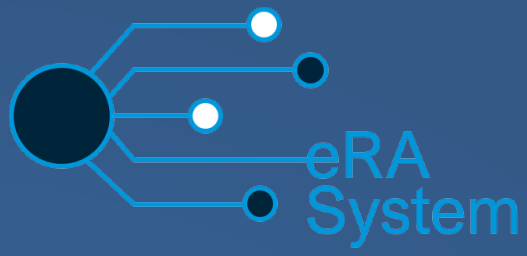

electronic
Research
Administration

eRA Science Faculty

Pre-Screening Questionnaire

Process Manual

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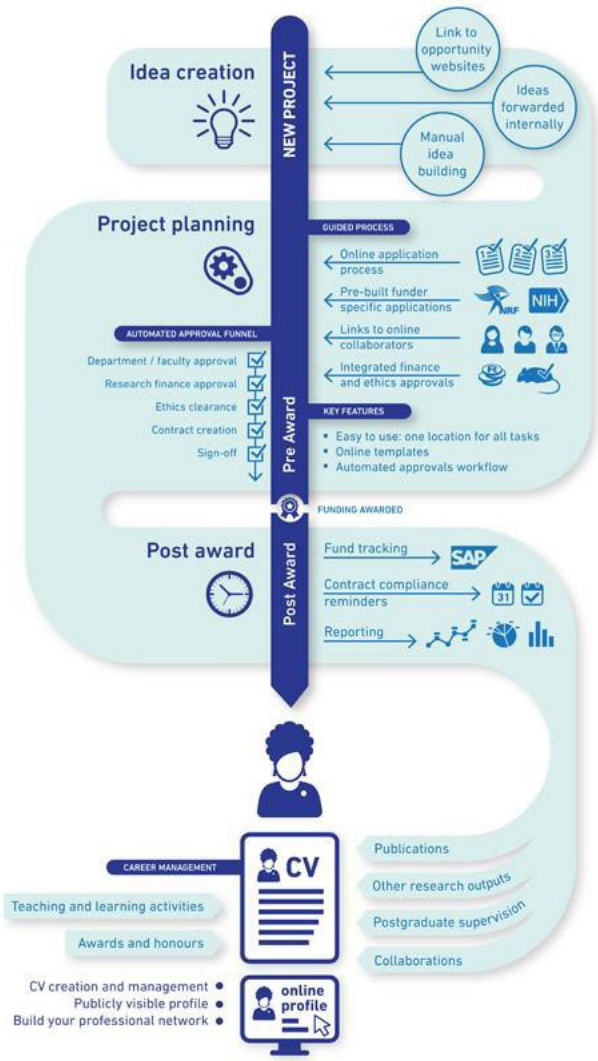
About eRA

Research at UCT continues to grow year-on-year: every year, more research contracts are signed, and the number of postgraduates and postdoctoral fellows continues to grow. UCT continues to increase our publication count and attract more donations and funding. At the same time, the business of research management is rapidly changing with the exponential growth of big data, open access and international collaboration. Furthermore, universities face additional challenges as governments restrict research funding and donors demand more from research groups. It is clear that supporting the research enterprise of a university is becoming an increasingly complex task. In order to remain on top of our game and continue to make our mark both locally and internationally, UCT is implementing an electronic research administration (eRA) system, to provide technological solutions to the problems we have identified. The cornerstone of the system is Converis, supplied by Clarivate Analytics.

The research project lifecycle was a cumbersome administrative process, made all the more difficult by minimal online systems, duplicate data entry, a lack of templates and many manual steps involving internal mail or hand delivery. The implementation of eRA is changing that, lifting the administrative burden through automation, and streamlining the process at every step of the research project lifecycle.



As the diagram to the left shows, eRA will provide researchers with:

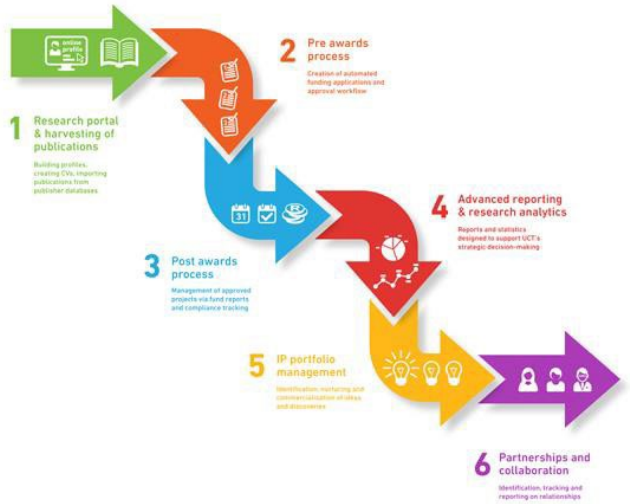
- a 'one-stop shop' to manage and track the administrative workflow within a project lifecycle and beyond
- user-friendly software that guides them from the point where an idea is born and a funding opportunity identified, through to post-publication with automatic CV updates
- streamlined and automated workflows, where all parties involved – including ethics, finance, and research contracts – are automatically notified of a project application coming their way
- the opportunity to track their applications and approvals through the automated process, reducing the risk of an application lying unseen in an inbox
- enable researchers to keep on top of their contract compliance requirements and integrate with SAP to track project funds. Through its online portal, researchers can create and manage their CV which they can draw on to apply for grants and funding and use to create a publicly visible profile.

What eRA means for the university

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

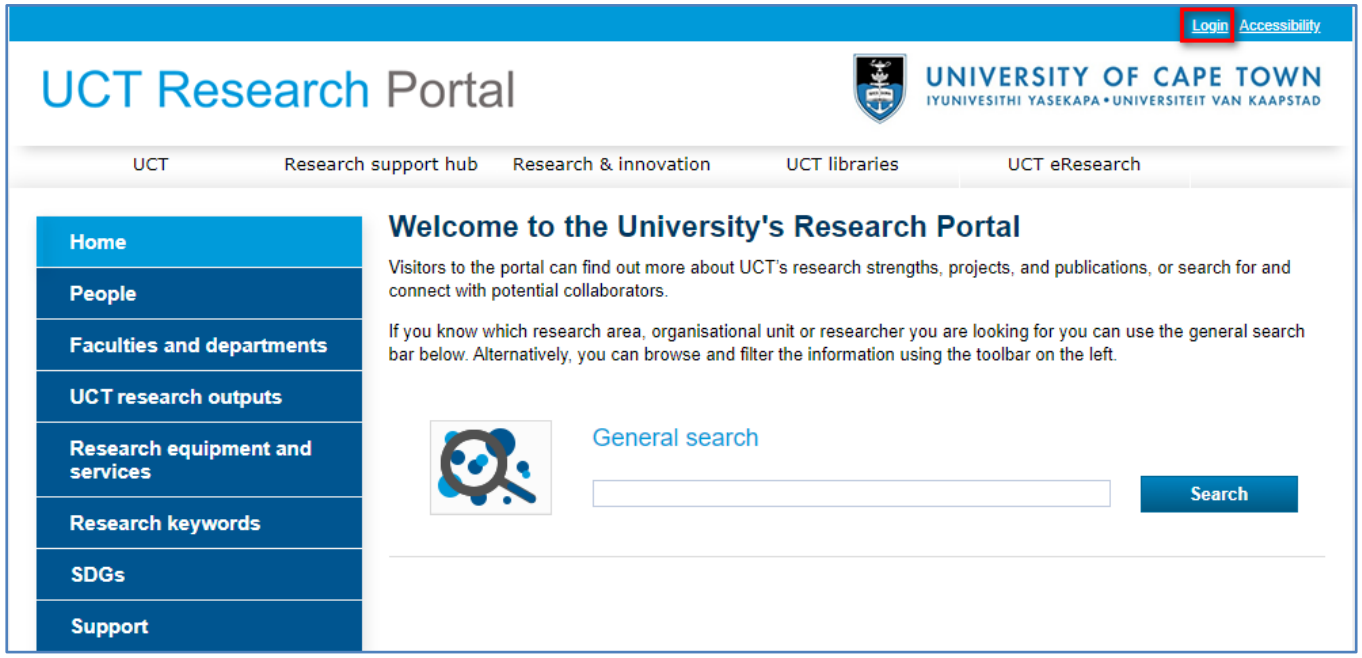
- improved strategic understanding of all research
- improved ability to track research impact and collaborations
- reduced financial risk through improved financial controls
- improved support for researchers, including proposal development, and
- better management of data, analytics and reporting to support strategic decision-making and control.

