



eRA Pre-awards Approvals Process Manual

Version: 6.10

Role(s): Researcher, Finance Approver, Budget Reviewer, Final Faculty Approver, RC&I Admin and RC&I Contracts Manager

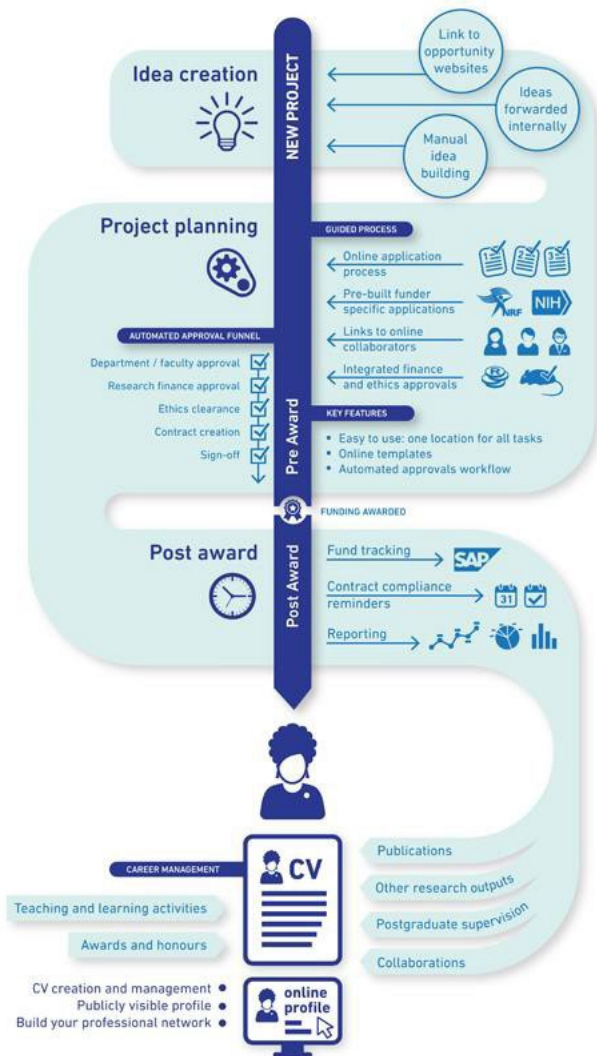
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About eRA

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:

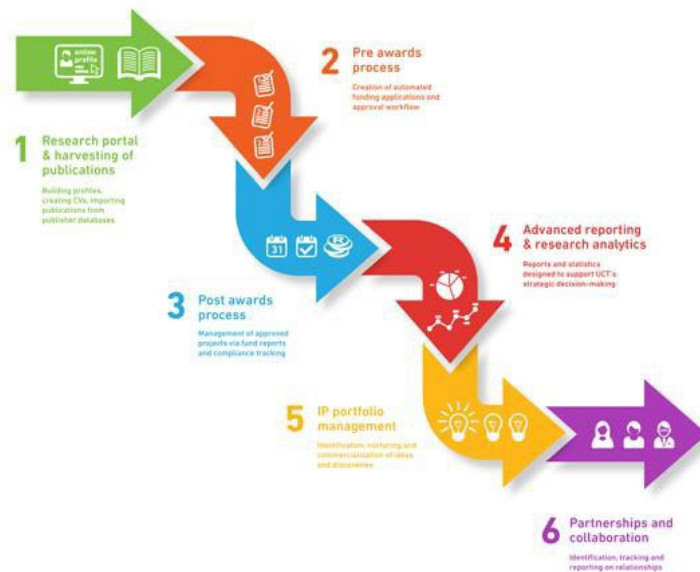
- a 'one-stop shop' to manage and track the administrative workflow within a project lifecycle and beyond
- user-friendly software that guides them from the point where an idea is born and a funding opportunity identified, through to post-publication with automatic CV updates
- streamlined and automated workflows, where the 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. Because of this, eRA will be implemented in phases over the next two years. This manual covers functionality in phase one i.e. research portal & harvesting of publications.



Module 1: Pre-awards Standard Approvals



Lesson time: 75 Minutes



Lesson Objectives:

In this lesson you will...

- ✓ Learn the pre-awards standard approval process
- ✓ How to add a new Project Application/Approval Request and move it through the various workflow steps until the standard approval process is complete.

Introduction

The pre-awards standard approval phase of the eRA project was created to streamline and standardize the standard approvals process. This process involves gathering information for grants or awards that are:

1. for funding schemes where there is a standard approval form, or
2. for other external funders that have pre-defined forms set up in eRA

In this module, the fundamental aspects of the standard approval process will be explained.

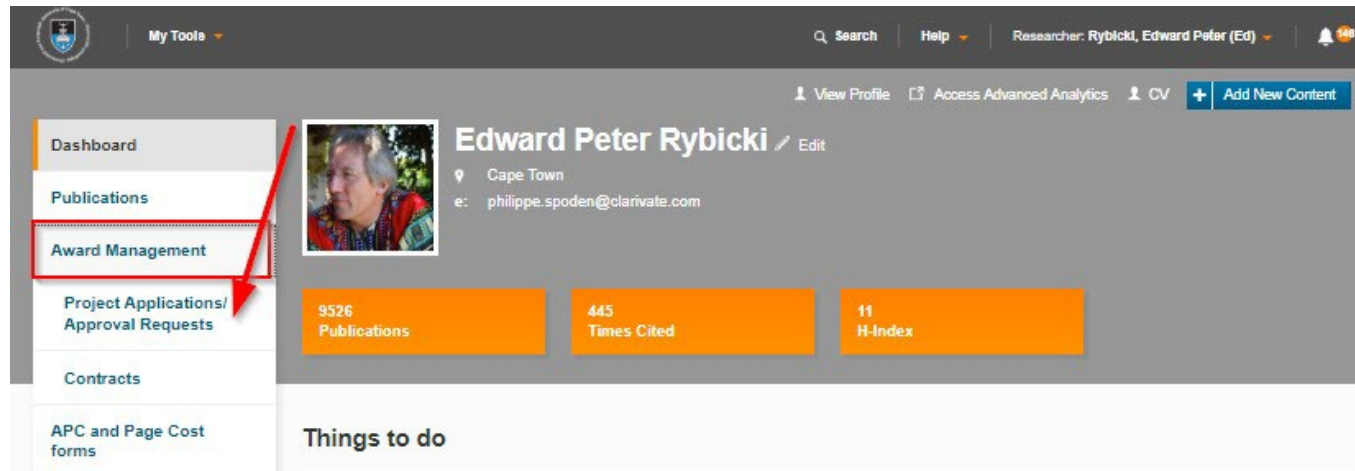


This module covers the standard approval forms (clinical trials, non-clinical trials, preliminary approval).

Elements

The eRA profile dashboard will look like this:

Dashboards

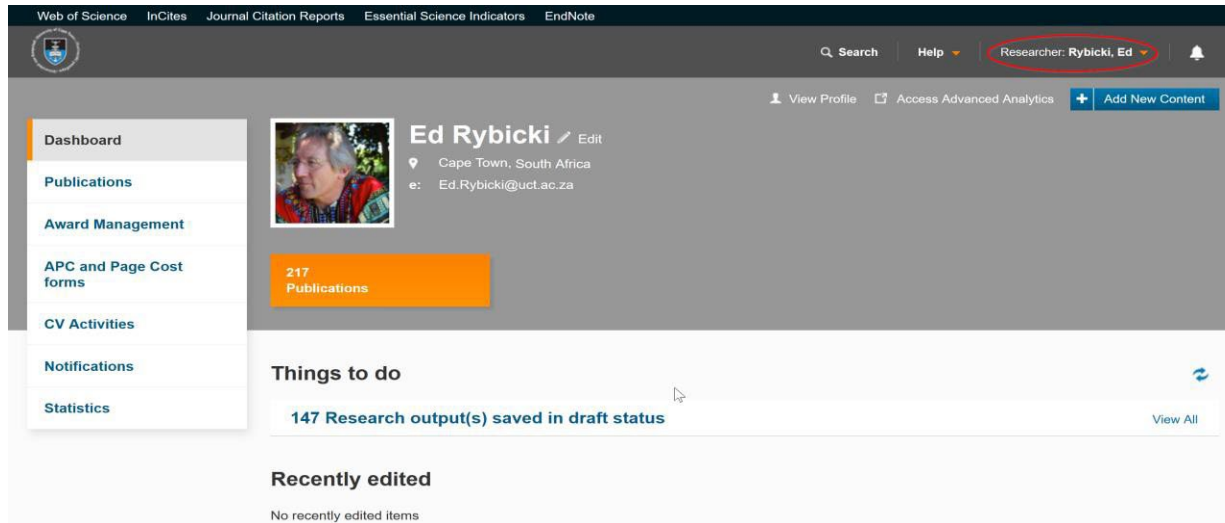


The dashboard will have the *Awards Management* tab on the left-hand side which will lead you to the *Project Applications/Approval Requests* option on the left-hand side that will lead you to all your existing *Project Applications/Approval Requests*. This is the dashboard that the researcher will see but there are other roles that have access to the pre-awards functionality.

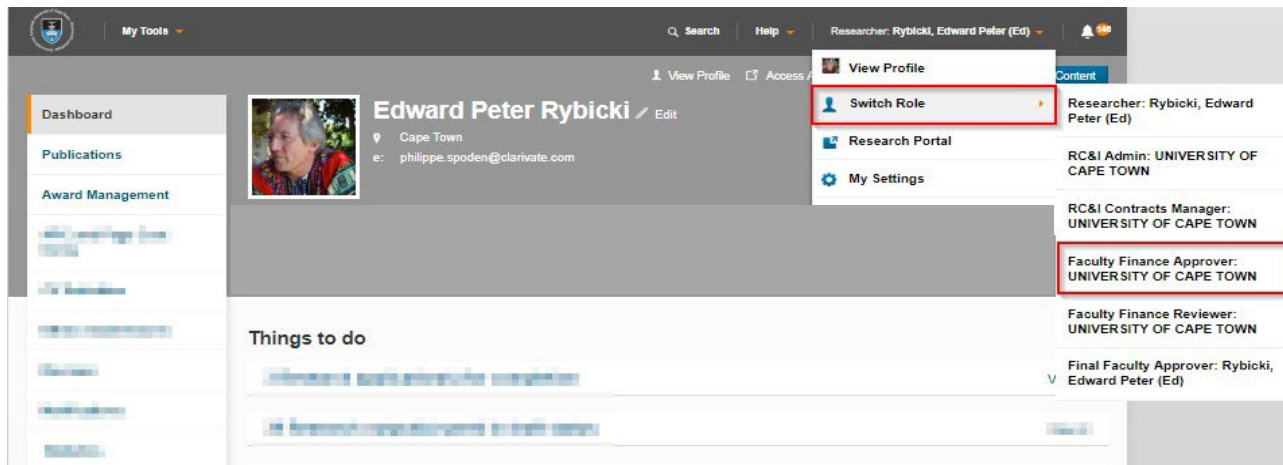
Switching Roles

You can switch to different roles by using the orange down arrow on the top right as shown in the steps below:

1. The researcher role



2. Finance Approver



The Pre-awards process has six roles namely:

- Researcher
- Finance Approver
- Budget Reviewer
- Final faculty Approver
- RC&I Admin
- RC&I Contract Manager



Only a researcher can add a pre-awards applications

3. Budget Reviewer

The screenshot shows a user dashboard for Edward Peter Rybicki. The user's profile information includes Cape Town, email (deborah.ajumobi@uct.ac.za), and phone number (071 555 3333). A notification indicates 9540 publications. The 'Things to do' section lists several tasks, with 'Budget Reviewer: UNIVERSITY OF CAPE TOWN' highlighted in a red box. A dropdown menu is open, showing options like 'View Profile', 'Switch Role', 'Research Portal', 'My Settings', and 'Logout'. The 'Switch Role' option is also highlighted in a red box, and the selected role is 'Budget Reviewer: UNIVERSITY OF CAPE TOWN'.

4. Final Faculty Approver

The screenshot shows a user dashboard for Edward Peter Rybicki. The user's profile information includes Cape Town and email (philippe.spoden@clarivate.com). The 'Things to do' section lists several tasks, with 'Final Faculty Approver: Rybicki, Edward Peter (Ed)' highlighted in a red box. A dropdown menu is open, showing options like 'View Profile', 'Switch Role', 'Research Portal', 'My Settings', and 'Logout'. The 'Switch Role' option is also highlighted in a red box, and the selected role is 'Final Faculty Approver: Rybicki, Edward Peter (Ed)'.

5. RC&I Admin

The screenshot shows the user profile for Edward Peter Rybicki. The profile includes a photo, name, location (Cape Town), and email (philippe.spoden@clarivate.com). A dropdown menu is open, showing options: View Profile, Switch Role (highlighted), Research Portal, My Settings, and Logout. To the right of the dropdown, a list of roles is displayed, with 'RC&I Admin: UNIVERSITY OF CAPE TOWN' highlighted by a red box. Other roles include Researcher, RC&I Contracts Manager, Faculty Finance Approver, Faculty Finance Reviewer, and Final Faculty Approver.

6. RC&I Contract Manager

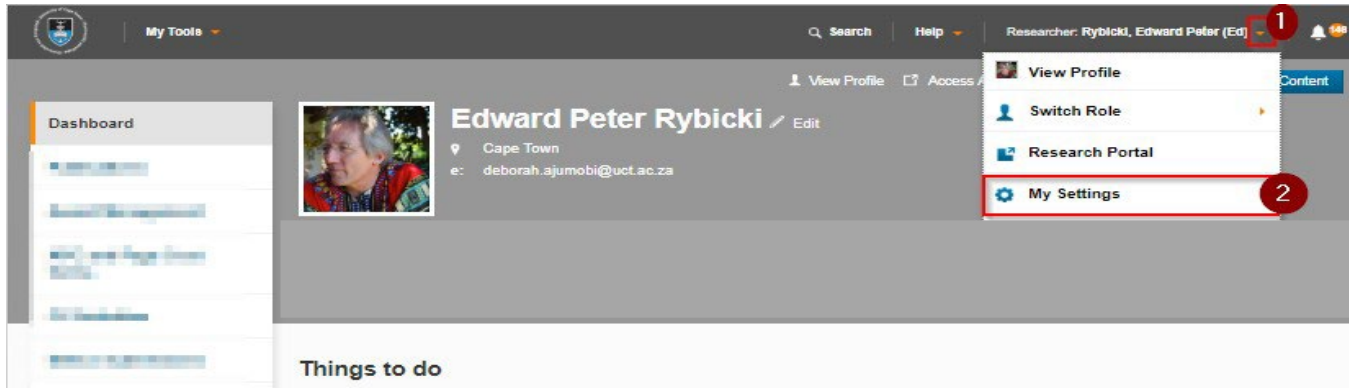
The screenshot shows the user profile for Edward Peter Rybicki. The profile includes a photo, name, location (Cape Town), and email (philippe.spoden@clarivate.com). A dropdown menu is open, showing options: View Profile, Switch Role (highlighted), Research Portal, My Settings, and Logout. To the right of the dropdown, a list of roles is displayed, with 'RC&I Contracts Manager: UNIVERSITY OF CAPE TOWN' highlighted by a red box. Other roles include Researcher, RC&I Admin, Faculty Finance Approver, Faculty Finance Reviewer, and Final Faculty Approver.

