has been completed correctly; • submit the form to EXCO in order for EXCO to assess whether the submission can be expedited, or whether it must be subjected to a Full Committee Review; • create Ethics Review Sheets for a particular submission if required, and manage the response to such individual submission reviews; • depending on whether the review track for the submission is expedited or full committee review, manage the workflow through the appropriate steps to arrive at the overall outcome of the ethics review process; • create a review response letter to the PI or Applicant providing the overall outcome of the review of the submission (this is done off the system); and finally • to attach the review response letter to the submission and save it in the required workflow status that will pass it back to the PI of the study concerned. 	<p><i>Person</i></p> <p><i>Person</i></p>

Role Name	Description	Entry Point
Committee Administrator (cont.)	<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>	
Committee EXCO	<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"> • Assign the review track appropriate to an online ethics submission, i.e. the expedited process (no committee review required - usually assigned in the case of low risk research only), or a full committee review (the more commonly assigned track); • If deemed a requirement, provide Reviewer/s names for which someone with the Committee Administrator role must create online Ethics Review Sheets; • Assess the outcome of the ethics review process (in the case of an expedited review), or confirm the outcome of the ethics review process (in the case of a full committee review) for a particular submission. <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>
Supervisor	<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>

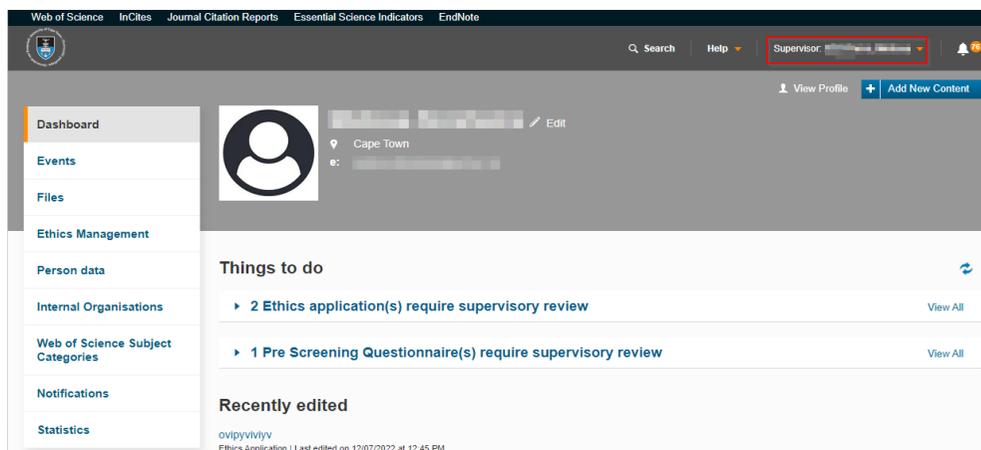
Dashboards for different roles

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

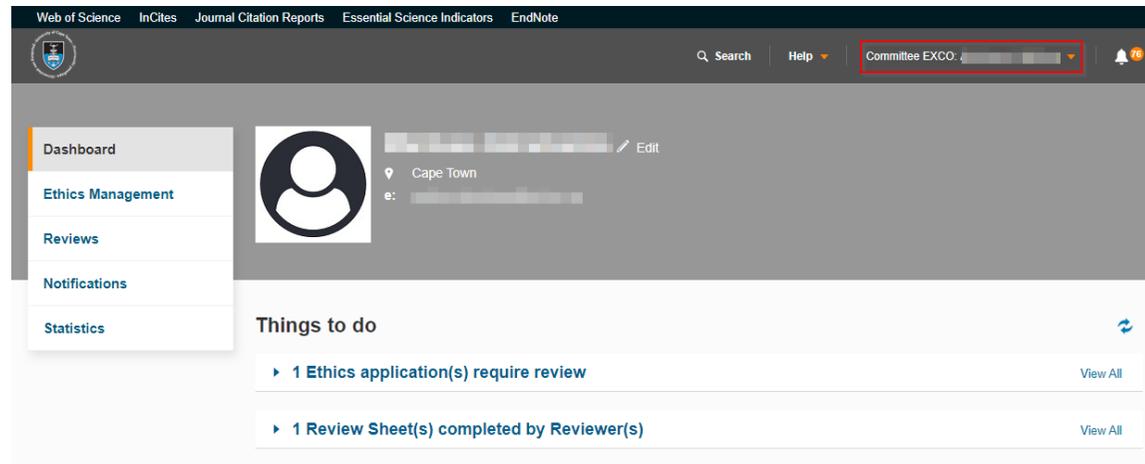


3. Committee Administrator

The screenshot shows a web application 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'. A 'Help' dropdown menu is visible, and a 'Committee Administrator' dropdown menu is highlighted with a red box. A notification bell icon shows '76' unread notifications. Below the navigation bar, there is a user profile section with a circular profile picture, a name, and an 'Edit' link. The location is listed as 'Cape Town' and an email address is partially visible. A blue button labeled '+ Add New Content' is located to the right of the profile. On the left side, there is a vertical menu with options: 'Dashboard', 'Ethics Management', 'Reviews', 'Notifications', and 'Statistics'. The main content area is titled 'Things to do' and contains three items, each with a 'View All' link:

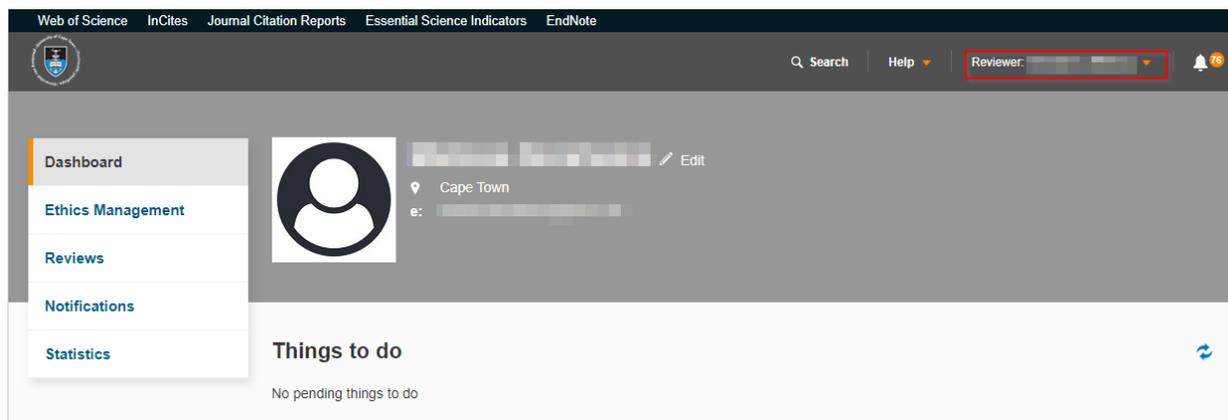
- 1 Ethics application(s) require post-Chair review
- 1 Ethics application(s) require committee review
- 1 Ethics application(s) require an initial review

4. Committee EXCO



The screenshot shows a user interface for the 'Committee EXCO' role. 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 role is set to 'Committee EXCO', and there are 16 notifications. The main content area includes a sidebar with 'Dashboard', 'Ethics Management', 'Reviews', 'Notifications', and 'Statistics'. The user's profile shows a name, location 'Cape Town', and an email address. The 'Things to do' section lists two items: '1 Ethics application(s) require review' and '1 Review Sheet(s) completed by Reviewer(s)', each with a 'View All' link.

5. Reviewer



The screenshot shows a user interface for the 'Reviewer' role. The navigation bar is identical to the previous screenshot. The user's role is set to 'Reviewer', and there are 16 notifications. The main content area includes the same sidebar. The user's profile information is the same. The 'Things to do' section shows '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 side, there is a vertical menu with options: '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 input field and a 'Search' button.