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



Module 1: Logging on to the eRA system

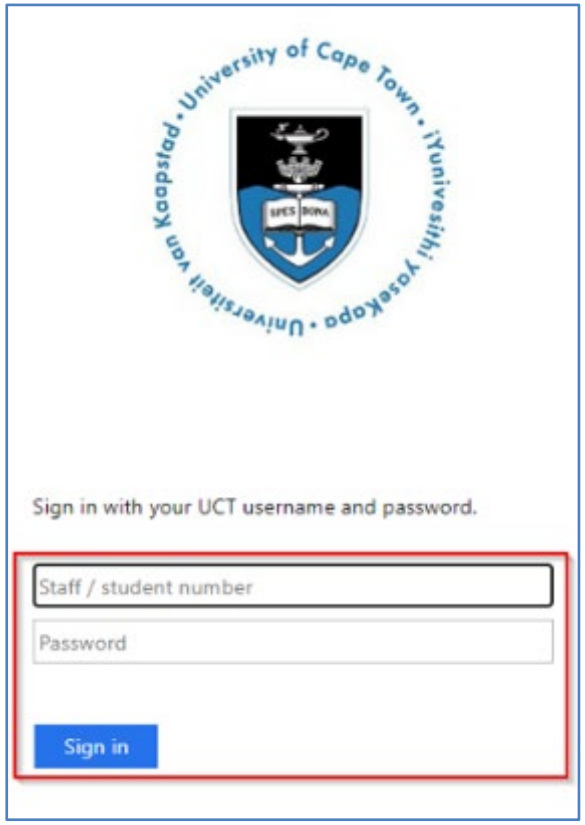
- **Lesson Objectives:**
- Learn how to log in to the eRA system

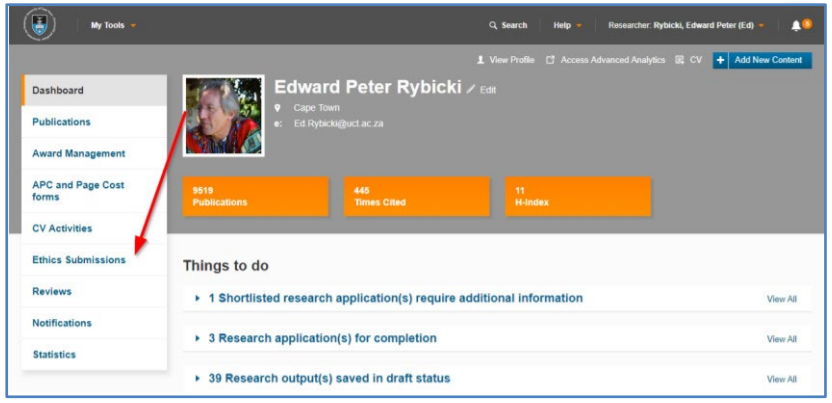


Access the eRA system by using this link: https://eraonline.uct.ac.za/converis/portal/overview?lang=en_GB

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. You must be aware to use your student role or researcher role after logging in.


University of Cape Town • iYunivesithi yaseKapa • Universiteit van Kaapstad
Sign in with your UCT username and password.
Staff / student number
Password
Sign in

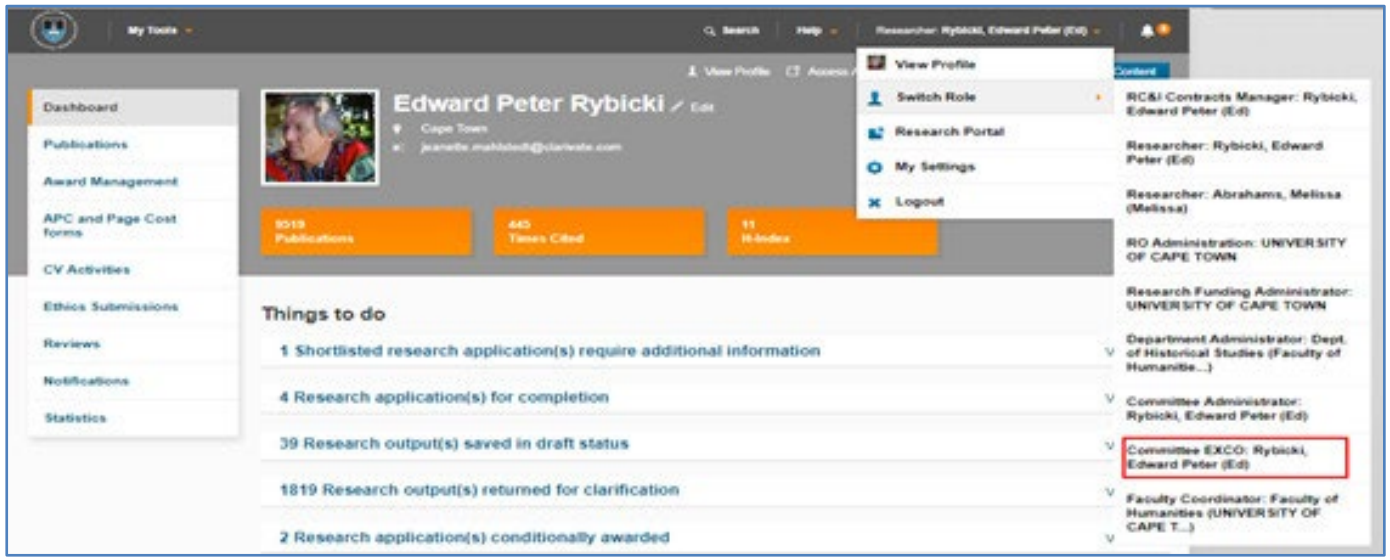

My Tools
Search
Help
Researcher: Rybicki, Edward Peter (Ed)
View Profile
Access Advanced Analytics
CV
Add New Content
Dashboard
Publications
Award Management
APC and Page Cost forms
CV Activities
Ethics Submissions
Reviews
Notifications
Statistics
Edward Peter Rybicki
Edit
Cape Town
e: Ed.Rybicki@uct.ac.za
9519 Publications
445 Times Cited
11 H-index
Things to do
1 Shortlisted research application(s) require additional information
View All
3 Research application(s) for completion
View All
39 Research output(s) saved in draft status
View All

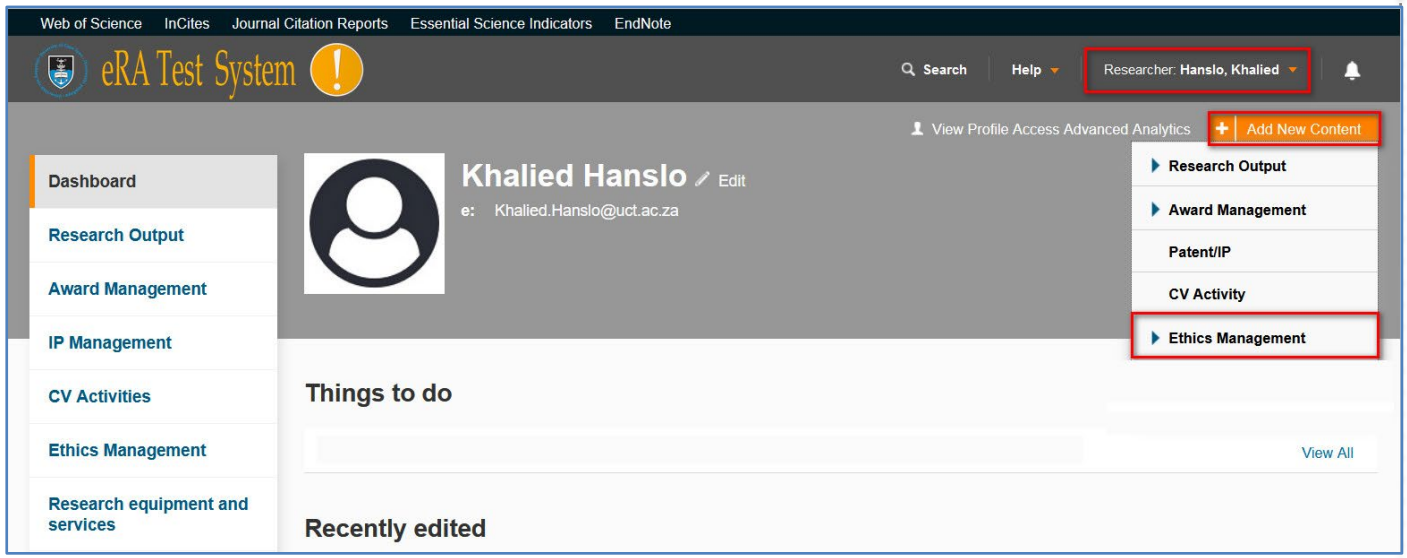
Module 2: Pre-Screening Questionnaire

Lesson Objectives:

As a Researcher or Student you will learn how to initiate and complete a pre-screening questionnaire for ethics approval.

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



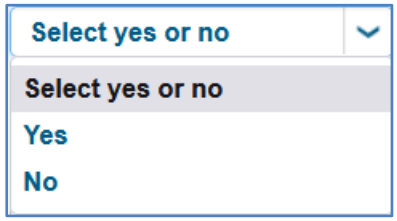


This is what your dashboard will look like if you are a student.

Instructions:

1. Click **Add New Content**
2. Click **Ethics Management**
3. Click **Pre-Screening Questionnaire**

   Once you have opened the Pre-Screening Questionnaire you may complete the form



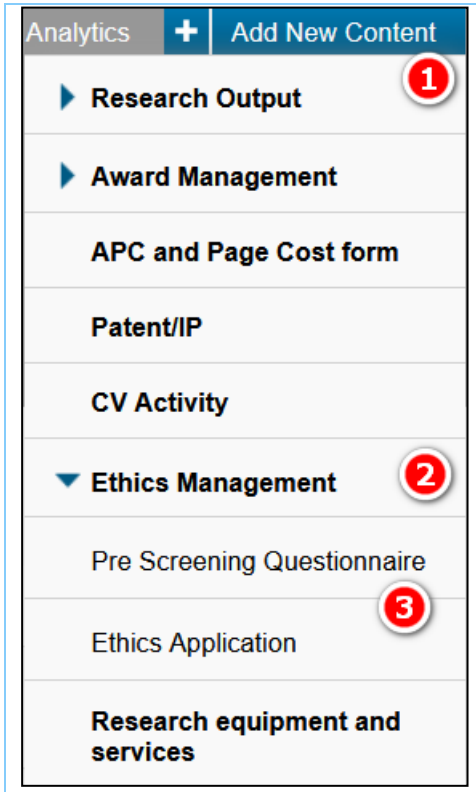
The applicant must complete each question in the form by selecting the appropriate **Yes** or **No** response in the dropdown box.

