



## Stage Four: Contracting

Contract-stage approval process via UCT's electronic Research Administration system (UCT eRA)

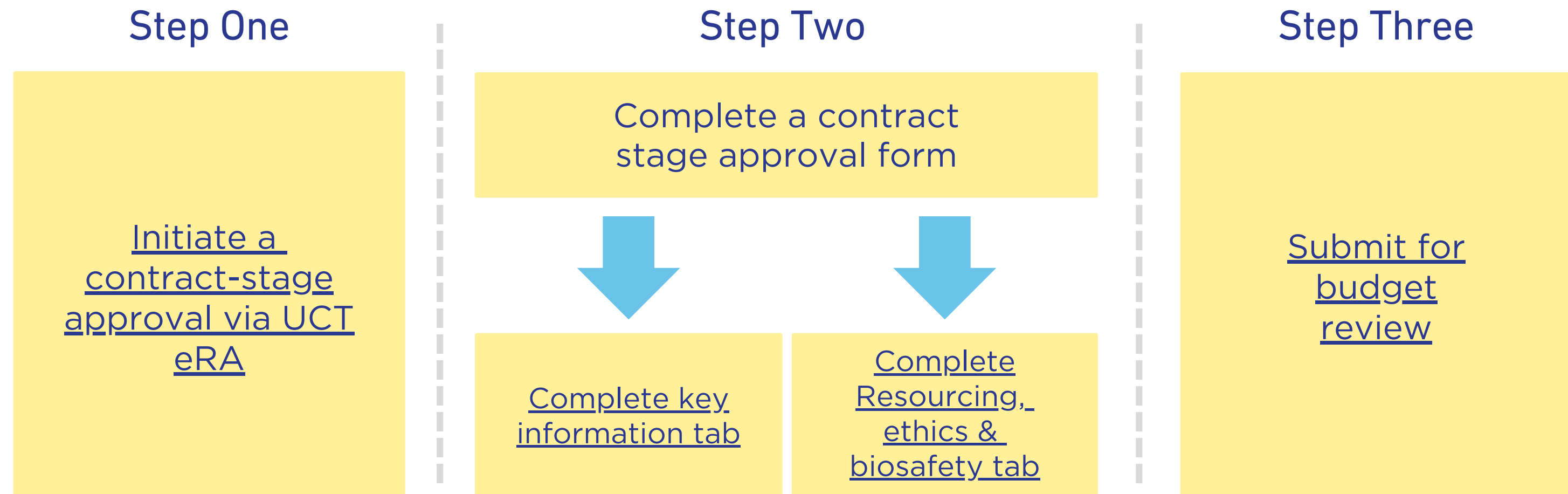
This process flow outlines the steps a researcher must follow to log a pre-award internal approval via eRA. eRA pre-award internal approvals are divided into application and contract-stage approvals. This process covers the contract-stage approval process. Contract-stage approval is required prior to accepting external funding.

Contract-stage approval is required when (1) you are awarded a research contract from a funder or through a commissioned/consultancy/industry-led contract for which there was no funding call and the process began with contract negotiation with the funder/sponsor, (2) you did not follow internal procedures by completing an application-stage approval, (3) you logged an application-stage approval, but the funder made the award based on revised budget or contract terms and the eRA record must therefore be updated.

Click [here](#) to see which funding opportunities require internal approval via eRA 

**Note:** Only initiate contract-stage approval after receiving official notification of your award.

### There are three key steps to logging a contract stage approval via eRA







# Step One: Initiate a contract-stage approval via UCT eRA

## Contract-stage approval process via UCT eRA

Initiate a contract-stage approval via UCT eRA



 [Click to login to UCT eRA](#)

 [Click for details about the five types of application stage approval forms](#)

As the Principal Investigator (PI), you are responsible for completing the two tabs:  
(Click blocks below to jump to each section)

[Key information](#)

[Resourcing, ethics and biosafety](#)



# Step One: Initiate a contract-stage approval via UCT eRA

Types of contract-stage approval forms and when to use them

Initiate a contract-stage approval via UCT eRA



Select the appropriate contract-stage approval form

6

## 1. Proposal approval for non-clinical trials

This form is the one most used for research grant applications to external funders. It is suitable for research projects that do not involve clinical trials. Observational studies follow the non-clinical trials approval process.

## 2. Proposal approval for clinical trials

Use this form when your research project is classified as a clinical trial. Clinical trials involve participants receiving specific interventions based on a research plan/protocol.

## 3. Preliminary proposal approval

Complete this form when you intend to submit a letter of intent or preliminary application to an external funder. This is typically used for outline proposals or the first of a two-stage proposal process. If you are invited for a second-stage proposal, complete the appropriate proposal approval form.

**Note:** The forms listed in 4 and 5 below are only available on UCT eRA when the specific calls are open

## 4. South African Medical Research Council Self-Initiated Research (SAMRC-SIR) programme grants

This form is specific to SAMRC-SIR programme grants. These applications require you to develop your own budget and do not require faculty finance approval. Approvals go directly to the final faculty approver. This is only for SAMRC-SIR; other SAMRC grants follow the usual UCT eRA approval process apart from SAMRC postdoctoral fellowships which do not require UCT eRA approval.