A description of each role is listed in the table below:

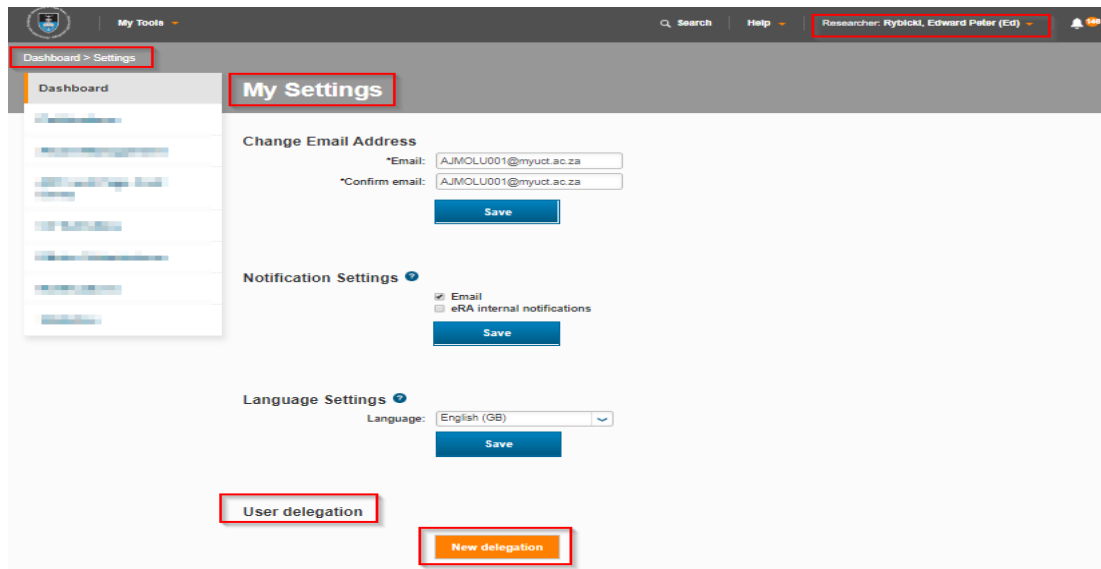
Researcher	<i>An individual role that creates an application as the Principal Investigator. This is the only role that can add an application.</i>	<i>Person</i>
Budget Reviewer	<i>This role liaises with the researcher and agree on a budget and relevant rates for the application. Then recommend and note any other financial matters for the Finance Approver.</i>	<i>Faculty</i>
Finance Approver	<i>The role that confirms and approves the budget for this application and checks compliance with UCT financial policies.</i>	<i>Faculty</i>
Final Faculty Approver	<i>This role is equivalent to the Dean of a Faculty and approves the application after the financial aspects have been considered by the Finance roles.</i>	<i>Person</i>
RC&I Admin	<i>This role reviews the application and confirm compliance from the RC&I perspective. Thereafter assign the application to a relevant Contracts Manager for final approval.</i>	<i>University</i>
RC&I Contract Manager	<i>This role reviews the application and liaise with the researcher regarding outstanding information relating to this application then confirm the final decision for the application.</i>	<i>Person</i>

Delegating a Role

Users are able to delegate a role to another user/staff in instances where the role holder is on leave or for any other need or reason. To delegate a role, ensure you are logged in to the eRA System and on the right role you want to delegate, in this case it is the *Researcher* role. On the top right corner next to the role and/or name display, click on the orange down arrow, then click on *My Settings*.

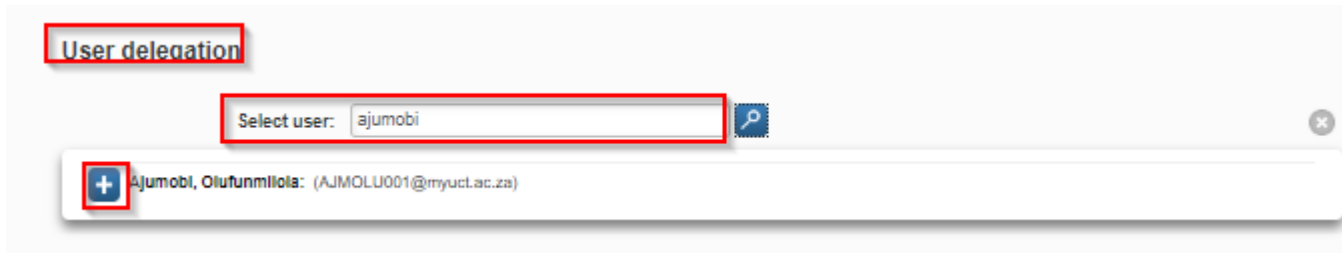


Once the settings page is opened, scroll down to the *User delegation* section and click on *New Delegation*.



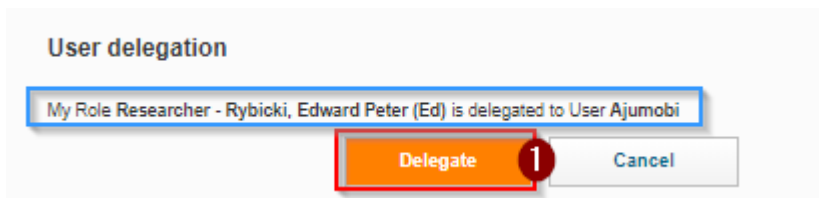
Please note that delegating a role means whoever you have delegated it to can see everything under your profile and make changes to all things related to you. As the delegator you are responsible for who you delegate to and whatever happens on your profile or records during this time. The eRA system has a status log functionality that records the various workflow steps changes made to a record on the system but this can only be viewed when you go into the record to check. If changes have been made to a record's workflow step, the status log will reflect this change with a time stamp and the details of the actual person be it the delegate or the delegator. Also please note that who you delegate to can also delegate your profile to someone else. And should their profile be already delegated to someone else, the third person will get access to you profile as well.

Type in the name of the person you want to delegate the role to in the box next to 'select user' and press the enter key on your keyboard to search. Once the name comes up, click on the 'plus sign' to select the name:



The plus icon is used to link additional data to the entry forms. Click on it for more information every time you come across it.

Once the name has been selected click on *Delegate* to complete the process:



The delegated user would now be able to access the delegated role on their profile by using the "Switch Role" function:



The Workflow

These are all the possible workflow steps that a pre-awards standard approval can go through when it is being processed.

Select next step

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

Draft application
Save the application in this status if you want to return to it and make edits before submission for review.

Returned to applicant for clarification
Please check the status log for comments regarding necessary edits.

Submitted to Budget Reviewer
Select this status to send the application for review by the Budget Reviewer. Budget Reviewer will input financial information and send back to applicant for review (non financial information can still be edited).

Submitted to Finance Approver
Select this status to send application to be reviewed by the Finance Approver. Application will no longer be editable by the applicant.

Cancel Done

Select next step

Enter a comment about the status change (optional).

Submitted to Dean/Deputy Dean for review
Select this status to send to the Dean, Deputy Dean, or their appropriate designee for review. Application will no longer be editable by applicant or previous reviewer.

RC&I review
Select this status to submit for review by the RC&I administrator. Application will not be editable by the previous reviewer.

Institutional review
Select this status to submit for review by the RC&I contracts manager. Application will not be editable by the previous reviewer.

Cancel Done

Select next step

Enter a comment about the status change (optional).

Researcher review

Institutional approval- ready for submission by PI

Institutional approval- ready for submission by UCT

Cancel Done

Select next step

Enter a comment about the status change (optional).

Submitted
Select this status to confirm application has been submitted to the funder independently via their process.

Conditionally awarded
Select this status if the funding has conditions that must be met before the funder will give final approval.

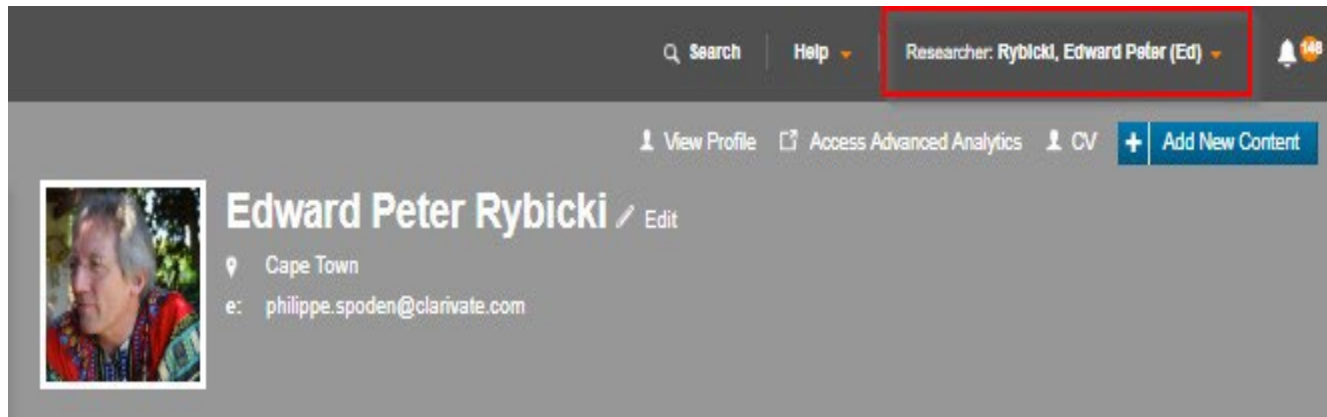
Awarded- contract required
Select this status if the funding has been awarded and a contract must be generated.

Unsuccessful
Select this status if the application has been rejected for funding.

Cancel Done

Creating a new standard approval application

To create a new standard approval application, ensure that you are on the researcher role.



The screenshot shows a user interface for a researcher profile. At the top, there is a navigation bar with a search icon, a 'Help' dropdown, and a dropdown menu showing the current user's role: 'Researcher: Rybicki, Edward Peter (Ed)'. Below this, there are links for 'View Profile', 'Access Advanced Analytics', 'CV', and a blue button labeled '+ Add New Content'. The profile card for 'Edward Peter Rybicki' is visible, including a profile picture, location 'Cape Town', and email 'philippe.spoden@clarivate.com'.

To get to the standard approval request form, go to *Add New Content* and click on *Project Application/Approval Request*.



This screenshot shows the 'Add New Content' dropdown menu from the previous image. The menu is open, displaying four options: 'Publication', 'Project Application/Approval Request', 'APC and Page Cost form', and 'CV Activity'. The 'Project Application/Approval Request' option is highlighted with a red rectangular box.

Select the appropriate contract/proposal application request type by clicking on the name. In this case, it is *Other funding scheme >> Application stage approvals >> Proposal approval (clinical trials)*.

Dashboard > Add new Project Application/ Approval Request

My Tools Search Help Researcher: Abrahams, Melissa (Melissa)

Dashboard Publications Award Management Project Applications/ Approval Requests

Add new Project Application/ Approval Request

Select the appropriate project application/ approval request type

Project Application/ Approval Request	Information about the selected project application/ approval request
Other funding schemes	
Application stage approvals	Application stage approvals
Proposal approval (non-clinical trials)	
Proposal approval (clinical trials)	
Preliminary proposal approval (if funder requires budget breakdown)	
Contract stage approvals	
Contract approval (non-clinical trials)	
Contract approval (clinical trials)	

Cancel



There are 5 different form types for the Standard Approvals process, differentiated by the following categories:

Application stage approvals:

When a researcher is initially applying for a grant, e.g. in response to a funding opportunity announcement from a funder.

Contract stage approvals:

When a researcher is being offered a grant/contract for which:

- There is no funding call and the process started with contract negotiation.
- The researcher did not submit an approval request at proposal stage.
- Initial proposal was submitted, but at award stage, the funder wants a change to the project or budget and revised protocol/budget needs another review and approval, but at contract stage.

Project Applications/ Approval Requests > Lockdown Impact on Mental Health (E ...)

Lockdown Impact on Mental Health (ERA00002596); Bond, James - PASS

Internally visible | Awarded- contract required | Admin Info

1 2 3 4

Key Information * | Research Related Information | Resourcing, Ethics & Biosafety * | More * ^

5
Financial Information (completed by Finance staff) *

6
Person Effort

7
Approval and Outcome *

This section of the form is to be completed by the principal investigator

The proposal approval process flow guide is available here.

For FAQs please click here.

Key Information *

Fields marked with an asterisk (*) are required.

Type of project application *

Proposal approval (clinical trials)

Approval type *

New: The first submission by a PI to a particular funding opportunity
Supplement/Revision: A submission to add an additional piece of work onto a current grant; this typically increase the scope of the project and involves submission of a new/updated project plan and budget
Amendment: A submission requesting a change to an aspect of a current grant (this may be a change to e.g. the protocol, the budget, the investigators involved)

The tabs are explained below

1. Key Information: allows you to add all the basic information relating to the Principal Investigator, Co-PI/Co-Investigators, other research project staff and the application.
2. Research Related Information: allows you to specify the research areas related to the project and allows you to upload an existing application or link an existing application/contract related to the current application.
3. Resourcing, Ethics & Biosafety: this tab allows you to provide information about the resources and ethics procedures that will be needed for the project. The applicant also signs a declaration on this tab
4. Select the More tab in order to display the additional information tabs on the form.
5. Financial information: this is where all the information relating to the financial requirements of the application are captured

- 6. Person Effort: this tab allows you to capture the time and effort commitment of each research team member for the number of years that the project will be running.
- 7. Approval and Outcome: covers all the approval processes and final decision for the application.

Key Information Tab

Key Information *	Research Related Information	Resourcing, Ethics & Biosafety *	More * ▾
--------------------------	-------------------------------------	---------------------------------------------	-----------------

This section of the form is to be completed by the principal investigator

The proposal approval process flow guide is available [here](#).

For FAQs please click [here](#).

Key Information *

Fields marked with an asterisk (*) are required.

Type of project application *

Proposal approval (non-clinical trials) 1

Approval type *

New: The first submission by a PI to a particular funding opportunity
Supplement/Revision: A submission to add an additional piece of work onto a current grant; this typically increase the scope of the project and involves submission of a new/updated project plan and budget
Amendment: A submission requesting a change to an aspect of a current grant (this may be a change to e.g. the protocol, the budget, the investigators involved)
Costed extension: A submission requesting a time extension to a current grant that will also involve a change in the budget (typically an increase)
Renewal: A submission to renew a current grant for a further period of time; this is typically invited by the funder and most often involves submission of a new/updated project plan and budget


New 2

Project title *

English (GB) * 3

Please attach the project proposal or protocol here*

Please note that the accepted file formats for uploads are: doc, docx, ppt, pptx, pdf, ps, rtf, txt, xls, xlsx, gif, tif, jpg, jpeg, png

 4

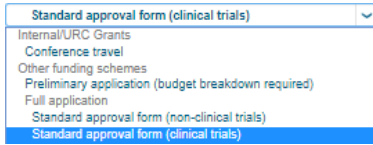


Please note that fields marked with '' are mandatory fields that need to be completed before moving to the application to the next step in the process.*

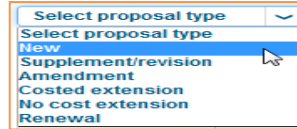


The folder icon allows you to browse your computer and upload additional documents.

