



Faculty of Humanities

Humanities Research Ethics Application Process

2025



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Introduction

This document is a guide that provides configuration and customization of the online research ethics application form to the respective Humanities ethics committee(s).

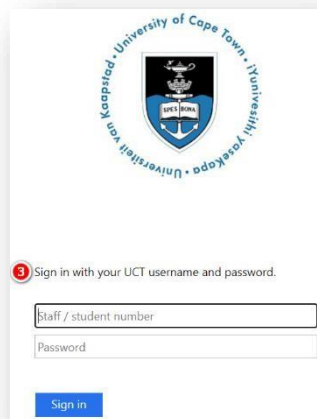
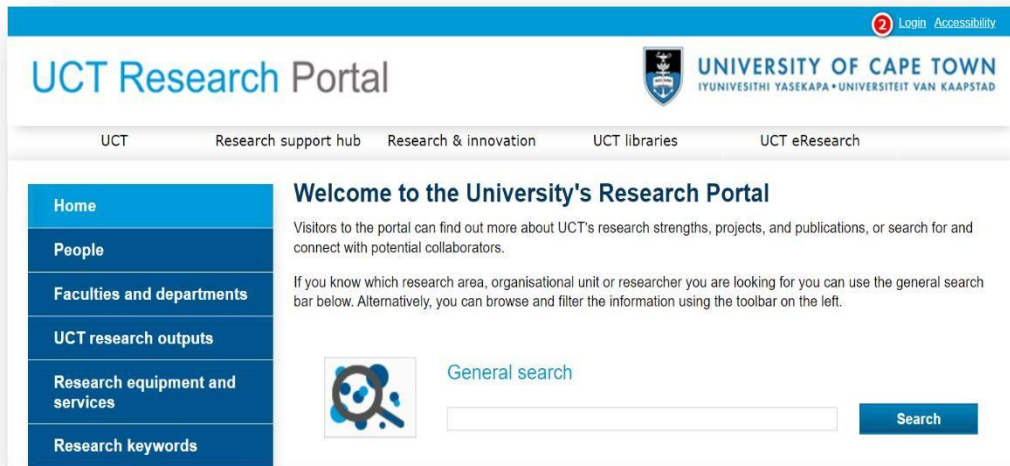
To access the eRA live environment to start your application, here are the details below:

https://eraonline.uct.ac.za/converis/portal/overview?lang=en_GB



Logging in to the eRA System.

1. Access the eRA system by using this link:
https://eraonline.uct.ac.za/converis/portal/overview?lang=en_GB , click on **Login** at the top right-hand corner.
2. If you are not already logged in to another UCT platform, you will be prompted to enter your UCT credentials to login.
3. Once you have logged in, ensure that you are on the **Researcher** role



Dashboard

- Research Output
- Award Management
- IP Management
- CV Activities
- Ethics Management
- Research equipment and services
- Notifications
- Statistics

Melissa Abrahams Edit

📍 Cape Town, South Africa
✉ melissa.abrahams@uct.ac.za

6 Publications

Things to do Refresh

- ▶ 1 Submitted application(s) waiting for response from funders [View All](#)
- ▶ 1 Ethics application(s) in draft [View All](#)
- ▶ 1 Ethics application(s) require editing [View All](#)
- ▶ 1 Ethics application(s) provisionally approved and require action [View All](#)
- ▶ 1 Ethics application(s) require supervisory review [View All](#)
- ▶ 1 Pre Screening Questionnaire(s) completed, Ethics Application not required [View All](#)



Initiating an Ethics application form

Selecting an Ethics application form

Selecting the applicable form type (Either the Pre-screening Student Questionnaire or the Full application form).

1. Click on the **Add New Content** button.
2. From the dropdown, click on the **Ethics Management** tab, then select **Ethics Application**.
3. A list of all the **Ethics application** form types will be displayed before you. From the list, scroll down and select the related **Humanities Faculty application** form.

The screenshot shows the researcher's dashboard for Melissa Abrahams. The top navigation bar includes 'Web of Science', 'InCites', 'Journal Citation Reports', 'Essential Science Indicators', and 'EndNote'. The user profile section displays 'Melissa Abrahams' with a location of 'Cape Town, South Africa' and an email address 'melissa.abrahams@uct.ac.za'. A sidebar on the left lists various management tools. The main content area shows '6 Publications' and a 'Things to do' section with three items: '1 Submitted application(s) waiting for response from funders', '1 Ethics application(s) in draft', and '1 Ethics application(s) require editing'. A dropdown menu is open from the 'Add New Content' button, showing options like 'Research Output', 'Award Management', 'Patent/IP', 'CV Activity', 'Ethics Management', 'Pre Screening Questionnaire', and 'Ethics Application'. The 'Ethics Application' option is highlighted with a red box.

