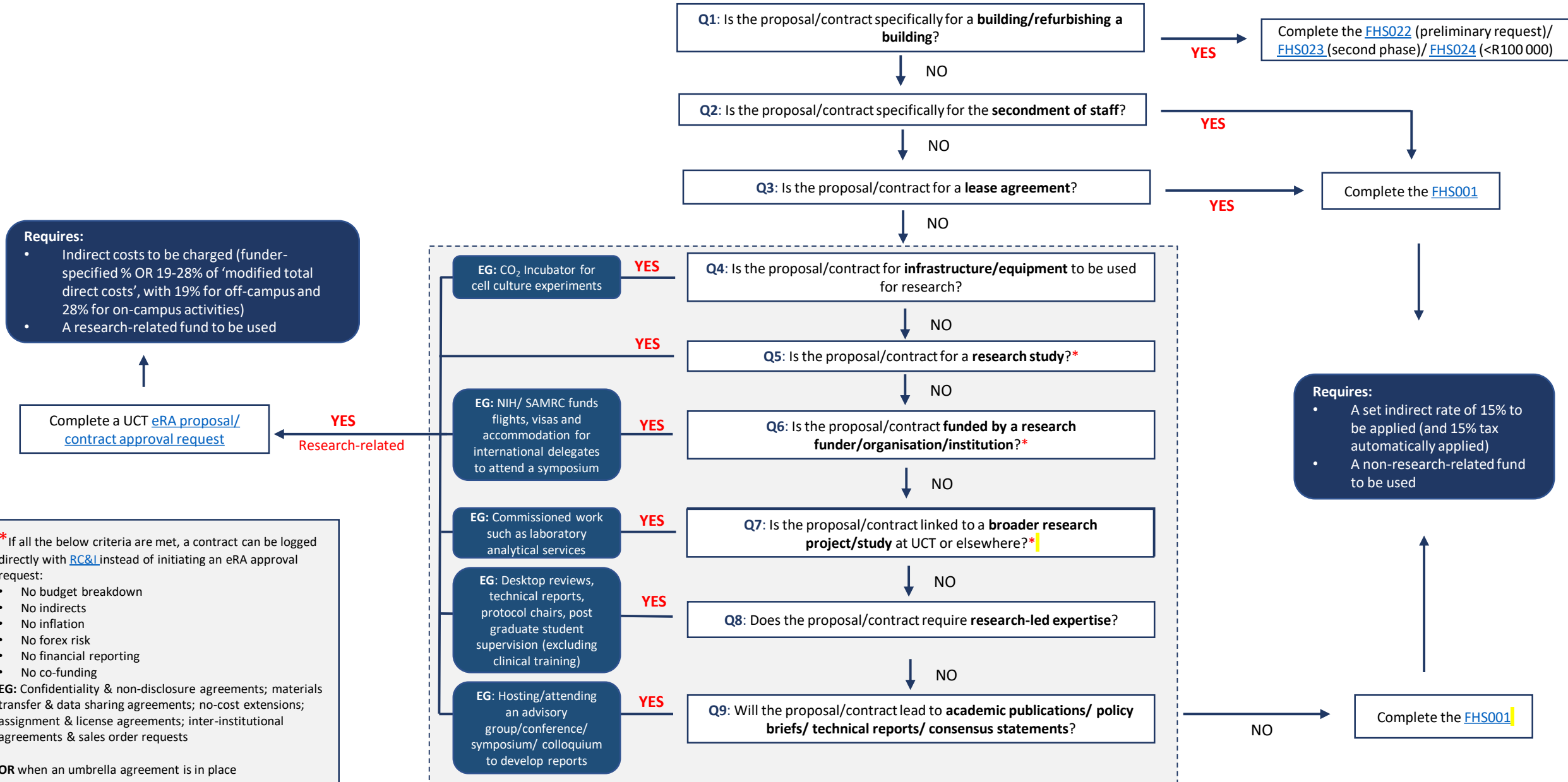# Decision Tree for approval of Proposals & Contracts (Research VS non-Research)

Dr Yolande Harley

A Decision Tree for Institutional Approval of Research and Non-Research Proposals and Contracts

A guide to the approval process to be followed when seeking Institutional Approval in the Faculty of Health Sciences, UCT

Q1: Is the proposal/contract specifically for a **building/refurbishing a building**?