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

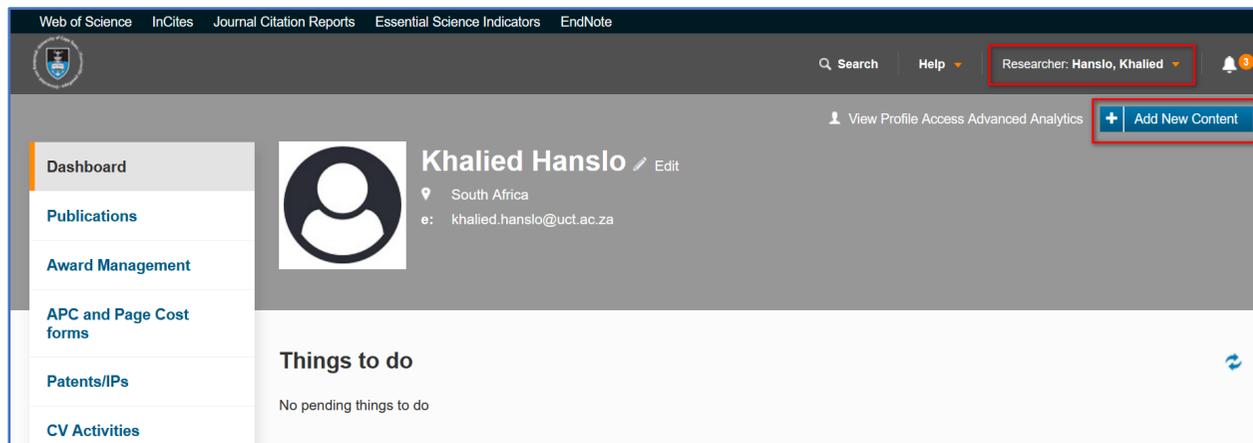
Sign in

The screenshot shows a user dashboard for Edward Peter Rybicki. The top navigation bar includes "My Tools", "Search", "Help", and the user's name "Researcher: Rybicki, Edward Peter (Ed)". Below the navigation bar, there are links for "View Profile", "Access Advanced Analytics", "CV", and "Add New Content". The main content area features a profile picture, the name "Edward Peter Rybicki", and contact information: "Cape Town" and "Ed.Rybicki@uct.ac.za". Three orange boxes display statistics: "9519 Publications", "445 Times Cited", and "11 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 sidebar on the left contains a menu with items: "Dashboard", "Publications", "Award Management", "APC and Page Cost forms", "CV Activities", "Ethics Submissions", "Reviews", "Notifications", and "Statistics". A red arrow points from the "Ethics Submissions" menu item to the "Things to do" section.

Module 2: Completing an Ethics Application

Lesson Objectives:

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

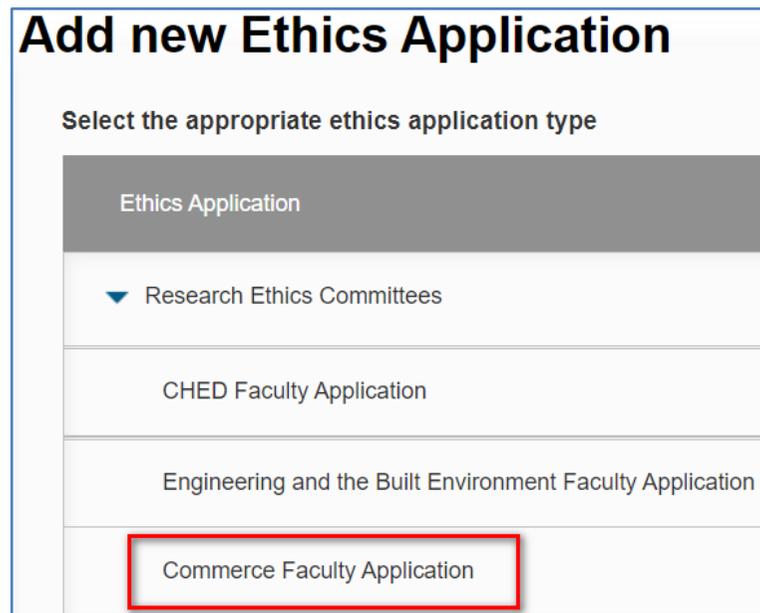
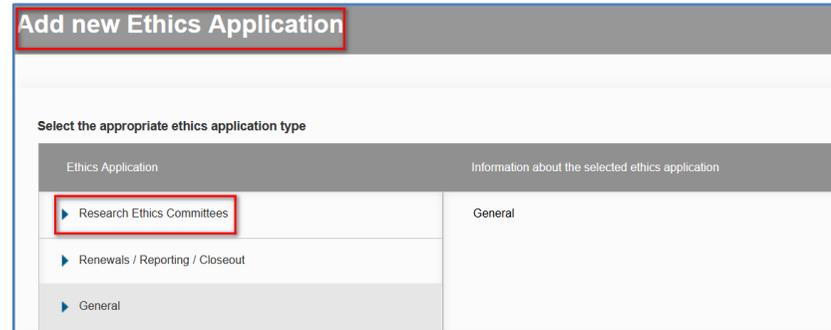
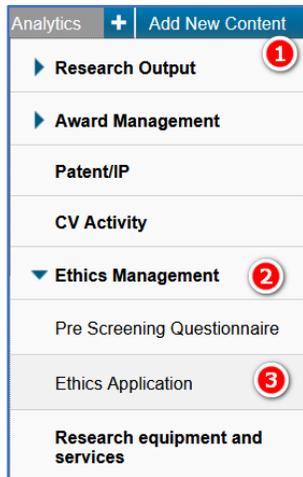


The dashboard has the **Ethics Submissions** tab on the left-hand side which will lead you to all existing Ethics submissions submitted over time. This is a dashboard that the researcher will see. There are other roles that have access to the Ethics functionality. Ensure you are switched to the default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



1. Click on **Research Ethics Committees**
2. Select **Commerce 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

Commerce Faculty Application ▾

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

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.