This ethics pre-screening checklist will help determine whether or not ethics review and approval is needed for your research. Complete if you think your research project does not require ethics approval by a Research Ethics Committee (REC) because it does not prospectively involve humans or their data. (See comment below for animal research)

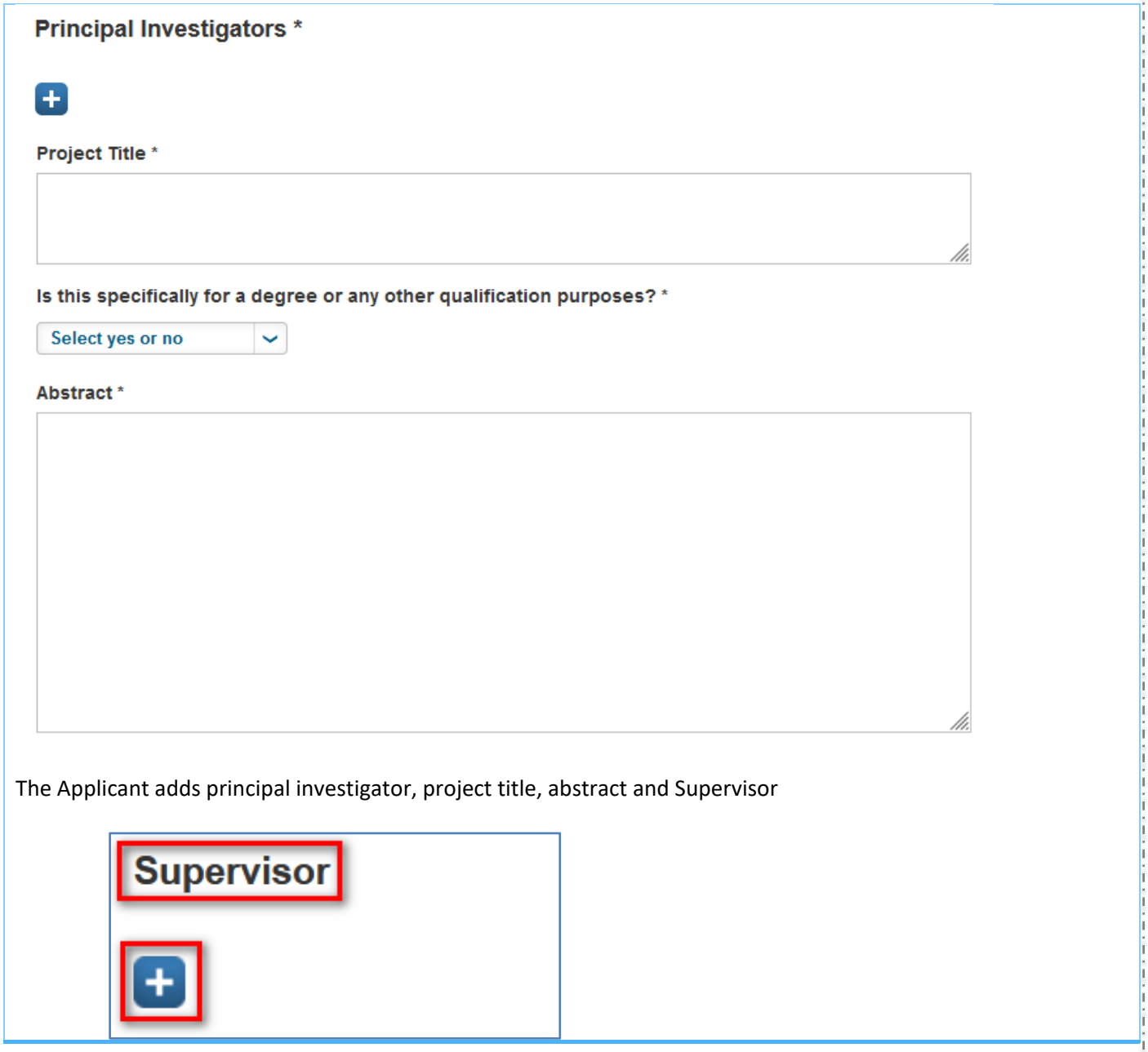
Animal Research and Biosafety: This pre-screening questionnaire does not cover animal research or research with Biosafety concerns. If you plan any form of animal research or research with biohazards, please consult with your and faculty animal or biosafety committee.

All research projects that directly and prospectively involve either human or animals require ethics approval from a UCT Research Ethics Committee. The UCT Responsible Conduct of Research Policy can be found here for further information. Even if your study does not require formal ethical review, you must adhere to professional guidelines/regulatory requirements in your field as well.

This pre-screening questionnaire also captures issues that may trigger the Protection of Personal Information Act (POPIA) and require review by a REC as a safeguard. Researchers, including students and their supervisors, are responsible for ensuring they get appropriate ethics approval for all projects that require such approval, and if in doubt consult appropriately e.g., with supervisors, REC Chairperson or administrator, or the Office of Research Integrity.

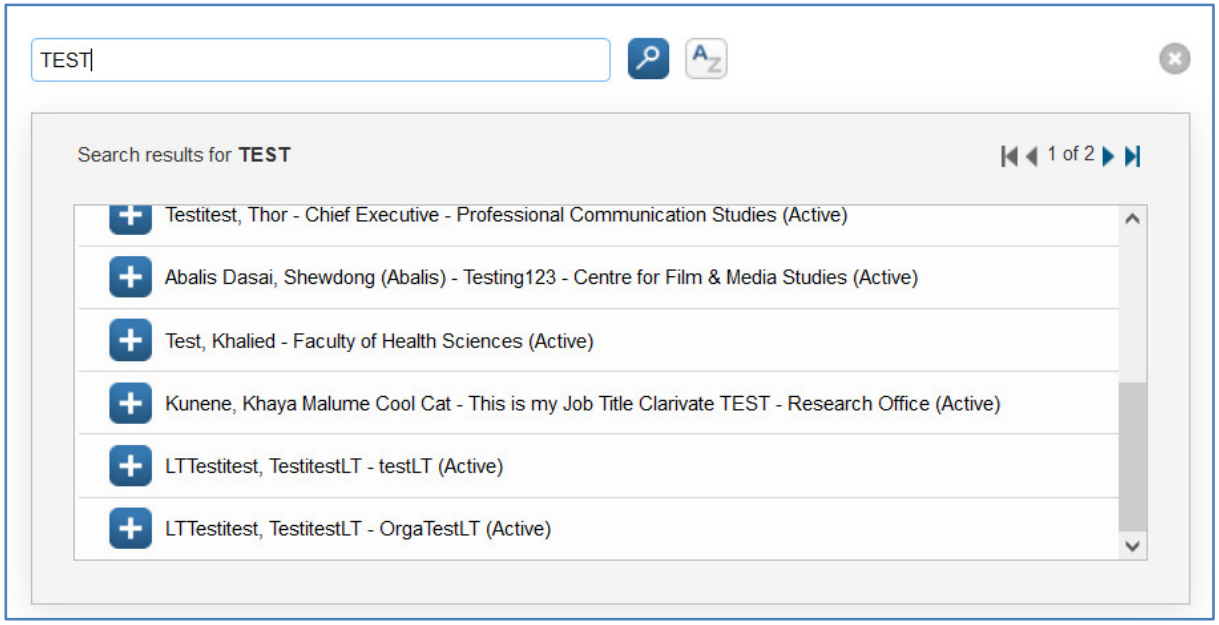


The Applicant navigates to pre-screening:
1. Click **Add New Content**
2. Click **Ethics Management**
3. Click **Pre-Screening Questionnaire**



The Applicant adds principal investigator, project title, abstract and Supervisor

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



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

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

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

Does your project involve: *

Direct interaction with human participants including via questionnaires, interviews or experimental interventions? *

Select yes or no

Analysis of secondary human data (data initially collected for another purpose) that contains any potential identifying personal information (with or without their knowledge or consent at the time)? *

Select yes or no

Research on stored data or biological specimens where the researcher has access to codes that link the data to personal identifying information? *

Select yes or no

Research that requires data matching or merging of databases where a personal identifier such as name, ID, student number, etc. will be used to link data? *

Select yes or no

Observation of persons in a context where they would reasonably have an expectation of privacy – even if the individual is in a public place? *

Select yes or no

Access to historical or other archives/repositories that contain identifiable information of living persons or confidential institutional or company information? *

Select yes or no

Access to historical or other archives/repositories that contain information about deceased persons that may be regarded as sensitive? *

Select yes or no

Social media research without direct consent in contexts where data subjects would not anticipate being researched, where their data may have been placed in the public domain without their knowledge or consent, or where the research questions could be regarded as ethically sensitive even if information is in the public domain? *

