Head Of Department Functionality and User Experience Proposed System Enhancements.

REGIS
Research Ethics Governance
Information System

NSW GOVERNMENT | eHealth

User Stories

SSA Enhancement – Providing better in form guidance for quality Head of Department Request

- As a Head of Department, I want applicants to provide better detail in the application form that is specific to the support they are requesting from my department, including a 'plain English' summary of the project and their expectations of the Department. So that I can easily get the information I need to make the decision.

SSA Enhancement – Enabling update HOD details through SSA form

- As the Researcher when I am completing the SSA and I identify that the details of the Head of Department are incorrect or missing I have to stop completing the application, contact the Research Office and wait for details to be updated in the system. I would like to provide the information in the form to quickly to correct the details and complete my application.

- As the Researcher who it is a conflict of interested to support my own research. I want to be able to delegate to responsibility to someone else quickly.

Profile Enhancement - Allow a HOD to select a delegate

- As a Head of Department, I want a system that updates when people go on secondment or are appointed to a new position. So that the correct people are receiving the notifications.

Profile Enhancement - Allow a HOD to select an escalation

- As a Head of Department, I want to be able to select a second in charge to approve in the HOD's absence. So that applications are not delayed.

Approval Email Enhancement - Provide direct email response

- As a Head of Department, I want to be able to respond to the request via the email to support and not support. So that don't have to access the system at all if I don't need/want to.

SSA Enhancement - Providing better in form guidance to applicants for quality Head of Department requests

User Story 1

- As a Head of Department, or a Supporting Head of Department, I want applicants to provide better detail in the application form that is specific to the support they are requesting from my department, including a 'plain English' summary of the project and their expectations of the department so that I can easily get the information I need to make the decision.

Current Functionality

- The applicant is presented with general guidance to step through this section of the applications.

In this section, please specify all departments/locations involved in the research at this site where resource/s (staff, service/s and/or investigations) will be used - a 'department head' will need to be identified against each nominated department.
Please note: the 'Head of Department' for any NSW Health or TAS Health Staff undertaking roles of either PI or back-up PI (an Associate Investigator) for this project at this site must be listed in this section.

A pre-populated declaration of support for each nominated department head (including a complete copy of this SSA and its attachments) will be generated on completion of this SSA utilising the information in this section. Each Head will be notified by email of the need for them to respond to the support request you submit.
Therefore, it is also important that you have approached the department head before completing this application to discuss the project and what it is you are requesting them to support. Depending on the project, this may include but is not limited to: allocation of staff time; use of facilities and/or equipment and/or access to data/records. While some projects may be funded to support their activities, others may require in-kind support.

If you are unsure which department heads you need to approach – please discuss with your research office before completing this application.

Suggested Enhancement: Provide better description and instruction text.
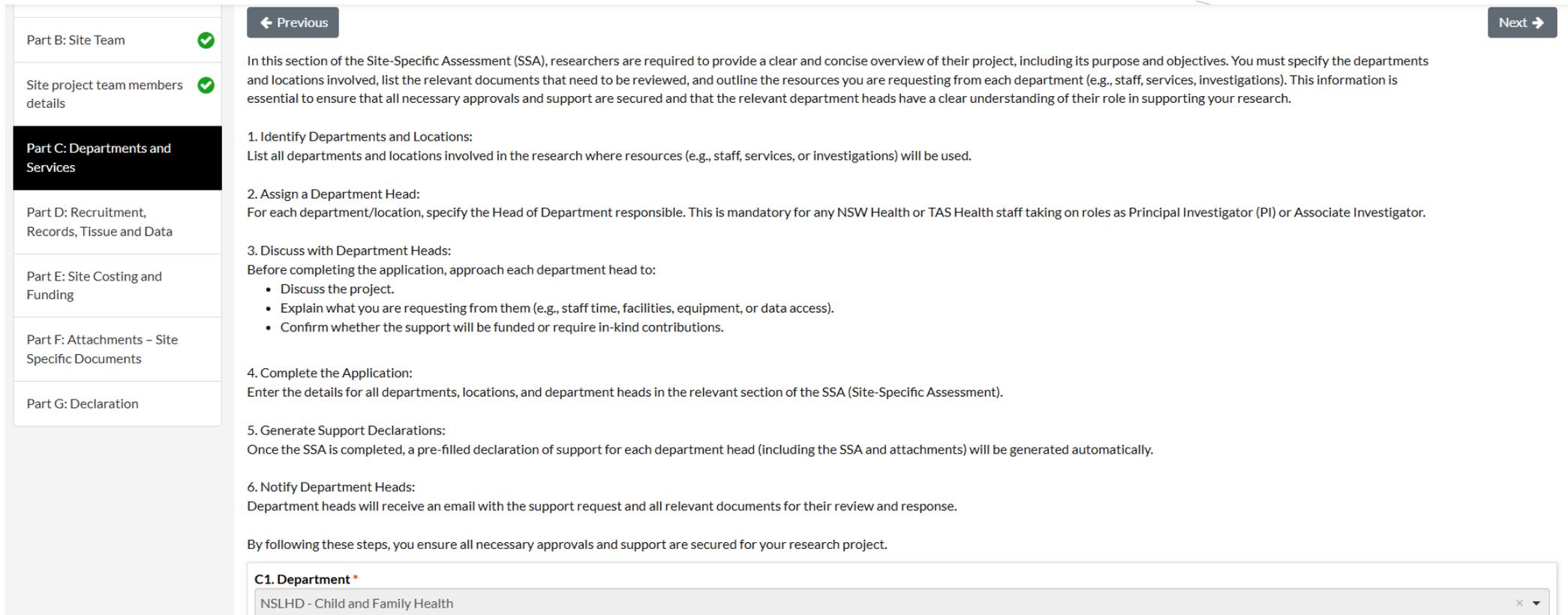
Part B: Site Team ✓