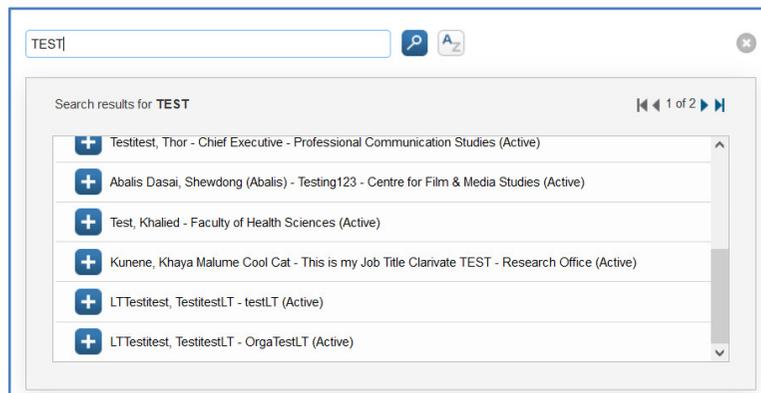
Supervisor(s) if applicable

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

Click on the **blue plus sign** and insert the name of the **Supervisor**



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

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

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

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

Select yes or no

Select yes or no

Yes

No

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

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

Cancel Save Save & close

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 ▾
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Insert the full title of your research proposal. If all your information was not added to your proposal document please add it here in the comments boxes provided.

Full title of research project (No abbreviations to be used) *

Research proposal summary (Max 500 words)

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

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

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

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

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.			5. Declaration and Faculty Review	waiting for review.
<u>Attach information about this study as indicated below:</u>			6. REC Review	
Please attach your full research proposal here:			7. Outcome	
	Name	~test.pdf	8. Amendments	
			9. Renewals/Reporting Closeout	

1. Key Information *	2. Project Details *	3. Research Methodology	5. Declaration and Faculty Review ▼	
Declaration by applicant:				
I have read and understood UCT's Responsible Conduct of Research Policy , UCT's Research Ethics Code for Research Involving Human Participants , UCT's Authorship Practices policy , 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"/>				
I undertake to carry out my research in such a way that:				
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. UCT'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

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

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.

Cancel **Done**

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.

before I can proceed to subsequent steps

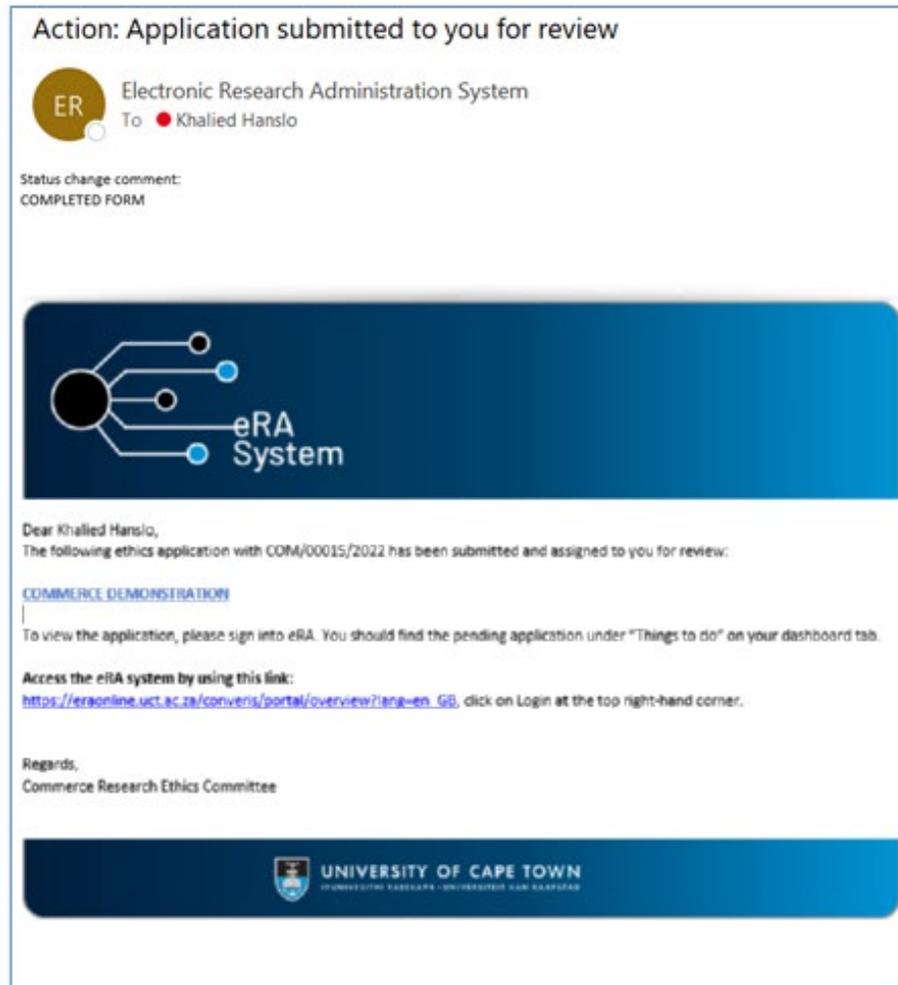
Committee Admin post EXCO review
Send reviewed application to Ethics Admin for processing

