# Ethics Research Manager:

## Researcher guide to completing

## Animal Ethics Applications

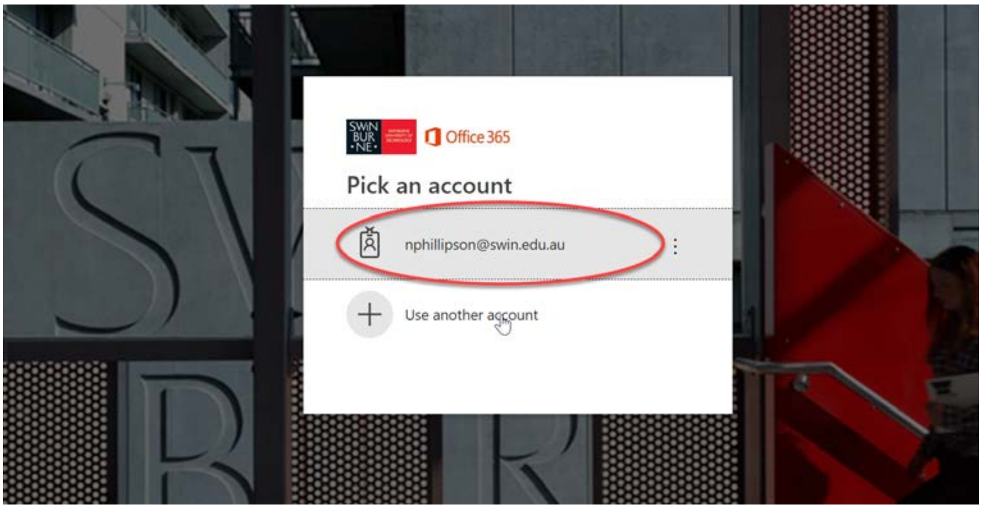
This user guide is to assist Swinburne researchers and staff to complete an animal ethics application and submit for Swinburne Animal Ethics Committee review in Ethics Review Manager (ERM) the online ethics management system.

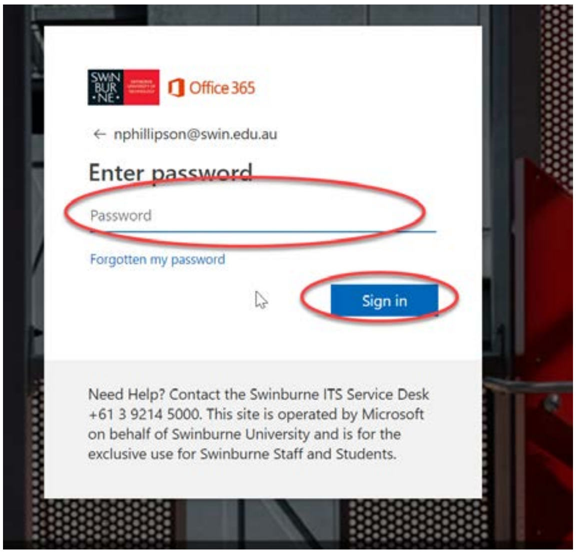
Swinburne Research- Research Ethics, Integrity & Biosafety
Version 3 Jan 2020

## Contents

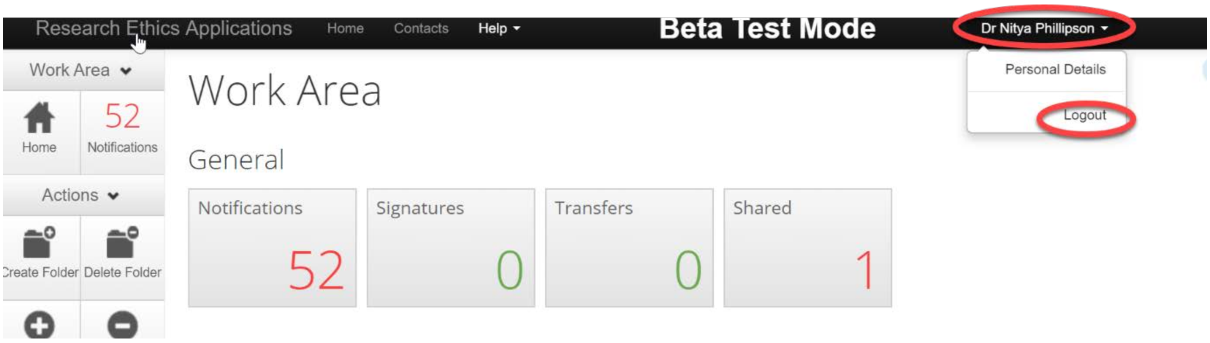
# 1 Logging in

- Navigate to https://ethicsapps.swin.edu.au/
- Click on Log in on the top right hand corner
- Use your Swinburne account (Swinburne email address) as the username (or pick your existing account if this option is displayed). Swinburne (Ethics Review Manager) ERM is fully integrated into the Swinburne Single Sign on. All researchers with an @swin.edu.au or @swin.edu.my will be able to access the application portal
- Use your email password for the password- click sign in.
- If you have any issues logging on email resethics@swin.edu.au




- If you have signed in before your name will appear in the top right hand side indicating you are logged in. Click on home to take you to your work area. If you wish to log in as a different user Log out and you can then log back in again using a different username.



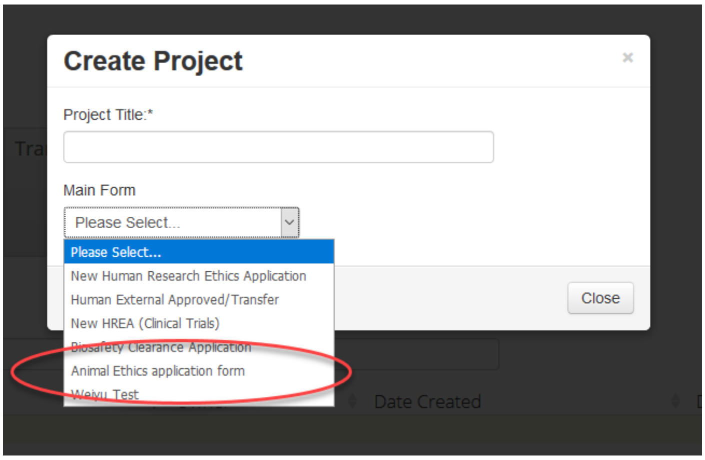

## 1.1 How to log in as an external applicant (I don't have a Swinburne email address)?

- If you do not have a Swinburne email address contact the Research Ethics team on resethics@swin.edu.au or the SAEC Executive Officer on agaeth@swin.edu.au or phone 03 9214 8356 and provide the following information
    - The email address you wish to use to access the ERM
    - Information regarding which Swinburne researchers and project you are collaborating with
    - A brief summary about your research and Swinburne's involvement.
- We will then create an account for you and email you a username and password.

# 2 Selecting the right ethics application for you

## 2.1 Different applications available

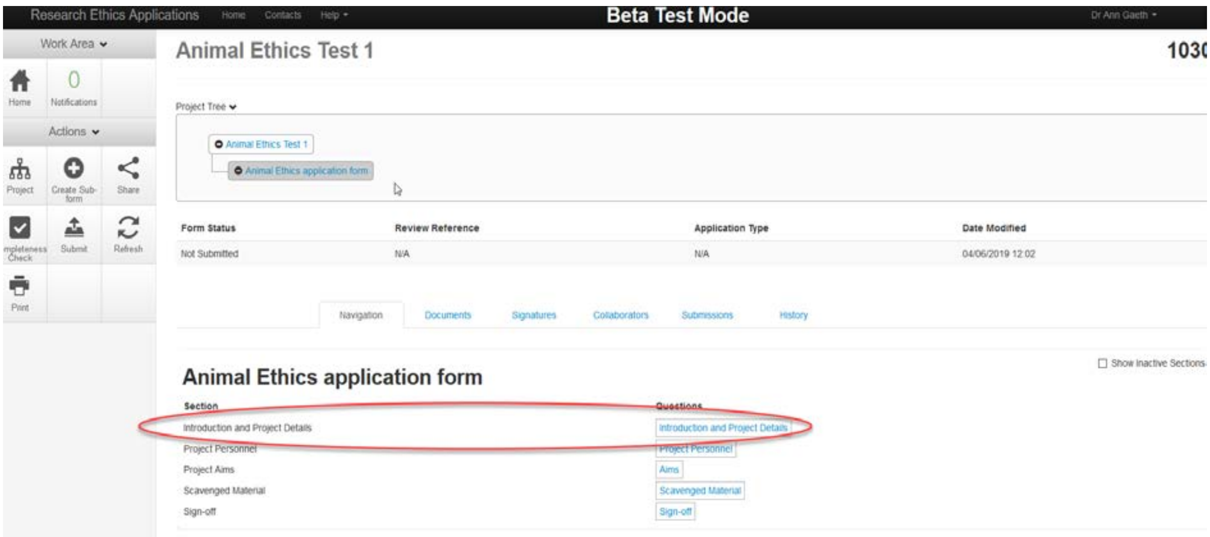
- There are several different types of Ethics applications available, details of which are listed below.
- These options are found when you select the 'Create project' icon in the Actions Panel on the left-hand side of the landing page. The drop-down list for Main Form lists these as options.
- For research using animals, animal tissue or observing animals you will need animal ethics clearance by the Swinburne Animal Ethics Committee (SAEC). Select Animal Ethics application form.



