



Ethics Research Manager:

Researcher guide to completing Animal Ethics Applications

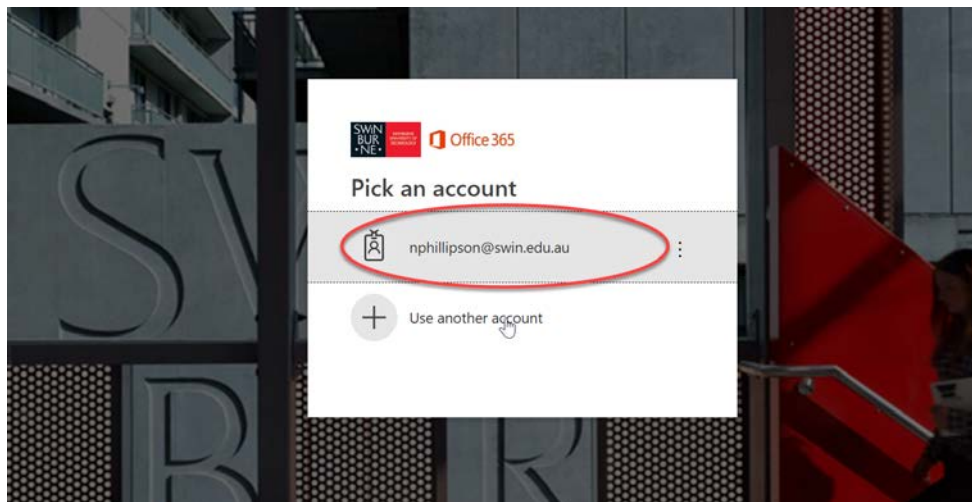
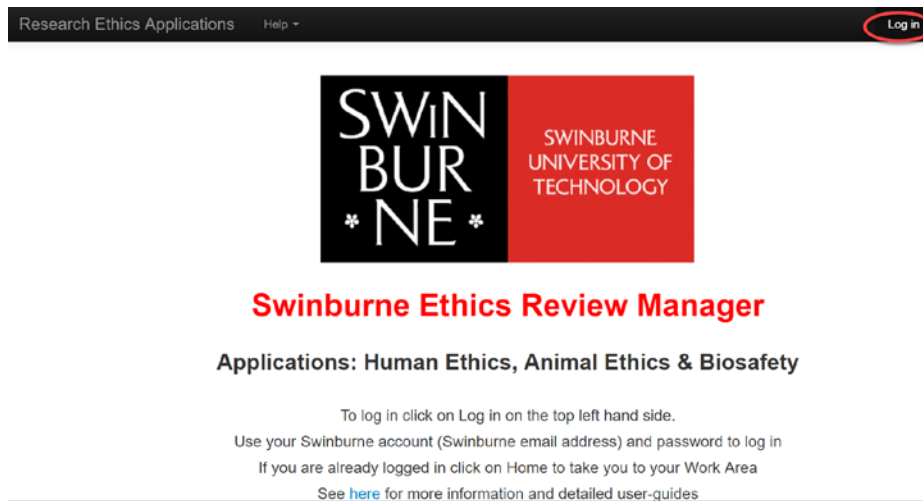
This user guide is to assist Swinburne researchers and staff to complete an animal ethics application and submit for Swinburne Animal Ethics Committee review in Ethics Review Manager (ERM) the online ethics management system.

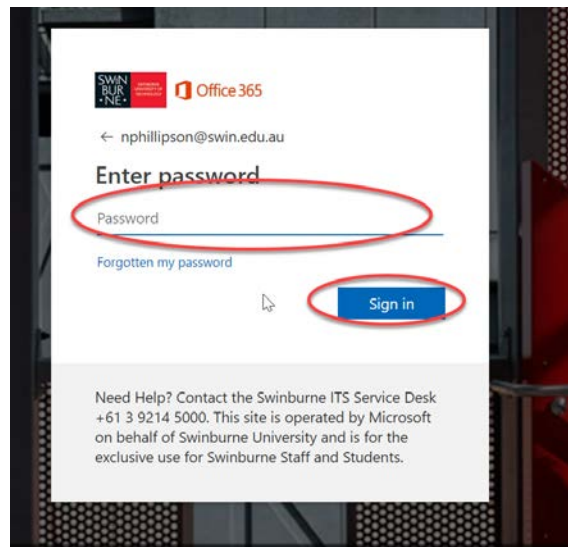
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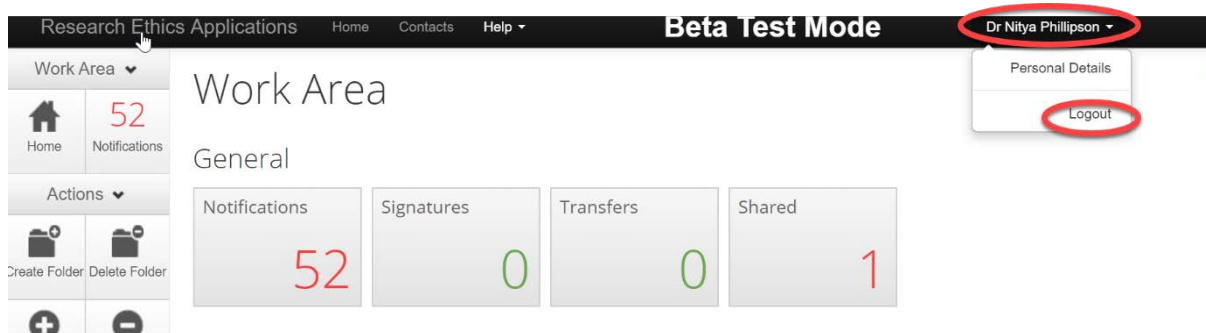
1 Logging in