The screenshot shows the 'Add new Ethics Application' form. The title is 'Add new Ethics Application'. Below the title, it says 'Select the appropriate ethics application type'. There are two columns: 'Ethics Application' and 'Information about the selected ethics application'. The 'Ethics Application' column contains a list of application types: 'Research Ethics Committees', 'IFREC Application', 'CHED Faculty Application', 'Health Faculty Application', 'Law Faculty Application', 'Engineering and the Built Environment Faculty Application', 'Humanities Faculty Application', and 'Science Faculty Application'. The 'Research Ethics Committees' and 'Humanities Faculty Application' options are highlighted with red boxes. The 'Information about the selected ethics application' column shows 'Science Faculty Application'. A 'Cancel' button is at the bottom.

Capturing an Ethics Application (Part 1)

Completing an Ethics application form for review - Capturing information (Key Information tab)

Instructions:

1. Once the relevant form type has been selected, you may go ahead and complete the respective tabs as required.
2. The first tab to be completed is the **Key Information** tab. Please read carefully through the requirements of each field and pay special attention to the areas where hint text is provided as a guide to completing the form.
3. If the applicant is a student, ensure that the Supervisor is tagged on the form in the field provided, by clicking on the *plus icon* to search and add the name of the respective person.
4. Once you have completed all the information on the first tab, please click **Save** at the bottom of the screen. This will allow for the system to generate and assign a **System ID** and **Proposal Reference number** for this application.

The screenshot shows the '1. Key Information' tab of an ethics application form. The tab is highlighted with a red border. The form contains the following elements:

- 1. Key Information *** (highlighted tab)
- 2. Project Details ***
- 3. Research Methodology**
- More ▾**

Please note that you will not be able to proceed with a full ethics application while a pre-screening questionnaire is in progress.

NB: All Researcher sections ([Tabs 1-5](#)) must be completed. If N/A please indicate so. If any section is left blank, your application will be sent back for completion.

Type of applicant *

Please indicate if your application is in your capacity as a Student, Clinical Research Coordinator, or as a Researcher/Post-doctoral fellow. All student applications need to be approved by their supervisor(s). If you choose the incorrect option, this will delay the processing of your application.

Select type of applicant ▾

Is this specifically for degree or any other qualification purposes?

If you answer yes, and you are both a staff member and a student, please ensure that you are logged in using your student profile.

Select yes or no ▾

If yes, please state level of degree

Select purpose ▾

Other degree not listed above

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System ID Number

0/8

Proposal Reference Number (protocol)

This is a system-generated number used for approvals

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Is this study linked to an existing study which has received ethical approval?

If yes, please type in the main proposal number here.

0/20

Principal Investigators *

Please select the name of the local, UCT Principal Investigator. Make sure the correct work affiliation is attached to this record. If you are a student, ensure that your affiliation relates to your academic programme.



Co-Investigators

Please select all co-investigators by clicking on the + below.



Student Investigators

Please select student investigators by clicking on the + below. If the project is a collaboration of multiple students, please list the full group of students.



Supervisor(s) if applicable

ATTENTION STUDENT APPLICANTS: Click on the "+" button below and add your supervisor(s) onto this application form. If this is not done, the application will not be sent to your supervisor(s) for review. The Main supervisor should be listed first.



Cancel

Save

Save & close

Capturing an Ethics Application (Part 2)

Completing an Ethics Application form for review

Capturing Information (Project Details tab)

Instructions:

1. Since you have completed the first tab, you may now click on the **Project Details** tab.
2. Complete the fields as required. Once you have completed all the relevant fields, click Save at the bottom of the screen to save the captured information.

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

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

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

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Research proposal summary (Max 500 words)

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Please describe the research site(s) where project will be carried out, including how you will secure research access for these research sites

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

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Research questions

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

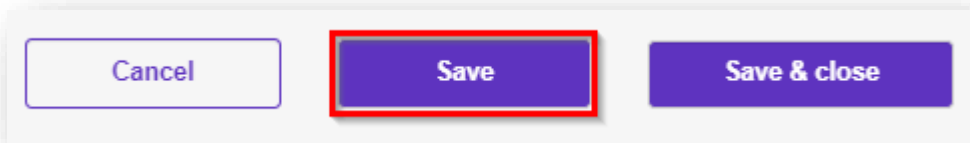
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Aim/s (what you hope to achieve) and Objective/s (how you will achieve your aim/s) of study. Please list:

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Set out your intended plan of work for the research, indicating important target dates necessary to meet your proposed deadline. Please indicate month and year for the study activity

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Completing an Ethics Application (Part 3)

Category: Capturing Information (**Research Methodology tab**)

Instructions:

1. Navigate to the **Research Methodology** tab.
2. Complete all the fields provisioned on this tab. Once you have captured all the required information, click **Save** at the bottom of the screen to save the captured information.