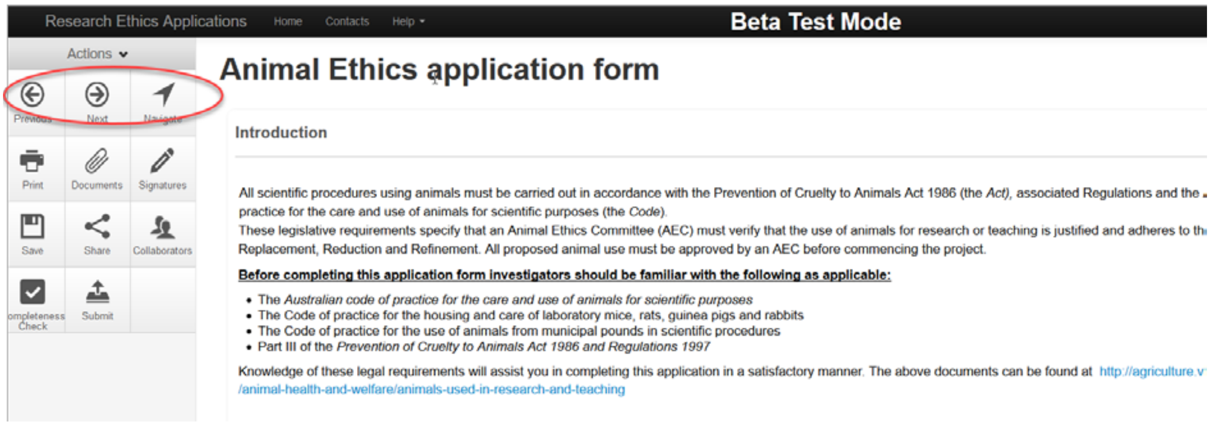

# 3 How to complete an animal ethics application

## 3.1 Drafting your application

Once you have created your application you will be taken to the navigation page displayed below. Commence with the Introduction and Project Details section as this will take you through a series of checklists that will create and remove sections depending on how you answer these.



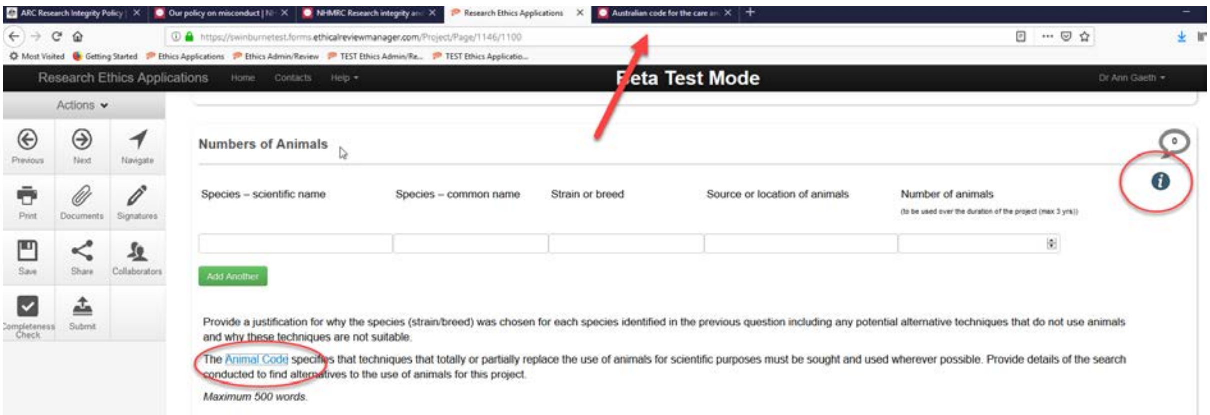
- Navigate through the form by clicking Next or Previous on the Left Hand Side (LHS) panel




- You can see the overall structure of the form by clicking on the navigate arrow in on the LHS Actions panel and then click on the relevant sections of the form to take you to that section
- You can conduct a completeness check at any time by selecting the completeness check button in the LHS Actions panel and go directly to any incomplete section by clicking on the sections highlighted as incomplete.
- **Please SAVE your application frequently to avoid losing any work. To do this click on the Save button on the LHS actions tab.**
- Please note that only the Chief Investigator can submit an Animal ethics application. Please see Section 6 of this guide for more information

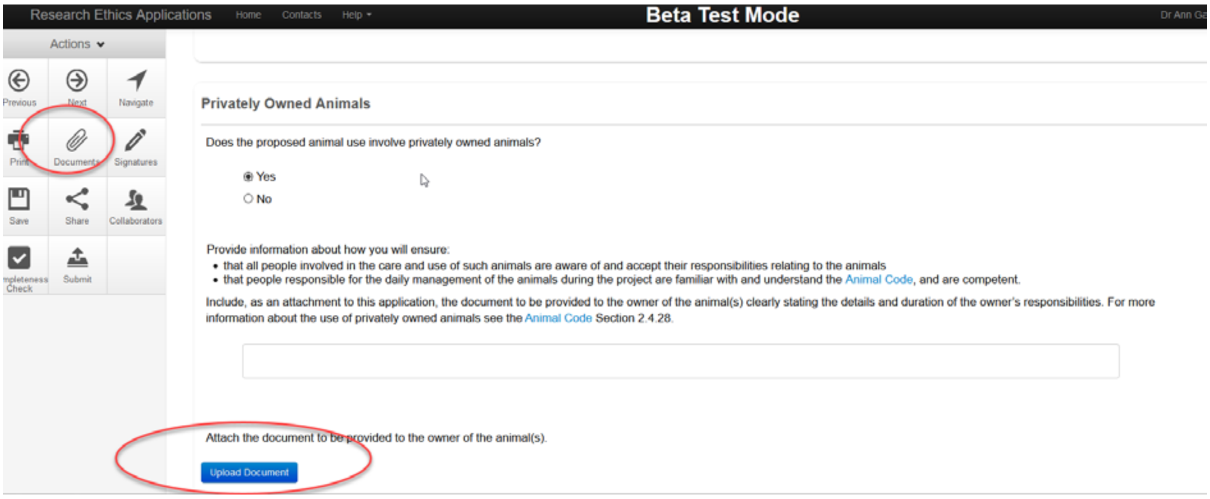
## 3.2 Need help with a question

- To see help sections click on the icon next to the question
- A help text will pop up in a window. If you click on a hyperlink they will open in a new tab (see arrow)

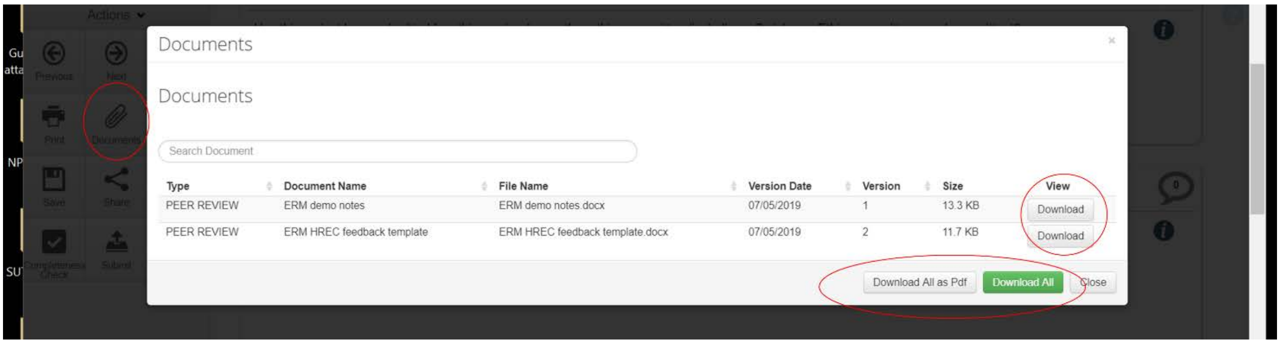



## 3.3 Attaching relevant documents

- You may be prompted at certain points to upload a document. To do this, click upload documents. Male sure that you use version control on all of your documents including the date, version, author and title of the document.
- Click Browse to select the file on your computer you wish to upload, enter date, version, author and title of the document.