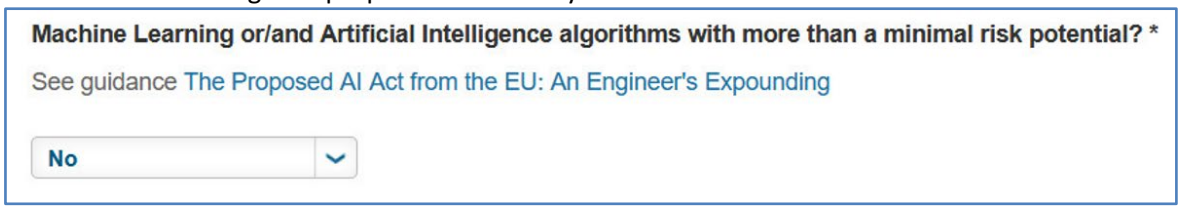
Select yes or no

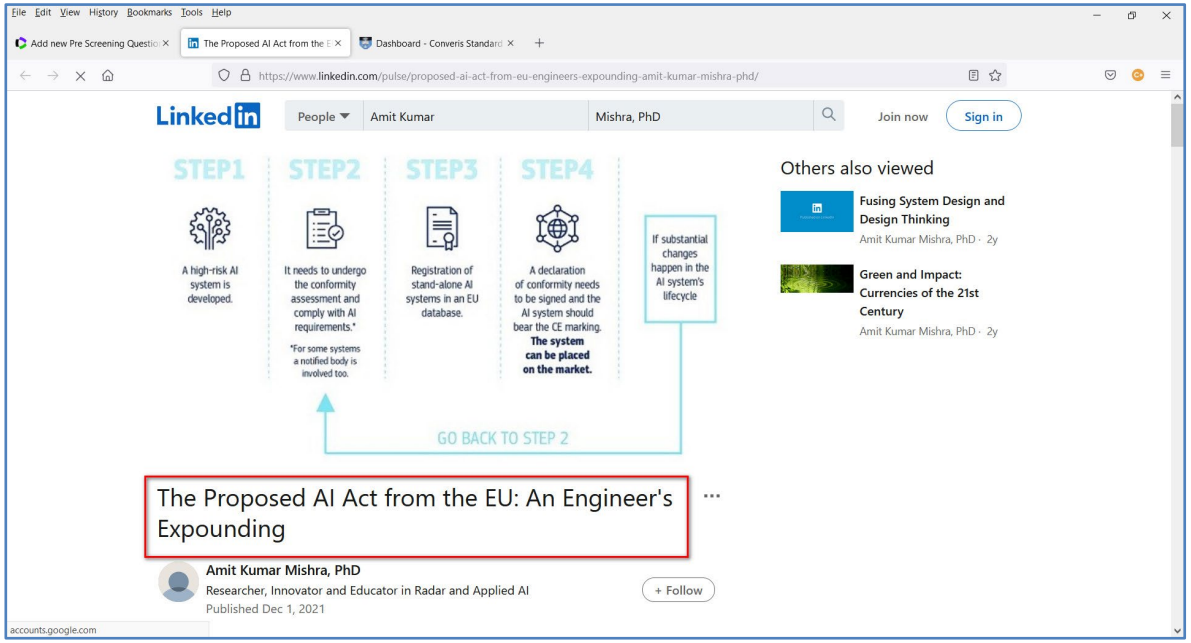
Quality assurance studies and program evaluations where you are likely to publish or present the results so that they can contribute to generalisable knowledge? *

Select yes or no

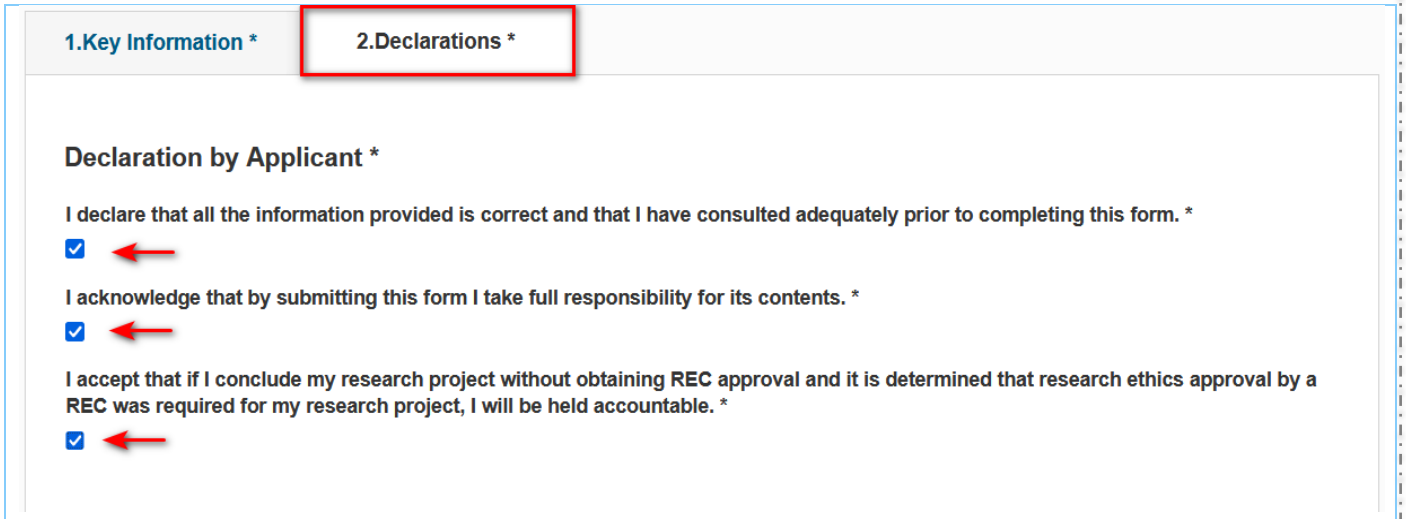
If you have all NO answers complete the rest of the form

If the Artificial Intelligence question applies to your application, then it will provide you with a LinkedIn hyperlink to the Artificial Intelligence proposed act which you can read and be informed about





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

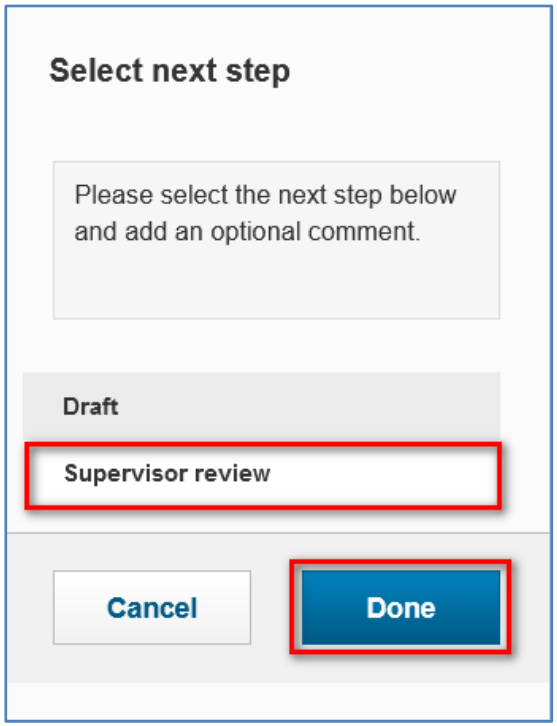


Applicant completes declarations by ticking the **check boxes**

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

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

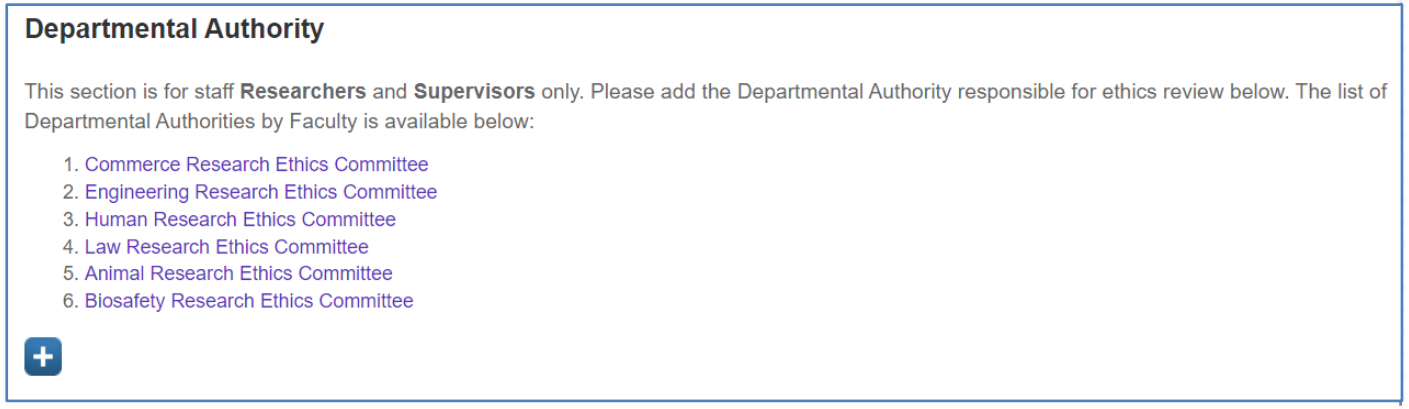
If the applicant is satisfied with the completion of the form, they can select **Supervisor review.** This will send a notification to the **Supervisor** to alert them that there is a form for them to review.