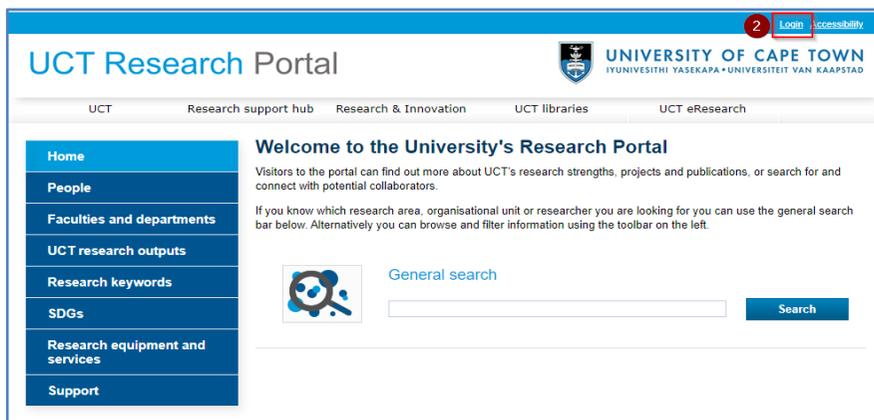
Cancel Done

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

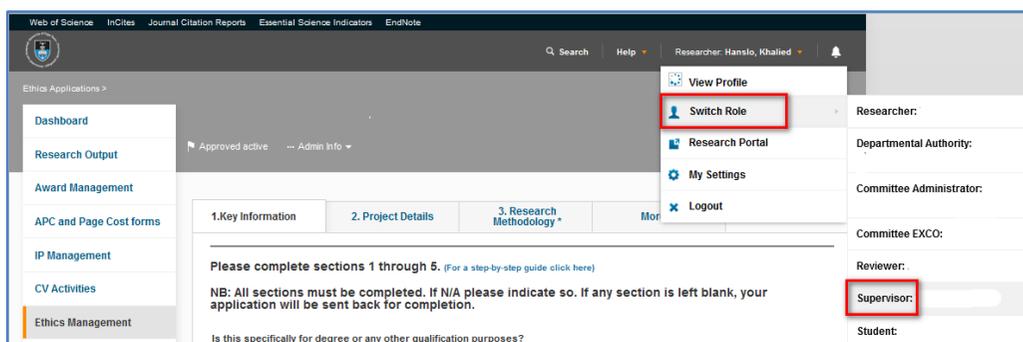
Module 3: Supervisor

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.

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

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

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 section is not completed, the 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-graduate. Applications need to be approved by their supervisor(s). If you choose the incorrect option, your application will be sent back for completion.

Select type of applicant ▾

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.

Supervisor Approval

Do you support this application?

Select yes or no ▾

Select yes or no
Yes
No

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

Cancel Save Save & close

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

The Supervisor sends the form onto the Committee Administrator.

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 Administrator Post Exco Review**, and then click **Done**.

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

Select next step

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

before I can proceed to subsequent steps

Committee Admin post EXCO review
Send reviewed application to Office Admin for processing

Cancel Done

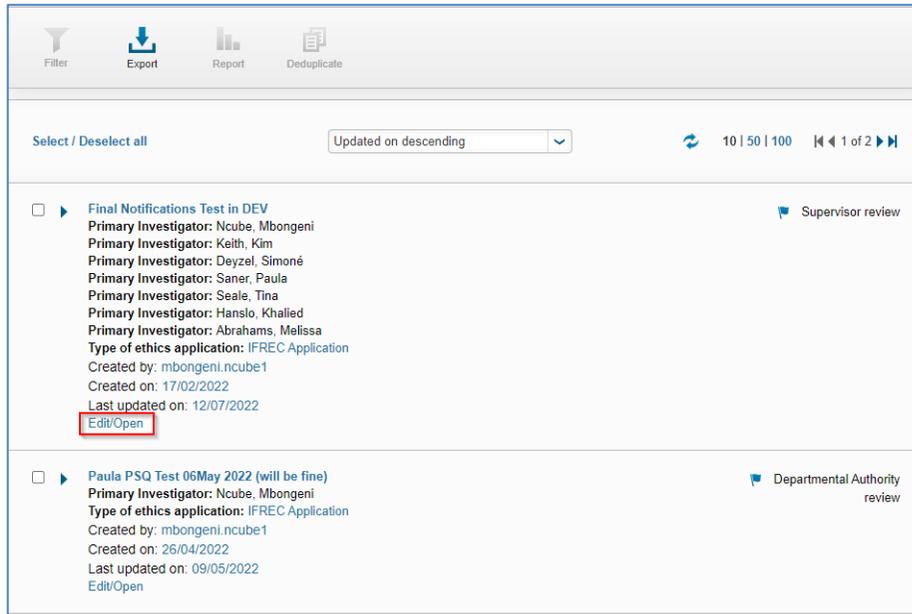
Module 4: Committee Administrator

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.