- You can review all documents uploaded to the application using the Document button on the Actions tab that is located on the left hand side (LHS)
- Documents can be downloaded separately or all together

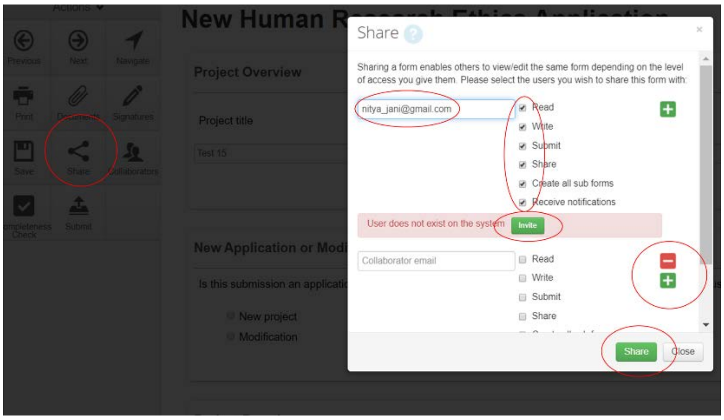



# 4 How to share and collaborate on an animal ethics application

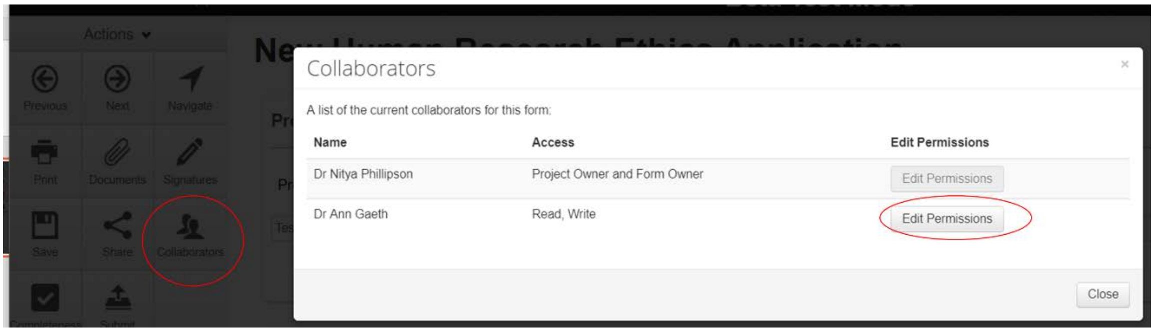
- To share your application with other collaborators for their input, click on the Share icon on the LHS action tab
- A pop-up box will appear. Enter the email address of the collaborator.
- Select permission (you can select multiple options)
    - Read - person can read the application
    - Write - person can add content to the application
    - Submit - person can submit the application (see signature section for more information on submission)
    - Share - person can go on to share the application with others and assign these permissions forward
    - Create all sub-forms - person can create sub-forms like annual reports and adverse event
    - Receive notifications - person will receive notifications about the application.
- Do this for multiple collaborators by clicking on the addition button and repeat for additional collaborators.
- All persons with a @swin.edu.au or @swin.edu.my email address will immediately be set up with access to Swinburne ERM. If named collaborators do not have an ‘@swin.edu.au’ an

invite button will appear, the person will receive an email indicating how to obtain access to the system.

- To remove a collaborator, click on the minus button.
- Click Share to finalise. This can be modified at any time. Please note you cannot click share if you have empty collaborator sections present.

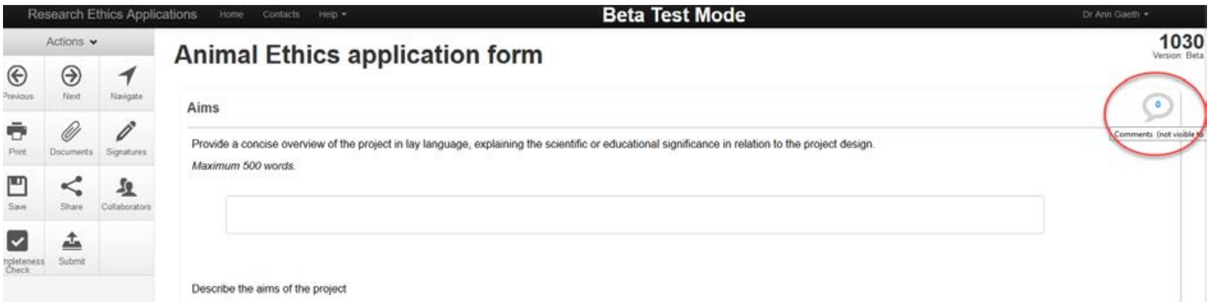


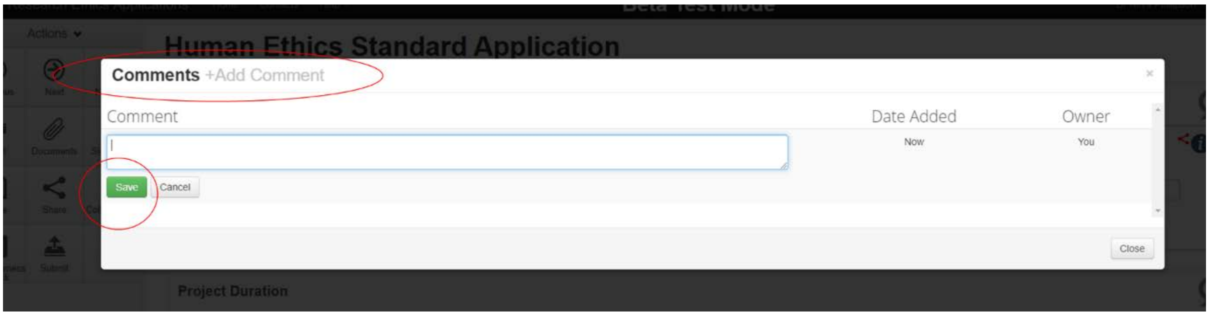

- To review your collaboration or edit permissions click on collaboration icon on LHS Actions tab. You can edit permission by clicking on edit permission button



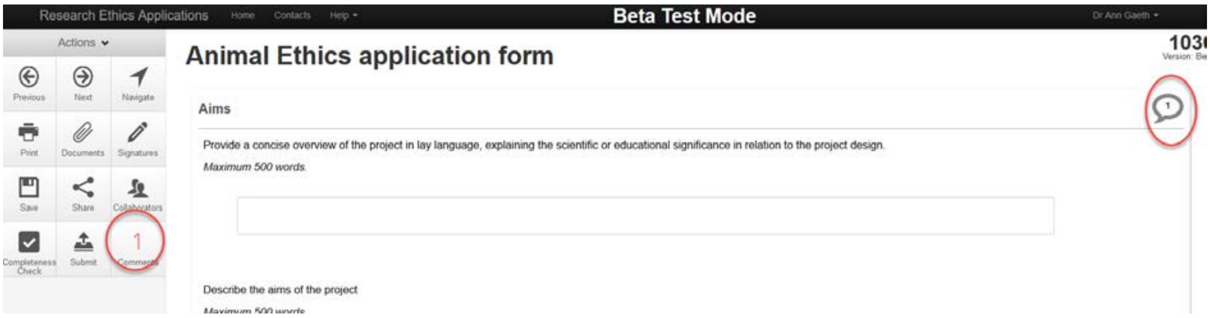

## 5 How to make comments on yours or a collaborator's ethics application

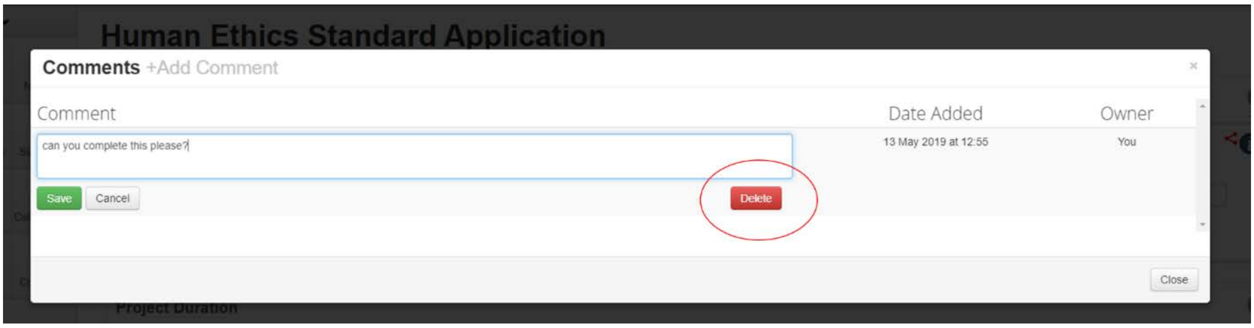
- To make a comment for other researchers or collaborators to see click on the comment bubble on the top right-hand side of a question.
- Enter the comment you wish your collaborators to see. These will only be visible to your collaborators and not the ethics committee reviewer






- You and  your collaborators can view a summary of comments, click on the Comments button on the LHS action tab
- A list of all comments will appear, you can click on these comments and it will take you directly to the question the comment refers to.
- You can edit or delete a comment by clicking on the comment and the delete button shows up, or you can amend this comment.




