eRA System

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SPES BONA

eRA Pre-Awards

Multi-user Quick-guide Compilation

(Step-by-step instructions)

Version: 1.1 Role(s): Researcher, Budget Reviewer, Finance Approver, Final Faculty Approver, RC&I Administrator, RC&I Contracts Manager, RC&I Admin

Overview

This multi-user quick-guide serves as a compilation of instructions for the users within the Pre-Awards process in eRA. There are dedicated instructions for each role that allow users to understand the technical steps involved in completing the parts of the Pre-Awards funding application form which are relevant to them within each workflow status.

Researchers should discuss the budget, proposal and ethics approval offline and in advance with the Budget Reviewer and other stakeholders before the initial capture of the application details on the eRA system.

Quick-guide step by step instructions for each role and workflow status

The completion, reviewing and approval of the application form's information gets actioned by various stakeholders/roles at different stages of the Pre-Awards workflow process. The instructions below are role-specific and each stakeholder can follow the instructional steps pertinent to their role under each workflow status where they are involved. The application form as a result will get completed and progressed to the subsequent workflow steps until the funding application process is finalized.

Role to execute	When the application form is in the "Draft application" workflow status
PI/Researcher	1. Login to the eRA system and ensure that you are signed in with your Researcher role 2. To access the application: • Navigate to the application form using the left navigation, by selecting "Award Management" | "Project Applications/Approval requests" to access the list of applications • Navigate to the relevant application form within the list and select the "Edit/Open" option to open it 3. Complete the "Key Information", "Research Related Information" and "Resourcing, Ethics & Biosafety" tabs. In the "Resourcing, Ethics & Biosafety" tab, be sure to select the checkbox in the "Preliminary declaration by Principal Investigator" section. The checkbox option in the "Final declaration by Principal Investigator" section will only become available for selection once the Budget Reviewer reviewed the form and completed the "Financial Information" tab. 4. Once the information on the required tabs are complete, select the "Save & close" button and select the "Submitted to Budget Reviewer" workflow status 5. Click the "Done" button to send the application to the Budget Reviewer
Role to execute	**When the application form is in the "Submitted to Budget Reviewer" workflow status**
Budget Reviewer	1. Login to the eRA system and switch your role to Budget Reviewer 2. To access the application: • Navigate to the application form using the left navigation, by selecting "Award Management" | "Project Applications/Approval requests" to access the list of applications • Navigate to the relevant application form within the list and select the "Edit/Open" option to open it 3. Select to "Financial Information" tab and complete relevant fields within it 4. Select the "Approval and Outcome" tab and complete the fields in the "Approval by Budget Reviewer" section (Note: tag the correct Research Admin(s) and Finance Approver in this section) 5. Select the "Save & close" button once all relevant sections are completed 6. Select the "Returned to applicant for clarification/action" workflow status 7. Click the "Done" button to send the application form to the PI/Researcher

Role to execute	When the application form is in the "Returned to applicant for clarification/action" workflow status
PI/Researcher	1. Login to the eRA system and ensure that you are signed in with your Researcher role 2. To access the application: • Navigate to the application form using the left navigation, by selecting "Award Management" | "Project Applications/Approval requests" to access the list of applications • Navigate to the relevant application form within the list and select the "Edit/Open" option to open it 3. Select the "Financial Information" tab and review the financial details 4. If all details are satisfactory, navigate to the "Resourcing, Ethics & Biosafety" tab and select the “Final declaration by Principal Investigator” checkbox to confirm that the application information is complete and accurate 5. Select the “Save & close" button once all relevant sections are completed 6. Select one of the following workflow status options: • "Submitted to Finance Approver"- to send form to the Faculty Finance Approver • "Submitted to Budget Reviewer"- to add a clarification message or request for the Budget Reviewer 7. Click the “Done” button to send the form to the applicable stakeholder
Role to execute	**When the application form is in the "Submitted to Finance Approver" workflow status**
Finance Approver	1. Login to the eRA system and switch your role to Finance Approver 2. To access the application: • Navigate to the application form using the left navigation, by selecting "Award Management" | "Project Applications/Approval requests" to access the list of applications • Navigate to the relevant application form within the list and select the "Edit/Open" option to open it 3. Navigate through the different tabs to review the application information to check it for accuracy 4. Navigate to the "Approval and Outcome" tab and complete the information under the "Approval by Finance Approver" section and assign/tag in all possible Final Faculty Approvers (Note: Make sure that all Final Faculty Approvers are tagged in accordance with the business process of your faculty) 5. Select the "Save & close" button once all relevant sections are completed 6. Select the "Submitted to Dean/Deputy Dean/Final Faculty Approver” workflow step 7. Click the “Done” button to send the application form to the Final Faculty Approver