→ **YES** → Complete the FHS022 (preliminary request)/ FHS023 (second phase)/ FHS024 (<R100 000)

↓ NO

Q2: Is the proposal/contract specifically for the **secondment of staff**?

→ **YES** →

↓ NO

Q3: Is the proposal/contract for a **lease agreement**?

→ **YES** → Complete the FHS001

↓ NO

Requires:
- Indirect costs to be charged (funder-specified % OR 19-28% of 'modified total direct costs', with 19% for off-campus and 28% for on-campus activities)
- A research-related fund to be used

↑

Complete a UCT eRA proposal/ contract approval request

← **YES** Research-related

EG: CO_2 Incubator for cell culture experiments → **YES** → **Q4**: Is the proposal/contract for **infrastructure/equipment** to be used for research?

↓ NO

→ **YES** → **Q5**: Is the proposal/contract for a **research study**?*

↓ NO

EG: NIH/ SAMRC funds flights, visas and accommodation for international delegates to attend a symposium → **YES** → **Q6**: Is the proposal/contract **funded by a research funder/organisation/institution**?*

↓ NO

EG: Commissioned work such as laboratory analytical services → **YES** → **Q7**: Is the proposal/contract linked to a **broader research project/study** at UCT or elsewhere?*

↓ NO

EG: Desktop reviews, technical reports, protocol chairs, post graduate student supervision (excluding clinical training) → **YES** → **Q8**: Does the proposal/contract require **research-led expertise**?

↓ NO

EG: Hosting/attending an advisory group/conference/ symposium/ colloquium to develop reports → **YES** → **Q9**: Will the proposal/contract lead to **academic publications/ policy briefs/ technical reports/ consensus statements**?

→ NO → Complete the FHS001

Requires:
- A set indirect rate of 15% to be applied (and 15% tax automatically applied)
- A non-research-related fund to be used

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*If all the below criteria are met, a contract can be logged directly with RC&I instead of initiating an eRA approval request:
- No budget breakdown
- No indirects
- No inflation
- No forex risk
- No financial reporting
- No co-funding

EG: Confidentiality & non-disclosure agreements; materials transfer & data sharing agreements; no-cost extensions; assignment & license agreements; inter-institutional agreements & sales order requests

OR when an umbrella agreement is in place

eRA Proposal Approval Timelines and processes

Presentation at the Faculty Research Committee (FRC) Meeting

3 August 2023

Dr Zulfa Abrahams

OPTIONAL STEP: Request grant writing support

6 weeks 5 4 3 2 1 Funder Deadline

- The Research Development team offers 3 types of grant writing support:

  o Minor (general advice and guidance)

  o Moderate (proposal guidance and support)

  o Major (project management and proposal development)

- Request grant writing support by completing the Intention to Submit form 2-3 months prior to the funder deadline

STEP 1: Initiate an eRA Proposal Approval request

| 6 weeks | 5 | 4 | 3 | 2 | 1 | Funder Deadline |

1

Principal Investigator:
Initiate an eRA Proposal Approval request

Required for all external grant applications, except preliminary applications or concept notes where no budget information is requested

- Initiate an eRA Proposal Approval request at least <u>6 weeks</u> prior to the funder deadline
- Log into eRA with your UCT credentials
- Populate the following tabs:
    - Key Information
    - Research Related Information
    - Resourcing, Ethics and Biosafety
- Add the Budget Reviewer (at the bottom of the 'Resourcing, Ethics and Biosafety' tab)
    - <u>Campus hub</u>: Joachims, Joy Bonita (Joy) - Staff - FIN: FHS Research Finance: ARMA (Active)
    - <u>Red Cross Hospital and Old Main Building</u>: Wevers, Anvor Frederick (Anvor) - Staff - FIN: FHS Research Finance: RMA: OMB & RCH (Active)
- Select the 'Save' button to generate an eRA Application number (at the bottom of the 'Key information' tab)
- Select the 'Save & close' button - when the pop-up box appears, select 'Submitted to Budget Reviewer' then select 'Done'