## 5. Poliomyelitis Research Foundation (PRF) research grants and major impact project

This form is used for PRF research grants and major impact projects. These applications require you to develop your own budget and do not require faculty finance approval. Approvals go directly to the final faculty approver.



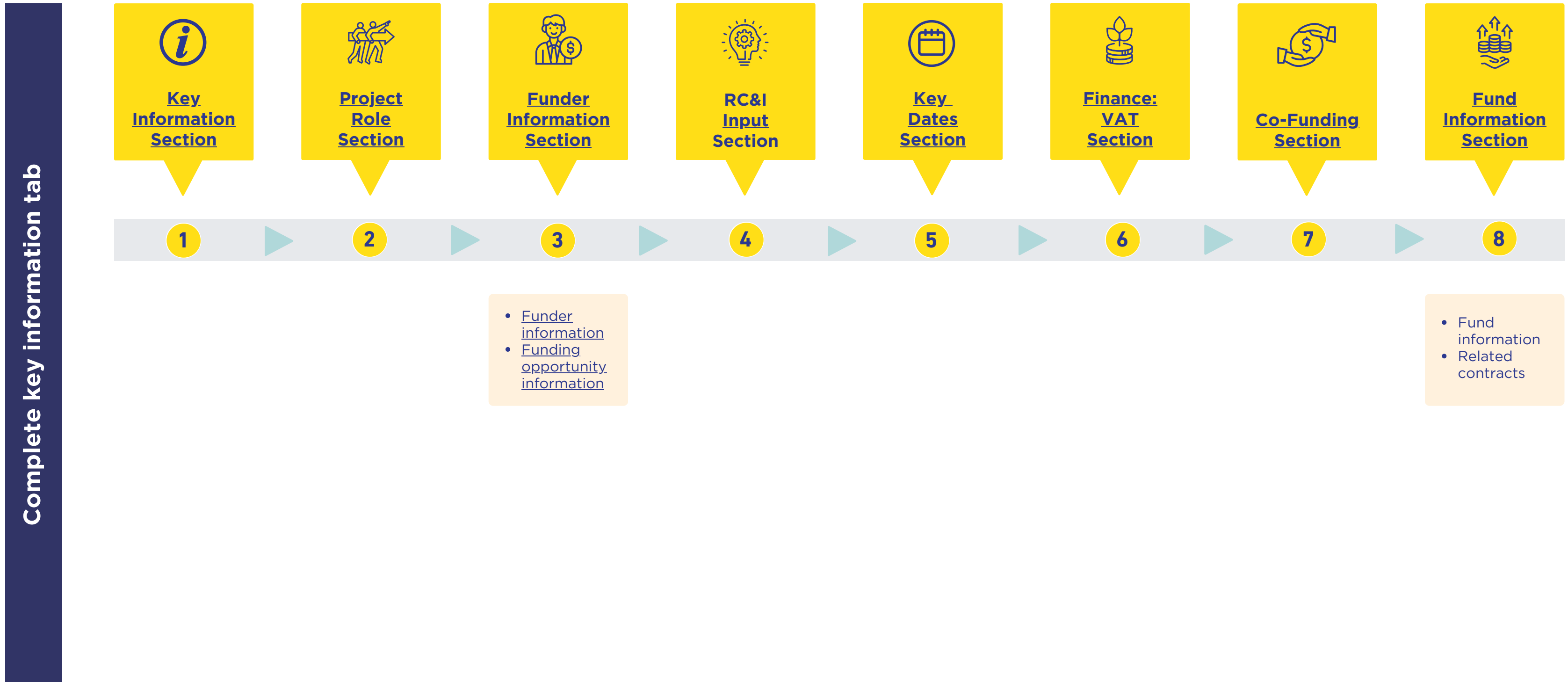
# Step Two: Complete key information tab

## Contract-stage approval process via UCT eRA

There are eight key sections requiring completion on the key information tab

Note: Click on each section to view the instructions and process

Click on the icon alongside to view screenshots directly from eRA [Click to view](#)






# Step Two: Complete key information tab

## Contract-stage approval process via UCT eRA


Complete key information tab

### 1. Key Information Section


Select the **type of project** application from the drop-down menu

1




Select the **approval type** from the drop-down menu

2




Give your research project a **clear title**

3



**Upload your project** proposal or protocol

4



Application stage approval

Select **application-stage approval** when applying for research funding in response to an open call/request for proposal



Contract stage approval

Select **contract-stage approval** if:

- (1) you have been awarded a research contract through direct negotiation with the funder-such as commissioned, consultancy, or industry-led projects without a prior funding call OR
- (2) you previously submitted an application-stage approval, but the funder requests budget or contract changes after proposal submission

(1) New  
(2) Supplement/revision  
(3) Amendment  
(4) Costed extension  
(5) Renewal