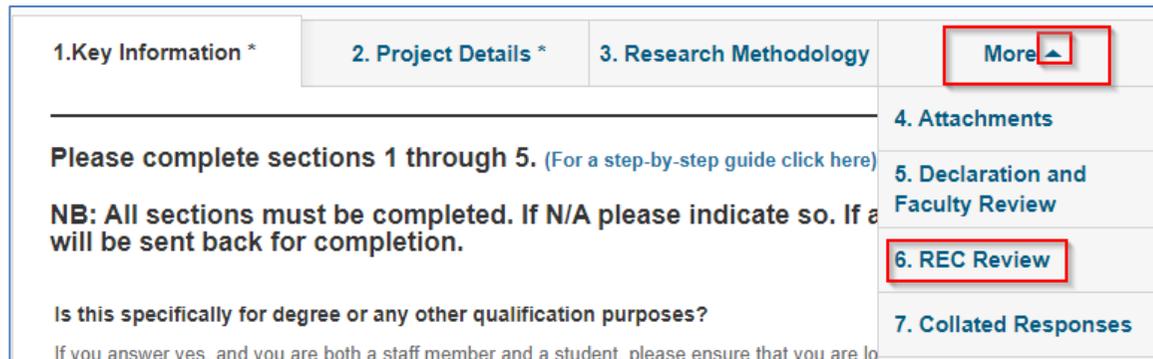
Ensure that you've switched your role to **Committee Administrator**.

The screenshot shows the user interface for a Committee Administrator. At the top, there is a navigation bar with links to 'Web of Science', 'InCites', 'Journal Citation Reports', 'Essential Science Indicators', and 'EndNote'. The user's name 'Committee Administrator: Abrahams, Melissa' is displayed in the top right corner. A dropdown menu is open, showing options: 'Switch Role', 'Research Portal', 'My Settings', and 'Logout'. The user's profile is visible, including a profile picture, name 'Melissa Abrahams', location 'Cape Town', and email 'melissa.abrahams@uct.ac.za'. A 'Things to do' section is highlighted, 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'. A 'View All' link is present next to each item. The left navigation menu includes 'Dashboard', 'Ethics Management', 'Reviews', 'Notifications', and 'Statistics'.

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 ▾**

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

Commerce Research Ethics Committee

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

This application will be automatically linked to a Research Ethics Committees

Commerce Research Ethics 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.

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

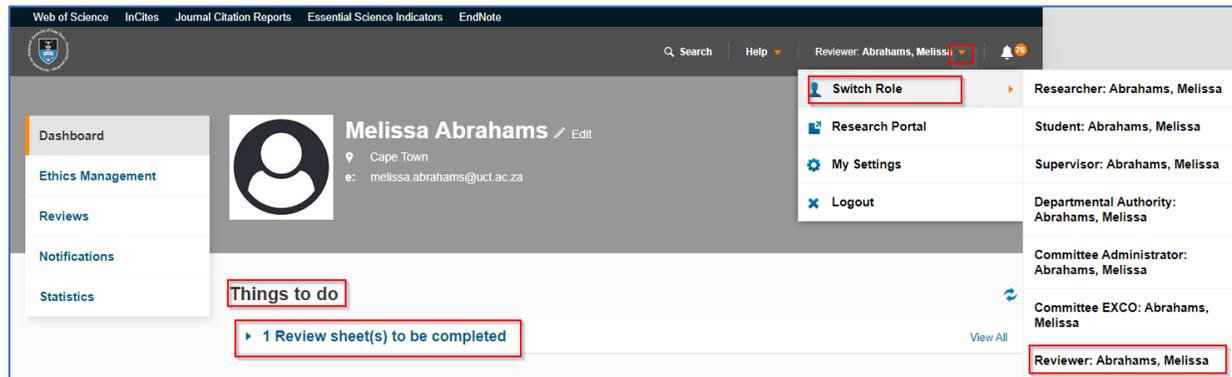
Then, click **Save & close**.

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

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

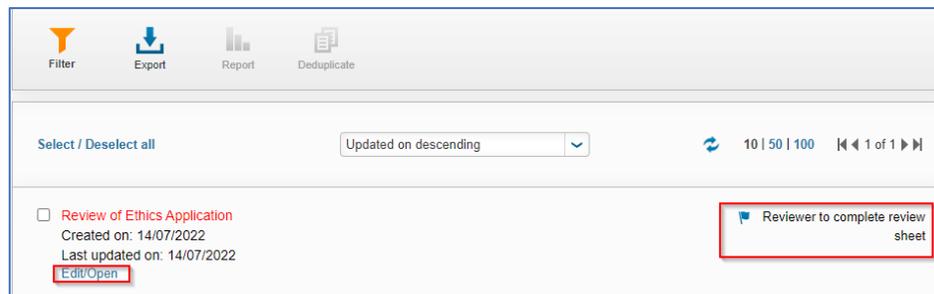
Module 5: The Reviewer

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

1. Key Information *	2. Reviewer Assessment	3. Feedback	
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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