Role to execute	When the application form is in the "Submitted to Dean/Deputy Dean/Final Faculty Approver" workflow status
Final Faculty Approver	1. Login to the eRA system and switch your role to Final Faculty Approver 2. To access the application: • Navigate to the application form using the left navigation, by selecting "Award Management" | "Project Applications/Approval requests" to access the list of applications • Navigate to the relevant application form within the list and select the "Edit/Open" option to open it 3. Navigate through the different tabs to review the application information to check it for accuracy 4. Navigate to the "Approval and Outcome" tab and complete the information under the "Approval by Final Faculty Approver" section 5. Select the "Save & close" button once all relevant sections are completed 6. Select one of the following status options to send the application form to the next stage • For application forms that are approved for submission (by Final Faculty Approver): ○ select "RC&I review" if the PI indicated under the "Key Information" tab that the application requires RC&I input for final submission to the funder then the application will be sent RC&I. ○ select "Institutional approval- ready for submission by PI" if the PI indicated under the "Key Information" tab that RC&I does not need to provide input to submit the application to the funder • For application forms requiring further input or clarification: ○ select "Submitted to Budget Reviewer for Clarification" status for clarity on financial information ○ select "Returned to Applicant for Clarification" status if clarity from the PI is required 7. Click the "Done" button to send the form to the required stakeholder
Role to execute	**When the application form is in the "Institutional approval- ready for submission by PI" workflow status**
PI/Researcher	1. Login to the eRA system and ensure that you are signed in with your Researcher role 2. To access the application: • Navigate to the application form using the left navigation, by selecting "Award Management" | "Project Applications/Approval requests" to access the list of applications • Navigate to the relevant application form within the list and select the "Edit/Open" option to open it 3. Open the application and select the "Save & close" button 4. Select one of the following workflow status options:

	• "Institutional review"- to return the application to the RC&I Contracts Manager for clarity if more clarity is required • "Submitted"- after the application gets successfully submitted to the external funders (Please ensure that application has been submitted to external funder before setting it to this workflow status) 5. Click the "Done" button to submit the application form to the required stakeholder
Role to execute	**When the application form is in the "RC&I review" workflow status**
RC&I Administrator	1. Login to the eRA system and switch your role to RC&I Admin 2. To access the application: • Navigate to the application form using the left navigation, by selecting "Award Management" | "Project Applications/Approval requests" to access the list of applications • Navigate to the relevant application form within the list and select the "Edit/Open" option to open it 3. Open the relevant application form and navigate through the different tabs of the form to review the information to check its accuracy 4. Check the "Primary Funder" field to confirm if the organization exists in the system. If not, add the organization and tag it into the application 5. Navigate to the "Approval and Outcome" tab and assign a Contracts Manager to the application form if satisfied with the information provided 6. Select the "Save & close" button 7. Select the "Institutional Review" workflow status 8. Click the "Done" button to send the form to the Contracts Manager
Role to execute	**When the application form is in the "Institutional review" workflow status**
RC&I Contracts Manager	1. Login to the eRA system and switch your role to RC&I Contracts Manager 2. To access the application: • Navigate to the application form using the left navigation, by selecting "Award Management" | "Project Applications/Approval requests" to access the list of applications • Navigate to the relevant application form within the list and select the "Edit/Open" option to open it 3. Open the application form and navigate through the different tabs to review the information 4. Navigate to the "Approval and Outcome" tab and action the following:

	- Complete the information in the relevant fields under the “Approval by RC&I Contracts Manager” section and relevant fields to indicate approval of the project application. - Add notes to the Researcher/PI or Final Faculty Approver in the field provided if required 5. Select the "Save & close" button 6. Select the applicable status option to send application to the next stage: • Select "Institutional approval- ready for submission by UCT" status if the application is to be submitted by Contracts Manager to the external funder • Select "Institutional approval- ready for submission by PI" status if the application is to be submitted by PI to the external funder • Select "Submitted" status if the application has already been submitted to the external funders 7. Click the “Done” button to send the application to the required stakeholder
Role to execute	**When the application form is in the "Researcher review" workflow status**
PI/Researcher	1. Login to the eRA system and ensure that you are signed in with your Researcher role 2. To access the application: - Navigate to the application form using the left navigation, by selecting "Award Management" | "Project Applications/Approval requests" to access the list of applications - Navigate to the relevant application form within the list and select the "Edit/Open" option to open it 3. Navigate to the "Status Log" to view the comments for actioning (See steps in the “Collaboration between roles” section of this document) 4. Navigate to the relevant application form tabs/sections/fields referred to in the comments for actioning and review/action accordingly 5. Select the "Save & close" button 6. Select the "Institutional Review" status option 7. Click the “Done” button to send the form to the RC&I Contracts Manager
Role to execute	**When the application form is in the "Institutional approval- ready for submission by UCT" workflow status**
RC&I Contracts Manager	1. Login to the eRA system and switch your role to RC&I Contracts Manager 2. To access the application: Navigate to the application form using the left navigation, by selecting "Award Management" | "Project Applications/Approval requests" to access the list of applications

	• Navigate to the relevant application form within the list and select the "Edit/Open" option to open it 3. Once the application is opened, select the "Save & close" button 4. Select the "Submitted" status once the application has been submitted to the funder (Please ensure that application has been submitted to the external funder before setting it to this workflow status) 5. Click the "Done" button
Role to execute	**When the application form is in the "Submitted" workflow status**
PI/Researcher or **RC&I Contracts Manager** (Depending on who submitted the application to the funder)	1. To login, follow these steps depending on which role submitted the application to the external funder: • RC&I Contracts Manager: i. Login to the eRA system and switch your role to RC&I Contracts Manager • PI/Researcher: i. Login to the eRA system ii. Ensure that you are signed in with your Researcher role 2. To access the application: • Navigate to the application form using the left navigation, by selecting "Award Management" | "Project Applications/Approval requests" to access the list of applications • Navigate to the relevant application form within the list and select the "Edit/Open" option to open it 3. Open the application form and navigate to the Approval and Outcome tab to complete the fields under the "Outcome" section and record the corresponding outcome received from the funder 4. Select the "Save & close" button 5. Select the workflow status option that corresponds with the outcome received from the funder (Only complete this step if the outcome has been received from the funder): • "Conditionally Awarded" means that funding has conditions that must be met before the funder will give final approval • "Awarded- contract required" means funding has been awarded and a contract must be generated • "Unsuccessful" means application has been rejected for funding 6. Click the "Done" button to save the workflow status
Role to execute	**When the application form is in the "Conditionally Awarded" workflow status**
PI/Researcher or Contracts Manager	Where a funder provides feedback on the funding application with added conditions that require changing or updating before a final outcome can be provided, the researcher needs to consult with the relevant

	stakeholders between the Budget Reviewer, Finance Approver, Final Faculty Approver, RC&I Admin and Contracts Manager where applicable.
	
	The information in the form and documentation will be updated with the help of the applicable stakeholder/s using the steps below.
	