**TIP:** The definitions of each of these approval types are provided. Ensure you select the correct one

**TIP:** Ensure that your project title matches the project title given in the proposal

This doesn't need to be submission-ready but should include key cost drivers (e.g., participants, travel, personnel) for budget review and finalisation

**PROJECT PROPOSAL / PROTOCOL**

[Click to view](#)



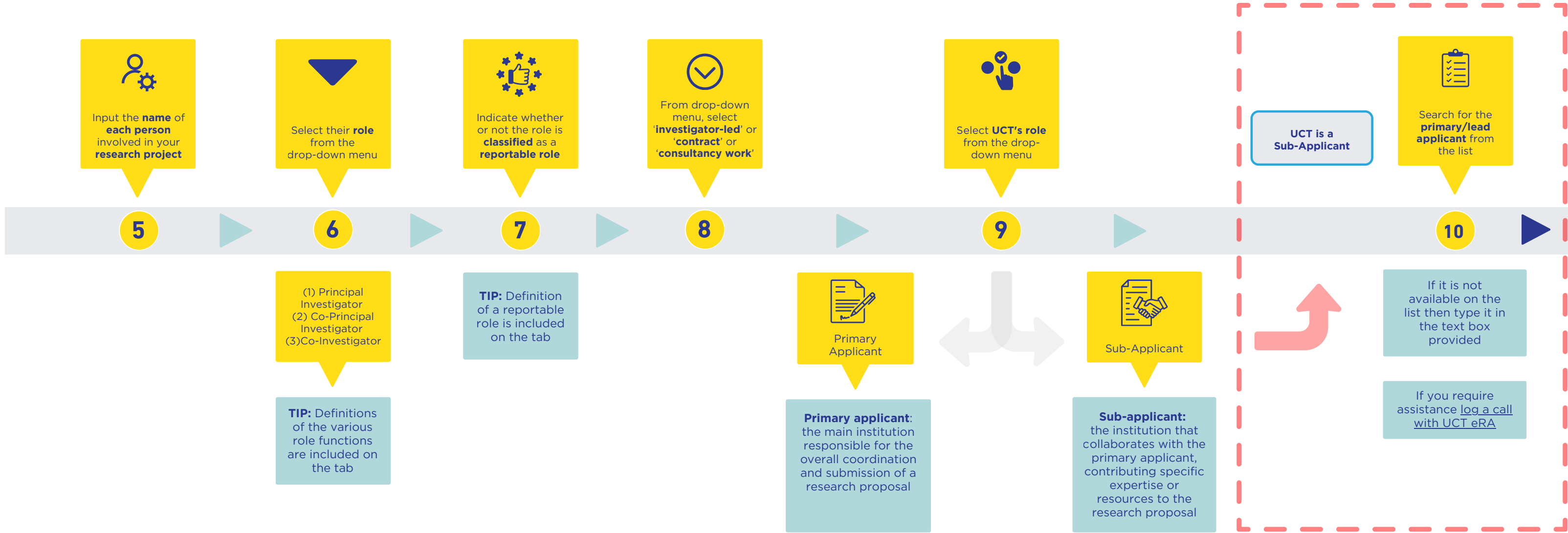
# Step Two: Complete key information tab

## Contract-stage approval process via UCT eRA

[Click to view](#)

Complete key information tab

### 2. Project Roles Section





# Step Two: Complete key information tab


Contract-stage approval process via UCT eRA

Complete key information tab

## 3. Funder Information Section

  
Indicate whether the funder is **national** or **international** using the dropdown menu

11


  
Select the **primary funder** from the drop-down menu

12

**Primary funder:** the main institution or entity that provides the largest portion of financial support for the research project