1. You can change the type of project application at any point when the application is still in draft.



2. Select the *Approval type* from the drop-down menu



3. Enter the project title. Note that the *title* is a compulsory field.

4. You can upload the proposal or protocol, if available.

Roles

UCT Principal Investigator * **5**

Please make sure the correct work affiliation and role is attached to this record. If a student or postdoctoral fellow is the lead investigator, e.g. for a fellowship application, then a UCT academic staff member must complete this approval form on their behalf and be listed as the Principal Investigator. The student or postdoctoral fellow should then be added as a co-investigator under the "UCT Co-PI or Co-Investigators" section.
Role: If unsure, [click here](#) for definitions. **Reportable:** A reportable role is a named role on a grant (i.e. a role to be carried out by a specific named UCT individual) for which the role's percentage effort (e.g. % full-time equivalent salary or calendar months contribution) is reportable to the funder.

Name	Organisation	Role	Reportable	
Bond, James	PASS (UNIVERSITY OF CAPE T...)	Principal investigator	Yes	



UCT Co-PI or Co-Investigators **8**

Only select the Co-Principal Investigator and/or Co-Investigator here.
Role: If unsure, [click here](#) for definitions. **Reportable:** A reportable role is a named role on a grant (i.e. a role to be carried out by a specific named UCT individual) for which the role's percentage effort (e.g. % full-time equivalent salary or calendar months contribution) is reportable to the funder.

Name	Organisation	Role	Reportable	
Everdeen, Katniss	PASS (UNIVERSITY OF CAPE T...)	Co-Principal investigator	Yes	



Other Project Staff **9**

Other project staff are roles included on the grant where the specific individual is known, but where the person is not the PI, co-PI or Co-I. For any roles other than "UCT sponsor", "Postdoctoral Fellow", "Postgraduate Student", or "Supervisor", select "Other Project Staff". Examples of other project staff may be: a clinical research manager, a chief medical technologist, a fieldworker, etc. Where a role is still 'TBC' (i.e. you don't yet know who the specific individual is), do not add that role to this list.

Role: If unsure, [click here](#) for definitions. **Reportable:** A reportable role is a named role on a grant (i.e. a role to be carried out by a specific named UCT individual) for which the role's percentage effort (e.g. % full-time equivalent salary or calendar months contribution) is reportable to the funder.

Name	Organisation	Role	Reportable	
Jones, Indiana	PASS (UNIVERSITY OF CAPE T...)	Postdoctoral Fellow	No	
Gale, Dorothy	PASS (UNIVERSITY OF CAPE T...)	Other project staff	Yes	



The plus icon is used to link additional data to the entry forms. Click on it for more information every time you come across it.



It is very important that each project team member is allocated to the correct role. The definitions for the various roles can also be found in the hint text and on the [Research Support Hub](#).



The following roles should be added in the Other Project Staff field:

- Other Project Staff
- UCT Sponsor
- Postdoctoral Fellow
- Postgraduate student (MSc/PHD)
- Supervisor

Investigator-led or Commissioned/consultancy/industry-led research? *

Select investigator-led or commissioned/consultancy  

Is UCT the primary applicant institution or sub-applicant institution? *

Select primary or sub  

If UCT is the sub-applicant please select lead applicant




If other, please list here

If the organisation is not available on the list, please add it on the text box or log a call 

5. The UCT Primary Investigator(s) field is automatically populated with the name of the person who initiates the form. This field should always contain the name of the Principal Investigator.
6. Select the role name
7. Select the appropriate option to confirm whether or not the role is reportable
8. Select the name of the Co-investigator(s) (if applicable) using the name search function.

bond, james   

Search results for bond, james

 Bond, James (James) - Lecturer and Specialist Consultant - PASS (Active)

9. Add all the names of the other staff for the research project (i.e. project manager, field worker) by selecting the + sign and selecting their name from the search options.
10. Specify if the research is investigator-led or otherwise



The bin icon allows you to delete entries within certain fields or sections



Should the form be completed on behalf of the Principal Investigator, the researcher should delegate authority to an appointed person who would access the system with this role assigned to them.

11. Indicate if UCT is the primary applicant institution or sub-applicant institution
12. Specify the lead applicant if UCT is the sub-applicant
13. List other applicants or organisations relating to the project


Funder Information

Is the primary funder national or international? 14

National International

Primary Funder *

The organisation that is the primary source of funds e.g NIH or WRC




If other, please list here

If the organisation is not available on the list, please select "to be advised" then add it on the text box or log a call

Funding opportunity if applicable

Name of specific call/scheme. For example, Grand Challenges Explorations

Upload funding opportunity



URL of funding opportunity

Please add the full URL including http e.g http://www.rci.uct.ac.za/


Did you find this funding opportunity from the Research Professional Africa?

To visit the Research Professional Africa website click [here](#) 17

Yes No


Please attach the budget as per the funder's template, if applicable

Before uploading your finalised budget (prepared by the PI through consultation with the budget reviewer), please note that the figures given in the budget uploaded here should match the figures in the budget to be submitted to the funder



Please attach the budget as per the PI's template, if applicable

Before uploading your finalised budget (prepared by the PI through consultation with the budget reviewer), please note that the figures given in the budget uploaded here should match the figures in the budget to be submitted to the funder





Please note that if the organisation is not available on the list, add it on the text provided under the primary funder field or log a call to have it added.

14. Indicate if the primary funder is national or international
15. Specify what organisation(s) is the primary source of funds
16. Under the Funding Opportunities section, the following should be added:
 - The funding opportunity name (this relates to more details of the call or the funding opportunity)
 - Upload material related to the funding opportunity
 - Include the URL of the funder where more information can be found
17. Indicate if the funding opportunity was found from the Research Professional Africa
18. Attach the budget as per the funder's template and the PI's template in the respective spaces provided.

Please note the difference in the requested information for RC&I in the Application stage and Contract Stage form types.

For Application stage forms

RC&I (Research Contracts & Innovation)

To visit the RC&I website click [here](#)

Your application may require input from RC&I in one of two ways:

RC&I signs off as UCT's authorised signatory and returns to PI to submit to funder

RC&I signs off and submits to funder as UCT's authorised signatory

Does the application require signoff by RC&I? 19

If the application requires an authorised signature it will go to the RC&I Office. Examples of applications that require RC&I approval are NIH and Wellcome Trust. If unsure, please check with RC&I [here](#)

Yes No

If applicable, what role do you need RC&I to play in submission of this proposal?

Select requirements from RC&I 20

If yes, please elaborate on what you require from RC&I

NOTE: Drafting of the actual contracts by RC&I will take place once the proposal is awarded by funder.

If there are additional documents for RC&I, please attach them here

 21

19. Specify if the application requires sign off by RC&I
20. If applicable, indicate the role RC&I needs to play in the submission of the proposal
21. Attach additional documents for RC&I if applicable



For Application Stage approval forms, follow points 19, 20 and 21.

For Contracts Stage approval forms, follow points 19 and 20. For contract stage approvals, attachments from step 21 will be pushed through to Postawards and will be accessible to RC&I.



Please note that you can contact RC&I if unsure of what to fill out or select in the RC&I section of the form.

For Contract Stage applications

RC&I (Research Contracts & Innovation)

To visit the RC&I website click [here](#)

Your contract will require input from RC&I: please indicate what you require from RC&I


What role do you need RC&I to play in processing this contract?

  22

If there are additional documents for RC&I, please attach them here



22. Using the drop down box, indicate what role you need RC&I to play in the processing of the contract.

- Select RCI Role in the contract
- Draft & sign new contract/agreement
- Edit & sign existing draft contract/agreement
- Other

23. If there are any additional documents for RC&I to peruse, it can be attached in the space provided.

Key Dates * 24

Funder deadline *

RC&I deadline, if applicable

If application requires RC&I approval, this form needs to reach them **5 working days** before funder submission deadline excluding public holidays. This is automatically generated after "save" is clicked and is calculated from the funder deadline date.

Faculty internal deadline, if applicable

This may be a few days before RC&I deadline. Please check with your faculty for applicable internal deadlines.

Expected start date *

Expected end date *

Duration of project, in months

This will calculate automatically after clicking save

24. Under *Key Dates*, enter the funder deadline, faculty internal deadline, expected grant start date and expected grant end date using the date picker.
For the RC&I deadline and the duration of the project fields, they will be calculated automatically once you click save.

February 2019						
Mo	Tu	We	Th	Fr	Sa	Su
28	29	30	31	1	2	3
4	5	6	7	8	9	10
11	12	13	14	15	16	17
18	19	20	21	22	23	24
25	26	27	28	1	2	3

Today Done



Contract Stage approval forms only requires the Expected Grant start date and end date.



Please note that the 'RC&I deadline' and the 'duration of the project, in months' fields, will be calculated automatically once you click save.

Finance: VAT *

Is this project basic, applied or contract research, as per the SARS definition in determining VAT apportionment? *

Basic: Experimental or theoretical work undertaken primarily to acquire new knowledge of the underlying foundation of phenomena and observable facts, without any particular application or use in view.

Applied: A project which is primarily directed towards a specific practical aim or objective and should result in the application of new knowledge into a process, or the transfer of existing knowledge into a new process or product, for the benefit of the donor or for the immediate purpose of commercialising the product.

Select Basic, Applied or C

Is there involvement of students or postdoctoral fellows (on tax-free stipends) in this project? *

Yes No Not yet known

Co-funding *

Does the funder require co-contribution or co-funding from UCT? *

Yes No

If yes, please explain the co-contribution required and who has agreed to provide it

Where applicable, please attach proof of co-contribution

Fund Information

Is there an existing fund this project should be managed through? *

Yes No

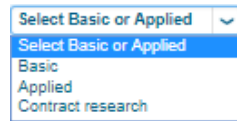
SAP fund number

Related Contracts

Application number

This is automatically generated after "save" is clicked

25. Using the drop down menu, indicate if the project is basic, applied or a contract research



26. Indicate if students or postdoctoral fellows are involved in the project

27. Indicate if the application requires co-funding

28. Should co-funding be required, add your explanation for it

29. Attach the proof of agreement to the co-funding option

30. Indicate if there is an existing fund that the project should be managed through

31. Add the SAP number

32. Link the related contracts if applicable

33. The application number will be automatically generated once save is clicked.

Research Areas and Documents Tab

Key information * **Research Related Information** Resourcing, Ethics & Biosafety * More ▾

This section of the form is to be completed by the principal investigator

Research Areas 1

Scientific Domain
The main scientific domain of the researcher, a maximum of one is required. E.g Health and Medical Sciences
+

Primary research field
A primary research field for the researcher up to a maximum of two. E.g Medical Sciences clinical
+

Secondary research field
Secondary to the primary research area up to a maximum of four e.g Oncology
+

Specialisation
A person may have up to a maximum of 10 specialisations e.g Paediatric Oncology
+

Related Project Applications, example: Letters of Interest/Intent, Preliminary Application etc. 2

To link an existing project to this application, click below to search for it and select it.
+

Please attach related project applications not currently saved in the system
📁

Related Contracts 3

To link an existing contract to this application, click below to search for it and select it.
+

1. Under the Researcher Areas section, select the applicable Scientific Domain, Primary research field, Secondary research field and Specification by clicking on the plus sign and using the search functionality in the space provided.
2. In this section, link or attach related project applications to the current application
3. Link existing contracts that apply to the current application



Please note that the research areas are defined as follows:

Scientific Domain: This is the main scientific domain of the researcher, and a maximum of one input is required. E.g Health and Medical Sciences

Primary research field: This is a primary research field for the researcher and can be up to a maximum of two. E.g Medical Sciences clinical

Secondary research field: this is secondary to the primary research area and can be up to a maximum of four e.g Oncology

Specialisation: A person may have up to a maximum of 10 specialisations e.g Paediatric Oncology

Resourcing, Ethics & Biosafety Tab

Key information *	Research Related Information	Resourcing, Ethics & Biosafety *	More ▾	
<p style="color: red;">This section of the form is to be completed by the principal investigator</p>				
<h3>Infrastructure and Staff 1</h3>				
<p>UCT has limited infrastructure and staff available and may not be able to accommodate the requirements of your proposed project with the current resources. Select all infrastructure/staff below that this project will require</p>				
	Existing and available to you for project under your own authority	Existing and confirmed available to you for project by other relevant authority	New (must therefore be included in your budget)	Not applicable
Analytical services	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Research Staff	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Computing infrastructure or data support	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Classroom or office space	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Core facilities or equipment	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Laboratory/ Studio space	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Storage space (e.g. for freezers, computing hardware or filing)	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
UCT animal research facility	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>



The Resourcing, Ethics & Biosafety tab vary for the three types of standard approval applications.

1. Under the Infrastructure and Staff section, tick the check boxes that apply to each item

2. For the human ethics section, the following fields should be completed:

Human Ethics * **2**

For more information about the Human Research Ethics Committee [click here](#).


Does the research involve human participants, samples or data? *

Yes No

I confirm that the research will not commence without approval *

Yes Not required

If approval is required at proposal phase, please attach it here



- Select the relevant option to indicate whether the research involves human participants, samples or data
- Select the relevant option to indicate that the research will not commence without approval
- Attach the document that highlights if approval is required at the proposal or award phase.



Please note that the human ethics section is different across the three different types of forms.

Clinical Trials *

Please list study sites

Which phase is the clinical trial in? 3

Select clinical trial phase 4

Will UCT be required to act as a clinical trial sponsor? * 5

Yes No

[For information on sponsorship, click here](#)

Have protocol and budget made provision for post-trial care for participants who may benefit from interventions identified as beneficial in the trial? * 6

Yes No Not applicable

If No, please justify why this provision has not been made

Are there any other substantial potential health and safety risks associated with this research? * 7

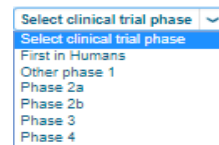
Yes No

If yes, please specify potential risks



Please note that the “Clinical trials” field is only available on the Standard Approval application form for clinical trials and preliminary approval and is not present in the other forms (non-clinical trials).

3. In the text box, list all the study sites that will be used during the clinical trials
4. Using the options in the drop down menu, indicate what phase the clinical trial is in:



5. Specify if UCT will be required to act as a clinical trial sponsor
6. Indicate if provision has been made for the protocol and budget for post-trial care for participants. If the selected option is no, provide a justification in the text box provided
7. Specify if there are any other substantial potential health and safety risks associated with the research. If the option selected is yes, specify the potential risks in the text box provided.

Animal Ethics * 8

For more information about the Animal Research Ethics Committee click [here](#).

Does the research involve animal experimentation? *

- Yes No

I confirm that the research will not commence without approval *

- Yes Not required

If approval is required at proposal phase, please attach it here



Biosafety * 9

For the forms and committee information that you will need for biosafety approval click [here](#).

Does research involve use of radio-isotopes or ionising radiation? *

- Yes No

Does research involve recombinant DNA technology or use of genetically modified organisms? *

- Yes No

I confirm that the research will not commence without approval *

- Yes Not required

If approval is required at proposal phase, attach it here



8. Under the Animal Ethics section:

- Select the relevant option to indicate whether the research involves animal experimentation.
- Select the relevant option to indicate that the research will not commence without approval
- Please attach the relevant document that shows approval is required at proposal phase.