Site project team members details ✓

Part C: Departments and Services

Part D: Recruitment, Records, Tissue and Data

Part E: Site Costing and Funding

Part F: Attachments – Site Specific Documents

Part G: Declaration

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In this section of the Site-Specific Assessment (SSA), researchers are required to provide a clear and concise overview of their project, including its purpose and objectives. You must specify the departments and locations involved, list the relevant documents that need to be reviewed, and outline the resources you are requesting from each department (e.g., staff, services, investigations). This information is essential to ensure that all necessary approvals and support are secured and that the relevant department heads have a clear understanding of their role in supporting your research.

1. Identify Departments and Locations:
List all departments and locations involved in the research where resources (e.g., staff, services, or investigations) will be used.

2. Assign a Department Head:
For each department/location, specify the Head of Department responsible. This is mandatory for any NSW Health or TAS Health staff taking on roles as Principal Investigator (PI) or Associate Investigator.

3. Discuss with Department Heads:
Before completing the application, approach each department head to:
- Discuss the project.
- Explain what you are requesting from them (e.g., staff time, facilities, equipment, or data access).
- Confirm whether the support will be funded or require in-kind contributions.

4. Complete the Application:
Enter the details for all departments, locations, and department heads in the relevant section of the SSA (Site-Specific Assessment).

5. Generate Support Declarations:
Once the SSA is completed, a pre-filled declaration of support for each department head (including the SSA and attachments) will be generated automatically.

6. Notify Department Heads:
Department heads will receive an email with the support request and all relevant documents for their review and response.

By following these steps, you ensure all necessary approvals and support are secured for your research project.

C1. Department *
NSLHD - Child and Family Health

Suggested Enhancement: Provide better description and instruction text. Option A

This section of the application has two functionalities:

1. To provide clear and concise details on the support that is being requested for this study, the documents for review and the overview to the (Clinical) Head of Department and any Supporting Head of Departments. For more information on the roles and responsibilities of a Head or Supporting Head of Department see SSA Roles and Responsibilities here.
2. To show the reviewing Institution/Research Governance Officer that sufficient support has been provided per policy PD2010_056 (NSW Health)

By following the below steps, you will ensure all necessary approvals and support are secured for your research project.

Select the Department/s and Locations:
Select from the drop down each department/location involved in the research where resources (e.g., staff, services, or investigations) will be used. It is mandatory for every NSW Health and TAS Health application to include the *Head of Department* for each person taking on the role of Principal Investigator (PI) or Associate Investigator (AI). If the study requires the support of any additional departments at the site the *Head of Supporting Department* must also be included in the application. For more information see SSA Roles and Responsibilities here

Confirm the Department Head:
For each department/location, a Head of Department/Supporting Head of Department responsible should appear. If details are missing or need updating complete this form

Discuss with Department Heads:
REGIS is the platform used to provide electronic evidence of Head of Department and Supporting Head of Department support. Applicants should have a discussion with all Head of Department and Supporting Department before completing the application.
- Discuss the project
- Explain what you are requesting from them (e.g., staff time, facilities, equipment, or data access)
- Confirm whether the support will be funded or require in-kind contributions