# 6 How to obtain sign off on an animal ethics application

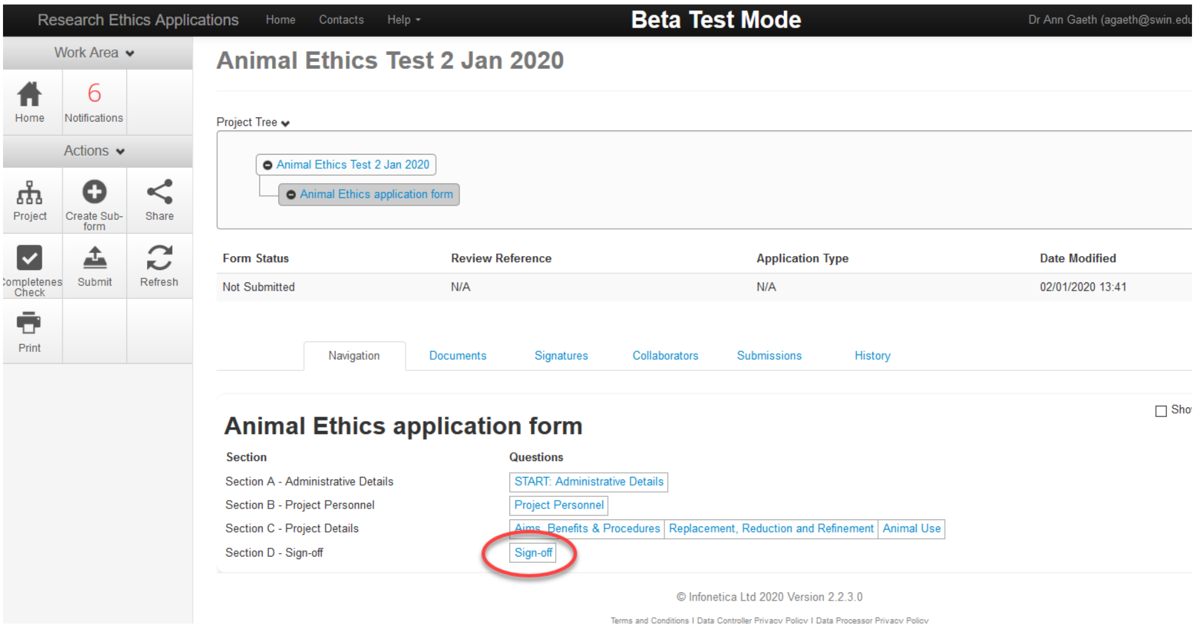
Signatures may be required for your application to be submitted:

- Chief Investigators (CIs) must sign (Note: Students cannot act as CI)
- Associate Investigators must sign
- Animal Facility Manager - if using the animal facilities
- Trainers of investigators in animal experimental techniques and animal handling
- faculty Dean or Head of Department

## 6.1 Signature requests

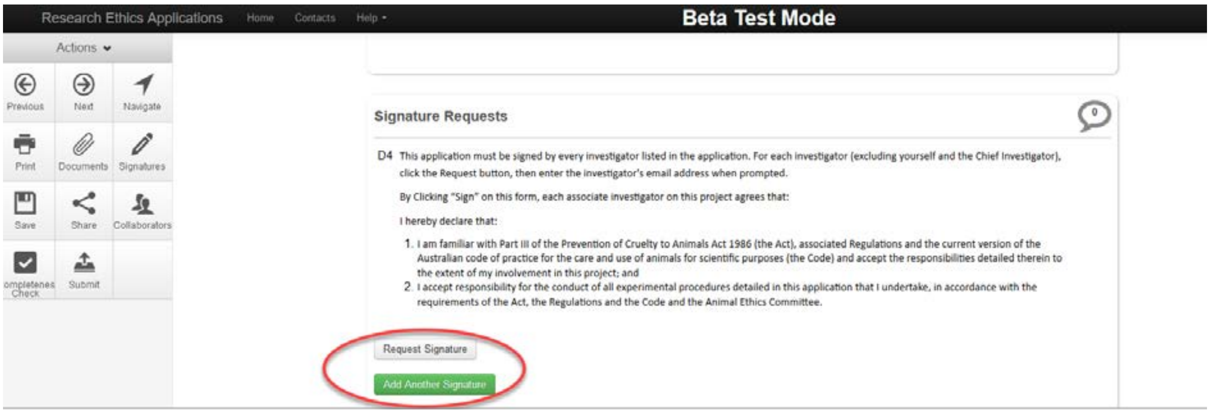
To commence sign off, click on the navigate icon on the LHS actions tab to navigate to the sign off section of the application

- Answer D1-D3 accordingly - yes or no

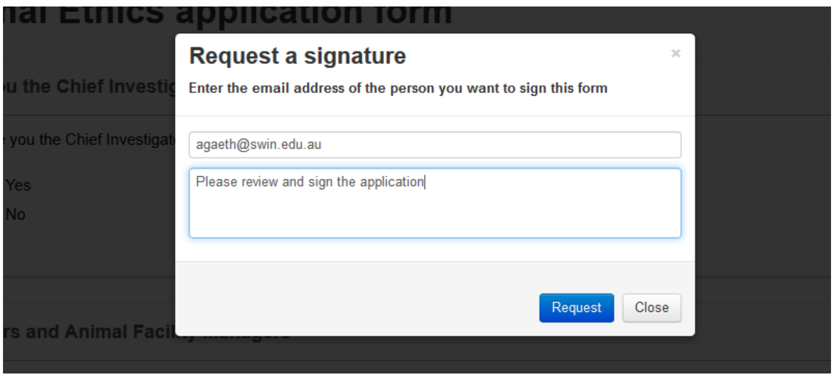



## 6.2 Associate Investigator, Trainer, HOD and Animal Facility Manager Signature requests

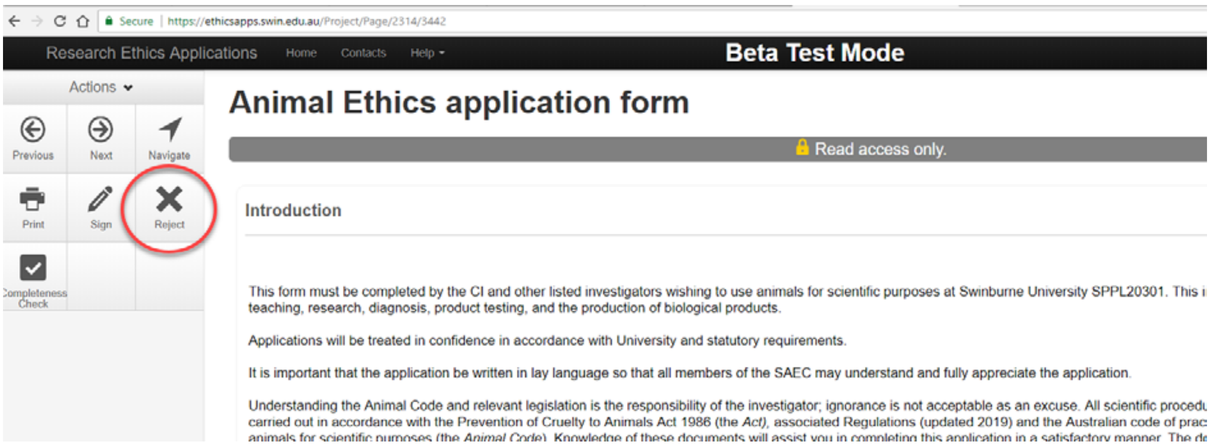
- Use the navigate icon on the LHS actions tab to navigate to the sign off section of the application
- At question D4 (other investigators) click on the Request Signature tab




- Enter an associate investigator's email address, a message for the investigator (optional) and click on Request

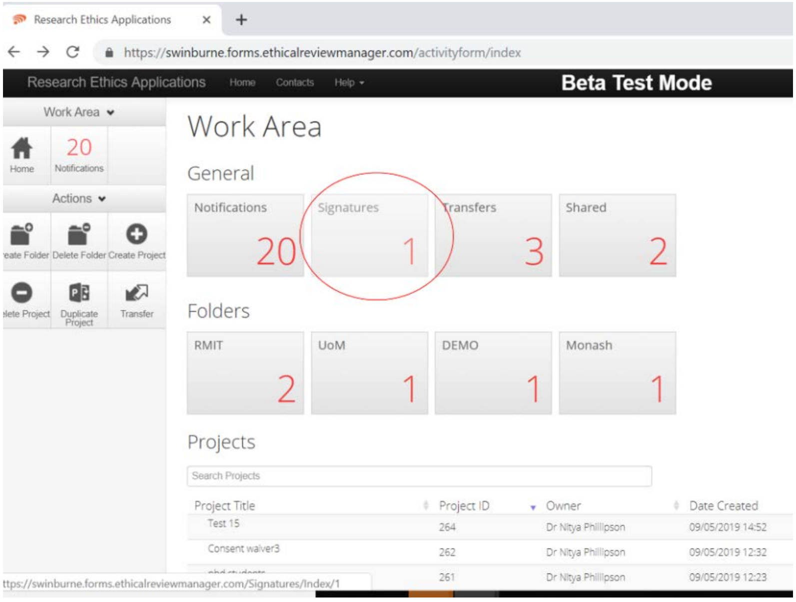


- The person must also be listed an applicant on the application otherwise an error message will appear.
- When you click on Request, a completeness check will be undertaken. Sections that are incomplete will be highlighted. Click on the relevant section of the application which will indicate the incomplete section.
- The associate investigator will receive an email requesting sign off. The link in the email will take the associate investigator to the project (sign in required using Swinburne single sign on user ID (name@swin.edu.au) and password).
- When the associate investigator signs off on the application you will receive notification via email.
- If there is more than one associate investigator you will need to click on the 'add another signature' tab
- Repeat this process for D5 Head of Department or Dean signature, D6 Trainer Declaration and D7 Manager of Animal Facility signature.
- If as the associate investigator, trainer, HOD or animal facility manager you do not wish to sign off on the ethics application, click on the Reject icon on the LHS actions tab.
- You will be prompted to provide feedback to the applicant. This will be sent in an email to the applicant and the form be unlocked for the chief investigator to make changes.