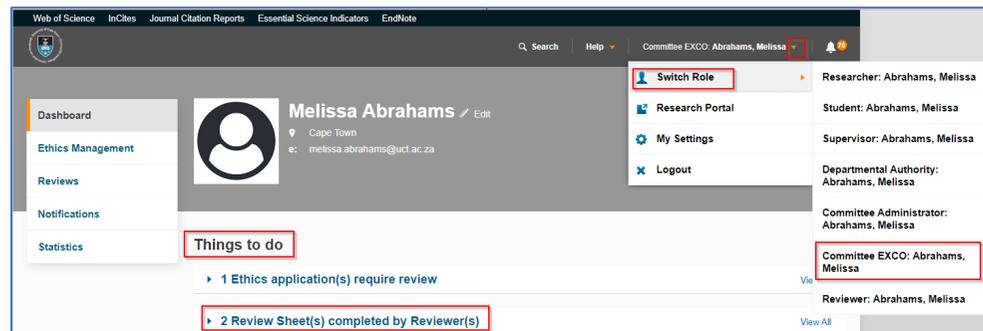
Review complete by Reviewer

Cancel Done

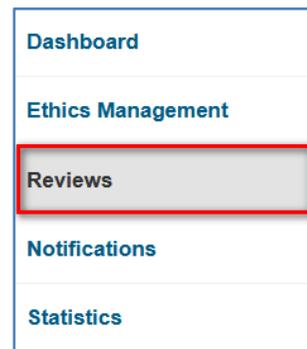
A popup box will appear. From the popup box, select **Review complete by Reviewer** to return the review form to the committee EXCO for review and final comments.

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**.



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 displays the Research Portal interface for a user named Melissa Abrahams. The top navigation bar includes links for 'Web of Science', 'InCites', 'Journal Citation Reports', 'Essential Science Indicators', and 'EndNote'. The user's profile is shown as 'Melissa Abrahams' with a profile picture, location 'Cape Town', and email 'melissa.abrahams@uct.ac.za'. A left-hand navigation menu contains 'Dashboard', 'Ethics Management', 'Reviews', 'Notifications', and 'Statistics'. A 'Things to do' section is highlighted with a red box, containing two items: '3 Ethics application(s) require post-Chair review' and '2 Ethics application(s) require committee review', both also highlighted with red boxes. A dropdown menu for the user's role is open, showing options: 'Switch Role' (highlighted with a red box), 'Research Portal', 'My Settings', and 'Logout'. The role dropdown list includes: 'Researcher: Abrahams, Melissa', 'Student: Abrahams, Melissa', 'Supervisor: Abrahams, Melissa', 'Departmental Authority: Abrahams, Melissa', 'Committee Administrator: Abrahams, Melissa' (highlighted with a red box), 'Committee EXCO: Abrahams, Melissa', and 'Reviewer: Abrahams, Melissa'. A 'View All' link is visible at the bottom of the role dropdown.

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 not completed, the 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-graduate. 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 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.

Committee Comments

Comments from committee meeting or reviews

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.

