

## Eligibility of Ethics

QUICK REFERENCE GUIDE

FOR RESEARCH OFFICES

# Reviewing Eligibility of an Ethics Application

## What is Eligibility?

Before an ethics application is reviewed by the HREC or HREC executive, by being assigned to a meeting and/or review the Executive Officer (EO) or Research Administrator may review the application to confirm its eligibility. The EO will view the application and supporting documents in REGIS and assign 'eligibility' to the application, that is, that the application will proceed to ethics review.

## Eligible is the default

For an ethics application to be submitted in REGIS the system requires the following to have occurred:

- ❖ Project Registration completed
- ❖ Protocol/Project Plan uploaded
- ❖ HREA completed

If an application has been successfully submitted in REGIS, it has met the minimum system requirements to be 'Eligible'.

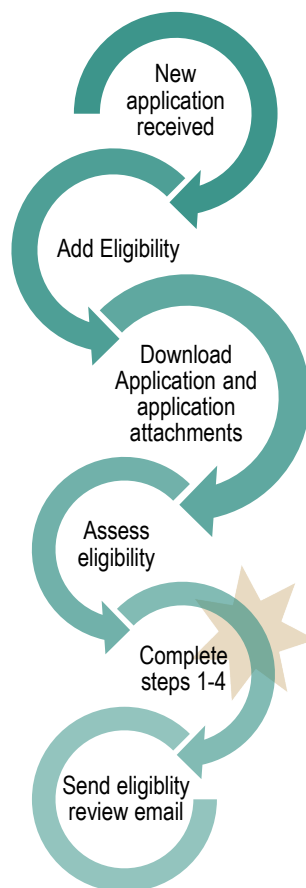
The EO/research administrator should only mark an application as ineligible for the following reasons:

- ❖ The HREA appears to have dummy responses.
- ❖ The submitted documents do not match the description. e.g. incomplete template.
- ❖ The application cannot yet be reviewed by the committee due to quality.

## Before an Ineligible decision.

It is recommended that the RO contact the applicant to discuss prior to marking the application as Ineligible.

## How does it work in REGIS?



## System requirements

**Project Registration:** Confirm that sites have been selected at project registration.

NSW/ACT sites indicates the site applications that were created when the HREA was submitted.

### Part C - Sites

Centre / Jurisdiction	Site	Principal Investigator
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If the project registration form shows no NSW/ACT sites, the applicant may need to use the manual process to add new sites in REGIS.

This needs to be done before the application is approved. Ideally this should be done before the application is assigned to a meeting or review.

**HREA:** During Project Registration a Coordinating Principal Investigator (CPI) was selected. Is this the same person in the Project Registration and HREA? If no, you may wish to clarify.

In the HREA the CPI **MUST**:

- ❖ **Q1.9.10** be the "Coordinating Principal Investigator/ Researcher" only
- ❖ **Q1.9.11** have "Yes" selected

**Q4.5** should match the risk pathway (LNR/Greater than). This information is found on the HREA output form on page one as a statement, "The applicant has requested that this ethics application be considered under the Greater than low risk review pathway."

These items are not a reason to mark an application as ineligible, but an application **cannot** be approved if these answers are not correct. It is important to consider these early.

*Note: There are serious consequences if these items are not correct when the application is approved.*

## Completing eligibility in REGIS.

A new Ethics application will have a status of 'Submitted'.

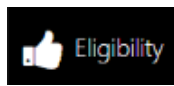
*Note: This QRG assumes you have already set up your homepage tiles. See [QRG – Research Offices – Setting up a Homepage](#) and [REGIS User Manual guide – Homepage tiles](#), this QRG also expands on filtering assigned applications using the new functionality described above.*

### Step 1

Select the new application from the homepage tile.

### Step 2

Click on the Eligibility icon along the bottom of the screen and the eligibility review will open.



*Note: If a previous eligibility has been completed, please go to 'Reviewing Eligibility of a Resubmitted Ethics Application' on page 4.*

### Step 3

Download the Application and Attachments by clicking the 'Download application' and 'Download attachments' buttons at the bottom of the screen.

The application will download as a Word document and the documents will download as a temporary zip folder.

This will allow you to assess eligibility of the application taking into consideration the examples on page 1 'Eligible is the default.'

### Step 4

#### Eligibility Review - Criterion 1/3

Criterion 1 and 2 specifically ask the research office to consider HREA system requirements.

Criterion 3 is a broad question that allows the research office to consider their own review of an application acceptable for review.

To respond to each criterion, click to select Yes or No from the dropdown menu. Comments added into these fields are not seen by the applicant.

Click 'Next' to progress.

### Step 5

Eligibility step 4 Review.

If the application is deemed ineligible by

the research office, add the comments into the free text field that you want the applicant to see. The comments will appear exactly as they are typed. If eligible, no comments are required.

#### Review eligibility

### Step 6

Use the toggle switch to indicate the eligibility status of the application.