Primary Funder Not Available

Yes

  
Select "**to be advised**" from the dropdown menu

13

**TIP:** Please read carefully before selecting "to be advised"

  
Type the details in the **comment box** provided

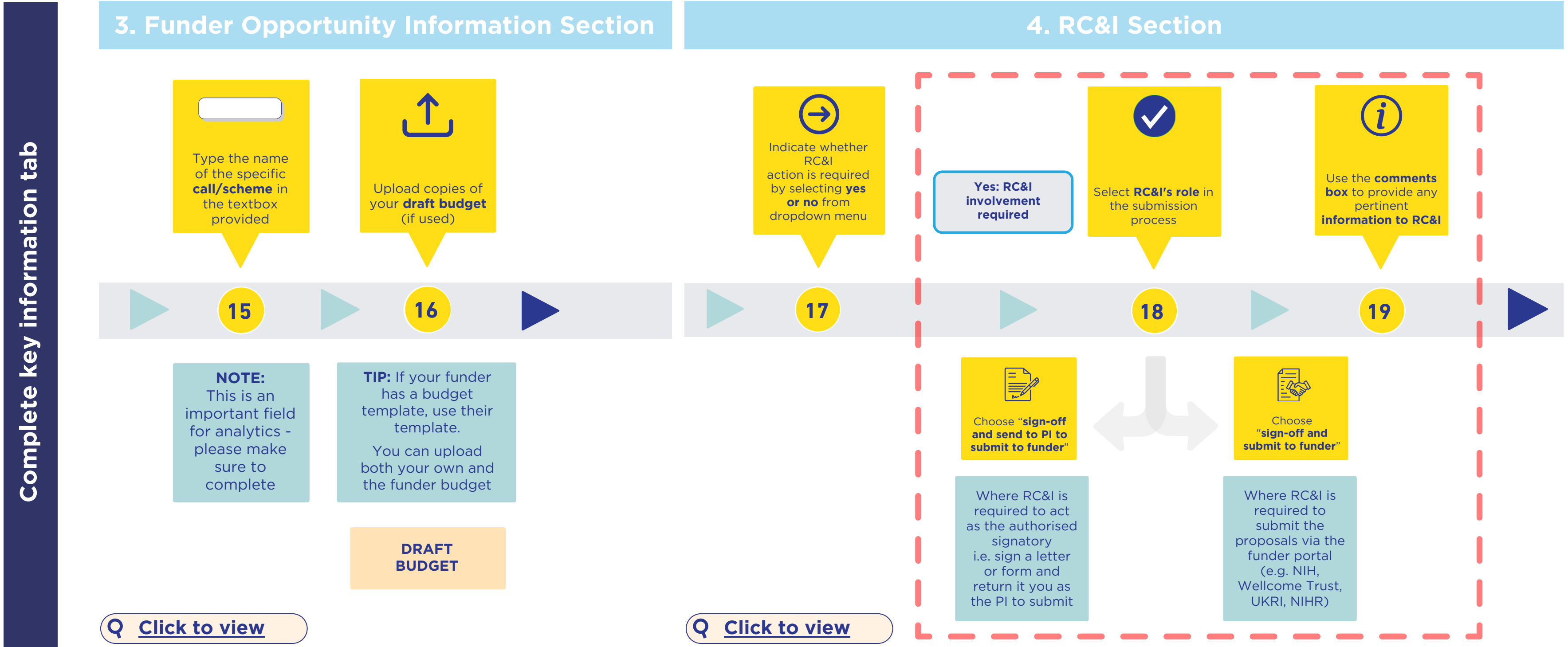
14

[Click to view](#)



# Step Two: Complete key information tab

Contract-stage approval process via UCT eRA



Complete key information tab



# Step Two: Complete key information tab

## Contract-stage approval process via UCT eRA

Complete key information tab

### 5. Key Dates Section



Take note of this deadline. As per UCT's internal deadlines, this date will be five working days before the deadline

**Note:** This must be ten working days before the funder deadline if RC&I involvement is required, and five working days when it is not

**TIP:** Ensure that the start and end date are aligned to your budget

**TIP:** Remember to check the funder requirements as they often specify the earliest possible start date




# Step Two: Complete key information tab

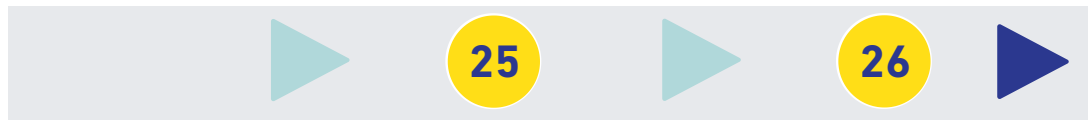
## Contract-stage approval process via UCT eRA

Complete key information tab

### 6. Finance VAT Section

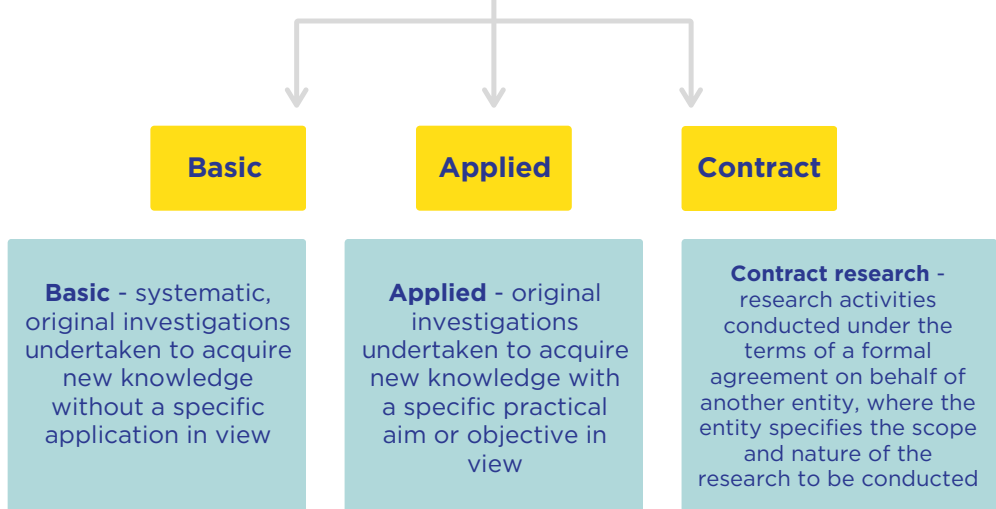
  
Select the **correct SARS definition** for the research project

Select whether **students or postdoctoral fellows** (on tax-free stipends) will be included in the project by selecting the appropriate option from the drop down menu