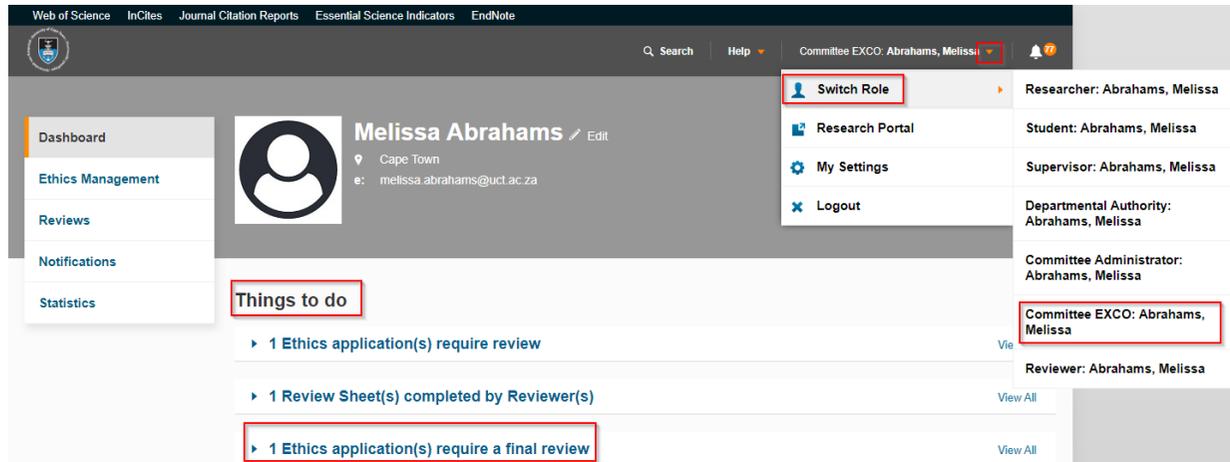
Cancel Done

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

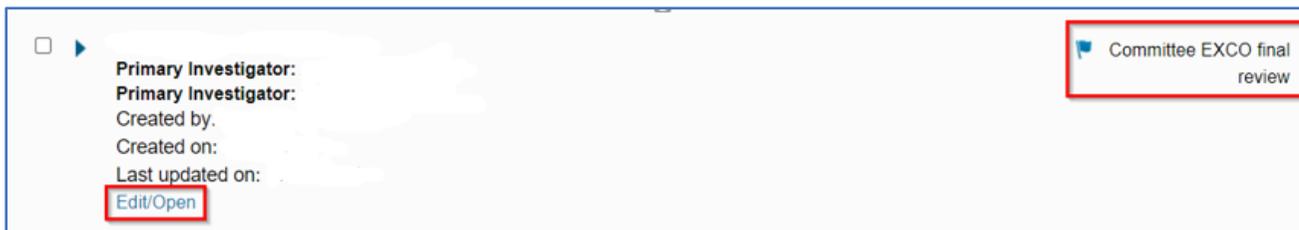
Module 8: Exco Final Decision

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**.



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 a section is not completed, the 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/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

Final 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 is a list of four options: 'Not approved' (with subtext 'Send here if application is not approved'), 'Approved with conditions', 'Modifications Required', and 'Approved active' (with subtext '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'). At the bottom are 'Cancel' and 'Done' buttons.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 is a list of three options: 'Approved active' (with subtext '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"' (with subtext 'Send expired applications here'), and 'Approval suspended pending incident review' (with subtext 'Send here if approval has been suspended pending outcome of incident investigation.'). At the bottom are 'Cancel' and 'Done' buttons.

A popup box will appear. The **Committee Exco** 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,

Commerce Research Ethics Committee



UNIVERSITY OF CAPE TOWN
IFUNIVESITHI YASEKAPA - UNIVERSITEIT VAN KAAPSTAD

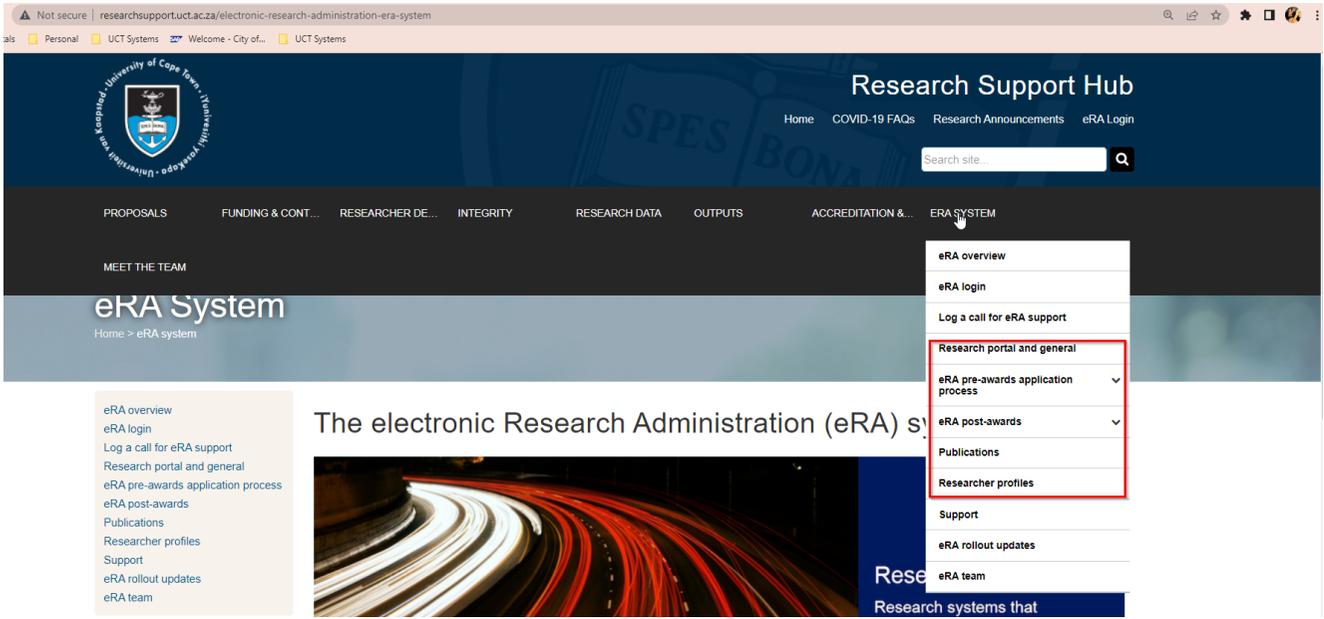
The Researcher or student will receive an email notification of the outcome and the letter will be made available on the attachments tab by the Committee Administrator.

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>