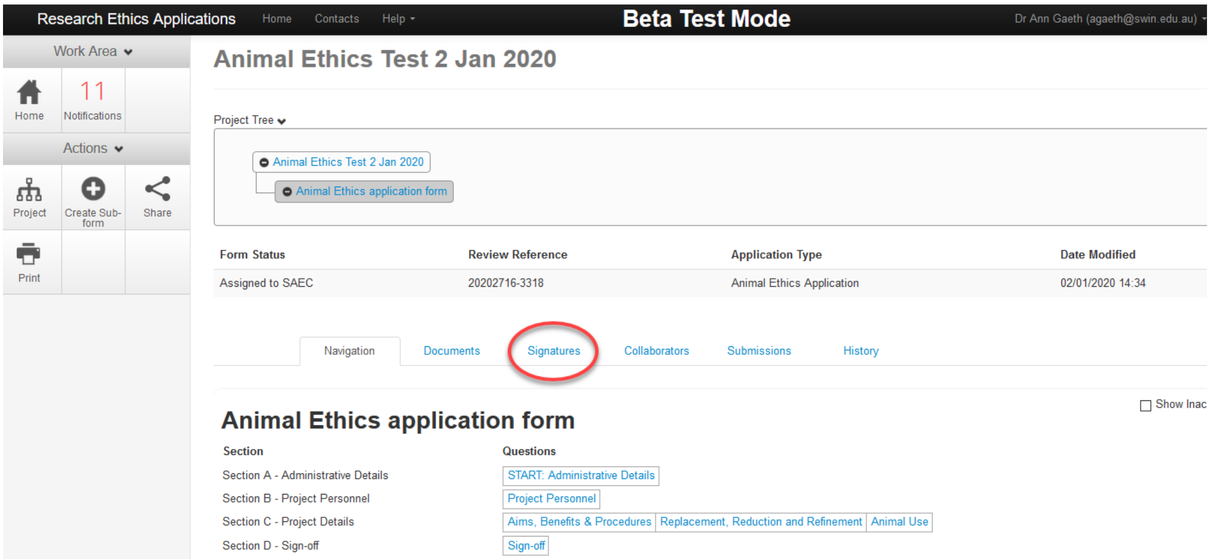



## 6.3 Signature request status

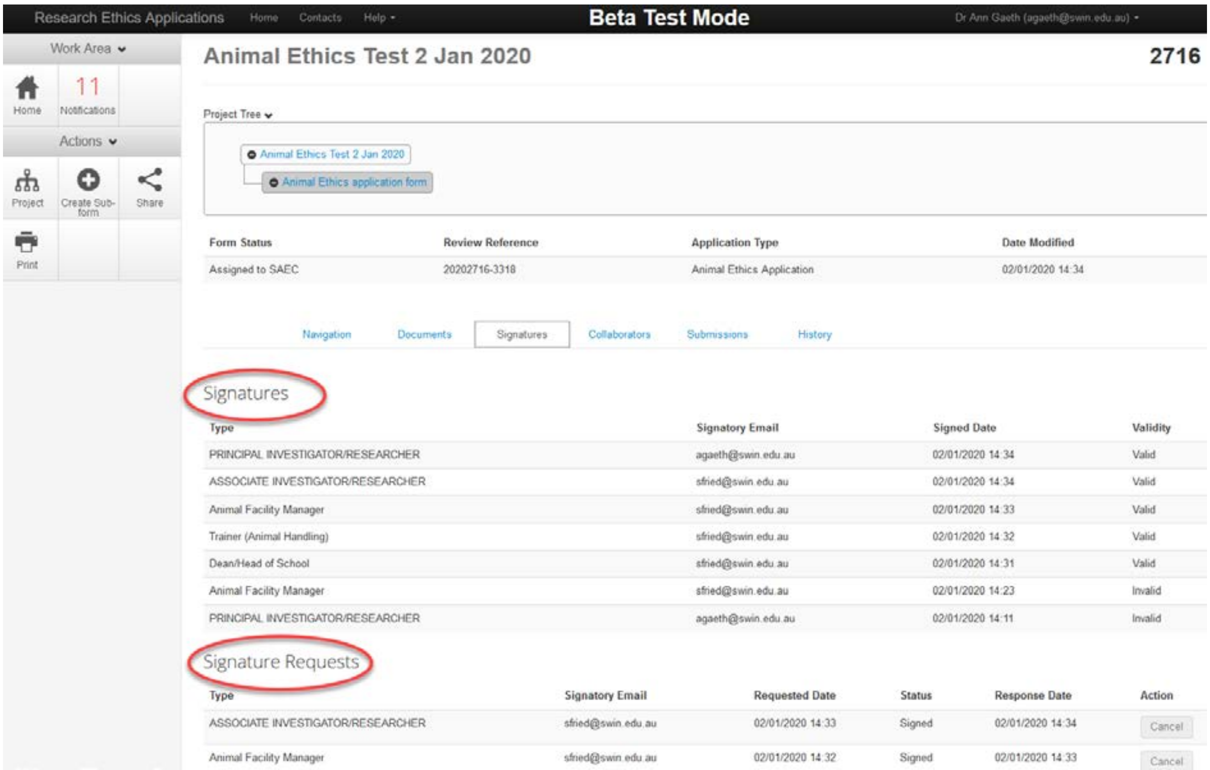
- Click on the Signatures tile in the Work Area




- Here you can see all applications waiting on signatures, as well as those previously signed
- Click on view application.
- From this screen you can click on the signatures tab to view the status of the signature requests.

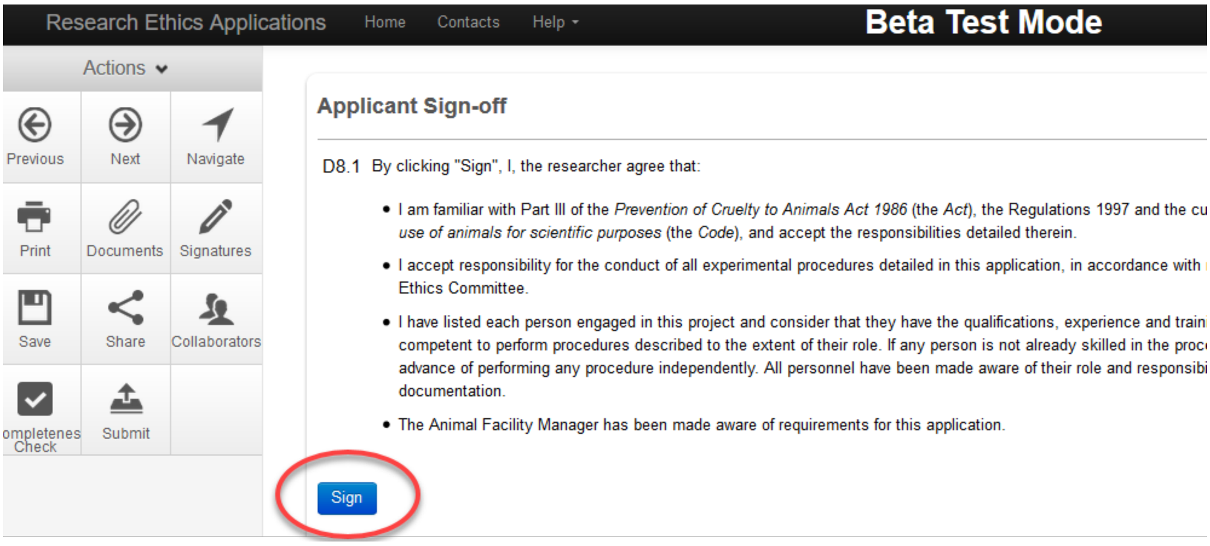



- The signatures tab show the status of the signature requests and signature.
- In the below example the requested date, status and response date are shown for the Signature Requests. A signature request can be cancelled at this point. This may be required if, for example, the HOD is unavailable and you need to re-assign the signature request.
- The Signatures section give the signed date and if the signature is valid or not.