STEP 2: Email your Budget Reviewer

6 weeks   5   4   3   2   1   Funder Deadline

1 **Principal Investigator:** Initiate an eRA Proposal Approval request

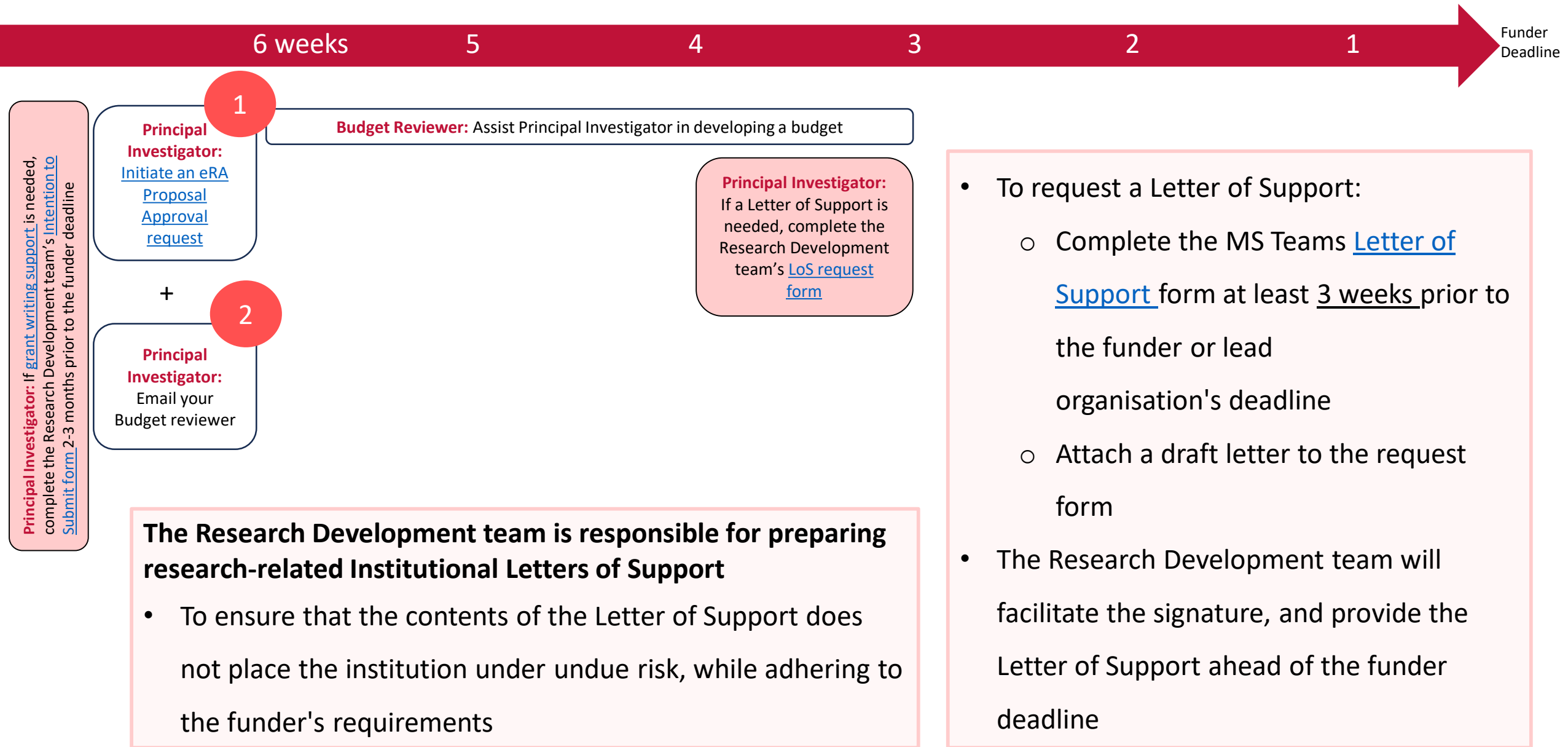**Budget Reviewer:** Assist Principal Investigator in developing a budget

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2 **Principal Investigator:** Email your Budget reviewer