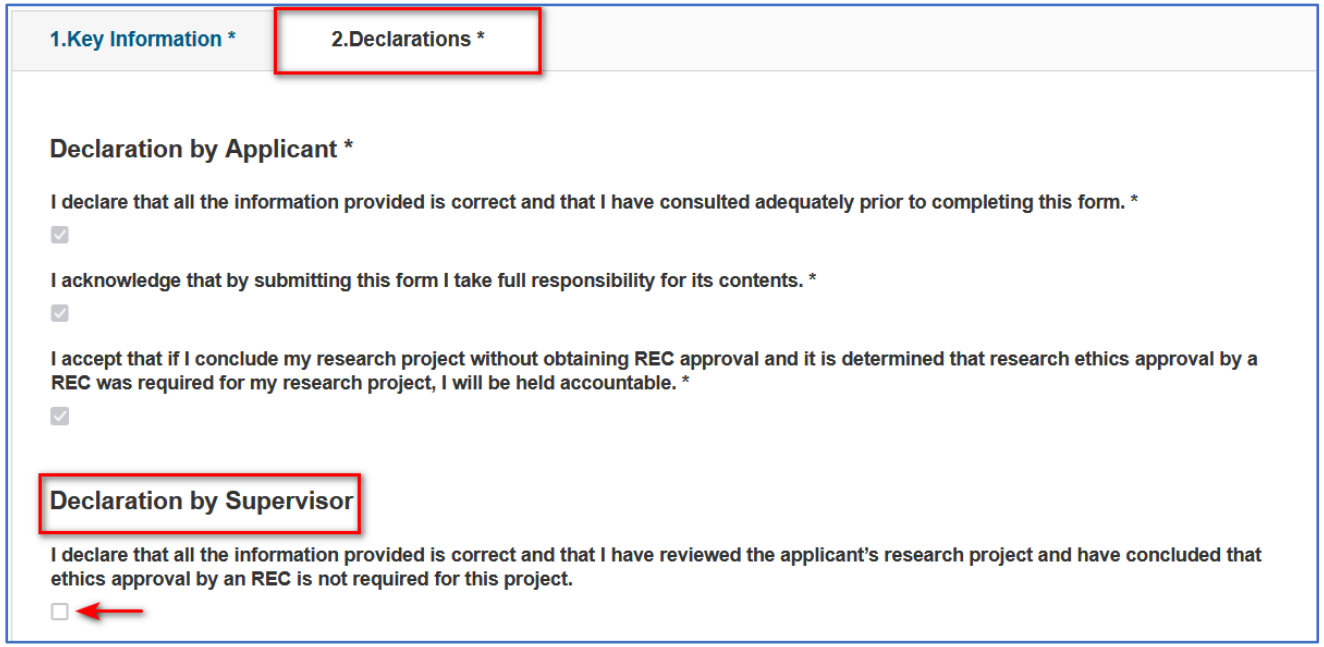
The student can select **Supervisor review.** This will send a notification to the **Supervisor** to alert them that there is a form for them to review.

Module 3: Supervisor

After the Student submits the Pre-Screening Questionnaire, a notification will be received by the **Supervisor**. They will be prompted to log in and review the application.
The **Supervisor** will log in to eRA, once they have logged in, they need to switch to the **Supervisor** role by clicking the dropdown arrow next to their name then selecting **Switch Role** after which they can choose **Supervisor.** The **Supervisor** will check all the fields that they have been correctly and accurately populated.

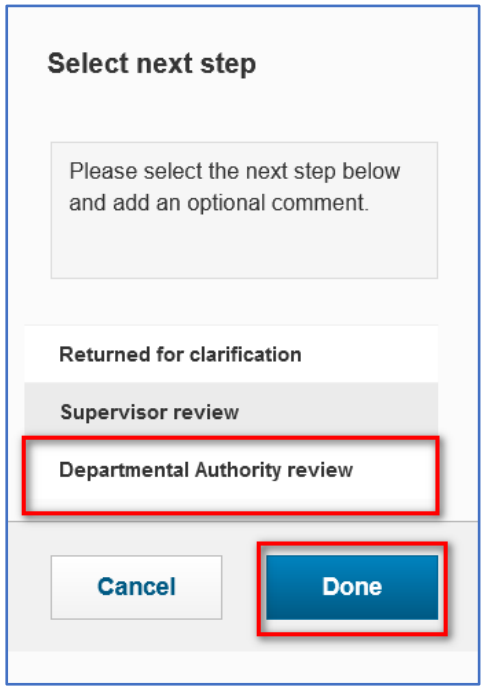


The Supervisor will need to select the **Departmental Authority** click on the **blue plus sign** and insert the name of the **Departmental Authority**.



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

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



The Supervisor sends the form onto the Departmental Authority.

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

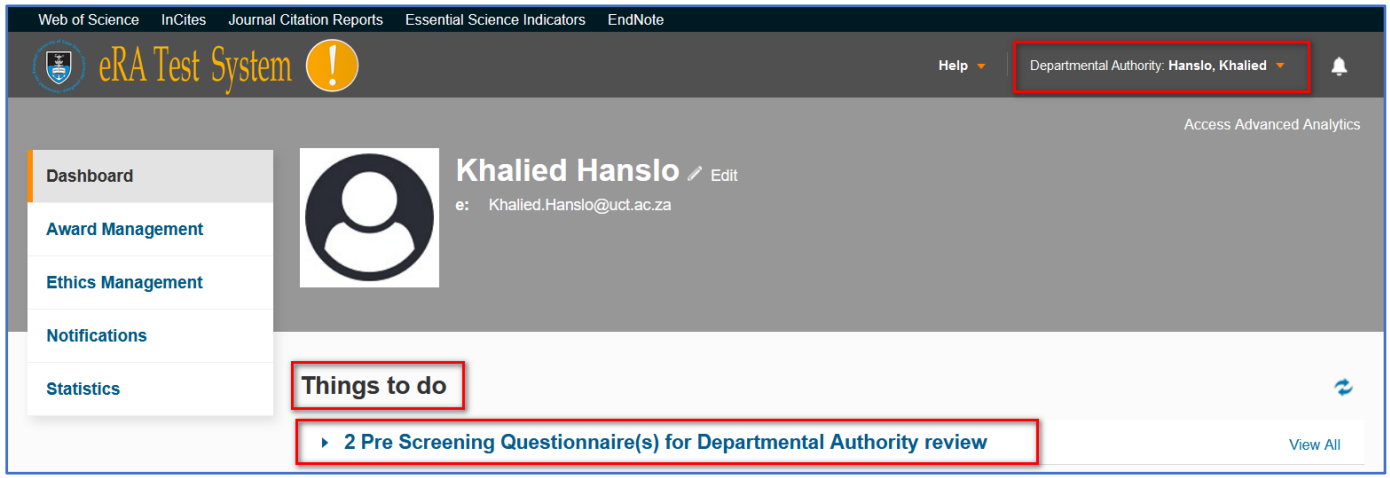
The Departmental Authority will receive a notification in email advising them an application is ready for review.

Module 4: Departmental Authority

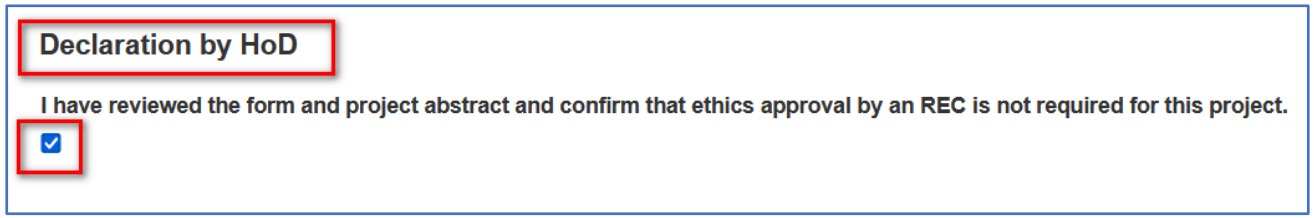
After the Supervisor submits the Pre-Screening Questionnaire from the student and a notification will be received by the Departmental Authority. They will be prompted to log in and review the application

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

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

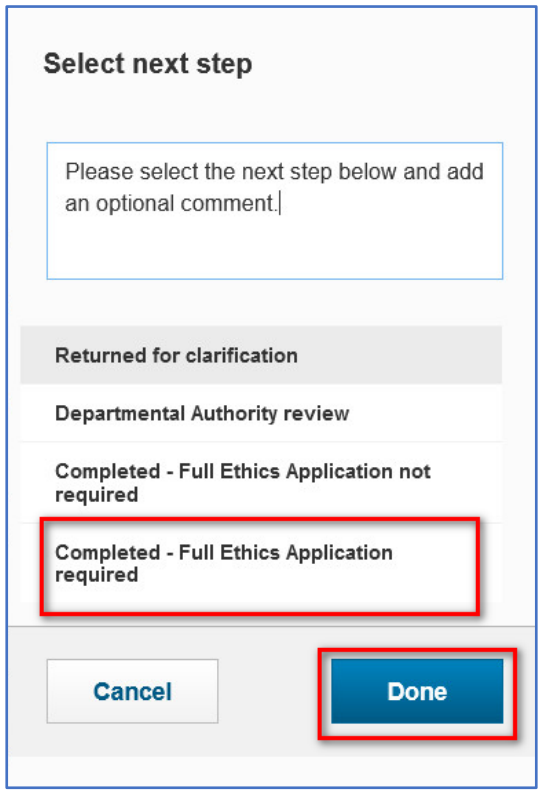


The form will open, and the Departmental Authority will be able to review the application. Once they have checked the form, they can complete the declaration by HoD.



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

The Departmental Authority makes a decision and returns the form to the student.