[Click to view](#)

**TIP:** The definitions are available on the tab



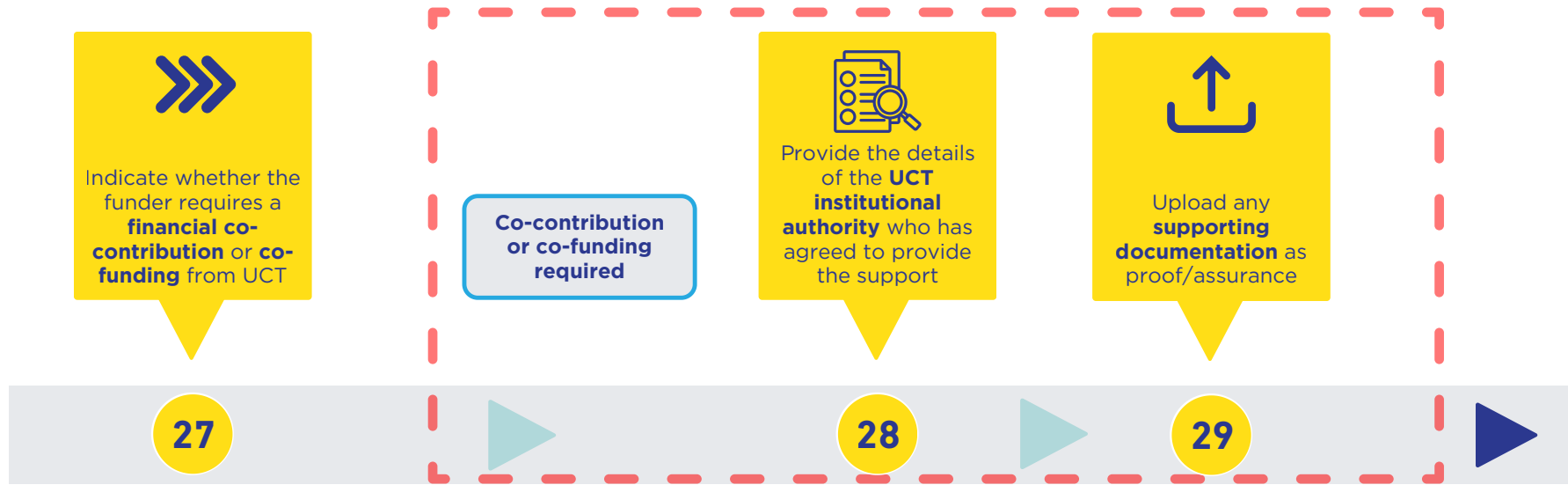


# Step Two: Complete key information tab

Contract-stage approval process via UCT eRA

Complete key information tab

## 7. Co-Funding Section



Financial or in-kind resources contributed to a research project by parties other than the primary funder (in this case UCT)

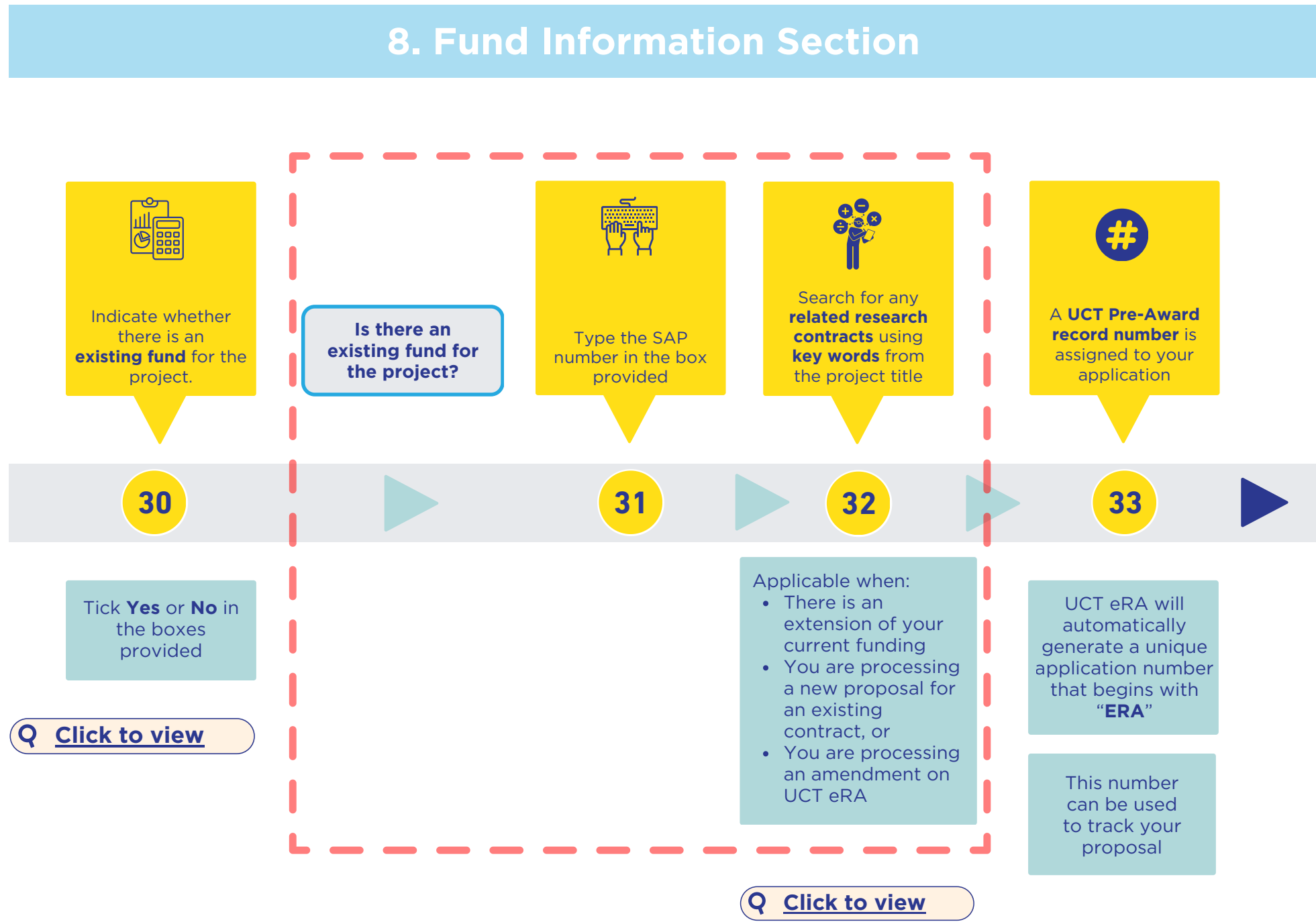
[Click to view](#)