9. Under the Biosafety section:

- Select the relevant option to indicate whether the use of radio-isotopes or ionising radiation will be used.
- Select the relevant option to indicate whether recombinant DNA technology or genetically modified organisms will be used
- Select the relevant option to indicate that the research will not commence without approval
- Please attach the relevant documentation that shows approval is required at proposal phase.



The folder icon allows you to browse your computer and upload additional documents.



Additional comments from Principal Investigator 10

Additional comments for Faculty reviewers/approvers, RC&I, or Central Research Office

Please add the Budget Reviewer assisting with your budget requirements * 11



Preliminary declaration by Principal Investigator * 12

By checking the box below, I declare that the information in this application is complete and accurate (prior to Financial Information being completed by the Financial Reviewer) *

Final declaration by Principal Investigator 13

By checking the box below, I declare that the information in this application is complete and accurate and ready for final review (after the first review by Financial Reviewer)

If PI decides to withdraw this application/contract, indicate that below 14

PI wishes to withdraw application/contract

Withdrawal comments

10. Additional comments for the UCT faculty, RC&I or central research office can be provided in the text box
11. The Budget Reviewer who has provided offline assistance to the PI and will complete the Financial Information tab, should be tagged in the space provided.
12. Tick the box to make the initial declaration that all information provided by the applicant is complete and accurate
13. Tick the box to make final declaration that all information provided by the applicant is complete and accurate
14. Tick the box to indicate if the PI wishes to withdraw the application and in the text box, provide any comments regarding the withdrawal if applicable.



The Preliminary declaration box must be checked before the application moves to the next level.



Please note that the Final declaration box is only checked after the application has been reviewed by the Budget Reviewer.



Please use the "Save" button to ensure that you do not lose the information. This will put the information in draft status for further updates at a later stage.

Once the applicant has completed as much detail as possible, click *Save & close*.



A small window will pop up for you to select the next applicable step in the process, in this case it will be the *Submitted to the Budget Reviewer*, then click *Done*. However, should the applicant not be done and would like to come back to the application at a later stage, select the *Draft Application* step.

Set status

Enter a comment about the status change (optional).

Draft application
Save the application in this status if you want to return to it and make edits before submission for review.

Submitted to Budget Reviewer
Select this status to send the application for review by the Budget Reviewer. Budget Reviewer will input financial information and send back to applicant for review (non financial information can still be edited).

Cancel **Done**

Budget Reviewer

Financial Information Tab

To review an application that has been sent to the budget reviewer step, log on to the eRA System. You will land on your dashboard which shows you a list of *Things To Do*. You can use this section to select the application to be reviewed or you can check the list of applications by using the left navigation bar and clicking on *Project Applications/Approval requests* under *Award Management* to view the list of standard approval requests.

The screenshot shows the eRA System dashboard for a Budget Reviewer. The top navigation bar includes links for Web of Science, InCites, Journal Citation Reports, Essential Science Indicators, and EndNote. The user is logged in as 'Budget Reviewer: UNIVERSITY OF CAPE TO...'. The left navigation menu has 'Project Applications/Approval Requests' selected under 'Award Management'. The main content area features a 'Things to do' section with '1 Research application(s) for review'. A specific application is listed: 'For Manual -DA (ERA00001347); Rybicki, Edward Peter - Dept. of Molecular & Cell Biology', last edited by Olufunmiola Ajumobi on 19/02/2019 at 12:08 PM. The 'Recently edited' section shows 'No recently edited items'.

Once the application to be reviewed opens up, navigate to the *Financial Information* tab to complete your review as shown in the following sections.

Key information *	Research Areas and Documents	Resourcing, Ethics & Biosafety *	Financial Information (completed by Finance staff)
<p>This section of the form is to be completed by the Faculty Finance Reviewer</p> <p>Who will own the intellectual property? 1</p> <input type="text"/> <p>If source funding is foreign, which exchange rate was used for budgeting? 2</p> <p>Please enter the rate as rands to foreign currency. Enter just the number, with no spaces, using a fullstop as a decimal place. Example: for ZAR 14.95 to USD 1, please enter 14.95</p> <input type="text"/> <p>What is the costing status of this project? 3</p> <p>The IPR-PFRD Act requires that contracts be fully costed if intellectual property will not be held by UCT</p> <p>Select Costing <input type="text"/></p> <p>Cost Recovery</p> <p>Were any cost recovery waivers or reductions granted by UCT? 4</p> <p><input type="radio"/> Yes <input type="radio"/> No</p> <p>Comments about cost recovery 5</p> <input type="text"/> <p>Attach waivers or related documents here 6</p> <input type="button" value="📎"/>			



Please ensure that all financial information is completed.

1. In the text box, indicate who will own the intellectual property
2. Should the source of funding be foreign please specify the exchange rate used for budgeting
3. Indicate the costing status of the project
4. Indicate if any cost recovery waivers or reductions have been granted by UCT
5. Provide any comments about the cost recovery in the text box
6. Attach the documents related to the waivers or reductions

GOB salary recovery as per costing template **7**

This is the recovery if the grant were fully costed

	Budget year	Percentage
Year one	<input type="text"/>	<input type="text"/>
Year two	<input type="text"/>	<input type="text"/>
Year three	<input type="text"/>	<input type="text"/>
Year four	<input type="text"/>	<input type="text"/>
Year five	<input type="text"/>	<input type="text"/>
Year six	<input type="text"/>	<input type="text"/>
Year seven	<input type="text"/>	<input type="text"/>

Indirect Cost recovery **8**

	Indirect Cost Recovery Rate Percentage	Indirect Cost Recovery Rate Amount (ZAR)
Contracted indirect cost recovery amount	<input type="text"/>	<input type="text"/>
UCT defined Indirect Cost Recovery, as per UCT's costing template	<input type="text"/>	<input type="text"/>

Comments by Faculty Finance Reviewer relating to indirect costs

Please attach supporting documents here



7. In the GOB Salary recovery section, indicate the budget year, the percentage applicable per budget year
8. In the Indirect Cost recovery section, indicate the recovery rate percentage and the cost recovery amount for the contracted aspect and the UCT defined aspect
9. The faculty Budget reviewer can include comments here relating to indirect costs
10. Supporting documents can be attached here

Total requested funding

Total requested funding for this proposal (including indirect costs where applicable). **11**

Total requested funding in funder's currency (if applicable) **12**

Rand amount for entire project duration (ZAR)

From all funding sources including indirect cost where applicable **13**

Full Cost

UCT-calculated full cost as per UCT's costing template (ZAR) **14**

To download the UCT costing template please click [here](#)

Please attach the completed UCT costing template, as per the policy **15**



11. Indicate the total requested funding for this proposal application
12. Indicate the total requested funding in the funder's currency (if applicable).
13. Specify the rand amount for the entire project duration
14. Indicate the UCT-calculated full cost as per UCT's costing template
15. Attach the completed UCT costing template

Finance: Forex

Currency of the funder

Select currency

16

If funding is foreign, have the risks and implications been discussed by PI and Finance Reviewer?

- Yes No Not applicable

17

If funding is foreign, how will exchange rate fluctuation risk be managed?

E.g. use of conservative exchange rate, currency fluctuation control account (CFC), forward cover

18

Finance: Other

Is this application for over R10 million?

- Yes No

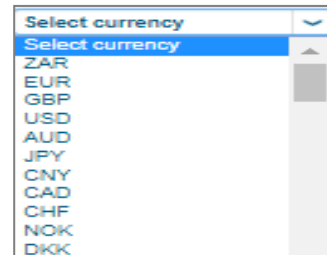
19

Will UCT make and manage a sub-award to another institution?

- Yes No

20

16. Select the appropriate currency of the funder using the options in the drop down menu



17. Indicate if the risks and implications have been discussed with the PI and budget reviewer if funding is foreign

18. If funding is foreign, specify how exchange rate fluctuation risks will be managed in the text box

19. Indicate if the application is over R10 million

20. Indicate if UCT will make and manage a sub-award to another institution.

Person Effort Tab

In the next step, the Budget Reviewer will navigate to the *Person Effort* tab to review the information in the respective fields which have pulled through from the *Key Information* tab. The Budget Reviewer will also complete the information in the other fields that does not get pulled from the *Key Information* tab in the section below:

Key Information *	Research Related Information	Resourcing, Ethics & Biosafety *	Person Effort ▼																																																	
<p>This section of the form is to be completed by the Budget Reviewer</p> <p>UCT Principal Investigator Effort 1</p> <table border="1"> <thead> <tr> <th></th> <th>Name</th> <th>Calendar year</th> <th>% Effort</th> <th>Person months</th> <th>Salary source</th> <th></th> </tr> </thead> <tbody> <tr> <td>1 ▼</td> <td>Bond, James</td> <td></td> <td></td> <td>0.00 0.00 0.00 0.00 0.00 0.00</td> <td></td> <td></td> </tr> </tbody> </table> <p>UCT Co-PI or Co-Investigator Effort 2</p> <table border="1"> <thead> <tr> <th></th> <th>Name</th> <th>Calendar year</th> <th>% Effort</th> <th>Person months</th> <th>Salary source</th> <th></th> </tr> </thead> <tbody> <tr> <td>1 ▼</td> <td>Everdeen, Katniss</td> <td></td> <td></td> <td>0.00 0.00 0.00 0.00 0.00 0.00</td> <td></td> <td></td> </tr> </tbody> </table> <p>Other Project Staff Effort 3</p> <table border="1"> <thead> <tr> <th></th> <th>Name</th> <th>Calendar year</th> <th>% Effort</th> <th>Person months</th> <th>Salary source</th> <th></th> </tr> </thead> <tbody> <tr> <td>1 ▼</td> <td>Jones, Indiana</td> <td></td> <td></td> <td>0.00 0.00 0.00 0.00 0.00 0.00</td> <td></td> <td>4 </td> </tr> <tr> <td>2 ▼</td> <td>Gale, Dorothy</td> <td></td> <td></td> <td>0.00 0.00 0.00 0.00 0.00 0.00</td> <td></td> <td></td> </tr> </tbody> </table>					Name	Calendar year	% Effort	Person months	Salary source		1 ▼	Bond, James			0.00 0.00 0.00 0.00 0.00 0.00				Name	Calendar year	% Effort	Person months	Salary source		1 ▼	Everdeen, Katniss			0.00 0.00 0.00 0.00 0.00 0.00				Name	Calendar year	% Effort	Person months	Salary source		1 ▼	Jones, Indiana			0.00 0.00 0.00 0.00 0.00 0.00		4	2 ▼	Gale, Dorothy			0.00 0.00 0.00 0.00 0.00 0.00		
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2 ▼	Gale, Dorothy			0.00 0.00 0.00 0.00 0.00 0.00																																																



Please ensure that all Person Effort information is completed and corresponds with the information in the budget and Key Information tab.




Calendar Year refers to the year in which the project gets initiated and will be running from until its completion. The effort and time commitment for all the years will have to reflect the effort that will be dedicated from its initiation until its completion.

1. Displays the Name, Calendar year, percentage Effort, Person months and Salary source of the PI for the project
2. Displays the Name, Calendar year, percentage Effort, Person months and Salary source of the Co-PI or Co-Investigator for the project
3. Displays the Name, Calendar year, percentage Effort, Person months and Salary source of the other Project Staff (i.e. project manager or field worker), Supervisor, UCT Sponsor, Postdoctoral Fellow or Postgraduate Student (MSc/PhD) for the project
4. The Budget Reviewer should select the pencil icon to open the Person Effort form for a project team member in order to edit the fields where Person Effort information or updates are required

Person Effort **Related Information**

Related Approval 5

Cloned form - Lockdown Impact on Mental Health ERA00007994 Submitted to Budget Reviewer 

Person Effort

- Capture the calendar year/s as per costing template
- Effort % in percentage format not exceeding 100
- Person months are automatically calculated when you save or save and close on the main form based on your effort %
- Please enter the salary source for the time the staff member is committing to this specific project (e.g. for a 10% time commitment, indicate where the salary for that time commitment is coming from). Definitions for salary sources can be found [here](#).

	Calendar year 6	% Effort 7	Person months 8	Salary source 9
Year one	2022	20.00	0.00	Project funded
Year two	2023	30.00	0.00	GOB salary
Year three	2024	30.00	0.00	Other salary source
Year four	2025	80.00	0.00	Project funded
Year five			0.00	Select Project support
Year six			0.00	Select Project support
Year seven			0.00	Select Project support

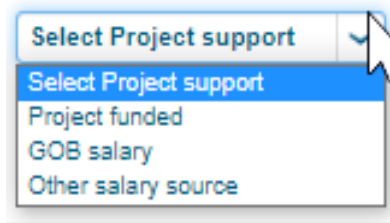


The Related Information tab in the Person Effort form can be selected to view the name and role of the project team member for which the information is being completed



The maximum value that can be added in the % Effort field is 100

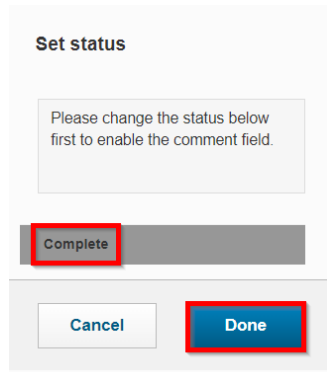

5. This shows the main project application related to the specific Person Effort form. This section requires no actioning from any of the roles but selecting the pencil icon will navigate you back to the project application
6. Allows you to add each of the years for which the project will be running
7. Allows you to add the annual percentage of effort that the team member will commit to the project for that particular year
8. Indicates the monthly percentage of effort that the team member will commit to the project for that particular year. This field will be auto-calculated upon selecting the *Save* button in the project application form.
9. Allows you to select the source/type of compensation or acknowledgement from the drop-down menu that the team member will receive for effort committed to the project.



Once all the details are completed, select the *Done* button



When the small window pops up, select the *Complete* status option and select the *Done* button to save the details.

It is mandatory to **select the "Save" button on the main project application** in order for the Person Months fields of the Person Effort form to auto-populate.

When the Person Effort forms is fully completed and saved, the data will display in the application form as below:

Key Information *	Research Related Information	Resourcing, Ethics & Biosafety *	Person Effort ▾
-------------------	------------------------------	----------------------------------	-----------------

This section of the form is to be completed by the Budget Reviewer

UCT Principal Investigator Effort


	Name	Calendar year	% Effort	Person months	Salary source	
1 ▾	Bond, James	2022	20.00	2.40	Project funded	
		2023	30.00	3.60	GOB salary	
		2024	30.00	3.60	Other salary source	
		2025	80.00	9.60	Project funded	
				0.00		
			0.00			
			0.00			

UCT Co-PI or Co-Investigator Effort

	Name	Calendar year	% Effort	Person months	Salary source	
1 ▾	Everdeen, Katniss	2022	20.00	2.40	Project funded	
		2023	20.00	2.40	GOB salary	
		2024	30.00	3.60	Other salary source	
		2025	50.00	6.00	Project funded	
				0.00		
			0.00			
			0.00			

Other Project Staff Effort

	Name	Calendar year	% Effort	Person months	Salary source	
1 ▾	Jones, Indiana	2022	20.00	2.40	Project funded	
		2023	30.00	3.60	GOB salary	
		2024	20.00	2.40	Other salary source	
		2025	30.00	3.60	Project funded	
				0.00		
			0.00			
			0.00			
2 ▾	Gale, Dorothy	2022	30.00	3.60	Project funded	
		2023	30.00	3.60	GOB salary	
		2024	20.00	2.40	Other salary source	
		2025	50.00	6.00	Project funded	
				0.00		
			0.00			
			0.00			



The ordering arrow ▾ next to the number of a Person Effort entry can be used to reorder the entries where there are 2 or more entries in a section of the Person Effort form

Person effort comments by Budget Reviewer 10

The Person Effort information aligns with the budget details

10. The Budget Reviewer can add comments relating to the Person Effort details

When all the details in the Person Effort tab are reviewed and updated, proceed to the *Approval and Outcome* tab.