The Review eligibility toggle determines the overall status of the application.

*Note: Request approval is only used when Eligibility approver B is used - see page 3*

Click 'Next' to progress.

### Step 7

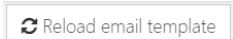
The email template will automatically load based on the outcome of the eligibility review.

You can choose to have the status of the application change but not send the eligibility email by switching the send email toggle from Yes to no.

### Step 8

Edit the email or add any attachments as required. Add attachments by clicking or dropping the files in the section indicated

You can reload the email template by



clicking the 'Reload email template' button. This will revert the email back to the original template, removing any information manually added.

If you add any information and navigate away from the page, the information will be saved.

Click the green 'Finish' button to complete.

An alert will come up at the bottom of the screen advising 'Eligibility created successfully'.

The status of the application will change to either 'Ineligible' or 'Eligible'.

'Eligible' applications can be assigned to a meeting or review. See [QRG– Creating and Preparing HREC Meetings and QRG– Creating Reviews](#). 'Ineligible' applications will require another eligibility review once resubmitted. See page 4.

## Requesting Eligibility Approver B

If the Research Office uses a dual eligibility process e.g. the admin team complete the initial eligibility but require confirmation from the EO.

### Initial Approver

During Step 6, before clicking 'Next', toggle the 'Request Approval' button to Yes. Here, the outcome is to be reviewed (Eligible or Ineligible) by Approver B.

'Request approval' and 'Send Notification to Eligibility Approver B' should be toggled to 'Yes'. Search for an add the name of the person who needs to complete the Eligibility review.

**Eligibility**

Eligible - satisfies all criteria

**Eligibility Reviewer name**

Raul Nigli

**Request approval**

Yes

**Send Notifications to Eligibility Approver B**

Yes

**Eligibility Approver B**

Patrick Lau

**Eligibility B approval**

Approve recommendation

To change the eligibility outcome change at the Eligibility toggle. If ineligible, add comments and then select Approve recommendation at Eligibility B approval.

**Review eligibility****Comments**

Makes Notes if required

**Eligibility**

Ineligible - does not satisfy all criteria

**Eligibility B approval**

Approve recommendation

Click 'Next' to progress.

Click 'Finish' to complete the eligibility assessment. (this **will not** send the template email to the applicant). Instead, an email will be sent to the person listed as Approver B.

The eligibility will show as 'Pending' and a task will be created against the application. You can view this in a Task homepage tile.

Note: if you switch the toggle to not send the email, the approver will not be able to change this back. They will still be able to approve the eligibility but only the status will change.

## Eligibility Approver B confirmation

On receiving the email or Task indicating you have been selected as the approver on an eligibility assessment, locate the application.

Locate the pending eligibility by repeating **Step 2**

On the same row as the Pending eligibility select the 'Assess eligibility' icon



To download the application and supporting documents repeat **Step 5**

Review the comments made at 1. Eligibility review - Criterion 1

Click the 'Next' button to progress.

If you agree with the eligibility review, select Eligibility B approval and Approve recommendation.

After completing **Step 1 -2 on page 2** you will see a previously completed Eligibility Review.

Eligibility	Approval
Eligible - satisfies all criteria	Approve recommendation

To complete the eligibility the reviewer should focus on the outstanding items only.

## Completing an eligibility on a resubmitted application

**Step 1**

Download a .pdf of the previous eligibility review



Note the 'Overall Review and Comments'.

**Step 2**

Create new Eligibility by selecting 'Management' from within the application and then 'Eligibility'.

Click 'Edit' on the right-hand side and then select '+Add eligibility assessment'.

**Step 3**

Download the application and attachments by clicking the 'Download application' and 'Download attachments' buttons.

The system has now generated a tracked changes version of the HREA which can be downloaded. This document will download as a PDF.

This will allow you to assess eligibility of the application taking into consideration the comments of the previous eligibility review.

**Step 4**

You can now complete this eligibility using **Step 4-8 on page 2**.

The status of the application will change to either 'Eligible' or 'Ineligible'.

'Eligible' applications can be assigned to a meeting or review. *See QRG- Creating and Preparing HREC Meetings and QRG- Creating Reviews.*

'Ineligible' applications will require another eligibility review once resubmitted.

Click the red arrow on the right-hand side of the page to progress.

Follow instructions for **Step 8** to manually select the email template at the top of the page.

Click the green tick to finish the eligibility assessment.

An alert will come up at the bottom of the page advising 'Eligibility created successfully'.

The PI will receive the email notifying them of the outcome of the eligibility review.

## Clear Task

Locate the task from either the homepage tile or via the application, Management → Tasks

Locate the Task 'Eligibility Approve B required'

Click Edit and then 'Edit item'

The task wizard will appear.

Add the day the task was completed in 'Date completed' to clear the task.

The Active toggle at the bottom of the page will change to No. Click 'Ok' and then 'Save'.

## How do I know if an application has had a previous Eligibility Review?