# Step Two: Complete key information tab

## Contract-stage approval process via UCT eRA

Complete key information tab

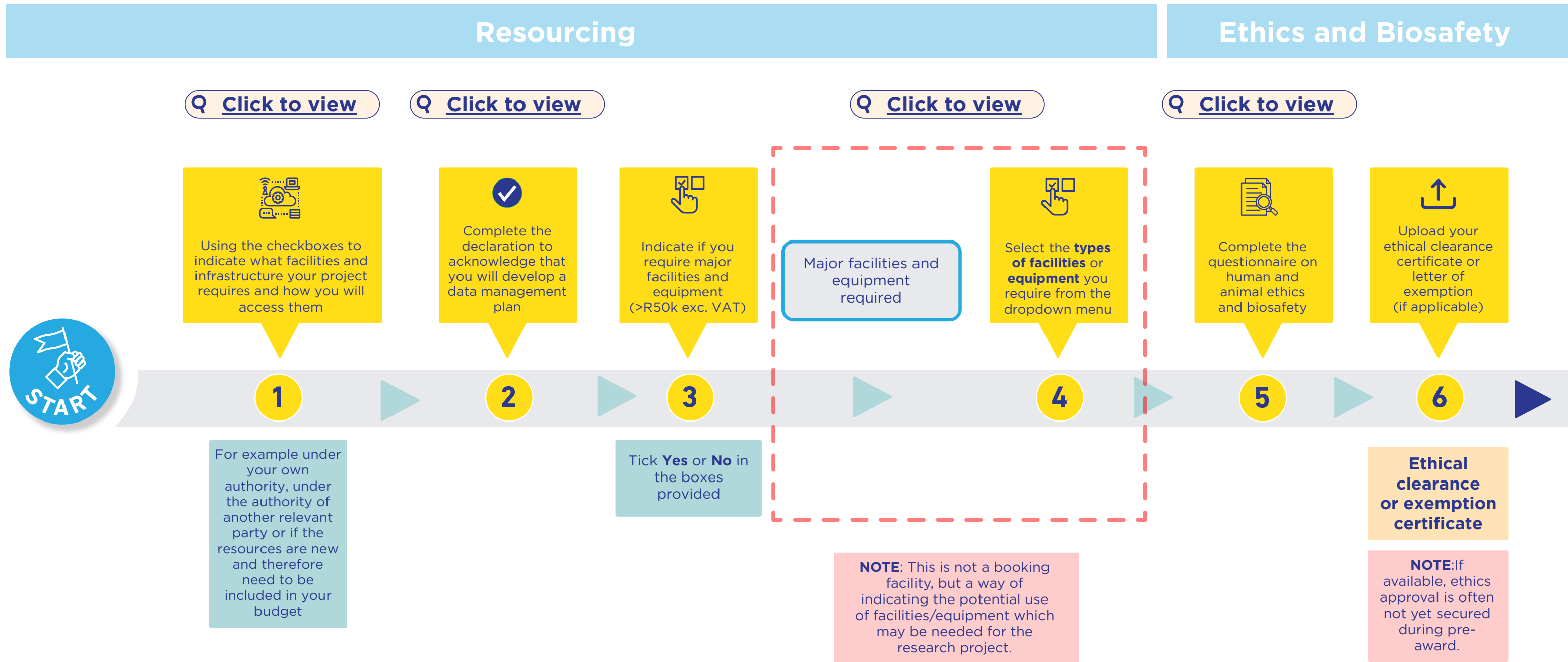




# Step Two: Complete resourcing, ethics & biosafety tab

## Contract-stage approval process via UCT eRA

Resourcing, ethics and biosafety tab

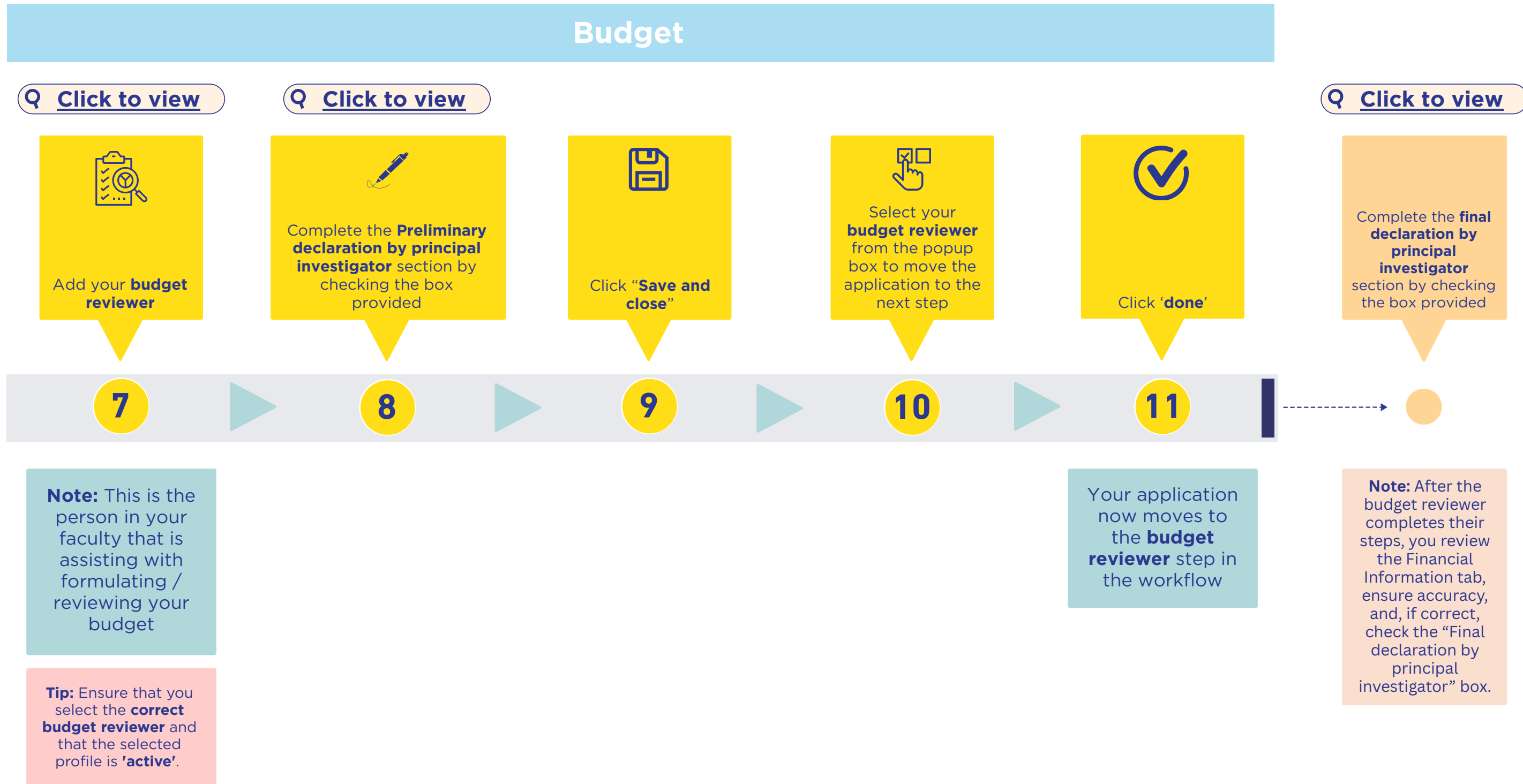




# Step Three: Submit to budget reviewer

## Contract-stage approval process via UCT eRA

Resourcing, ethics and biosafety tab





# Step Two: Complete key information tab

## Contract-stage approval process via UCT eRA

Key information tab

### 1. Key Information Section

This section of the form is to be complete 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) [dropdown arrow]

#### 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 increases the scope of this 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 investigator involved)

**Costed extension:** A submission requesting a time 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

Select approval type [dropdown arrow]

#### Project title \*

English (GB) \* [text area]

0/512

Please attach the project proposal or protocol here \*

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

Upload new file [upload icon]



# Step Two: Complete key information tab

## Contract-stage approval process via UCT eRA

Key information tab

### 2. Project Roles Section

#### Roles

##### UCT Principal Investigator\*

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	
Abrahams, Melissa	Research Systems (eResearch)	Principal investigator	Yes	

##### UCT Co-PI or Co-Investigators

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.