Required for all external grant applications, except preliminary applications or concept notes where no budget information is requested
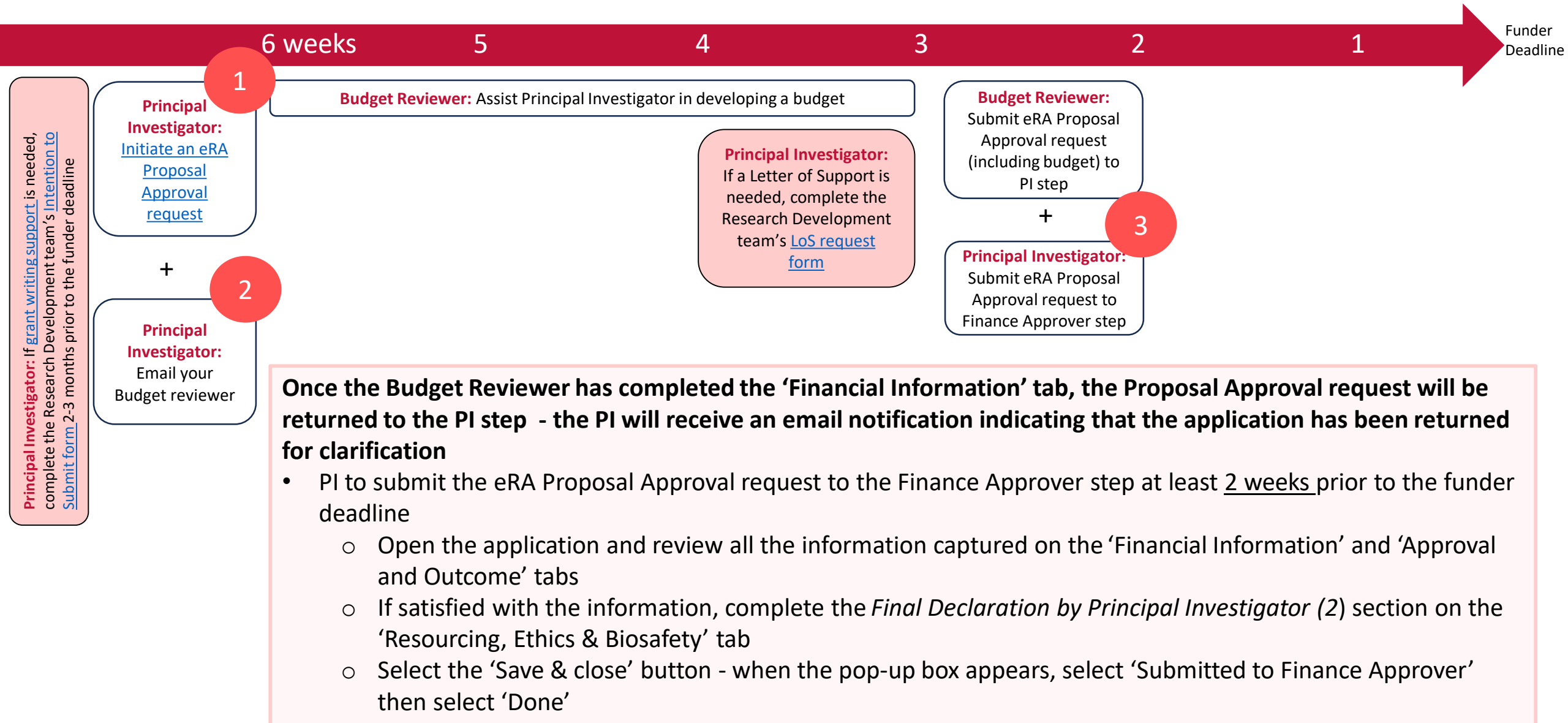
- Request assistance in developing your budget by emailing your Budget Reviewer at least 6 weeks before the funder deadline:

  o Campus hub: Joy.Joachims@uct.ac.za

  o Red Cross Hospital and Old Main Building: fhsombrf-preawds01@uct.ac.za, copying Anvor.Wevers@uct.ac.za

- Include your eRA Application number in the email request

OPTIONAL STEP: Request a Letter of Support

6 weeks | 5 | 4 | 3 | 2 | 1 → Funder Deadline

1 **Principal Investigator:** Initiate an eRA Proposal Approval request

Budget Reviewer: Assist Principal Investigator in developing a budget

Principal Investigator: If a Letter of Support is needed, complete the Research Development team's LoS request form