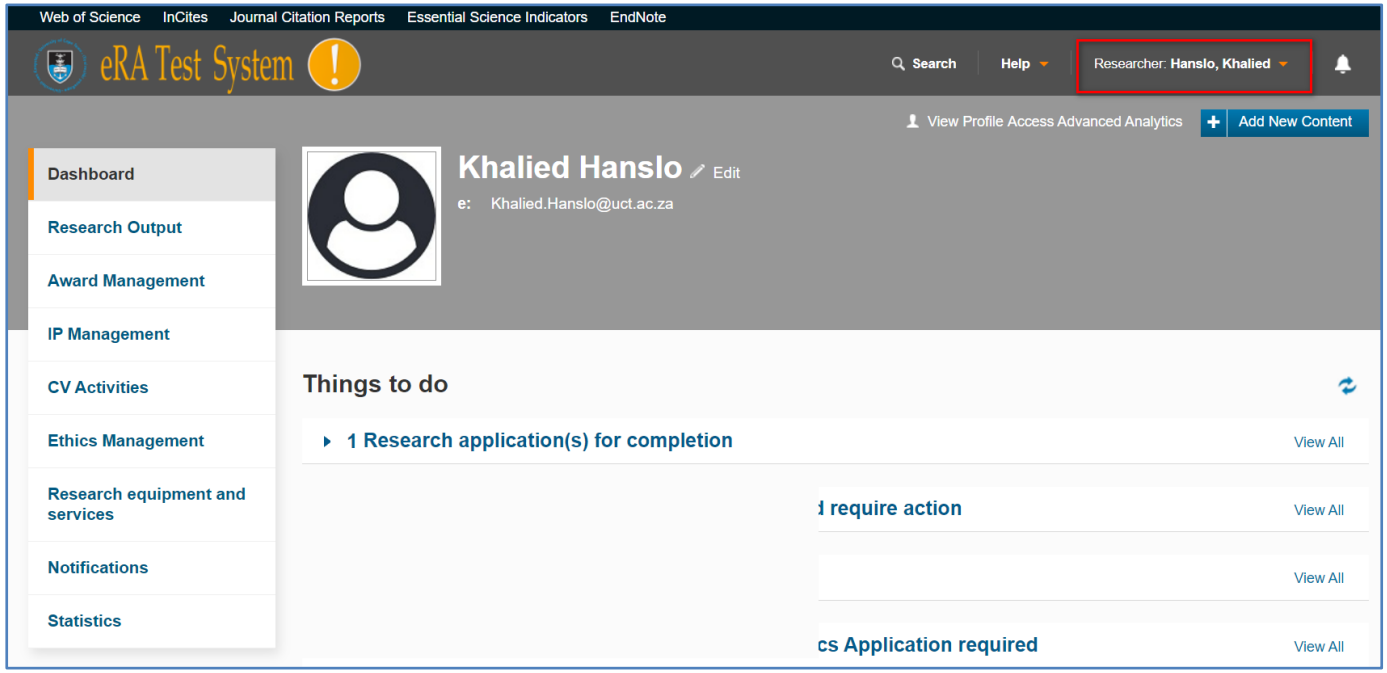


A popup box will appear. They can choose from **Returned for clarification** for changes that need to be made or select **Completed - Full Ethics Application not required** alternatively **Completed - Full Ethics Application required** and then click **Done**

The Student will receive a notification in email displaying the decision advising them of the outcome.

Module 5: Researcher Pre-Screening Questionnaire

If you are a Researcher and you are required to complete a Pre-Screening Questionnaire you will log in to eRA.



This is what your dashboard will look like if you are a researcher.

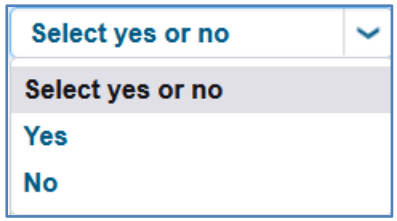
The Applicant navigates to pre-screening:

1. Click **Add New Content**

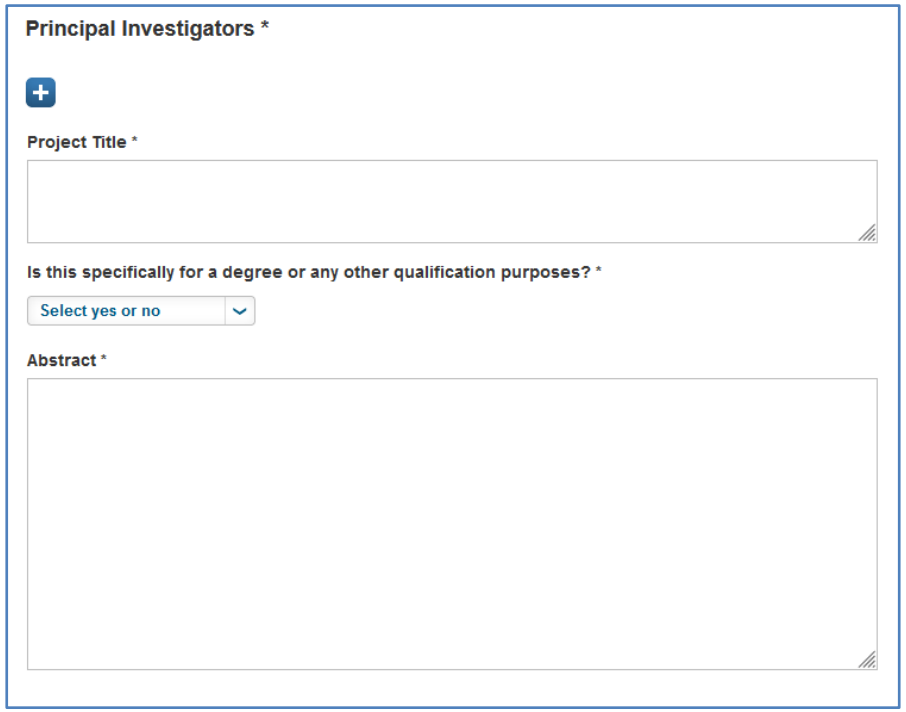
2. Click **Ethics Management**

3. Click **Pre-Screening Questionnaire**

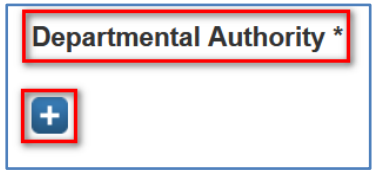
Once you have opened the Pre-Screening Questionnaire you may complete the form



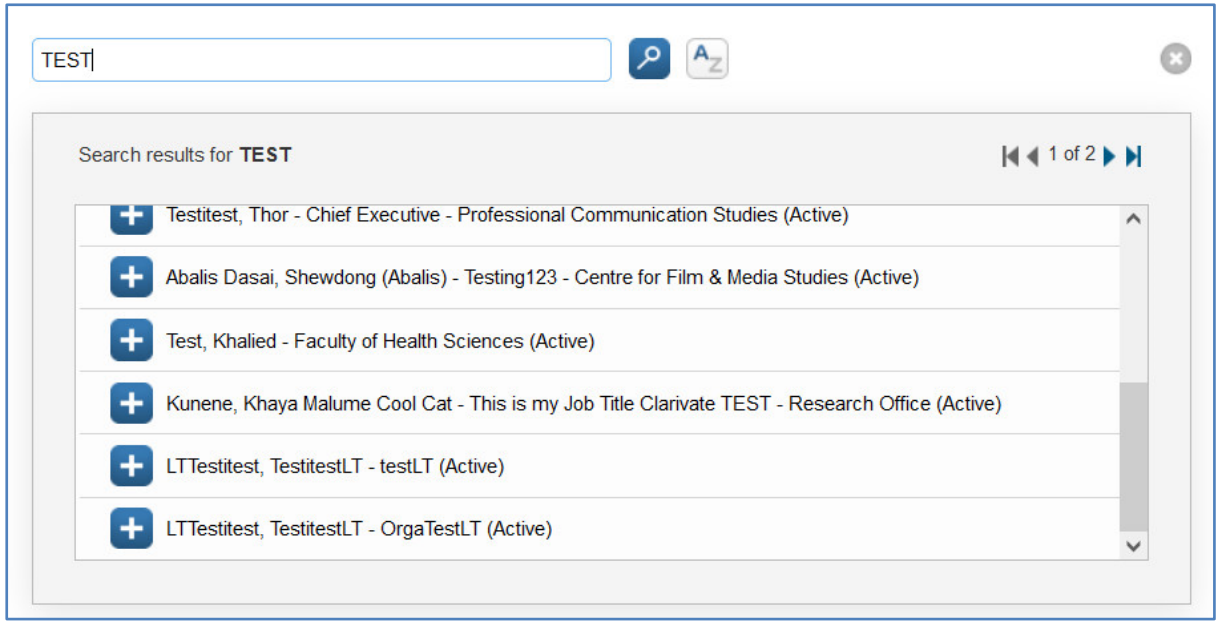
The applicant must complete each question in the form by selecting the appropriate **Yes** or **No** response in the dropdown box.



The Applicant adds principal investigator, project title, abstract and Departmental Authority.



Click on the **blue plus sign** and insert the name of the **Departmental Authority**.