##### Other Project Staff

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.



##### Investigator-led or contract/consultancy\*

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

If UCT is the sub-applicant please select lead applicant



##### If other lead applicant, please list here

If the organisation is not available on the list, please add it on the text box or [log a call](#)



# Step Two: Complete key information tab

Contract-stage approval process via UCT eRA

Key information tab

## 3. Funder Information Section

### Funder Information

#### National or International

Select national or internatio ▾

#### 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

0/1024

#### 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

Upload new file

#### 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

Upload new file



# Step Two: Complete key information tab

## Contract-stage approval process via UCT eRA

Key information tab

### 4. RC&I Input Section

#### 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?

Some funders require an authorised representative, not the PI, to submit the application. At UCT RC&I performs this function. Examples of funders that require RC&I to submit are NIH and Wellcome Trust. If you are unsure, please check with the International Grants Hub ([internationalgrants@uct.ac.za](mailto:internationalgrants@uct.ac.za)).

Select yes or no

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

Select requirements from RC&I

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

0/1000

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

Upload new file



# Step Two: Complete key information tab

## Contract-stage approval process via UCT eRA

Key information tab

### 5. Key Dates Section

#### Key Dates \*

##### 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

0/50



# Step Two: Complete key information tab

Contract-stage approval process via UCT eRA

Key information tab

## 6. Finance VAT Section

### 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 Co ▾

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

Select yes/no/not yet known ▾



# Step Two: Complete key information tab

Contract-stage approval process via UCT eRA

Key information tab

## 7. Co-Funding Section


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

Select yes or no

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

0/1000

Where applicable, please attach proof of co-contribution

Upload new file 



# Step Two: Complete key information tab

Contract-stage approval process via UCT eRA

Key information tab

## 8. Fund Information Section

### Fund Information

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

Yes  No

SAP fund number

0/15

### Related Contracts



### Generated Contract

Application number

This is automatically generated after "save" is clicked

0/12



# Step Two: Complete resourcing, ethics & biosafety tab

Contract-stage approval process via UCT eRA

Resourcing, ethics and biosafety tab

## Infrastructure and Staff

### Infrastructure and Staff

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

	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 Cloud computing	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Data storage	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Data management plan	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Data protection impact assessment	<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"/>



# Step Two: Complete resourcing, ethics & biosafety tab

Contract-stage approval process via UCT eRA

Resourcing, ethics and biosafety tab

## Research data management plan section

### Research Data Management

UCT seeks to support effective data sharing and the need for data to be FAIR (findable, accessible, interoperable and reusable). Please ensure that you have indicated the availability of plans and funds, where applicable, for your research data on the checklist above. Click for more information on the [Data Management Plan \(DMP\)](#) and the [Research Data Management Policy](#). Alternatively, contact [eResearch here](#) for support.

By checking the box below, I acknowledge that in the event this application is successful, I will develop a full Data Management Plan (DMP) prior to commencing the research, in compliance with the UCT Research Data Management policy and funder requirements.



# Step Two: Complete resourcing, ethics & biosafety tab

Contract-stage approval process via UCT eRA

Resourcing, ethics and biosafety tab

## Major facilities and equipment

### Major Facilities and Equipment

Another UCT research group may already house the major facility/equipment you need for your research. You can find this information on the eRA Facilities Database below and liaise with the group on its availability. This will not affect your approval submission, but aims to make best use of existing facilities, and could reduce unnecessary purchase of duplicate equipment. Major facilities/equipment is that >R50,000 in value excl. VAT

Do you require major facilities or equipment?

	Yes	No
	<input type="checkbox"/>	<input type="checkbox"/>

If yes, please click below to search & select facilities/equipment that may be useful for your project

(this does not commit you or the facility owner to its use, just serves as a reminder to you of what is available and helps UCT understand need)



Note: If you require equipment not available through UCT or your collaborators, be sure to budget this appropriately.



# Step Two: Complete resourcing, ethics & biosafety tab

Contract-stage approval process via UCT eRA

Resourcing, ethics and biosafety tab

## Ethics & Biosafety

### Human Ethics \*

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

Upload new file

### Animal Ethics \*

For the forms that will need to be completed for ethical approval click [here](#).

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

Upload new file

### Biosafety \*

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

Upload new file



# Step Three: Submit to budget reviewer

Contract-stage approval process via UCT eRA

Submit budget to Reviewer

## Budget Reviewer

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

Please note that this is the person in your Faculty that is assisting with formulating and reviewing your budget.





# Step Three: Submit to budget reviewer

Contract-stage approval process via UCT eRA

## Preliminary declaration

### Preliminary declaration by Principal Investigator \*

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 Budget Reviewer) \*

Submit budget to Reviewer



# Step Three: Submit to budget reviewer

Contract-stage approval process via UCT eRA

Submit budget to Reviewer

## Final declaration by Principal Investigator

### 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.