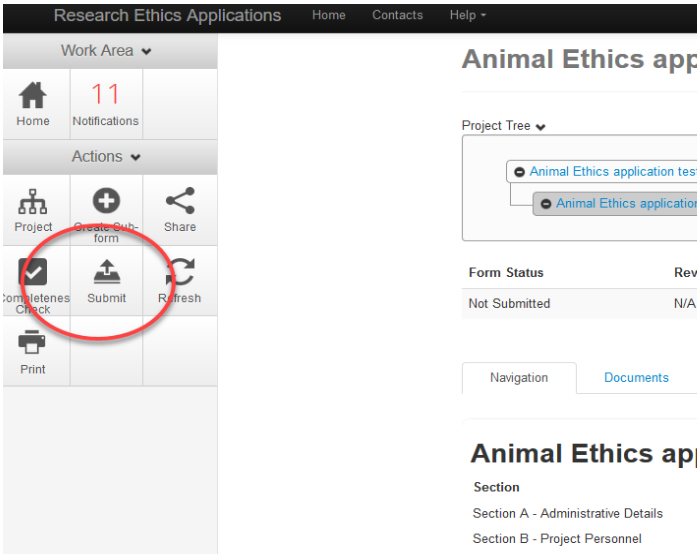

## 6.4 Signing an ethics application as CI

- Navigate to the Sign Off section of the application by clicking on the LHS Navigate tab.
- Scroll to D8.1 applicant, Chief Investigator, sign off.
- Click on the 'Sign' tab



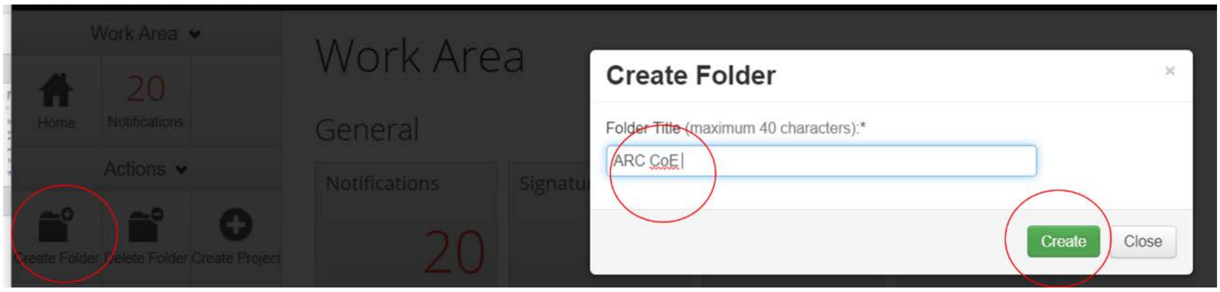

## 6.5 Submitting an ethics application

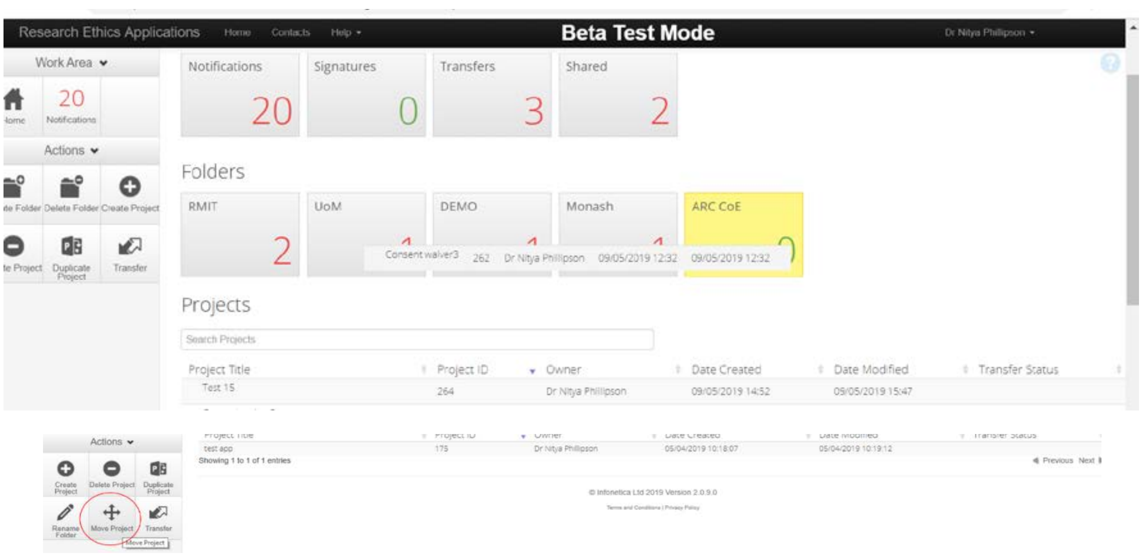
- Once you have all the signatures required for your application you may submit the form.
- Click on the Submit button the LHS actions tab




# 7 How to organise your projects

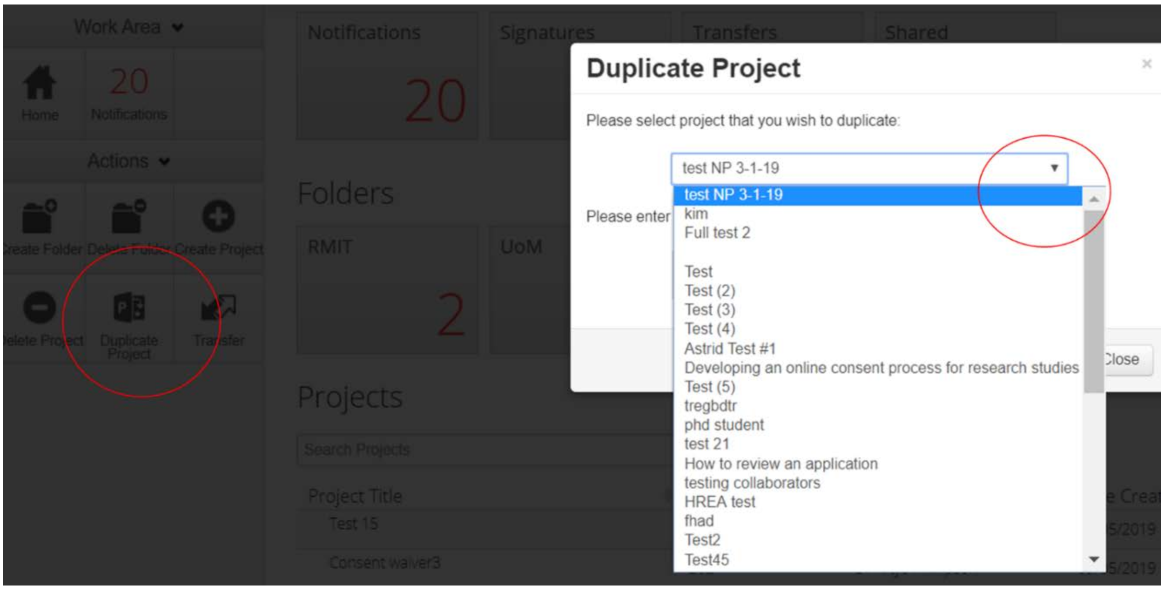
- You can create custom folders to store your ethics applications
- In the work area click on create folder, and name as you choose
- You can then drag and drop applications out of the list of all applications into relevant folders, the folder will turn yellow when you are about to drop something into it
- Please note that when you search for projects in this list of all applications any projects placed in sub folders will not show up.
- To move a project, click into the folder and select move folder button on LHS action tab. This will then allow you to move the project into other existing folders or the work area.