Generate Support Declarations and Notify Department Heads:
Once the Site-Specific Application is completed, the system will create a pre-filled declaration of support for each department head to complete, they will have access to the application including all supporting documents. They will be notified via a system generated email
Note: applications that have previously been discussed with the Head of Department receive faster electronic support

Suggested Enhancement: Provide better description and instruction text. Option B

In this section of the Site-Specific Assessment (SSA), researchers are required to provide a clear and concise overview of their project, including its purpose and objectives. You must specify the departments and locations involved, list the relevant documents that need to be reviewed, and outline the resources you are requesting from each department (e.g., staff, services, investigations). This information is essential to ensure that all necessary approvals and support are secured and that the relevant department heads have a clear understanding of their role in supporting your research.

1. Identify Departments and Locations:
List all departments and locations involved in the research where resources (e.g., staff, services, or investigations) will be used.

2. Assign a Department Head:
For each department/location, specify the Head of Department responsible. This is mandatory for any NSW Health or TAS Health staff taking on roles as Principal Investigator (PI) or Associate Investigator.

3.Discuss with Department Heads:
Before completing the application, approach each department head to:
Discuss the project.

- Explain what you are requesting from them (e.g., staff time, facilities, equipment, or data access).

- Confirm whether the support will be funded or require in-kind contributions.

4. Complete the Application:
Enter the details for all departments, locations, and department heads in the relevant section of the SSA (Site-Specific Assessment).

5. Generate Support Declarations:
Once the SSA is completed, a pre-filled declaration of support for each department head (including the SSA and attachments) will be generated automatically.

6. Notify Department Heads:
Department heads will receive an email with the support request and all relevant documents for their review and response.

By following these steps, you ensure all necessary approvals and support are secured for your research project.

Current Functionality

- The applicant is presented with general guidance to step through this section of the applications.

In this section, please specify all departments/locations involved in the research at this site where resource/s (staff, service/s and/or investigations) will be used - a 'department head' will need to be identified against each nominated department.

Please note: the 'Head of Department' for any NSW Health or TAS Health Staff undertaking roles of either PI or back-up PI (an Associate Investigator) for this project at this site must be listed in this section.

A pre-populated declaration of support for each nominated department head (including a complete copy of this SSA and its attachments) will be generated on completion of this SSA utilising the information in this section. Each Head will be notified by email of the need for them to respond to the support request you submit.

Therefore, it is also important that you have approached the department head before completing this application to discuss the project and what it is you are requesting them to support. Depending on the project, this may include but is not limited to: allocation of staff time; use of facilities and/or equipment and/or access to data/records. While some projects may be funded to support their activities, others may require in-kind support.

If you are unsure which department heads you need to approach – please discuss with your research office before completing this application.

C1. Department *
NSLHD - Child and Family Health

C2. Department Head Name
Ms Kylie Becker

C3. Department head email address *
kylie.becker@health.nsw.gov.au

C4. Please state the resources (e.g. staff, service/s, investigations etc) you require this department to provide: * ❓

Please ensure any related costs/funding are detailed in budget section.

seeking your support for this study.

Suggested Enhancement: Provide better inform support and guidance for applicants to improve the quality of the Head of Department request.

- Inform example text is pre-entered into the form to show how to format a quality request. The applicant will begin typing and the text will disappear. Example will also be added into the help text.

C4. Please state the resources (e.g. staff, service/s, investigations etc) you require this department to provide: * ❓

Example:
This project, titled "[Insert Project Title]", aims to [briefly describe the purpose and objectives of the research project]. The study will involve [provide a high-level overview of the key activities or methodologies, e.g., clinical trials, data analysis, surveys].
To facilitate the successful completion of this project, we request the review of the following key documents:
[Name of document 1, e.g., Study Protocol]
[Name of document 2, e.g., Investigator's Brochure]
[Name of document 3, e.g., Budget Outline]
From this department, we require the following resources:

Staff: [Specify roles, e.g., data analysts, clinical support staff, administrative personnel].

Services: [Detail any required services, e.g., laboratory testing, imaging, IT support].

Investigations: [Mention any specific investigations, e.g., patient diagnostics, chart reviews].

Please note that your support is critical to the success of this project, and a declaration of support will be generated upon the submission of this form. If further clarification is needed regarding the requested resources, we are available for a discussion.