As the final step of the Budget Reviewer's review process, navigate to the *Approval and Outcome* tab, to complete the *Approval by Budget Reviewer* section as indicated below:

The screenshot shows the 'Approval and Outcome' tab selected. The 'Approval by Budget Reviewer' section includes a dropdown menu for 'Select approval' (callout 1), a text area for 'Notes by Budget Reviewer' (callout 2), and a field for selecting a 'Finance Approver' (callout 3).



Select Finance Approver - The Budget Reviewer uses this field to tag themselves or a separate Finance Approver to an application. When the application is assigned to them, they know which PI/Applicant they have been dealing with. They can use this field to filter all the applications on their name.

Once the budget reviewer has completed the review, click *Save & close*.

The buttons are 'Cancel', 'Save', and 'Save & close'. The 'Save & close' button is highlighted with a red box.

A small window will pop up for you to select the next applicable step in the process, in this case it will be the *Returned for clarification* step, then click *Done*. This will return the application to the researcher for them to confirm the financial details and complete their final declaration. However, should you want to keep the application on the current step to come back to it at a later stage to complete your review, then select the *Submitted to Budget Reviewer* step.

Set status

Enter a comment about the status change (optional).

Returned to applicant for clarification
Please check the status log for comments regarding necessary edits.

Submitted to Budget Reviewer
Select this status to send the application for review by the Budget Reviewer. Budget Reviewer will input financial information and send back to applicant for review (non financial information can still be edited).

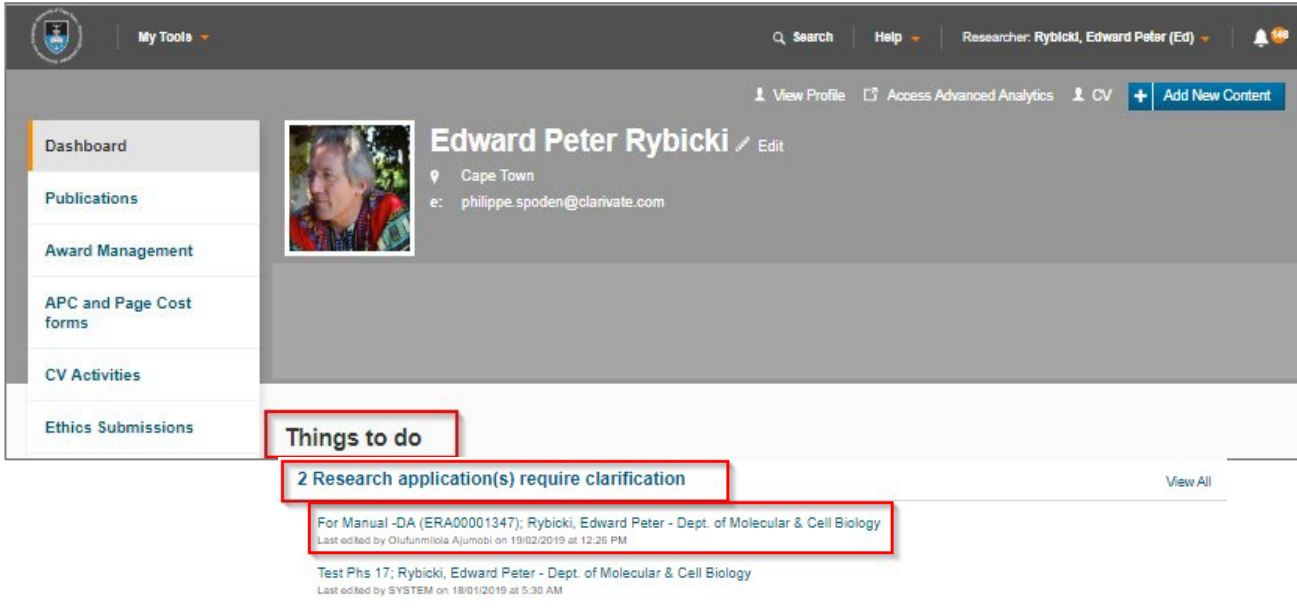
Cancel **Done**



Returned for clarification – This step is selected so that that the application can be returned to the PI/Applicant for them to check the completed financial details as well as make the final declaration that confirms the application is complete and accurate.

Researcher

Once an application has been sent to the researcher after the budget reviewer has completed their review and added the necessary financial details for the application, the researcher has to make a final declaration. It is the PI/Applicant's responsibility to confirm that all the information is accurate and make a final declaration to this effect. To access the application that has been reviewed, the researcher/applicant has to log on to the eRA System. You will land on your dashboard (ensure you are on the researcher role) and on your dashboard, check the list of *Things To Do*. You can use the *Things To Do* section to select the application to be reviewed or you can check the list of applications by using the left navigation bar and clicking on *Project Applications/Approval requests* under *Award Management* to view your list of applications. Select the respective application to open the application.



The screenshot displays the eRA System dashboard for researcher Edward Peter Rybicki. The dashboard includes a navigation menu on the left with options like Dashboard, Publications, Award Management, APC and Page Cost forms, CV Activities, and Ethics Submissions. The main content area shows the researcher's profile, location (Cape Town), and email (philippe.spoden@clarivate.com). Below the profile, there is a 'Things to do' section with a red box highlighting '2 Research application(s) require clarification'. A 'View All' link is also present. The first application listed is 'For Manual -DA (ERA00001347); Rybicki, Edward Peter - Dept. of Molecular & Cell Biology', last edited by Olufunmilola Ajumobi on 19/02/2019 at 12:26 PM. The second application is 'Test Phs 17; Rybicki, Edward Peter - Dept. of Molecular & Cell Biology', last edited by SYSTEM on 18/01/2019 at 5:30 AM.

Once the application is opened, navigate to the *Financial Information* tab to review the financial details. Once this is reviewed and you are satisfied with the details, navigate to the *Resourcing, Ethics & Biosafety* tab and tick the box under the Final declaration section at the bottom of the form. You may also withdraw the application, providing reasons for withdrawal in the comments section.

Key Information *	Research Related Information	Resourcing, Ethics & Biosafety *	More ▾
-------------------	------------------------------	---------------------------------------------	--------

Final declaration by Principal Investigator

By checking the box below, I declare that the information in this application is complete and accurate and ready for final review (after the first review by the Budget Reviewer)

If PI decides to withdraw this application/contract, indicate that below

PI wishes to withdraw application/contract

Withdrawal comments



Final declaration by Applicant checkbox – The applicant confirms that all the financial information agreed upon with the Budget Reviewer is correct.

Once the applicant is done with the financial review, click *Save & close*.

Cancel	Save	Save & close
--------	------	-------------------------

A small window will pop up for you to select the next applicable step in the process. Should you be fine with the financial details as is, select the *Submitted to Finance Approver* step. Should you have financial information you would like clarified or edited, select the *Submitted to Budget Reviewer* step. However, should you want to keep the application on the current step to come back to it at a later stage to complete your review, then select the *Returned for clarification* step, and click *Done*.

Set status

Enter a comment about the status change (optional).

Please check the status log for comments regarding necessary edits.

Submitted to Budget Reviewer

Select this status to send the application for review by the Budget Reviewer. Budget Reviewer will input financial information and send back to applicant for review (non financial information can still be edited).

Submitted to Finance Approver

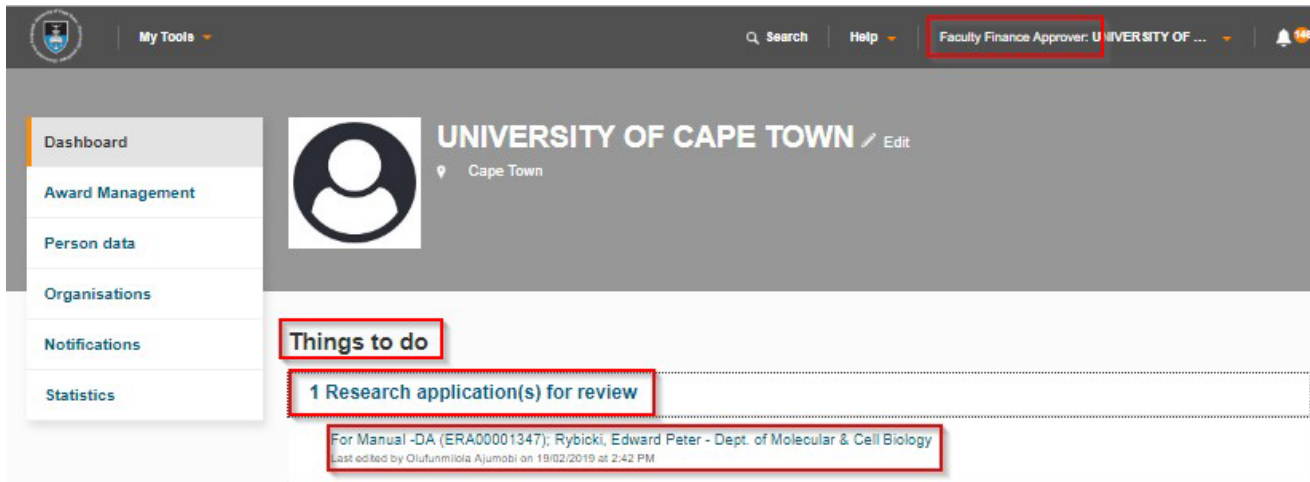
Select this status to send application to be reviewed by the Finance Approver. Application will no longer be editable by the applicant.

Cancel

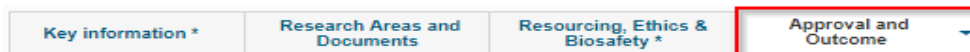
Done

Finance Approver

To review an application that has been sent to the finance approver step, the finance approver has to log on to the eRA System. You will land on your dashboard which shows you a list of *Things To Do* (ensure you are on the finance approver role). You can use this section to select the application to be reviewed or you can check the list of applications by using the left navigation bar and clicking on *Project Applications/Approval requests* under *Award Management* to view the list of standard approval requests.



Once the application is opened, navigate through the different tabs to view the application information. Once the information has been checked, navigate to the Approval and Outcome tab. Under the Approval by finance approver section, complete the provided fields as indicated below and make sure you assign all the possible *Final Faculty Approvers* to approve the application (3):



Finance Approver – Confirms that the financial information from the Budget Reviewer is correct and has the ability to edit the information.



Please make sure you select all possible final faculty approvers to the field marked with '3', in accordance to the business process in your faculty

Approval by Finance Approver *

Recommendation by Finance Approver *

1

Notes by Faculty Finance Approver

2

Please select ALL possible Final Faculty Approvers to approve the application

3



Once the finance approver has completed the review, click *Save & close*.

A small window will pop up for you to select the next applicable step in the process. Should you be fine with the financial details as is and no corrections are needed by the budget reviewer, select the *Submitted to Dean/Deputy Dean for review* step. Should you have financial information you would like clarified or edited, select the *Submitted to Budget Reviewer* step. However, should you want to keep the application on the current step to come back to it at a later stage to complete your review, then select the the *Submitted to Finance Approver* step, and click *Done*.

Set status

Enter a comment about the status change (optional).

Submitted to Budget Reviewer
Select this status to send the application for review by the Budget Reviewer. Budget Reviewer will input financial information and send back to applicant for review (non financial information can still be edited).

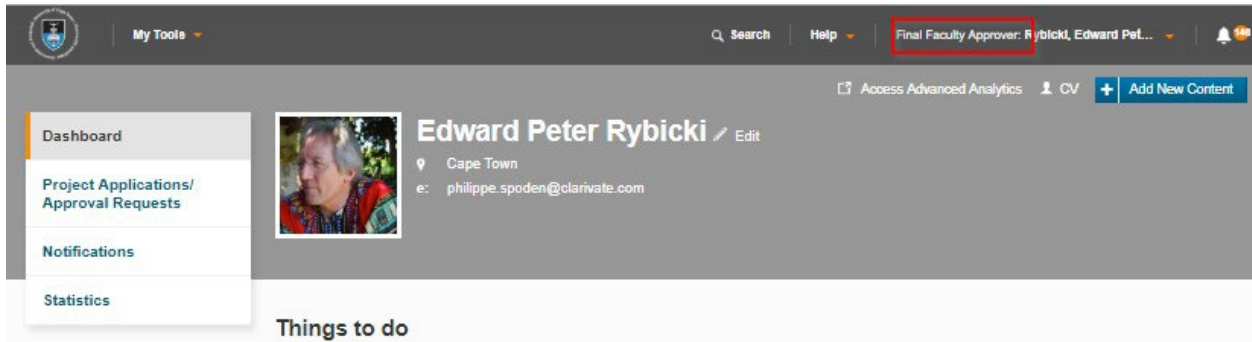
Submitted to Finance Approver
Select this status to send application to be reviewed by the Finance Approver. Application will no longer be editable by the applicant.

Submitted to Dean/Deputy Dean/Final Faculty Approver
Select this status to send to the Dean, Deputy Dean, or their appropriate designee for review. Application will no longer be editable by applicant or previous reviewer.

Cancel **Done**

Final Faculty Approver

To review an application that has been sent to the final faculty approver step, the final faculty approver has to log on to the eRA System. You will land on your dashboard which shows you a list of *Things To Do* (ensure you are on the final faculty approver role). You can use the *Things To Do* section to select the application to be reviewed or you can check the list of applications by using the left navigation bar and clicking on *Project Applications/Approval requests* under *Award Management* to view the list of standard approval requests.



Dean - The dean designate or Final Faculty Approver plays this role.

Once the application is opened, navigate through the different tabs to view the application information. Once the information has been checked, navigate to the Approval and Outcome tab. Under the Approval by final faculty approver section, complete the provided fields as indicated below:

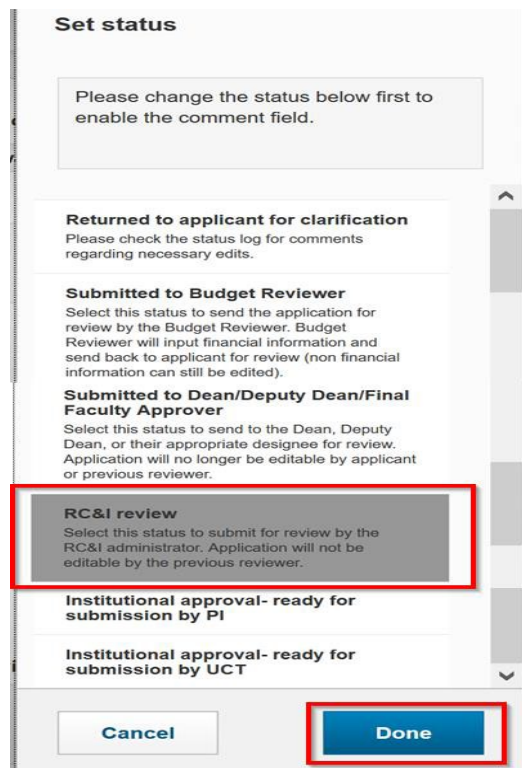
A screenshot of the 'Approval and Outcome' tab in the eRA System. The tab is highlighted with a red box. Below the tabs, there is a section titled 'Approval by Final Faculty Approver e.g Deputy Dean Research *'. It contains a dropdown menu for 'Type of approval required *' with 'Proposal approval' selected (highlighted with a red box). Below that is a section 'Approved by Final Faculty Approver *' with a note 'The resource requirements and associated risks of the application or award are acceptable.' and a dropdown menu for 'Select yes or no' with 'Yes' selected (highlighted with a red box). At the bottom is a text area for 'Final Faculty Approver comments'.