# 8 How to duplicate an existing application

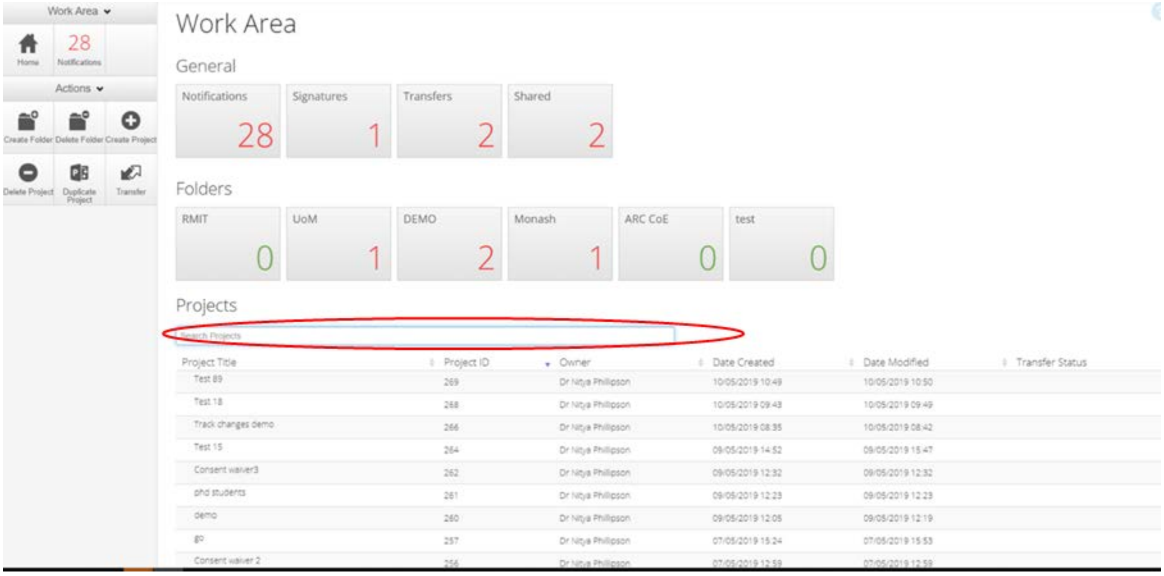
- Click on Duplicate project in the LHS actions tab of the work area
- Select the application you wish to duplicate out of the drop-down list. All applications within the work area will be listed. If the application you wish to duplicate is in a folder, enter that folder and then select duplicate. The applications listed in the drop down available to be duplicated will now only be for those in the folder you are accessing this button from.
- Enter a new title for the duplicate application
- You can now amend the duplicated application as appropriate




# 9 How to search for a project

To search for projects that you have not allocated to projects follow the steps below:

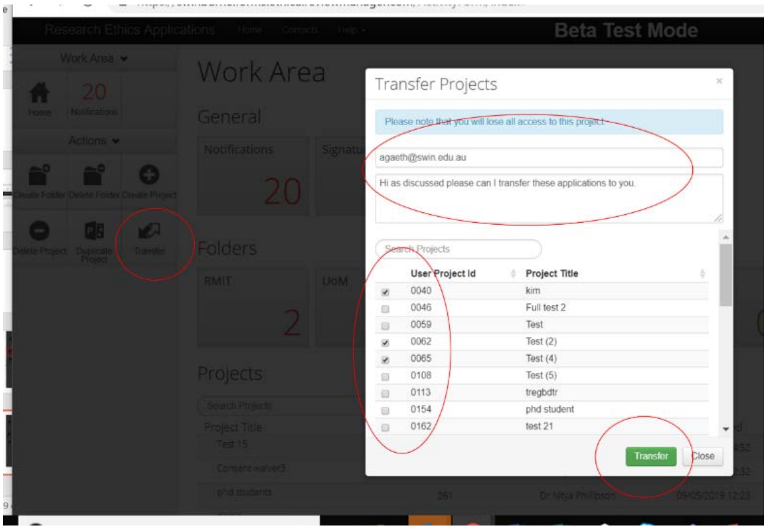
- The work area has all your ethics applications that are not in folders in a searchable list. To search for an ethics application, type in the title or key word. The list of projects will start narrowing down as you type.
- Please note that projects in folders cannot be found using this search bar. For that you must enter the project folder and search within that folder.




# 10 How to transfer an application

If you are no longer CI on a project or you are leaving Swinburne, you will need to transfer your project to a new CI.  To do this:

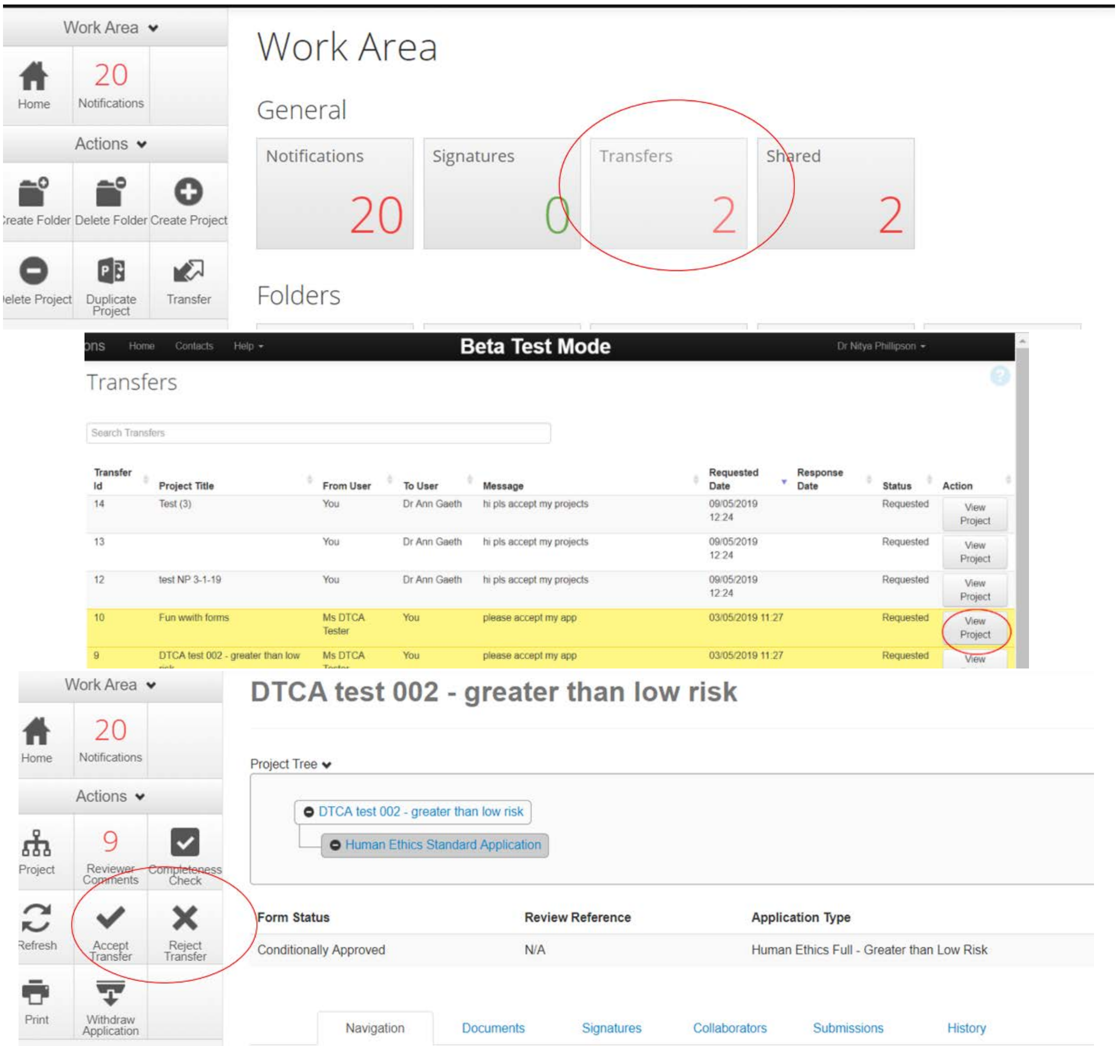
- Click on the Transfer icon on the LHS of the actions tab in the work area
- Enter the email address of the new CI and a message regarding the transfer, then select the applications you wish to transfer.
- The new CI will receive an email indicating the transfer. The Research Ethics Office will also be notified about the transfer so they can support the old and new CI in any changes to documentation required.
- You will no longer have access to a transferred application.




## 10.1 How to accept or reject a transferred application

- You will receive an email indicating a project has been transferred to you.
- Log into ERM and go to the transfer icon on the work area
- This will show you all transfers, transfers requiring your action will be highlighted in yellow. To accept a transfer, click on view project

- You can accept or reject the transfer using accept transfer and reject transfer icon on the LHS actions tab.




# 11 Modifications

- **All modifications to approved ethics applications must be submitted and approved prior to implementation**
- All approved ethics application are locked in the system you will need to notify the SAEC Executive officer (agaeth@swin.edu.au) or REO (resethics@swin.edu.au) about a modification so you can unlock the system.
- In the email provide a summary of the modification you are requesting including the potential effect on the animals wellbeing.
- You will then be advised by email when your form has been unlocked.