Example of how information is currently presented to the Head of Department via the system generated email and how the suggested text format will support faster decision making.

Support for Research in you Department Request - Action REQUIRED 2025/STE00002

Request date: 15 Jan 2025
This **decision** link is active for 14 days.

Dear Kylie,

Your action is required to progress this research application for review and authorisation by the Northern Sydney Local Health District (Site) CE/Delegate.

A Researcher has indicated on their Site Specific Application (SSA) that you are a Head of Department or Supporting Department for the following research application.

2025/STE00002: Testing HOD Token in email
Site Name: Northern Sydney Local Health District (Site)
Principal Investigator: Kylie Becker (kylie.becker@health.nsw.gov.au)

You can view the application and supporting documents and to record your **decision** without needing to log into REGIS.
Use this link to **download documents** as a .zip file.

Declaration
I declare that:

1. **I am not a member of the the project team in any capacity**
2. **I have read the relevant project documents to inform my knowledge of the proposed research and its potential impact for NSLHD - Child and Family Health**
3. **I have discussed this research project and the resource implications for NSLHD - Child and Family Health with the principal investigator Ms Corinne McDonough**

and,
the request for the following people, service/s and/or investigators requested:

This project, titled "[Insert Project Title]", aims to [briefly describe the purpose and objectives of the research project]. The study will involve [provide a high-level overview of the key activities or methodologies, e.g., clinical trials, data analysis, surveys].
To facilitate the successful completion of this project, we request the review of the following key documents:
[Name of document 1, e.g., Study Protocol]
[Name of document 2, e.g., Investigator's Brochure]
[Name of document 3, e.g., Budget Outline]
From this department, we require the following resources:

Staff: [Specify roles, e.g., data analysts, clinical support staff, administrative personnel].

Services: [Detail any required services, e.g., laboratory testing, imaging, IT support].

Investigations: [Mention any specific investigations, e.g., patient diagnostics, chart reviews].

Please note that your support is critical to the success of this project, and a declaration of support will be generated upon the submission of this form. If further clarification is needed regarding the requested resources, we are available for a discussion.

Example of how information is currently presented to the Head of Department when logging into REGIS and how the suggested text format will support faster decision making.

SSA Enhancement - Update HOD details through SSA form

User Story 2

- As the Researcher, when I am completing the SSA and I identify that the details of the Head of Department are incorrect or missing I have to stop completing the application, contact the Research Office and wait for details to be updated in the system. I would like to provide the information in the form to quickly correct the details and complete my application.

User Story 3

- As the Researcher it is a conflict of interest to support my own research. I want to be able to delegate to the next appropriate person quickly.

Current Functionality

- The applicant selects the Department from a predetermined drop down list on the SSA Form.

- If there is a person allocated the name and email address will pre-fill.

- If there is no person allocated an error message will appear.

- If the CPI or PI is also the allocated HoD an error message will appear.

- If details need to be updated in the system the applicant needs to stop the application and contact the local research office to seek further guidance.

If you are unsure which department heads you need to approach – please discuss with your research office before completing this application.

C1. Department *
NSLHD - BreastScreen

C2. Department Head Name
Peter Shine

C3. Department head email address *
Peter.Shine31723@alt4fsolutions.com.au

C4. Please state the resources (e.g. staff, service/s, investigations etc) you require this department to provide: *
xx

C1. Department *
NSLHD - Child and Family Health

C2. Department Head Name
Ms Kylie Becker

C3. Department head email address *
kylie.becker@health.nsw.gov.au

Head of Department cannot have the role of CPI or the PI for this site.

C4. Please state the resources (e.g. staff, service/s, investigations etc) you require this department to provide: *

If you are unsure which department heads you need to approach – please discuss with your research office before completing this application.

C1. Department *
NSLHD - District Executive

No department head can be found for the selected department.

C2. Department Head Name

C3. Department head email address *

C4. Please state the resources (e.g. staff, service/s, investigations etc) you require this department to provide: *

Suggested Enhancement: Enable Researcher to update or delegate the HOD listed in the Site Specific Application form

The applicant can indicate in the form that the details are incorrect, need to be delegated or are missing.

- There is a new question, C5, added. "Head of Department requires delegating or updating" with a yes/no toggle. The toggle is defaulted to No.

- When Yes is selected, a new section appears within the table.

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New Section SSA

- New section would have on page guidance and instructions.

- The applicant can select one of the three options and is asked to enter the email address of the person.

- If an account already exists in REGIS the name of the person will auto fill in the same way it does now in C2.