Please make sure you select whether the approval is a proposal approval or a contract approval

Once the final faculty approver has completed the review, click *Save & close*.

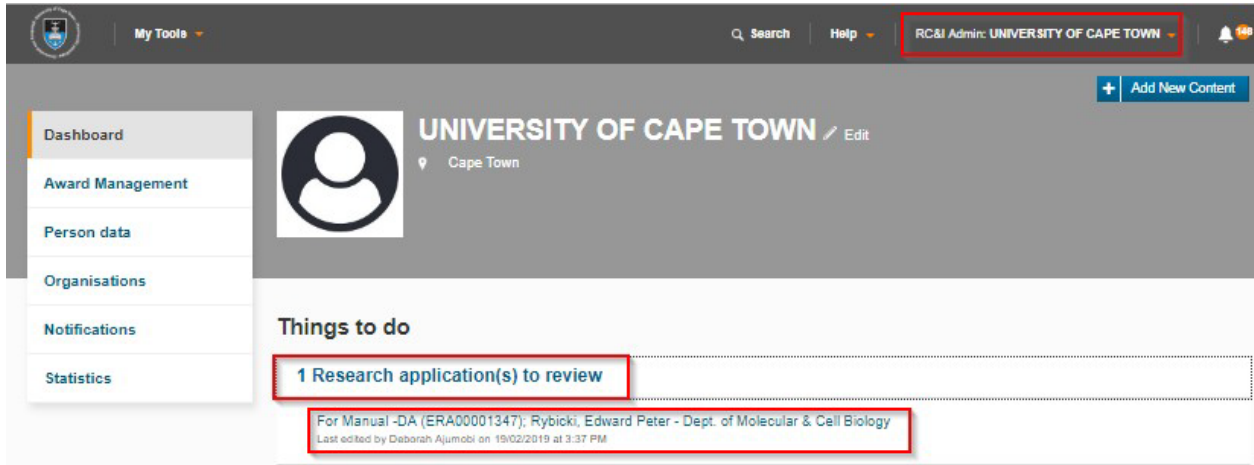


A small window will pop up for you to select the next applicable step in the process. Should you be fine with your review, select the *RC&I Review* to push the application to the next step. Should you have financial information you would like clarified or edited, select the *Submitted to Budget Reviewer* step. In a case where a direct institutional approval is required, select *Institutional approval – ready for submission by UCT*. Should you need clarification from the applicant, select *Returned to applicant for clarification* step. However, should you want to keep the application on the current step to come back to it at a later stage to complete your review, then select the the *Submitted to Dean/Deputy Dean for review step*, and click *Done*.



RC&I Admin

To review an application that has been sent to the *RC&I Review* step, the *RC&I Admin* has to log on to the eRA System. You will land on your dashboard which shows you a list of *Things To Do* (ensure you are on the *RC&I Admin* role). You can use the *Things To Do* section to select the application to be reviewed or you can check the list of applications by using the left navigation bar and clicking on *Project Applications/Approval requests* under *Award Management* to view the list of standard approval requests.



The screenshot shows the eRA System dashboard for an RC&I Admin user. The user is logged in as 'UNIVERSITY OF CAPE TOWN' from 'Cape Town'. The dashboard features a left navigation bar with options: Dashboard, Award Management, Person data, Organisations, Notifications, and Statistics. The main content area displays 'Things to do' with a red-bordered box around the text '1 Research application(s) to review'. Below this, a red-bordered box highlights the application details: 'For Manual -DA (ERA00001347); Rybicki, Edward Peter - Dept. of Molecular & Cell Biology'. A smaller red-bordered box below that indicates 'Last edited by Deborah Ajumobi on 19/02/2019 at 3:37 PM'. The top right of the dashboard shows 'RC&I Admin: UNIVERSITY OF CAPE TOWN' and a notification icon.



RC&I Admin distributes applications among the Contracts Managers for review.

Once the application is opened, navigate through the different tabs to view the application information. Once the information has been checked, navigate to the Approval and Outcome tab. Under the RC&I admin section, assign the respective contracts manager to the application by using the plus sign and search functionality:

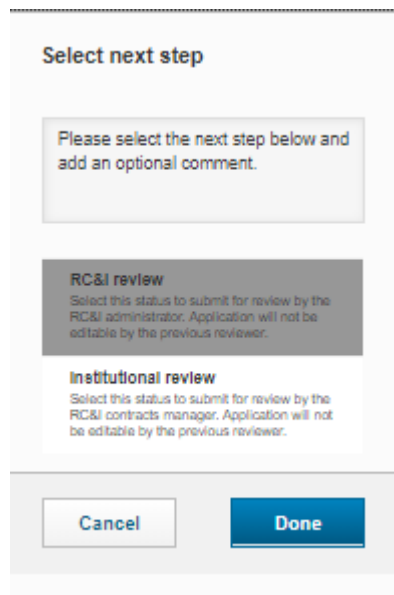


The screenshot shows the application information tabs. The 'Approval and Outcome' tab is selected and highlighted with a red border. Below the tabs, a text box contains the instruction: 'If applicable, RC&I admin, please assign this application to a contracts manager for their attention'. A plus sign icon is visible in the bottom left corner of the text box.

Once the contracts manager has been assigned, click *Save & close*.



A small window will pop up for you to select the next applicable step in the process. Should you be fine with the assignment, select the *Institutional review* step. However, should you want to keep the application on the current step to come back to it at a later stage, then select the the *RC&I review* step, and click *Done*.



RC&I Contracts Manager

To review an application that has been sent to the *Institutional Review* step, the *RC&I Contracts Manager* assigned to the application has to log on to the eRA System. You will land on your dashboard which shows you a list of *Things To Do* (ensure you are on the *RC&I Contracts manager* role). You can use the *Things To Do* section to select the application to be reviewed or you can check the list of applications by using the left navigation bar and clicking on *Project Applications/Approval requests* under *Award Management* to view the list of standard approval applications.

The screenshot displays the eRA System dashboard for a user at the University of Cape Town. The user's profile is visible, including their name and location. The dashboard features a 'Things to do' section, which is highlighted with a red box. Below this section, a red box highlights the text '1 Research application(s) for review'. A third red box highlights the details of the application: 'For Manual -DA (ERA00001347); Rybicki, Edward Peter - Last edited by Olufunmilola Ajumobi on 19/02/2019 at 4:30 PM'. The top navigation bar includes 'My Tools', 'Search', 'Help', and 'RC&I Contracts Manager: UNIVERSITY OF C...'. The left navigation bar includes 'Dashboard', 'Award Management', 'Person data', 'Organisations', 'Notifications', and 'Statistics'.

Once the application is opened, navigate through the different tabs to view the application information. Once the information has been checked, navigate to the Approval and Outcome tab. Under the RC&I section, complete the provided fields as indicated below:

Key information * Research Areas and Documents Resourcing, Ethics & Biosafety * **Approval and Outcome**

If applicable, RC&I admin, please assign this application to a contracts manager for their attention

Rybicki, Edward Peter (Ed) - Professor - Dept. of Molecular & Cell Biology (Active)

+

Approval by RC&I Contracts Manager

Select proposal approval 1

If RC&I contracts manager must return a signed application to the PI, please attach it here

2

Notes for PI and/or Final Faculty Approver by Contracts Manager

3

Once the contracts manager has completed his/her review, click *Save & close*.

Cancel Save **Save & close**

A small window will pop up for you to select the next applicable step in the process. Should you be fine with your review, select the next appropriate step which could either be *Institutional approval – ready for submission by PI* or *Institutional approval – ready for submission by UCT*. In a case where the application has already been sent to the external funders, select *Submitted*. However, should you want to keep the application on the current step to come back to it at a later stage, then select the the *Institutional review* step, and click *Done*.

Select next step

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

Institutional review
Select this status to submit for review by the RCSI contracts manager. Application will not be editable by the previous reviewer.

Institutional approval- ready for submission by PI

Institutional approval- ready for submission by UCT

Submitted
Select this status to confirm application has been submitted to the funder independently via their process.

Cancel Done

Further action by the Contracts Manager or PI after submission has been made to the external funder

Once the PI or assigned contracts manager has made submission to the external funder, either the contracts manager or PI, has to push the application to the *Submitted* step. To action this, either persons has to log on to the eRA System and ensure they are on the right role.

For the PI, on the dashboard, under *Things To Do*, select the respective application.

Search Help Researcher: Rybicki, Edward Peter (Ed) 149

View Profile Access Advanced Analytics CV Add New Content

Edward Peter Rybicki Edit
Cape Town
e: philippe.spoden@clarivate.com

Things to do

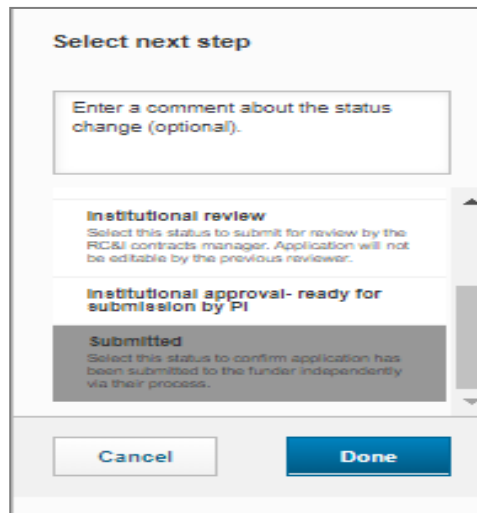
1 Research application(s) ready for submission to funders View All

For Manual -DA (ERA00001347): Rybicki, Edward Peter - Dept. of Molecular & Cell Biology
Last edited by Olufunmiola Ajumobi on 19/02/2019 at 4:48 PM

Once the application is opened click *Save & close*.



A small window will pop up for you to select the next applicable step in the process. Select the *Submitted* step, and click *Done*.



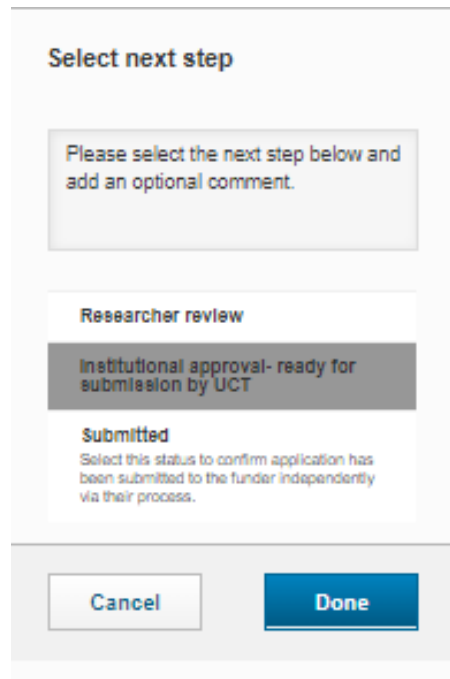
For the **Contracts Manager**, on the dashboard, under *Things To Do*, select the respective application.



Once the application is opened click *Save & close*.



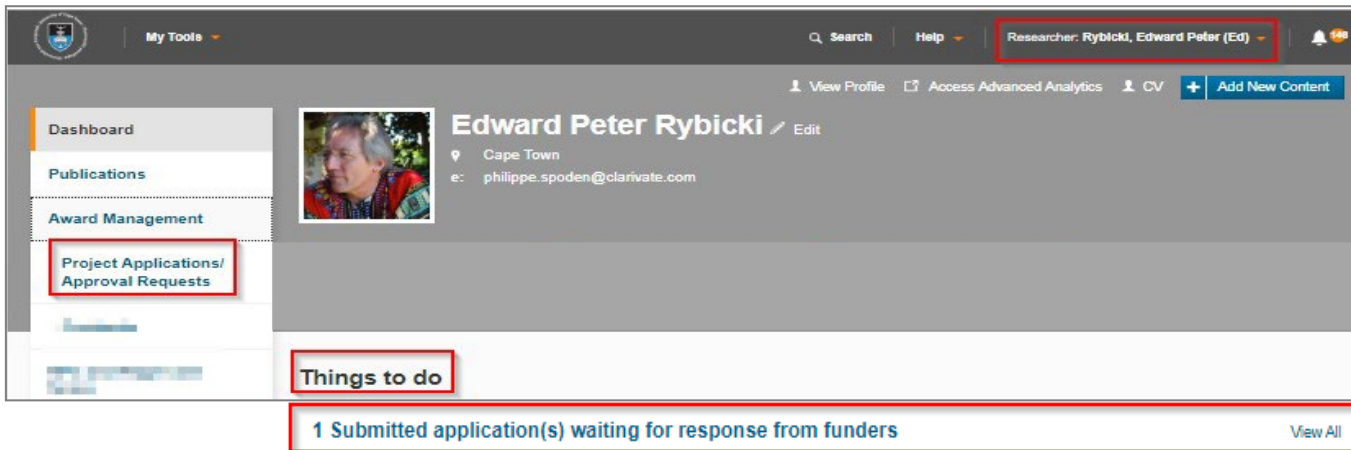
A small window will pop up for you to select the next applicable step in the process. Select the *Submitted* step to push the application forward to the next step. Should you require further information or input from the researcher/applicant, select the *Researcher Review* step. However, should you want to keep the application on the current step to come back to it at a later stage, then select the *Institutional review or Institutional approval – ready for submission by UCT* step and click *Done*.



Recording the final outcome of the application

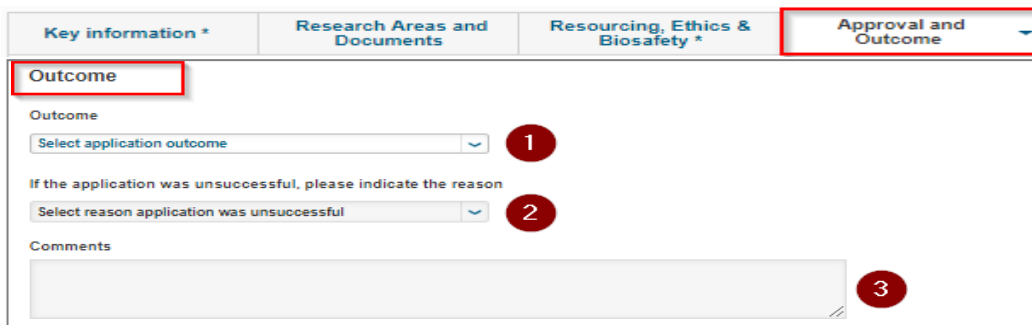
Once an application has gone through the various stages of the process and feedback has been received from the external funder (if applicable), the PI or Contracts manager gets to record the outcome of the application. The steps for each role are discussed below.