- 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.



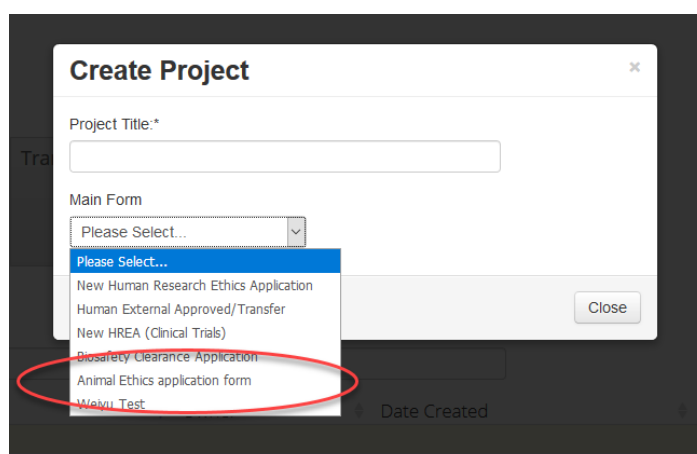
1.1 How to log in as an external applicant (I don't have a Swinburne email address)?

- 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.



Create Project

Project Title:*

Main Form

Please Select...

Please Select...

New Human Research Ethics Application

Human External Approved/Transfer

New HREA (Clinical Trials)

Biosafety Clearance Application

Animal Ethics application form

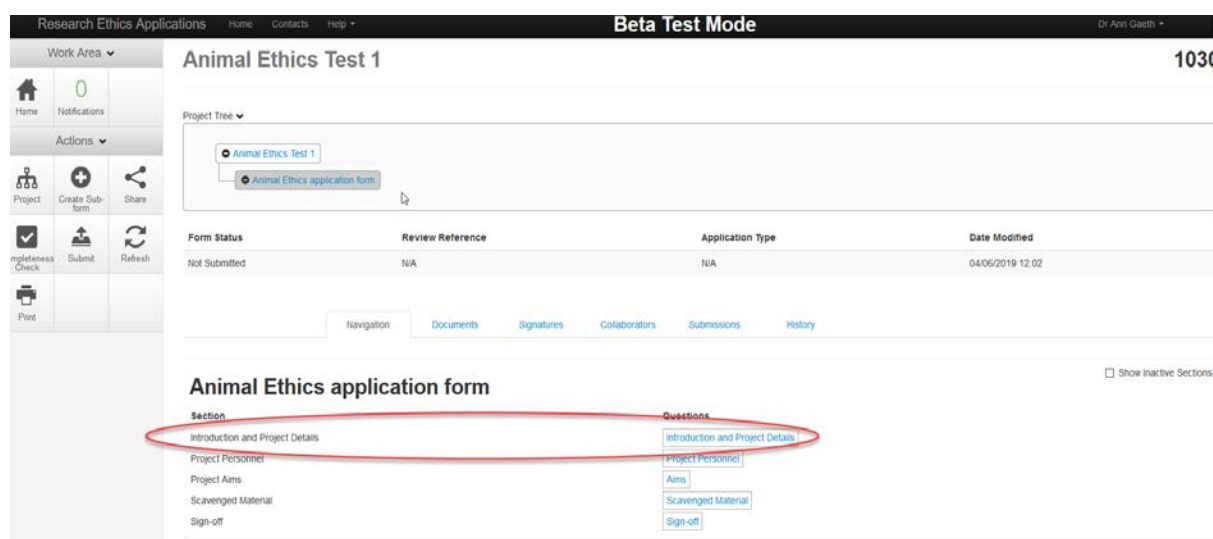
Wetlab Test

Close

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.