Complete this when the Head of department indicated above is incorrect, requires delegating or is missing.
Where a permanent change is requested a notification will be received by the local Research office to verify before the contact details are updated.
Once the details are verified or where a temporary change is requested the system will provide the newly identified user with the Head of Department request via an email.

Applicants that contact the Head of Department and discuss their application prior to submitting are known to receive their electronic HoD support substantially faster.

☐ I would like to make a one off change for this application only (usually used when the CPI/PI is also the listed HOD or the listed HOD is on leave)

☐ I would like to request a permanent change to the Head of Department (used when the Head of Department has changed/left the role)

☐ Report missing department head of department

Who should the Head of Department request go to?

Type persons email address (it will appear if they have a user account)
if the person does not appear or does not have a REGIS account leave this blank and select option below

. Department Head Name

Auto fills

New Section SSA cont'

- Where a user account does not already exist, the applicant can enter the details of the persons name and email to have entered in the system.

- All applicants are asked to provide comment on why the change is being requested.

- This will be provided to the Research Office if they need to verify the change or will be noted on the application form for the RGO review.

- Once this section is completed the applicant can continue the application and submit to the Head/s of Department.
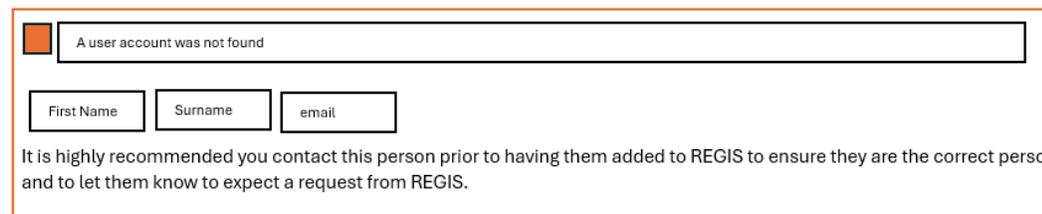
A user account was not found

First Name | Surname | email

It is highly recommended you contact this person prior to having them added to REGIS to ensure they are the correct person and to let them know to expect a request from REGIS.
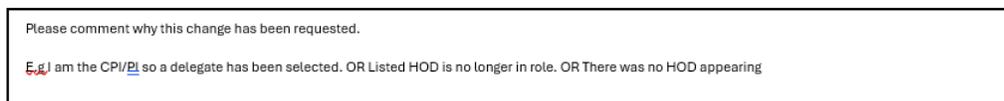
Please comment why this change has been requested.

E.g I am the CPI/PI so a delegate has been selected. OR Listed HOD is no longer in role. OR There was no HOD appearing

Suggested Enhancement: Enable System to automate or Research Office to verify request

- After the applicant completes and submits the application form.

- Any Head of Department that were the toggle remains No: The system generated email is sent to the listed Head of Department per current functionality.

- Any Head of Department that were the toggle has been changed to Yes will follow one of the three new pathways.

☐ I would like to make a <u>one off</u> change for this application only (usually used when the CPI/PI is also the listed HOD or the listed HOD is on leave)

☐ I would like to request a permanent change to the Head of Department (used when the Head of Department has changed/left the role)

☐ Report missing department head of department
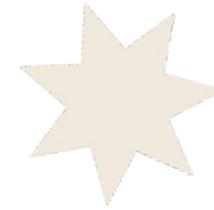
If temporary request indicated:

- After the applicant completed and submitted the application form.

- The system will create a decision for the temporary HOD not the initial listed HOD.

- The Research Office is not notified of the request and there is no decision created for the RO to verify.

- Once all HODs have completed their decisions and the application is submitted to the RGO, the SSA form is updated at section G to show that there was a temporary delegation with details providing the justification for the temporary change.

Heads of Department Support

This page lists the decisions made by the Heads of Department nominated in Section 6.

Head of Department

Dr David FARLOW

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Declaration
I declare that:
1. I am not a member of the the project team in any capacity
2. I have read the relevant project documents to inform my knowledge of the proposed research and its potential impact for BMD - Nuclear Medicine
3. I have discussed this research project and the resource implications for BMD - Nuclear Medicine with the principal investigator Ms Kylie Becker

and,
the request for the following people, service/s and/or investigators requested:
Thank you for your time on the phone yesterday. As discussed, we are the lead site for a national Clinical Trial which will take place over 5 years.
The study budget has been negotiated by the clinical trial startup team and all service providers have provided quotes. Internally our team will be allocated 2FTE to the study alongside our clinical workload, this is all described in Part E of this application.
If you have any other questions before supporting this request I am happy to discuss this in person or over a call (contact 0123 456 789).
is:

One Off Delegation

Applicant has requested a <u>one off</u> delegation for this application

Delegated HOD: <Delegated HOD name>

Comment: as entered on the form e.g. I am the HOD and PI delegated due to COI

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If a permanent request indicated:

- After the applicant completed and submitted the application form.