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2 **Principal Investigator:** Email your Budget reviewer

Principal Investigator: If grant writing support is needed, complete the Research Development team's Intention to Submit form 2-3 months prior to the funder deadline

The Research Development team is responsible for preparing research-related Institutional Letters of Support

- To ensure that the contents of the Letter of Support does not place the institution under undue risk, while adhering to the funder's requirements

- To request a Letter of Support:
  - Complete the MS Teams Letter of Support form at least 3 weeks prior to the funder or lead organisation's deadline
  - Attach a draft letter to the request form

- The Research Development team will facilitate the signature, and provide the Letter of Support ahead of the funder deadline

STEP 3: Submit the eRA Proposal Approval request to Finance Approver step

6 weeks 5 4 3 2 1 **Funder Deadline**

Principal Investigator: If grant writing support is needed, complete the Research Development team's Intention to Submit form 2-3 months prior to the funder deadline

(1) **Principal Investigator:** Initiate an eRA Proposal Approval request

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(2) **Principal Investigator:** Email your Budget reviewer

Budget Reviewer: Assist Principal Investigator in developing a budget

Principal Investigator: If a Letter of Support is needed, complete the Research Development team's LoS request form

Budget Reviewer: Submit eRA Proposal Approval request (including budget) to PI step

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(3) **Principal Investigator:** Submit eRA Proposal Approval request to Finance Approver step

Once the Budget Reviewer has completed the 'Financial Information' tab, the Proposal Approval request will be returned to the PI step - the PI will receive an email notification indicating that the application has been returned for clarification

- PI to submit the eRA Proposal Approval request to the Finance Approver step at least 2 weeks prior to the funder deadline
  - o Open the application and review all the information captured on the 'Financial Information' and 'Approval and Outcome' tabs
  - o If satisfied with the information, complete the *Final Declaration by Principal Investigator (2)* section on the 'Resourcing, Ethics & Biosafety' tab
  - o Select the 'Save & close' button - when the pop-up box appears, select 'Submitted to Finance Approver' then select 'Done'

6 weeks 5 4 3 2 1 Funder Deadline

Between 5-10 days prior to the funder deadline

- The Finance Approver reviews the application, and if all is in order, submits the Proposal Approval request to the Final Faculty Approver step

- The Final Faculty Approver reviews the application, and if all is in order, either:

  o Submits the application to the **RC&I step** (when Institutional submission or proof of Institutional approval is required) – Process 1 or 2

  o **Returns the application to the Principal Investigator** with Institutional approval (when PI submission without proof of institutional approval is required) – Process 3

Finance Approver: Submit eRA Proposal Approval request to Final Faculty Approver step

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Process 1 or 2

Final Faculty Approver: Submit eRA Proposal Approval request to RC&I step

OR

Process 3

Final Faculty Approver: Provide institutional approval and returns eRA Proposal Approval request to PI step

Process 1

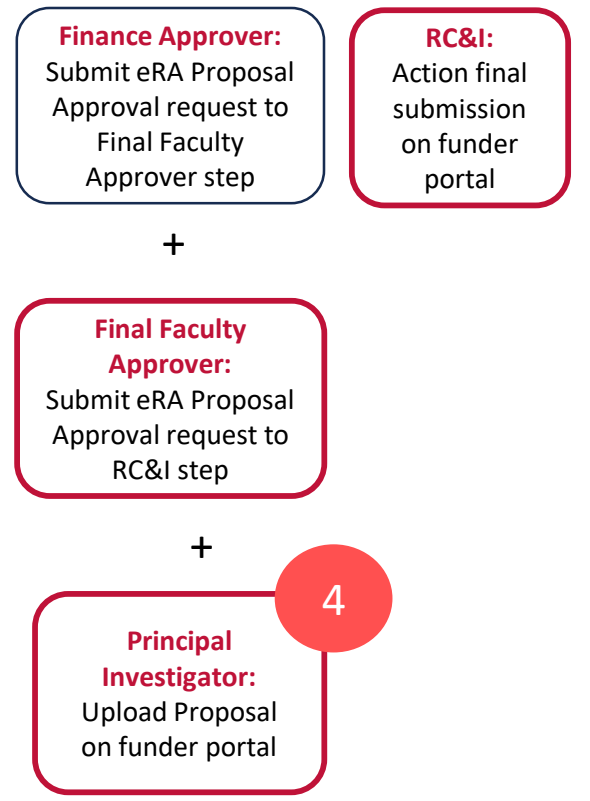6 weeks   5   4   3   2   1   Funder Deadline