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

Will your research include the participation of:

Children

Persons who are intellectually or mentally impaired

Persons who are HIV positive

Persons in captivity

Other vulnerable groups
Vulnerable groups include persons who may not be able to provide valid informed consent for whatever reason (poor literacy levels, poor understanding of research-related concepts, undue influence etc) or could be vulnerable to exploitation. There are many examples such as those highly dependent on medical care, persons living with HIV, stigmatized groups, illegal immigrants, students and lecturers and many more. In the text box below please identify which vulnerable participant groups that will be recruited into your study and indicate steps taken to minimize risk of harm.

Please explain the group vulnerability and justify the need for research in this group of participants and what additional protections are in place or risk-mitigation measures.

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Will data collection involve any of the following:

Access to confidential information without prior consent of participants

Participants being required to commit an act which might diminish self-respect or cause them to experience shame, embarrassment, or regret

Participants being exposed to questions which may be experienced as stressful or upsetting, or to procedures which may have unpleasant or harmful side effects

The use of stimuli, tasks or procedures which may be experienced as stressful, noxious, or unpleasant

If any of the answers above are YES, how would you mitigate this plausible, even if unintended, outcome?

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If you are working with contentious materials and/ or practices, please explain why you consider them important to your research

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Any form of deception

Explain Yes answers below

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Will data collection involve any of the following:

Questionnaire

A questionnaire requires the respondents to read, understand and fill out the answers themselves.

Survey schedule

A schedule is a set of questions that the interviewer asks and records the answers personally. While the order and language of the questions nor the arrangements of the sections of the schedule may not be changed, the interviewer is allowed to explain the questions if the respondent requires clarity.

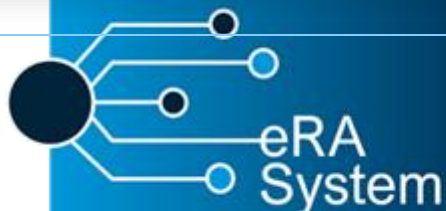
Interview schedule

Note: An interview schedule can include focus group discussions, key research participant interviews, structured and semi-structured interviews, etc.

Observation schedule

Psychometric test

Other/ equivalent assessment instrument



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Explain the instrument used

For example, social media participation

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Please describe alternate methodologies and motivation for the use, for example, structured interviews, open-ended, group discussions, oral histories, etc.

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Will the autonomy of participants be protected through the use of an informed consent form, which specifies (in language that respondents will understand).

The nature and purpose/s of the research

The identity and institutional association of the researcher and supervisor/project leader and their contact details

The fact that participation is voluntary

That responses will be treated in a confidential manner

Any limits on confidentiality which may apply

That anonymity will be ensured where appropriate (e.g. coded/ disguised names of participants/ respondents/ institutions)

The fact that participants are free to withdraw from the research at any time without any negative or undesirable consequences to themselves

The nature and limits of any benefits participants may receive as a result of their participation in the research

If NO to any of the above: (a) please justify/explain, and (b) indicate what measures will be adopted to ensure that the respondents fully understand the nature of the research and the consent that they are giving.

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Please describe whether the study will use translated informed consent documents (for example, in community-based research or where the participants will be interviewed in a different language). Where/how will these be translated? What quality assurance mechanisms will be used to ensure rigour?

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Do the participants know where to report misconduct?

Data Management: How will data security be ensured? How will your supervisor have access to the stored data? How will the data be stored and disposed of?

NB A separate Data management Plan is advisable and might in some instances be required. The plan should be added on the attachments tab. A template DMP can be found [here](#).

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Will data be shared more widely?

If Yes, how will the data be shared?

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How will the research participants' anonymity or confidentiality be maintained?

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How will you give feedback to your research participants once the study has been completed?

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Is this research supported by funding that is likely to inform or impact in any way on the design, outcome and dissemination of the research?

If yes, please explain and provide justification.

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Has any organization/company participating in the research or funding the project, imposed any conditions to the research?

If yes, please indicate what the conditions are.