- The system does not create a decision for the listed/old HOD.

- The system creates a new decision to be actioned by the Research Office through the internal portal.

  - New Decision Name: HOD Update Request

If a permanent request indicated cont'

- Research Office will be notified of the decision through a homepage tile.

- The request is actioned from the internal portal using current functionality.

- **When yes is selected:** the system makes all the changes that would happen if the manual HOD spreadsheet was uploaded.
  - A Head of Department Decision is created for the update HOD.
  - Applicant receives a system generated email to say the RO have approved the change and the new hod will receive a system generated request to support the application.

- **When No is selected:** The Applicant receives a system generated email to say the RO have not approved the suggested changes. The applicant needs to contact the RO to discuss.

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To update missing HOD details:

- Where the error message appears the new section will also appear. "Report missing department head"

- The system will follow the same workflow as when a permanent request is submitted.

Report missing department head

When a "user account can not be found" is selected.

- The system will follow the same workflow per temporary or permanent change requests noted above.

- There is a step added before to create a new user account as if the manual HOD spreadsheet had been uploaded.

Functionality to allow a HOD to elect a delegate as an escalation point and/or while on leave

User Story 4

- As a Head of Department, I want to be able to select a second in charge to approve in the HOD's absence. So that applications are not delayed

User Story 5

- As a Head of Department, I want a system that updates when people go on secondment or are appointed to a new position. So that the correct people are receiving the notifications

Current Functionality

- A Research Office can request multiple user to be allocated against a unit/department, however there is no hierarchy allocated to the users and either user can be selected.

- If a user is going on leave they need to contact the Research Office with the details of who will be acting in the role for the system to be updated.

- Or an applicant identifies that their application has stalled and tries to contact the HoD or the Research Office.

Suggested Enhancement: Allow a HOD to elect a delegate for a selected time

- Where a user has an active position of Head of Department, they can access functionality to create a delegate for HOD approvals

- There is a new section/button that allows the user to select a delegate

- All new or pending HOD requests will be sent to the delegated HOD for the timeframe noted.

- There will be an additional "Department" drop down to allow for HODs who are allocated against multiple departments and all departments option.

- HOD delegations are user specific so if the main HOD is no longer active their delegate is no longer active.

- Research Office's will not be required to verify a HOD Delegation.

Suggested Enhancement: Allow a HOD to elect an escalation decision maker

- Where a user has an active position of Head of Department in REGIS they are able to access functionality to create a decision escalation pathway for HOD approvals.

- There is a new section or button that allows the user to create an escalation pathway.

- All "Pending" HOD requests will be sent to the escalation HOD.

- There will be an additional "Department" drop down to allow for HODs who are allocated against multiple departments and an all departments option.

- Escalation Pathways are user specific so if the main HOD is no longer active their Escalation Pathway is no longer active.

- Research Office's will not be required to verify a HOD Delegation.

Approval Functionality Enhancement - Provide direct email response

User Story 6

• As a Head of Department, I want to be able to respond back to the email to support and not do it in the system at all. So that I don't have to access the system at all if I don't need/want to.

Current Functionality

• Once the applicant has completed and submitted the Site Specific Application form, all listed HODs will receive a system generated email to notify them that their attention and action is required.

• In REGIS there are two ways for a HOD to provide their response;

1. By clicking on the "decision" link in the email. (most popular)

Clicking the link navigates the HOD directly to a decision page in REGIS to make the required decision.

Current Functionality Cont'

2. By logging into REGIS and navigating to the Decisions section and selecting the pending decision.

Suggested Enhancement: Provide functionality that allows HOD support directly from the system generated email

- Add three buttons to the email template that align with the three types of decisions that a HOD can make.

  - Supported, Supported with Conditions, Not Supported

- When "Supported" is selected in the email, the decision in REGIS is updated and no further action is required.

- A system generated email will be sent to the HOD to say the action was completed.

- When Supported with Conditions and Not Supported is selected then the user will be taken to the decision portal in the same way they currently are with the direct link.