For the PI, ensure you are logged on to eRA and on the researcher role. On the dashboard, under *Things To Do*, select the respective application. You can also access the application by using the left navigation bar and clicking on *Project Applications/Approval requests* under *Award Management* to view the list of applications you have.



The screenshot shows the eRA dashboard for Edward Peter Rybicki. The user is logged in as a Researcher. The dashboard includes a navigation menu on the left with 'Project Applications/Approval Requests' highlighted. The main content area shows the user's profile and a 'Things to do' section with a notification: '1 Submitted application(s) waiting for response from funders'.

Once the application is opened, navigate through the different tabs to the Approval and Outcome tab. Under the *Outcome* section, complete the provided fields as indicated below:

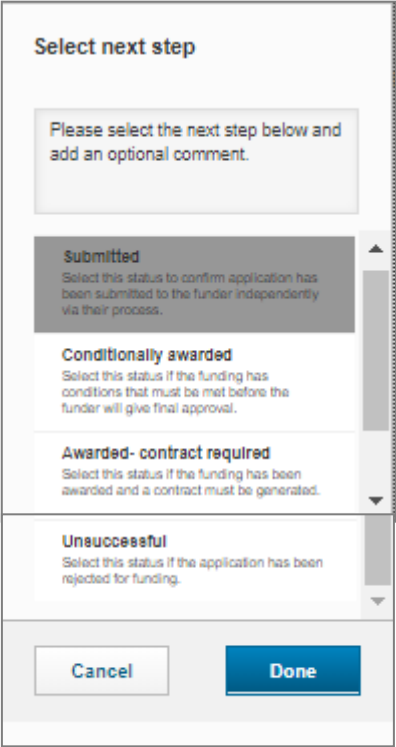


The screenshot shows the 'Approval and Outcome' tab in the eRA system. The 'Outcome' section is highlighted, and three numbered red circles indicate the fields to be completed: 1. 'Select application outcome', 2. 'Select reason application was unsuccessful', and 3. 'Comments'.

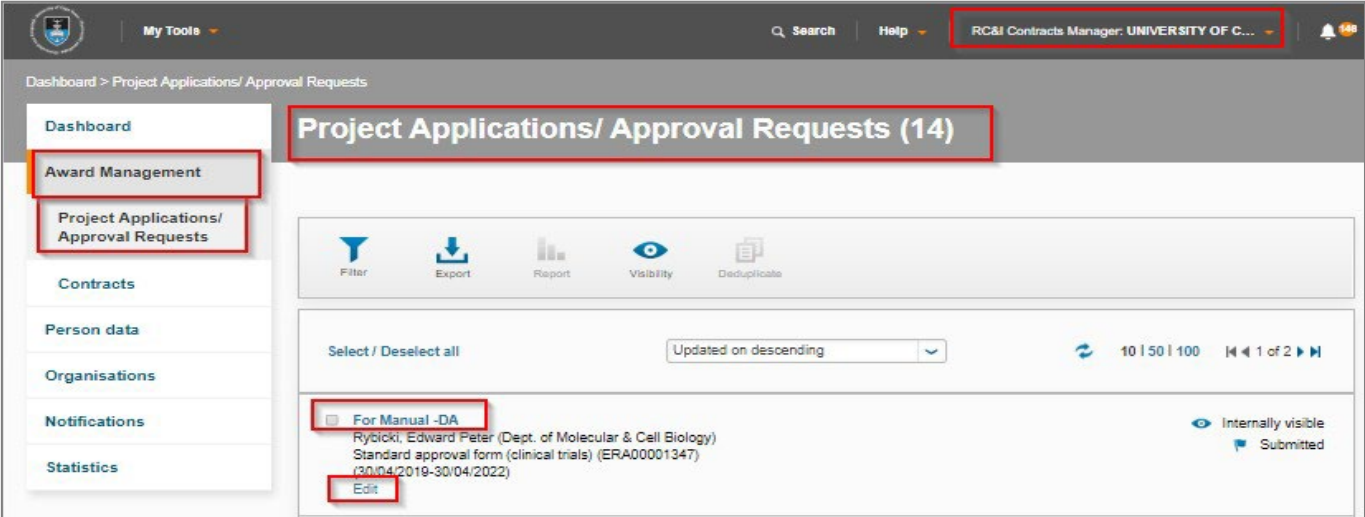
Once the outcome of the application has been recorded, click *Save & close*.



A small window will pop up for you to select the next applicable step in the process. Select the workflow step that corresponds to the outcome that has been specified on the application, it could be *Conditionally awarded*, *Awarded – contract required*, or *Unsuccessful*, and click *Done*.



For the Contracts Manager, ensure you are logged on to eRA and on the RC&I Contracts Manager role. You can access the application by using the left navigation bar and clicking on *Project Applications/Approval requests* under *Award Management* to view the list of applications. Once you find, the application you want to work on, click on the edit button. This will open up the application.



Once the application is opened, navigate through the different tabs to the Approval and Outcome tab. Under the *Outcome* section, complete the provided fields as indicated below:

Key information * Research Areas and Documents Resourcing, Ethics & Biosafety * **Approval and Outcome**

Outcome

Outcome
Select application outcome 1

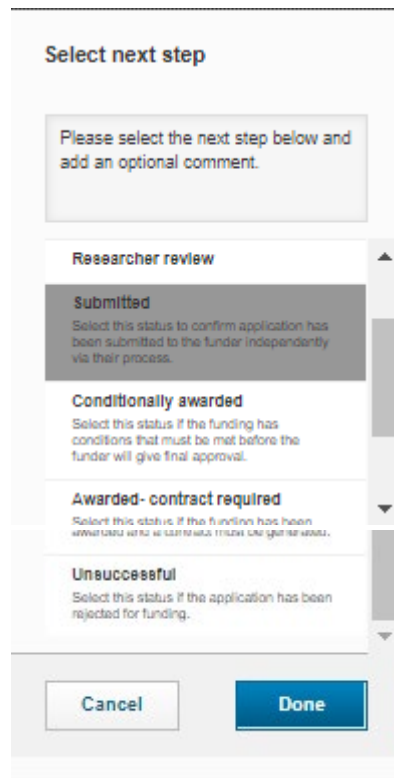
If the application was unsuccessful, please indicate the reason
Select reason application was unsuccessful 2

Comments 3

Once the outcome of the application has been recorded, click *Save & close*.



A small window will pop up for you to select the next applicable step in the process. Select the workflow step that corresponds to the outcome that has been specified on the application, it could be *Conditionally awarded*, *Awarded – contract required*, or *Unsuccessful*. Should you wish to send it back to the PI for any information, select *Returned to applicant for clarification*, and click *Done*.



Selecting the “Awarded-
contract required” step
automatically creates a new
contract request in the contracts
module.

Viewing Status Log

When the application passes through various steps of the workflow process, interactions/communication can be recorded in the notes section of the workflow pop-up. These comments and project application activity are recorded in the status log.

Status Log

07/05/2017 | 16:21:57 || Mtshengu, Christian | 01416666 | RCIPS Admin
Institutional review
RC&I review
"Reviewed relevant information"

07/05/2017 | 16:19:34 || Mtshengu, Christian | 01416666 | Final Faculty Approver
RC&I review
Submitted to Dean/Deputy Dean for review
"Draft a contract"

07/05/2017 | 16:17:14 || Mtshengu, Christian | 01416666 | Faculty Finance Approver
Submitted to Dean/Deputy Dean for review
Submitted to Faculty Finance Approver
"Rand / Dollar exchange rate acceptable"

07/05/2017 | 16:15:33 || Mtshengu, Christian | 01416666 | Researcher
Submitted to Faculty Finance Approver
Returned for clarification
"Exchange rate accounted for."



Status logs information comes from the "Select next step" comment box.

To access the status log, click on the down arrow next to Admin Info on the top bar beneath the application title. From the drop-down list, select *Status Log*. This will open up the status log as displayed above. To return to the form, click *Back*.

For Manual -DA (ERA00001347); Rybicki, Edward Peter - Dept. of Molecular & Cell Biology

Internally visible Submitted Admin Info

Status Log

Search and Filter Project Applications/Approval Requests

1. You may want to find specific project/approval requests meeting a specific criteria. To do this, you will need to use the filter function. Using the Navigation pane on the left, go to Award Management and Project Applications/Approval Requests to open the edit view.

The screenshot shows the 'Project Applications/ Approval Requests (166)' page. On the left is a navigation pane with a 'Dashboard' section containing 'Award Management' (1), 'Project Applications/ Approval Requests' (2), 'Contracts', 'Progress steps', 'Person data', 'Organisations', 'Research Areas', 'Notifications', and 'Statistics'. The main content area has a toolbar with 'Filter' (3), 'Export', 'Report', and 'Deduplicate' buttons. Below the toolbar is a list of project entries. The first entry is 'This is a test for Shaahid Champion' with PI: Abrahams, Melissa, and the second is 'Testing save as for DA' with PI: Mkozi, Zikhona Shallort. Each entry includes details like 'Primary Funder', 'Proposal approval (non-clinical trials)', and dates. Visibility settings like 'Not publicly visible', 'Not internally visible', and 'Institutional review' are also shown.

3. Click the filter button
4. Use the drop down arrows to select attributes to specify your filter criteria.

Project Applications/ Approval Requests (166)

Filter Export Report Deduplicate

Switch to query mode

Project Application/ Approv **4** Type of project application **5** equals **6** Other funding schemes **7**

Close

Select / Deselect all Updated on descending

This is a test for Shaahid Champion
PI: Abrahams, Melissa
(International Academic Programmes Office)
Primary Funder: Telkom SA Limited
Proposal approval (non-clinical trials) (ERA00002028)
(05/10/2019-02/07/2025)
[Edit](#)

- Other funding schemes
- Internal/URC Grants
- Conference travel
- UCT-managed awards
- Other UCT-managed awards
- NRF
- Thuthuka
- Other funding schemes
- Letter of intent
- Application stage approvals
- Proposal approval (non-clinical trials)
- Proposal approval (clinical trials)
- Preliminary proposal approval (if funder requires budget breakdown)
- Contract stage approvals
- Contract approval (non-clinical trials)
- Contract approval (clinical trials)
- Other external funders
- Cancer Association of South Africa (CANSA)
- Poliomyelitis Foundation
- South African Medical Research Council Self-Initiated Research Scheme

5. Click apply to run the filter

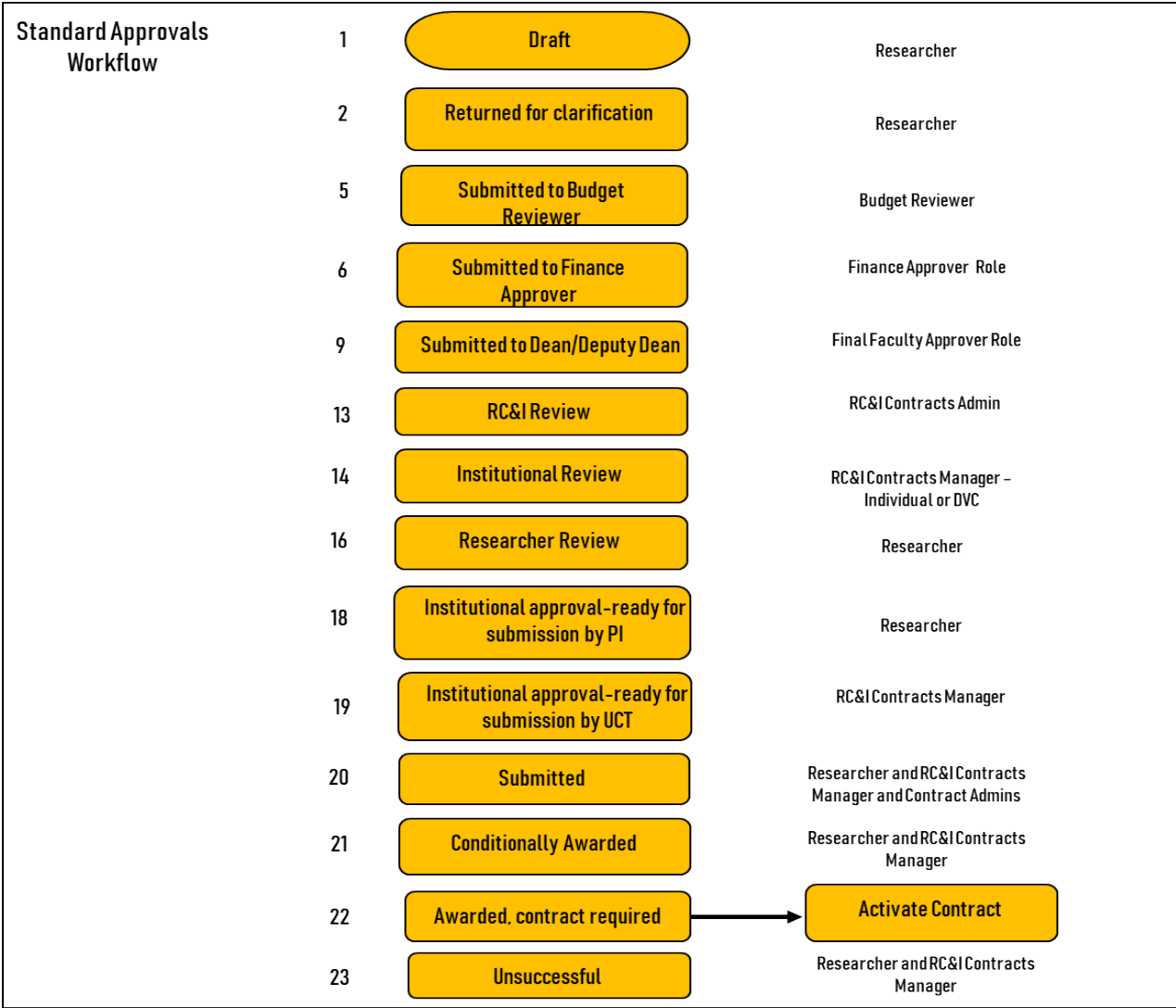
Switch to query mode

Project Application/ Approv Type of project application equals Proposal approval (clinical trials)

Close Reset Save filter **Apply**

Pre-awards Standard Approvals Workflow

The figure below shows all the possible workflow steps for the pre-awards standard approvals process.



The steps on the previous page are explained below:

1. Draft

Save the application in this status if you want to return to it and make edits before submission for review.

2. Returned for clarification

Select this status to return to the applicant to make changes or provide further information to the application. The researcher can check the status log for comments regarding necessary edits.

3. Budget Reviewer

Select this status to send the application for review by the Budget Reviewer. Budget Reviewer will input financial information and send back to the applicant for review and editing.

4. Finance Approver

Select this status to send application to be reviewed by the Finance Approver. Application will no longer be editable by the applicant.

5. Dean/Deputy Dean

Select this status to send to the Dean, Deputy Dean, or their appropriate designee for review. Application will no longer be editable by applicant or previous reviewer.

6. RC&I Review

Select this status to submit for review by the RC&I administrator. Application will not be editable by the previous reviewer.

7. Institutional Review

Select this status to submit for review by the RC&I contracts manager. Application will not be editable by the previous reviewer.