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 T...) (UNIVERSITY OF CAPE	

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

Does your project involve: *

Direct interaction with human participants including via questionnaires, interviews or experimental interventions? *

Select yes or no

Analysis of secondary human data (data initially collected for another purpose) that contains any potential identifying personal information (with or without their knowledge or consent at the time)? *

Select yes or no

Research on stored data or biological specimens where the researcher has access to codes that link the data to personal identifying information? *

Select yes or no

Research that requires data matching or merging of databases where a personal identifier such as name, ID, student number, etc. will be used to link data? *

Select yes or no

Observation of persons in a context where they would reasonably have an expectation of privacy – even if the individual is in a public place? *

Select yes or no

Access to historical or other archives/repositories that contain identifiable information of living persons or confidential institutional or company information? *

Select yes or no

Access to historical or other archives/repositories that contain information about deceased persons that may be regarded as sensitive? *

Select yes or no

Social media research without direct consent in contexts where data subjects would not anticipate being researched, where their data may have been placed in the public domain without their knowledge or consent, or where the research questions could be regarded as ethically sensitive even if information is in the public domain? *

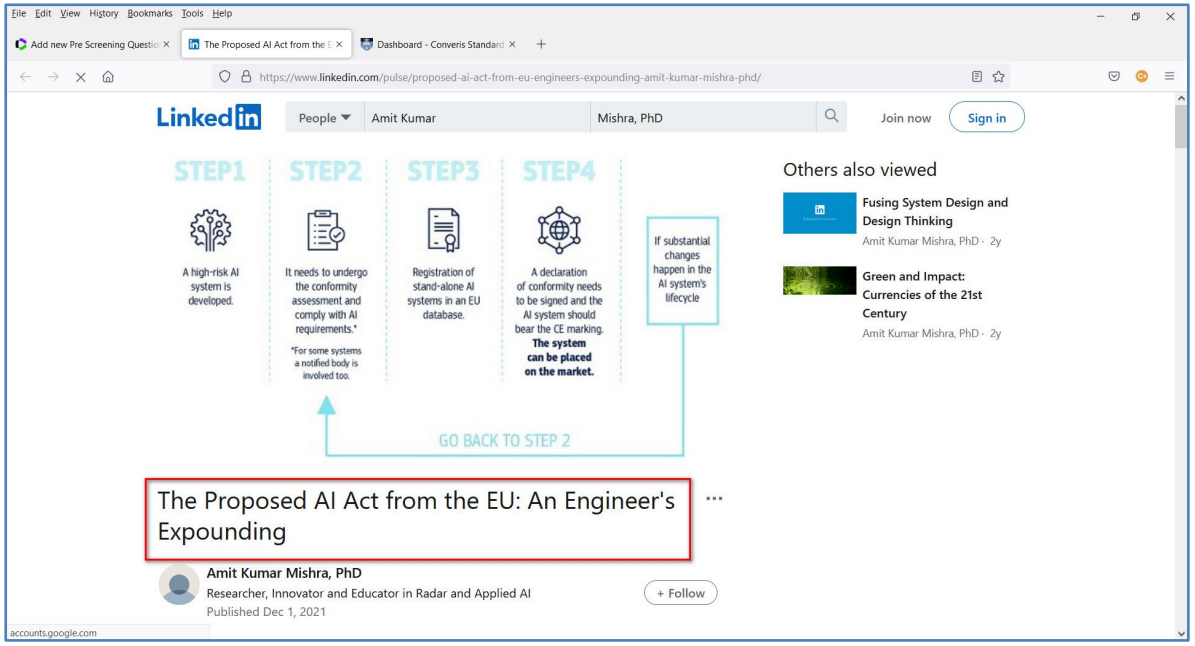
Select yes or no

Quality assurance studies and program evaluations where you are likely to publish or present the results so that they can contribute to generalisable knowledge? *

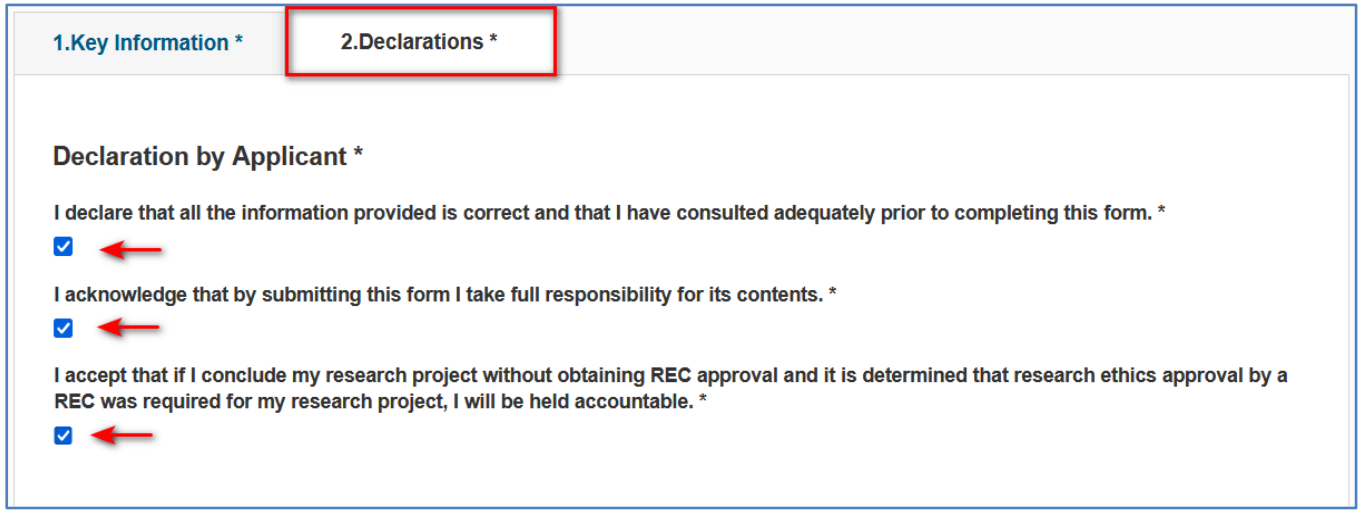
Select yes or no

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

If the Artificial Intelligence question applies to your application, then it will provide you with a LinkedIn hyperlink to the Artificial Intelligence proposed act which you can read and be informed about



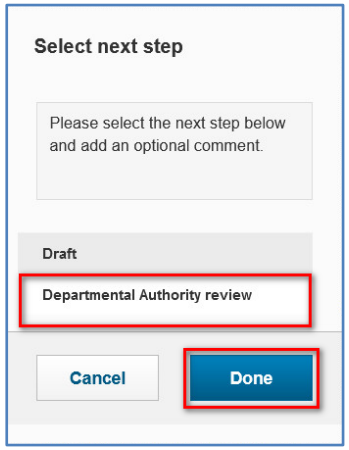
The Applicant Completes the questionnaire by clicking on **2. Declarations**



Applicant completes declarations by ticking the check boxes

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

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

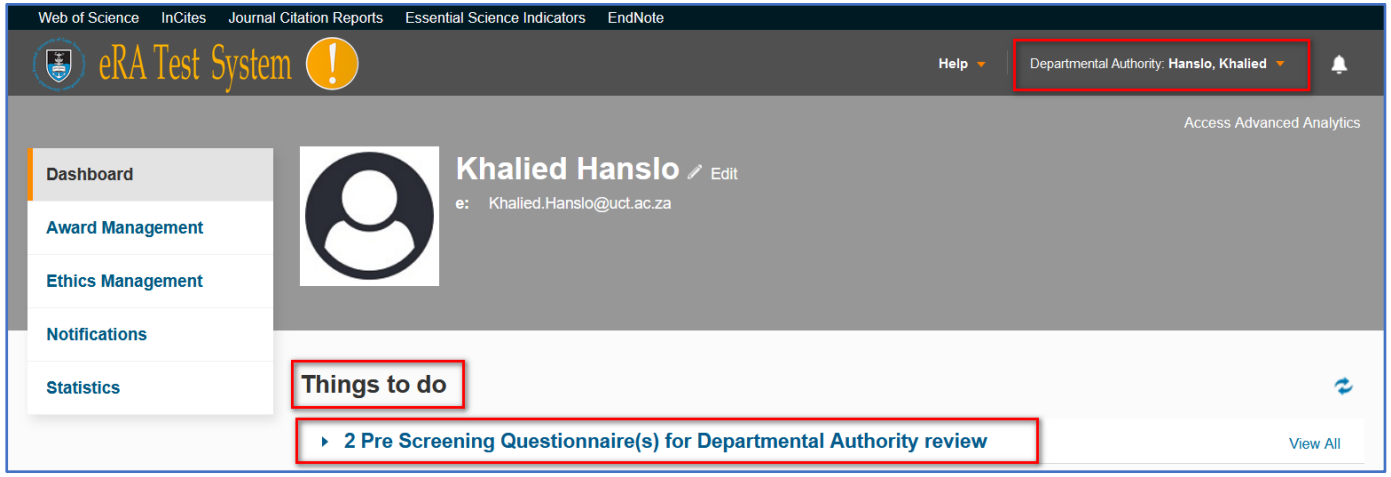


If the applicant is satisfied with the completion of the form, they can select **Departmental Authority** review. This will send a notification to the Supervisor to alert them that there is a form for them to review.