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Instructions:

1. Navigate to the next tab by clicking on the word **More** (or guided by the blue drop down arrow), then select the tab called **Attachments**.
2. Complete the form as required, attaching the required documentations in the prescribed file format. You will do this by clicking on the **File icon** under the specified heading and searching for the file that you would like to upload.
3. Once you have uploaded all the required attachments and completed the form to the best of your ability, click **Save**.

The screenshot shows the 'More' dropdown menu in the eRA System interface. The menu is open, showing a list of tabs: 4. Attachments, 5. Declaration and Faculty Review, 6. REC Review, 7. Outcome, 8. Amendments, and 9. Renewals/Reporting Closeout. The 'More' button is highlighted with a red box, and the '4. Attachments' tab is also highlighted with a red box. The background shows the '3. Research Methodology' tab selected, with a form containing several dropdown menus for selecting 'Yes', 'No', or 'Not Known' for various categories: Children, Persons who are intellectually or mentally impaired, Persons who are HIV positive, and Persons in captivity.

The screenshot shows the 'Attachments' tab in the eRA System interface. The tab is highlighted with a red box. The page contains the following text and form elements:

- A warning: "Please ensure that all relevant documents are attached to this application before submitting for review. The preferred file format is PDF."
- A heading: "Attach information about this study as indicated below:"
- A prompt: "Please attach your full research proposal here:"
- An "Upload new file" button with a file icon.
- Text: "Attach Participant Informed Consent documents here. For participants from the ages of 6 up to 17, parental documents and child assent forms are required. Translated participant informed consent documents are required where necessary. English versions to be uploaded initially. Translated versions must be uploaded at a later stage, when responding to queries, once the English version has been approved."
- Another "Upload new file" button with a file icon.
- Text: "Attach copies of all research instruments such as questionnaires, interview schedules, data capturing sheets etc. here:"
- A third "Upload new file" button with a file icon.
- Text: "Does your project require gatekeeper permission for example from an organization, business, government department, Health Care Facility or school, etc.?"
- Text: "Do you require permission from a 3rd party stakeholder before being able/permitted to access a research population?"
- Text: "Please note: You may require permission from multiple stakeholders, depending on your study."
- A dropdown menu with the text "Select yes or no".
- Text: "If yes, please provide details, and once available, attach gatekeeper permission below"
- A large empty text area for providing details.

Please attach the gatekeeper permission letter(s) here. Preferably scan and upload multiple letters as a single file:

Upload new file 

Signatures:

Attach any other signature files here (if necessary):

Upload new file 

Data Management Plan

Attach all DMP related files here:

Upload new file 

Please attach any other supporting documents that may be required:

Please attach any other supporting documents that may be required

Upload new file 

Outcome letters (Only administrators can upload):

Cancel

Save

Save & close

Capturing an Ethics Application (Part 5)

Category: Capturing Information ([Declaration and Faculty Review tab](#))

Instructions:

4. Navigate to the next tab by clicking on the word **More** (or guided by the purple drop down arrow), then select the tab called **Declaration and Departmental Review**.
5. Completed the relevant declarations by ticking the associated box.
6. Then, click **Save & Close**. A popup box will appear.
7. From the popup box, select the following option:
 - If the applicant is a Student, select the **Supervisor review** workflow step.
 - If the applicant is a Researcher, select the **Committee Admin Post-EXCO review** workflow step.
8. Then, click **Done**.
9. You will be returned to the **Dashboard**.

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

Does your study cover research involving:

Children
Select Yes No Not Known ▾

Persons who are intellectually or mentally impaired
Select Yes No Not Known ▾

Persons who are HIV positive
Select Yes No Not Known ▾

Persons in captivity
Select Yes No Not Known ▾

4. Attachments

5. Declaration and Faculty Review

6. REC Review

7. Outcome

8. Amendments

9. Renewals/Reporting Closeout

1. Key Information * | 2. Project Details * | 3. Research Methodology | **5. Declaration and Faculty Review** ▾

Declaration by applicant:

I have read and understood UCT's [Responsible Conduct of Research Policy](#), UCT's Research [Ethics Code for Research Involving Human Participants](#), UCT's [Authorship Practices](#) policy, and the relevant research ethics codes in my faculty and/or department.

I will conduct this research according to all ethical, regulatory and legal requirements as well as national and international codes and guidelines in my discipline.