8. Researcher Review

Select this status after it has been pushed to the institutional review step to return to the applicant to make changes or provide further information to the application. The researcher can check the status log for comments regarding necessary edits.

9. Institutional approval – no submission required

Select this status if the application does not require submission

10. Institutional approval - ready for submission by PI

Select this status if the application is approved and is ready for submission by the PI

11. Institutional approval - ready for submission by UCT

Select this status if the application has been approved by UCT and can be submitted on behalf of the university

12. Submitted

Select this status to indicate that the application has been submitted to the funder and is waiting for a funding decision.

13. Conditionally awarded

Select this status if the funding has conditions that must be met before the funder will give final approval.

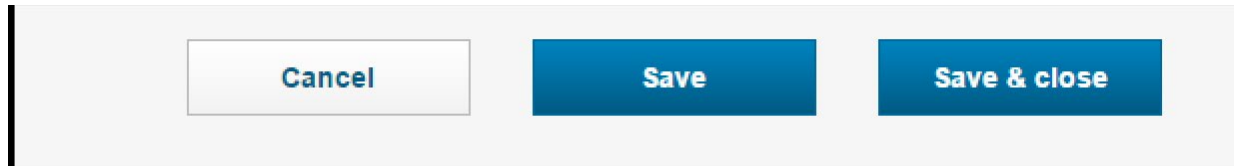
14. Awarded, contract required

Select this status if the funding has been awarded and a contract must be generated. This will automatically create a new contract in the Contracts module.

15. Unsuccessful

Select this status if the application has been rejected for funding

To save an application on one of the workflow steps above, select the workflow step then “save &close”. To leave an application in the same workflow step it is currently on, click “save”. To save the application on draft mode and as work in progress, click on “save”.





Accessing the FAQ and Logging Calls



All Research Support information can be found on <http://www.researchsupport.uct.ac.za>

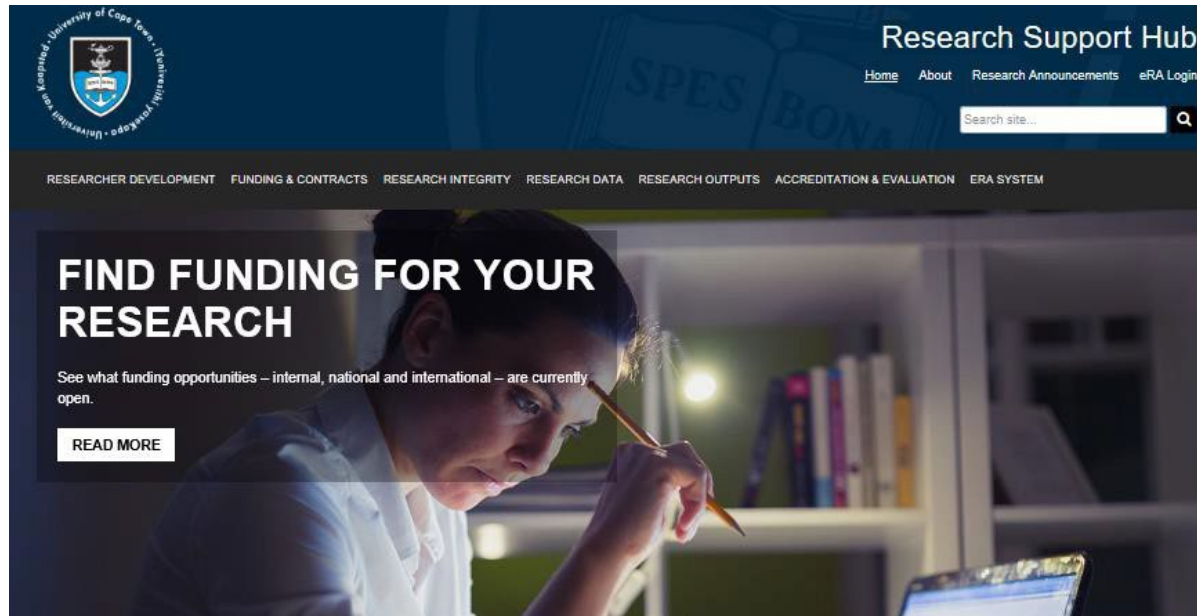
Introduction



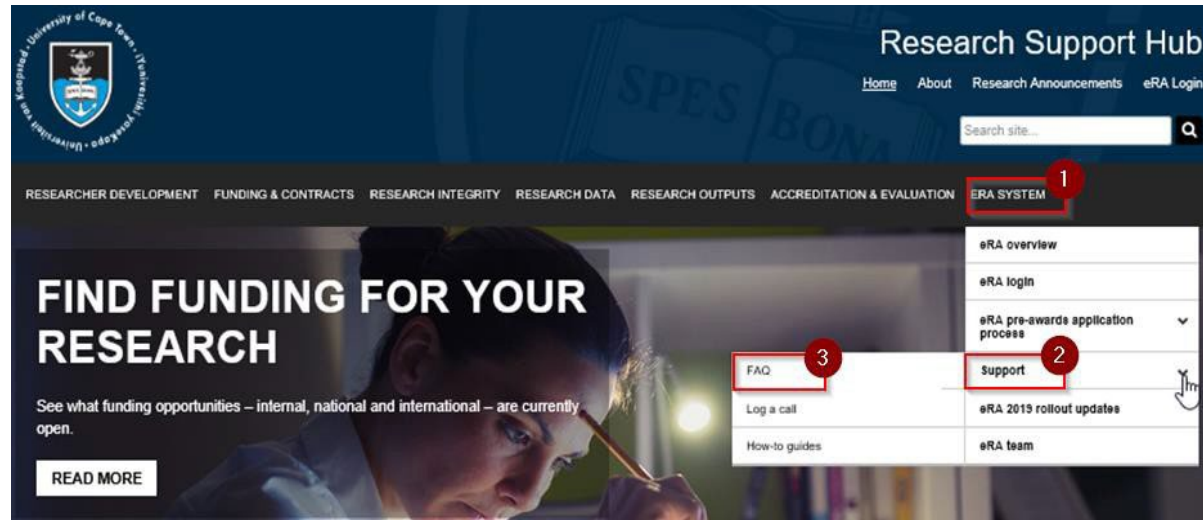
Please use the frequently asked questions (FAQ) to quickly check for solutions to common problems. If you cannot find help from this section, please feel free to log a call on ServiceNow through the Research Support website.

Accessing the FAQ

1. Go to the research support hub: <http://www.researchsupport.uct.ac.za/>



2. Go to ERA System> Support > FAQ



This will take you to the FAQ page.



Logging a Call on ServiceNow

If you can't find the information that you need on the FAQ, you can log a call through ServiceNow for more information on the same Research Support website.

1. Go to the research support hub: <http://www.researchsupport.uct.ac.za/>



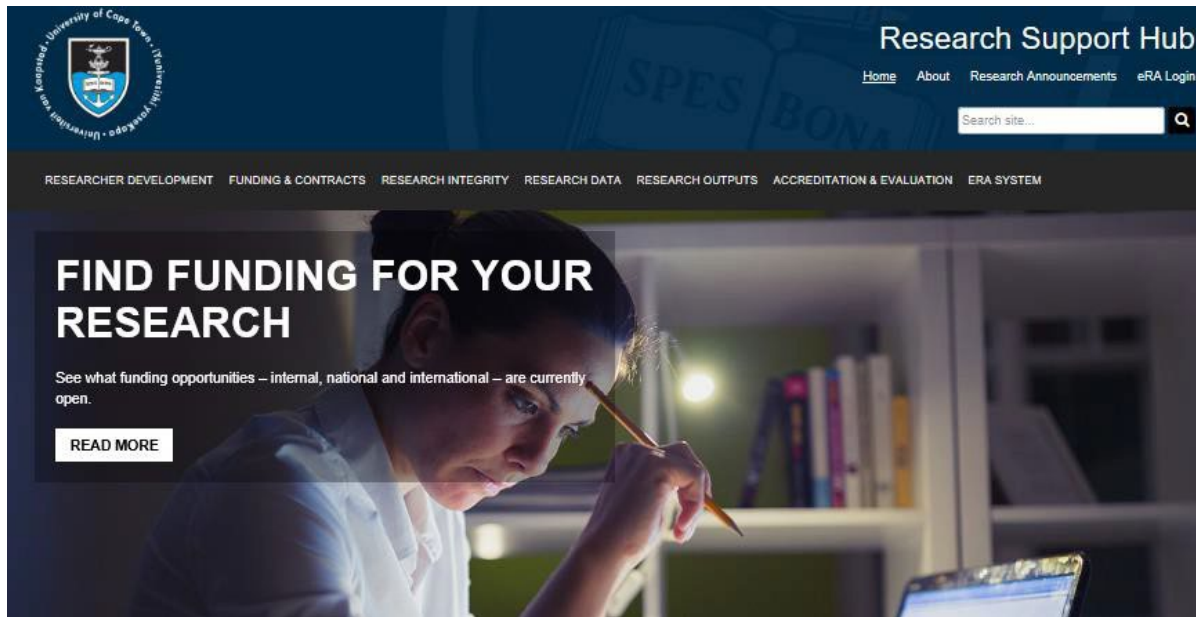
Want a short-cut? Why not just save this link to go directly to the FAQs in one step? Click here:

https://uct.servicenow.com/kb_view_customer_uct.do?sysparm_article=KB0010763

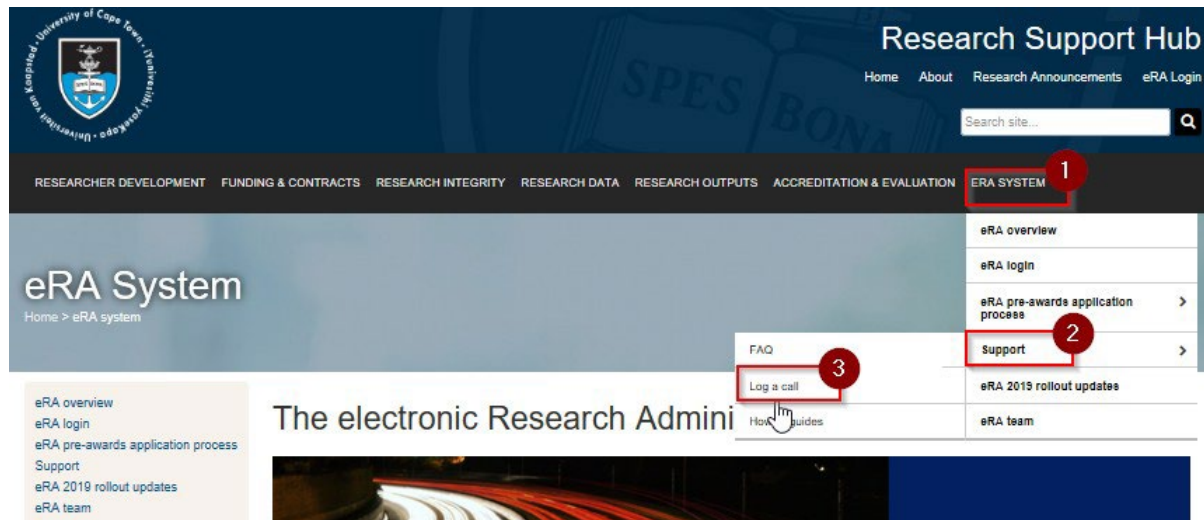


All Research Support information can be found on

<http://www.researchsupport.uct.ac.za>



2. Go to ERA System> Support > Log a Call



- This will take you to the university's call logging system called ServiceNow where you can complete your request.

< Research Office > System Issues and Requests > Report a bug/issue/error

This is a form for reporting a bug/issue/error to the Research Office.

* Open on behalf of this user
▶ More information
Karen Sowon

* Please select the affected application or service
▶ More information
-- None --

* Please provide a short description of your request

* Please provide a detailed description of the type of assistance you require

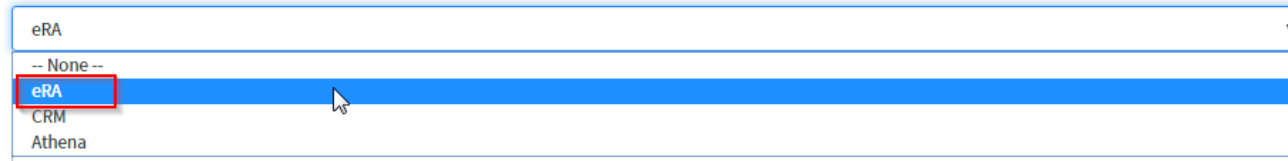
- If you are logging the call on behalf of yourself, leave the *Open on behalf of this user* as yourself. If you are logging the call on behalf of someone else, please use the look-up function to find them.

* Open on behalf of this user
▶ More information
Kimi Keith

5. Be sure to choose eRA under *Please select the affected application or service*

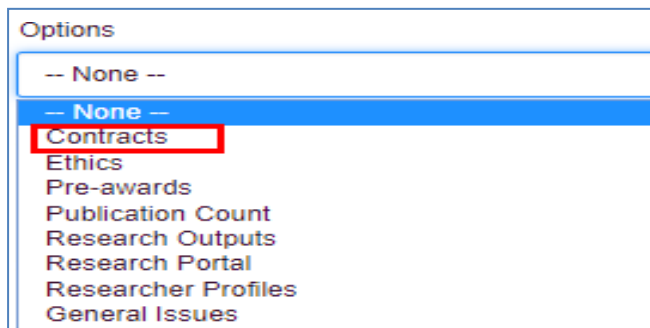
* Please select the affected application or service

► More information



A screenshot of a web form showing a dropdown menu. The menu is open, displaying several options. The option 'eRA' is highlighted in blue and has a red rectangular box drawn around it. A mouse cursor is positioned over the 'eRA' option. The other options visible are '-- None --', 'CRM', and 'Athena'. The text 'eRA' is also visible in the dropdown's header area.

6. You can choose the section of the eRA that you have a problem with. This is optional but it should assist in speeding up the resolution of your call



A screenshot of a web form showing an 'Options' dropdown menu. The menu is open, displaying several options. The option 'Contracts' is highlighted in blue and has a red rectangular box drawn around it. The other options visible are '-- None --', 'Ethics', 'Pre-awards', 'Publication Count', 'Research Outputs', 'Research Portal', 'Researcher Profiles', and 'General Issues'.

7. Make sure that you give as many details about your issue as possible under *Please provide a detailed description of the type of assistance you require*

This is a form for reporting a bug/issue/error to the Research Office.

* Open on behalf of this user

► More information

Melissa Abrahams



* Please select the affected application or service

► More information

eRA

Options

Contracts

* Please provide a short description of your request

Upload error

* Please provide a detailed description of the type of assistance you require

I can't seem to upload a file and I am getting an error.

8. Click the submit button to log your call. You will receive an email confirming your call number.

* Please provide a detailed description of the type of assistance you require

I can't seem to upload a file and I am getting an error.

Submit



Glossary of Terms

Pre-awards module - The pre-awards module facilitates the process of project applications through a recognised funding organisation (internal or external). This process enables applicants to follow the application as it moves through the workflow even after submission, thus streamlining the process of following up with the relevant office.

ServiceNow – the university’s call logging system

List of Acronyms

eRA – electronic Research Administration

FAQ – Frequently Asked Question

PI – Principle Investigator

RC&I – Research Contract and Innovation

URC – University Research Committee