The PI must upload the proposal on the funder portal at least <u>1 week</u> prior to the funder deadline:

- Once the PI uploads the proposal on the funder portal and selects 'Submit', an alert is sent to the Authorised Signatory (at RC&I)

- The Authorised Signatory is then able to action the final submission (eg: NIH) or sign-off on the funder generated approval request (eg: Spencer Foundation)

<u>IMPORTANT</u>: The proposal is only considered submitted once the Authorised Signatory performs the final step

Finance Approver: Submit eRA Proposal Approval request to Final Faculty Approver step

RC&I: Action final submission on funder portal

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Final Faculty Approver: Submit eRA Proposal Approval request to RC&I step

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Principal Investigator: Upload Proposal on funder portal

eRA timelines when applying to a funder requiring Institutional submission (eg: NIH, WT, UK MRC/UKRI, Spencer Foundation)

Process 1

For any questions, contact the Research Development Team

Timeline: 6 weeks — 5 — 4 — 3 — 2 — 1 — Funder Deadline

Principal Investigator: If grant writing support is needed, complete the Research Development team's Intention to Submit form 2-3 months prior to the funder deadline

1 — Principal Investigator: Initiate an eRA Proposal Approval request

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2 — Principal Investigator: Email your Budget Reviewer

Budget Reviewer: Assist Principal Investigator in developing a budget

Principal Investigator: If a Letter of Support is needed, complete the Research Development team's LoS request form

Budget Reviewer: Submit eRA Proposal Approval request (including budget) to PI step

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Principal Investigator: Submit eRA Proposal Approval request to Finance Approver step

Finance Approver: Submit eRA Proposal Approval request to Final Faculty Approver step

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3 — Final Faculty Approver: Submit eRA Proposal Approval request to RC&I step

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4 — Principal Investigator: Upload Proposal on funder portal

RC&I: Action final submission on funder portal

Process 2

| 6 weeks | 5 | 4 | 3 | 2 | 1 | Funder Deadline |

In the week prior to the funder deadline:

- The Authorised Signatory will provide institutional approval - by signing a grant signatory form/sub-award commitment form

- Return the grant signatory form/ sub-award commitment form to the PI

- The PI can submit the proposal to the funder/ primary applicant

Finance Approver: Submit eRA Proposal Approval request to Final Faculty Approver step