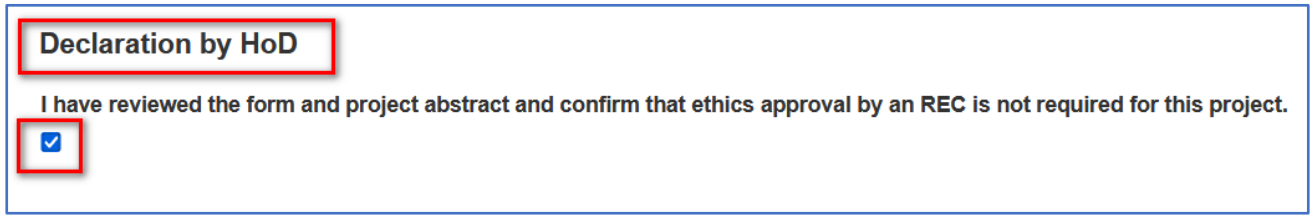
After the Researcher submits the Pre-Screening Questionnaire from the student and a notification will be received by the Departmental Authority. They will be prompted to log in and review the application

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

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

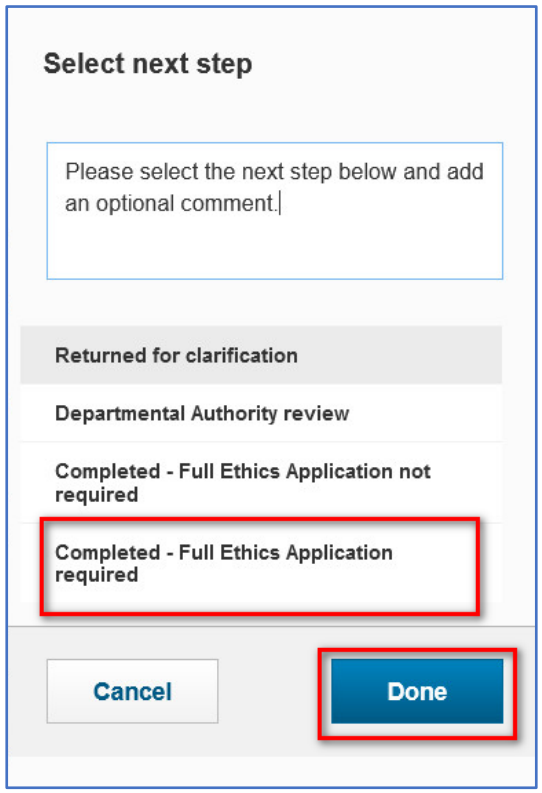


The form will open, and the Departmental Authority will be able to review the application. Once they have checked the form, they can complete the declaration by HoD.



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

The Departmental Authority makes a decision and returns the form to the student.

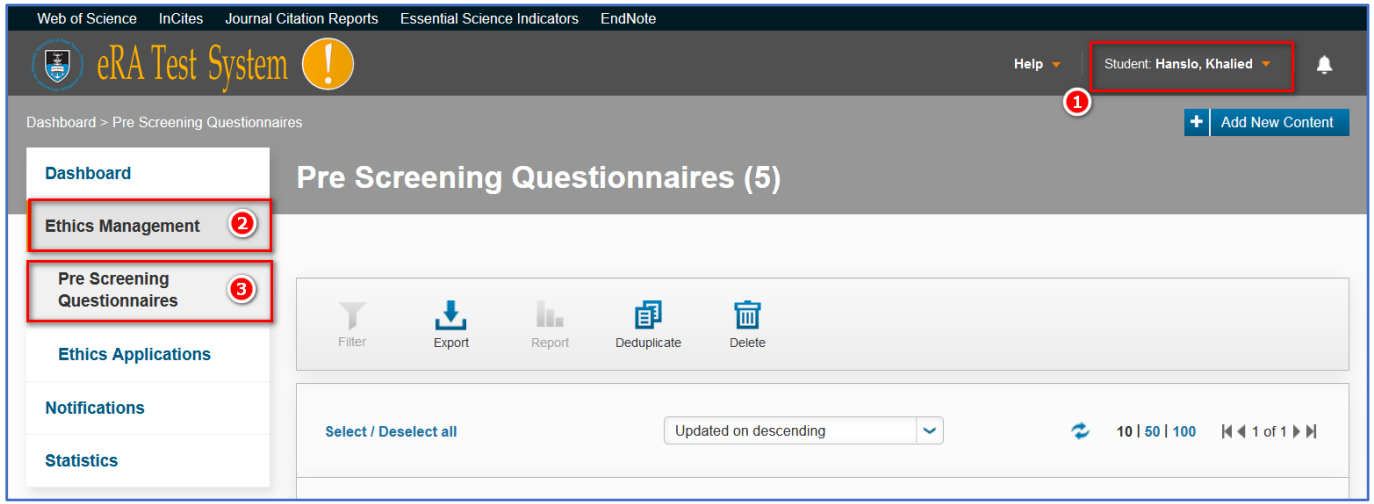


A popup box will appear. They can choose from **Returned for clarification** for changes that need to be made or select **Completed - Full Ethics Application not required** alternatively **Completed - Full Ethics Application required** and then click **Done**

The Researcher will receive a notification in email displaying the decision advising them of the outcome.

Module 6: Application Outcome

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



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

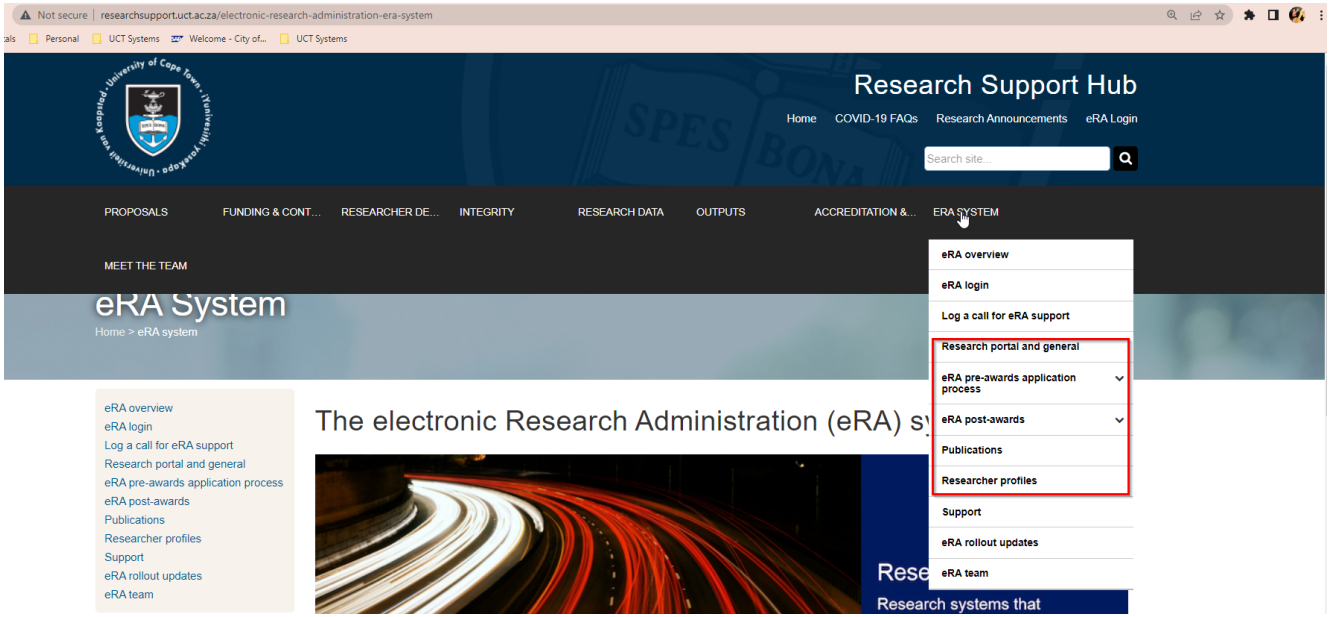
They will then be able to view the outcome of the application on the right-hand side of the application.

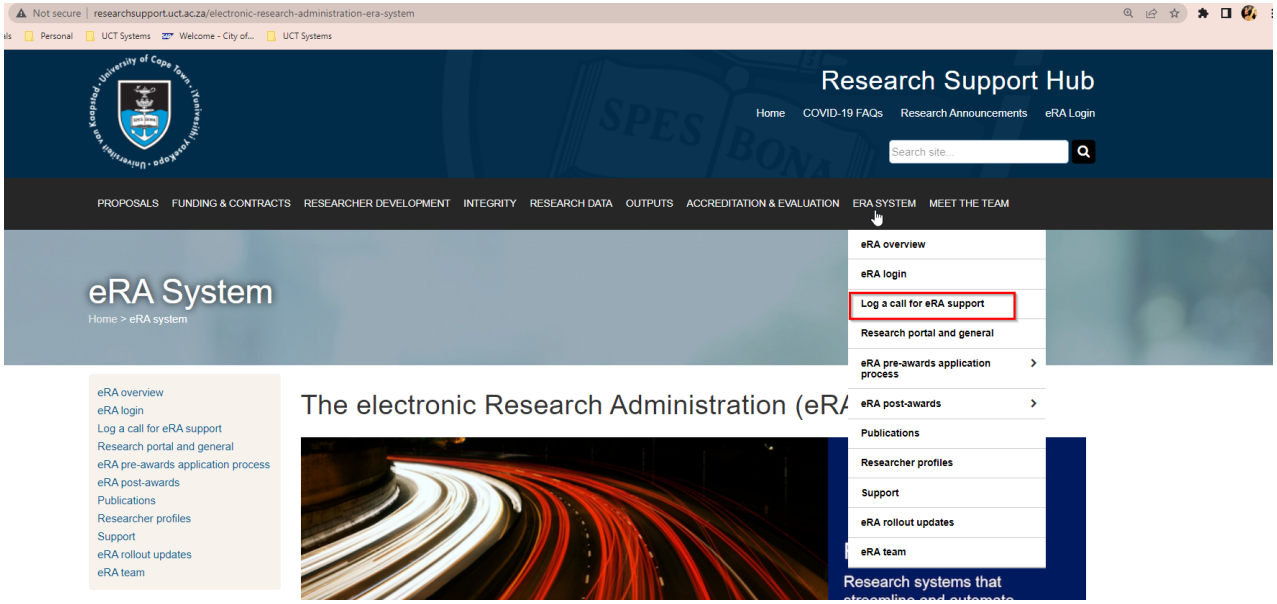
Accessing the FAQ and Logging a call on ServiceNow

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