I undertake to carry out my research in such a way that:

The research will not compromise staff or students or the interests of the university and, will not compromise the participants or the community being studied

The findings could be subject to peer review and will be publicly available

I will respect intellectual property rights and avoid any practice that would constitute plagiarism

I am satisfied that:

I have the time, training, expertise (or supervision from a supervisor with adequate expertise), and resources required to conduct this research in an ethical and responsible manner

The research methodology is ethically sound and that where human participants or communities are concerned, that attention has been given to issues of privacy and dignity of the participants and the communities from which they are drawn

Ethical issues and processes regarding data collection, storage, ownership, and protection have been suitably addressed

Conflict of Interest:

Researchers are expected to declare the presence of any potential or existing conflict of interest or commitment that may potentially pose a threat to the scientific integrity and ethical conduct of this research. The committee will decide whether such conflicts are sufficient as to warrant consideration of their impact on the ethical conduct of the study. UCT's Conflicts of Interest policy is available [here](#).

Disclosure of conflict of interest or commitment does not imply that a study will be deemed unethical, as the mere existence of a conflict does not mean that a study cannot be conducted ethically. However, failure to declare a conflict of interest or commitment known to the researcher at the outset of the study will be deemed as unethical conduct.

A) As the principal researcher in this study, I hereby declare that I am [not aware](#) of any current or future conflicts of interests

OR

B) As the principal researcher in this study, I hereby declare that I am [aware](#) of any current or future conflicts of interest which may influence my ethical conduct of this study

If you, or any collaborators on this research project, have or foresee any potential conflicts of interest or commitment, please provide details here:

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Proposed start of project:

Proposed end of project:

Ethics application submission date:

This date will be automatically generated after submission



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Cancel Save Save & close

Select next step

Draft
Choose this status if you wish to continue working on this record at a later stage.

Supervisor review
Select this status for all student applications only. Your supervisor needs to review your ethics application before it can proceed to subsequent steps.

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

Cancel Done

Retrieving the Outcome letter

Applicant should be able to retrieve an outcome letter once a decision has been taken

Category: Generating an **outcome letter**

Instructions:

1. Access the **Switch role** function, by clicking the drop-down arrow at the top right corner next to your name. Select the **Researcher** role from the available list.
2. You can select the application by using the left navigation by clicking on **Ethics Management**, then the **Ethics Applications** tab. A list of Ethics applications will be displayed.
3. Tick the box relative to the application you would like an outcome letter for.
4. Then, in the action bar, click on **Report**. Click **EAPL Outcome Letters**, then **Create report**.
5. Your Outcome letter will be generated in a PDF format and can be found in your Downloads folder, or at the bottom of your screen.

The screenshot shows the 'Ethics Applications (10)' dashboard. The left sidebar has 'Ethics Management' and 'Ethics Applications' highlighted. The main area displays a table of applications. The first application, 'This is a test for the test pack', has its checkbox selected and an 'Approved active' status. The second application, 'ougbihbvihybvi-hb', has an unchecked checkbox and a 'Supervisor review' status. The third application, 'Outcome Letters Test', has an unchecked checkbox and an 'Approved active' status. Action buttons like 'Filter', 'Export', 'Report', 'Deduplicate', and 'Delete' are visible at the top of the table.

This is a close-up of the first application entry. The checkbox is checked. The application details are: 'This is a test for the test pack', Primary Investigator: Abrahams, Melissa, Type of ethics application: Humanities Faculty Application, Created by: Melissa.Abrahams, Created on: 28/06/2023, Last updated on: 28/06/2023, and Edit/Open link. The status is 'Approved active'.

The 'Report' dialog box is shown. The 'Report' button is highlighted. Under 'Report items', 'Selected Items only' is selected. Under 'Report format', 'PDF' is selected. The 'EAPL Outcome Letters' option is highlighted in the list. There are 'Cancel' and 'Create report' buttons at the bottom.

2023/06/28

HUM/0000/2023

RE: Research Ethics Committee Project Approval Letter

Dear Melissa Abrahams,

Your application for ethics review of your project titled

This is a test for the test pack

has been reviewed and evaluated by the
Humanities Research Ethics Committee.

You may proceed with your research project titled:

This is a test for the test pack

Please note that should:

- (i) any serious or adverse effects to participants occur and/or,
- (ii) aspect(s) of your current project change and/or
- (iii) any unforeseen events that might affect continued ethical acceptability of the project occur then you should immediately report this to the approving REC. You may be required to submit an amendment to this application, in order to determine whether the changed aspects increase the ethical risks of your project.

Based on the information supplied your application has been successful and is approved.

Please note the following additional conditions associated with this approval:

- (i) rherherhe

Regards,

Humanities Research Ethics Committee.