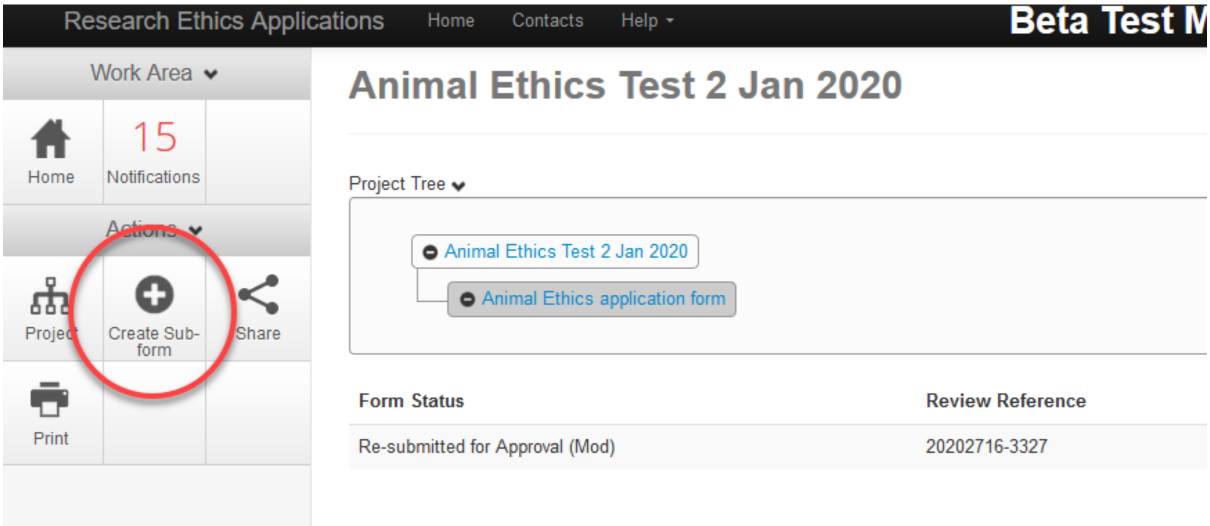
## 11.1 Modifying your application in ERM

- Once you have been notified via email that your application has been unlocked
- Go into the application to be modified.
- Go to relevant sections of the application that require modification and change these to reflect the changes requested.
- Please label any new documents to be uploaded carefully using version control.

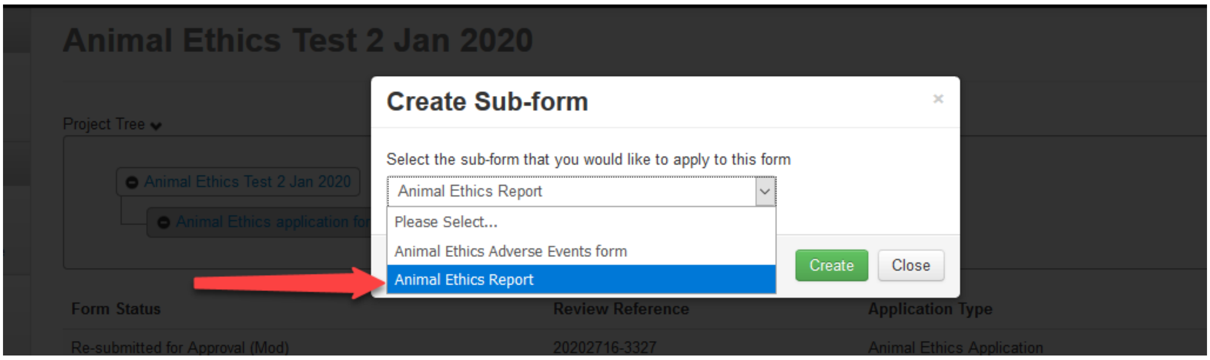
- If the modifications involve any changes to experimental protocols or care of animals you may also require sign off by the trainer (of the new protocols), animal facility manager and/or the HOD. You will be advised by the SAEC EO if these signatures are required and if so then follow the instructions in Section 6 above.
- Click on Submit in the LHS action tab. The Modification will now be submitted to the research office to review.
- You will be notified if the SAEC requires any revisions or clarifications of the modifications.

# 12 Annual/Final Reports

- You will receive an email from the system 30 days before a report is due and the day before a report is due.  You will also receive reminder emails after the report is due if you fail to submit one. Annual and final reports are due annually in early February for the preceding calendar year.
- Sign in to ERM and go the project requiring a report (email will indicate project number and title)
- Click on the Create sub form button in the LHS action tab

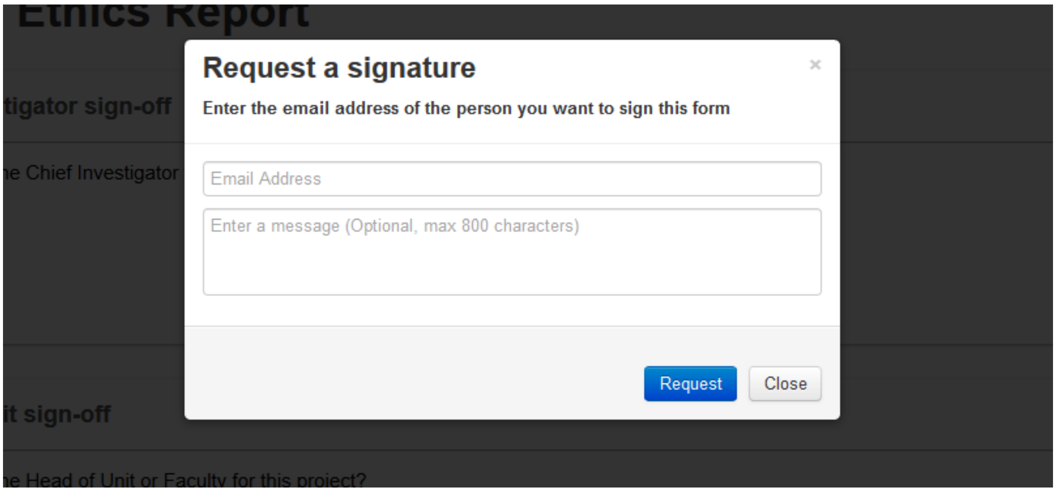



- Select the Sub form: Animal Ethics Report and click on Create




- Work through the report starting at Section A. Some of this data is auto-generated from the associated ethics application.
- Navigate through the form by clicking the Next or Previous button or Navigate button on the LHS of the Action tab.

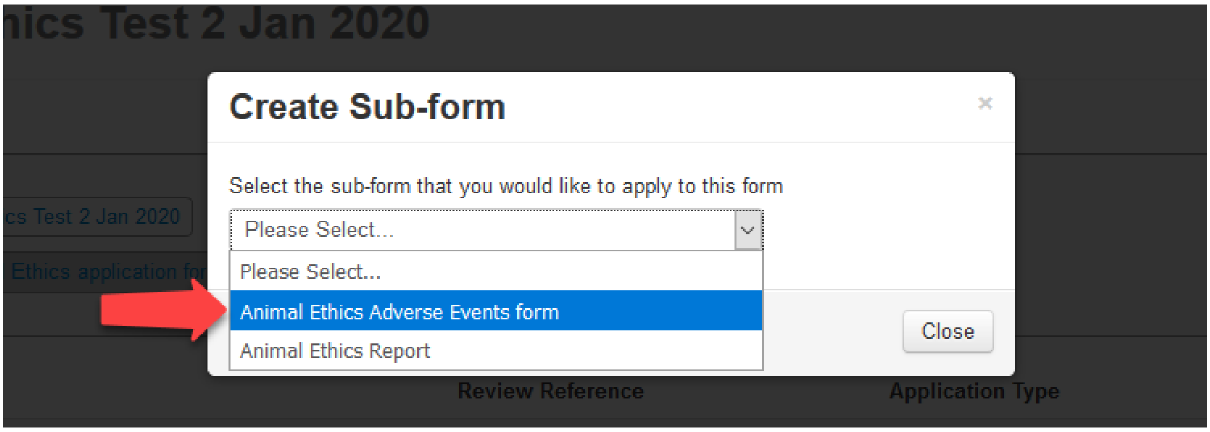
- To share the annual report form with investigators click on the Share button on the LHS Action tab. See section 4 on more information on using the Share functionality.
- The Chief Investigator and HOD or faculty unit must sign the form. Indicate that you are not the HOD and a prompt will allow you to request signature. Enter the email address of the HOD and click on Request tab.




- To submit click on the submit button on the LHS action tab.
- If you have any questions please contact the SAEC EO (agaeth@swin.edu.au) or the REO (resethics@swin.edu.au).

# 13 Reporting an adverse event

- Note: that adverse events must be reported as soon as practicable, preferably within 24 hours of the adverse event. In addition to completing the form the SAEC EO should be also notified by separate email.
- Sign in to ERM and go to the project requiring an adverse event report
- Click on the Create sub form button in the LHS action tab
- Select the Sub form: Animal Ethics Adverse Events form and click on Create
- Work through the report starting at Section A. Some of this data is auto-generated from the associated ethics application
- Navigate through the form by clicking the Next or Previous button or Navigate button on the LHS of the Action tab.
- To share the annual report form with investigators click on the Share button on the LHS Action tab. See section 4 of this user guide for more information on using the Share functionality.
- To submit click on the submit button on the LHS action tab.
- If you have any questions please contact resethics@swin.edu.au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Create Sub-form
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Select the sub-form that you would like to apply to this form
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Animal Ethics Adverse Events form
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Ethics application for
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