RC&I: Provide institutional approval

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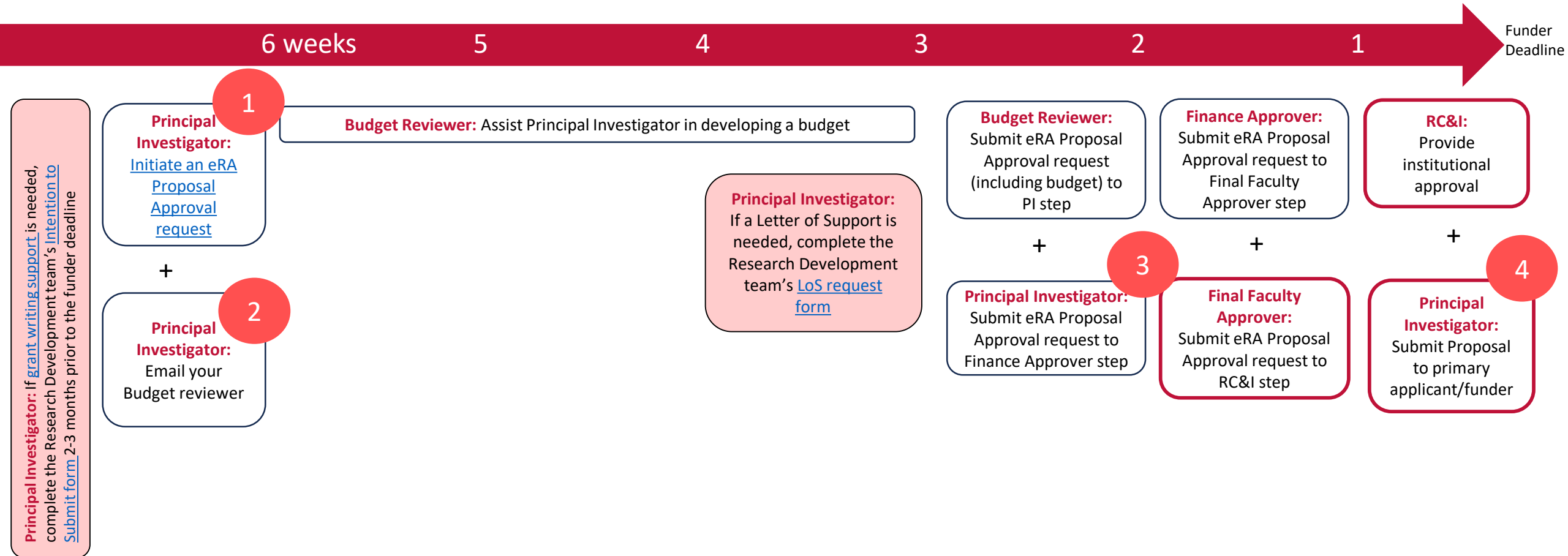**Final Faculty Approver:** Submit eRA Proposal Approval request to RC&I step

Principal Investigator: Submit Proposal to funder

eRA timelines when applying to a funder requiring PI submission with proof of Institutional Approval (eg: NIH sub-award, Poliomyelitis Research Foundation, CANSA)

Process 2

For any questions, contact the Research Development Team

6 weeks	5	4	3	2	1	Funder Deadline

Principal Investigator: If grant writing support is needed, complete the Research Development team's Intention to Submit form 2-3 months prior to the funder deadline

① Principal Investigator: Initiate an eRA Proposal Approval request

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② Principal Investigator: Email your Budget reviewer

Budget Reviewer: Assist Principal Investigator in developing a budget

Principal Investigator: If a Letter of Support is needed, complete the Research Development team's LoS request form

Budget Reviewer: Submit eRA Proposal Approval request (including budget) to PI step

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Principal Investigator: Submit eRA Proposal Approval request to Finance Approver step

Finance Approver: Submit eRA Proposal Approval request to Final Faculty Approver step

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③ Final Faculty Approver: Submit eRA Proposal Approval request to RC&I step

RC&I: Provide institutional approval

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④ Principal Investigator: Submit Proposal to primary applicant/funder

Process 3

| 6 weeks | 5 | 4 | 3 | 2 | 1 | Funder Deadline |

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Finance Approver: Submit eRA Proposal Approval request to Final Faculty Approver step

Principal Investigator: Submit Proposal to funder

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Final Faculty Approver: Provide institutional approval and returns eRA Proposal Approval request to PI step

- Following Final Faculty Approver sign-off, the PI will receive an email notification indicating that the application has been returned with Institutional Approval

- The Principal Investigator can submit the proposal to the funder ONLY once the email notification is received

eRA timelines when applying to a funder requiring PI submission without proof of Institutional approval (eg: Bill & Melinda Gates Foundation)

Process 3

For any questions, contact the Research Development Team

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6 weeks   5   4   3   2   1   Funder Deadline

Principal Investigator: If grant writing support is needed, complete the Research Development team's Intention to Submit form 2-3 months prior to the funder deadline

1 **Principal Investigator:** Initiate an eRA Proposal Approval request

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2 **Principal Investigator:** Email your Budget reviewer

Budget Reviewer: Assist Principal Investigator in developing a budget

Principal Investigator: If a Letter of Support is needed, complete the Research Development team's LoS request form

Budget Reviewer: Submit eRA Proposal Approval request (including budget) to PI step

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Principal Investigator: Submit eRA Proposal Approval request to Finance Approver step

3 **Final Faculty Approver:** Provide institutional approval and returns eRA Proposal Approval request to PI step

Finance Approver: Submit eRA Proposal Approval request to Final Faculty Approver step

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4 **Principal Investigator:** Submit Proposal to funder