	1. To login, follow these steps depending on which role submitted the application to the external funder:
	    a. RC&I Contracts Manager:
	        i. Login to the eRA system and switch your role to RC&I Contracts Manager
	    b. PI/Researcher:
	        i. Login to the eRA system
	        ii. Ensure that you are signed in with your Researcher role
	2. To access the application:
	3. Navigate to the application form using the left navigation, by selecting "Award Management" | "Project Applications/Approval requests" to access the list of applications
	4. Navigate to the relevant application form within the list and select the "Edit/Open" option to open it
	5. Once the application form is opened, update the form with the required information and documentation updates requested by the funder after consulting with the applicable stakeholders who review or approve it
	6. Select the "Save & close" button
	7. Select the "Submitted" workflow status to keep the form there until the final outcome is received from the funder
	
	The funder might warrant for the updated application form, feedback or documentation to be resubmitted to them before a final outcome can be provided. Where this is required, execute accordingly. Once a final outcome on the success of the funding application is received from the funder, update the application form's workflow status on eRA as follow:
	
	8. Navigate to the application from and open it again as per the abovementioned steps
	9. Open the application form and navigate to the Approval and Outcome tab to update the “Outcome” field under the "Outcome" section and record the final outcome received from the funder
	10. Select the "Save & close" button
	11. Select the workflow status corresponding with the final outcome from the funder (only when a final outcome has been received):

	• "Awarded- contract required" means funding has been awarded and a contract must be generated • "Unsuccessful" means that the application has been rejected for the funding 12. Click the "Done" button to save the workflow status

Deleting an application form in eRA

Should the Researcher/PI no longer be interested in continuing with their application then they can delete it using the following steps:

1. Login to the eRA system and ensure that you are signed in with your Researcher role
2. To access the application:
    - Navigate to the application form using the left navigation, by selecting "Award Management" | "Project Applications/Approval requests" to access the list of applications
    - Navigate to the relevant application form within the list
3. Once the relevant application form is located, select the "Delete" option
4. When the "Confirm Delete" window is displayed, select the "Delete" button to confirm that you want to delete the application form

Deleting the application form can only be executed by the Researcher/PI while it is in the "Draft application" workflow status and it is an irreversible action. The Researcher/PI should be sure that deleting the application form is indeed their desired action.

Withdrawing an application form in eRA

Where an application has progressed beyond the "Draft application" workflow status and the Researcher/PI is no longer interested in continuing with the application, they can withdraw it using the following steps:

1. Login to the eRA system and ensure that you are signed in with your Researcher role
2. To access the application:
    - Navigate to the application form using the left navigation, by selecting "Award Management" | "Project Applications/Approval requests" to access the list of applications

    - Navigate to the relevant application form within the list
3. Once the application form is opened, select the "Resourcing, Ethics & Biosafety" tab and open it
4. Navigate to the "If PI decides to withdraw this application/contract, indicate that below" section
5. Select the "PI wishes to withdraw application/contract" checkbox and add your withdrawal comments in the field provided and select the "Save" button

Withdrawal of the application can only be performed **before** the application gets submitted to the funder. Once the application form reaches the “Submitted” workflow status, it can no longer be withdrawn. Application withdrawal can only be executed by the Researcher/PI in the workflow statuses where the application form is accessible by the Researcher/PI. It is an irreversible action and the researcher should be sure that withdrawing the application is indeed their desired action.

Accessing comments and requests on the Status Log

When collaborating in the eRA system, stakeholders can provide feedback comments and leave requests for each other in the status window which gets displayed when a use attempts to move the application form to another workflow status. The recipient of the form at the next workflow step will be able to view the comments or requests for actioning.

Use the following steps to access the Status Log and comments/requests left by other stakeholders:

1. Login to the eRA system with your respective role
2. To access the application:
    - Navigate to the application form using the left navigation, by selecting "Award Management" | "Project Applications/Approval requests" to access the list of applications
    - Navigate to the relevant application form within the list and select the "Edit/Open" option to open it
3. Open the application form
4. Select the arrow next to the "Admin Info" option below the title to open the drop-down menu
5. Select the "Status Log" option in the drop-down menu
6. Browse the Status Log to view comments or requests from other stakeholders

Requesting support with the application form

Should any further assistance be required, please log a support request to our Research Systems team on ServiceNow.

Completing the details of the form where required and moving it to the correct status in a timely manner is greatly appreciated as it impacts the accuracy of the management of data, analytics and reporting for our Research Executive team and University Research Council.