Research Ethics Applications Home Contacts Help Beta Test Mode Dr. Ann Gault

Work Area

Home Notifications

Actions

Project Create Sub-form Share

Completeness Check Submit Refresh

Print

Animal Ethics Test 1 1036

Project Tree

- Animal Ethics Test 1
 - Animal Ethics application form

Form Status	Review Reference	Application Type	Date Modified
Not Submitted	N/A	N/A	04/06/2019 12:02

Navigation Documents Signatures Collaborators Submissions History

Animal Ethics application form Show Inactive Sections

Section

- Introduction and Project Details**
- Project Personnel
- Project Aims
- Scavenged Material
- Sign-off

Questions

- Introduction and Project Details**
- Project Personnel
- Aims
- Scavenged Material
- Sign-off

- 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. Make 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.

Research Ethics Applications Home Contacts Help **Beta Test Mode** Dr Ann Gd

Actions

Previous Next Navigate

Print Document Signatures

Save Share Collaborators

Instantaneous Check Submit

Privately Owned Animals

Does the proposed animal use involve privately owned animals?

☒ Yes ☐ No

Provide information about how you will ensure:

- that all people involved in the care and use of such animals are aware of and accept their responsibilities relating to the animals
- that people responsible for the daily management of the animals during the project are familiar with and understand the [Animal Code](#), and are competent.

Include, as an attachment to this application, the document to be provided to the owner of the animal(s) clearly stating the details and duration of the owner's responsibilities. For more information about the use of privately owned animals see the [Animal Code](#) Section 2.4.28.

Attach the document to be provided to the owner of the animal(s).

[Upload 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

Documents

Search Document

Type	Document Name	File Name	Version Date	Version	Size	View
PEER REVIEW	ERM demo notes	ERM demo notes.docx	07/05/2019	1	13.3 KB	Download
PEER REVIEW	ERM HREC feedback template	ERM HREC feedback template.docx	07/05/2019	2	11.7 KB	Download

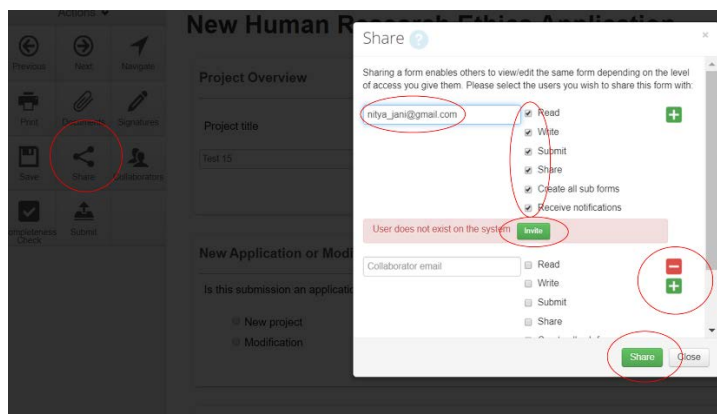
[Download All as Pdf](#) [Download All](#) [Close](#)

4 How to share and collaborate on an animal ethics application

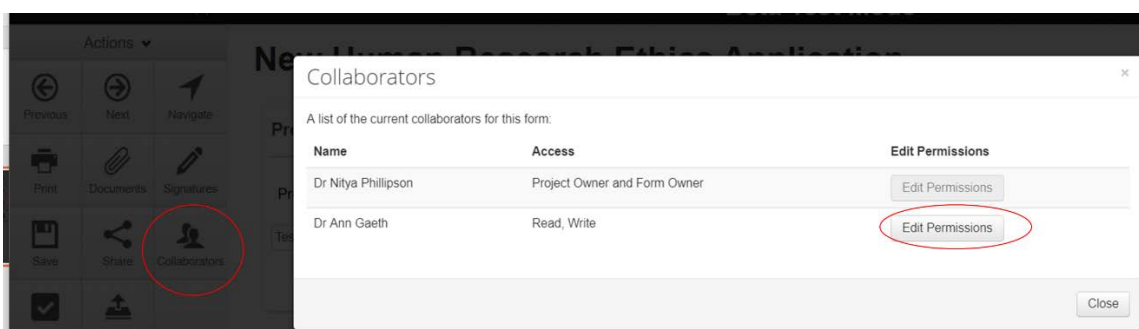
- To share your application with other collaborators for their input, click on the Share icon on the LHS action tab
- A pop-up box will appear. Enter the email address of the collaborator.
- Select permission (you can select multiple options)
 - Read - person can read the application
 - Write - person 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.

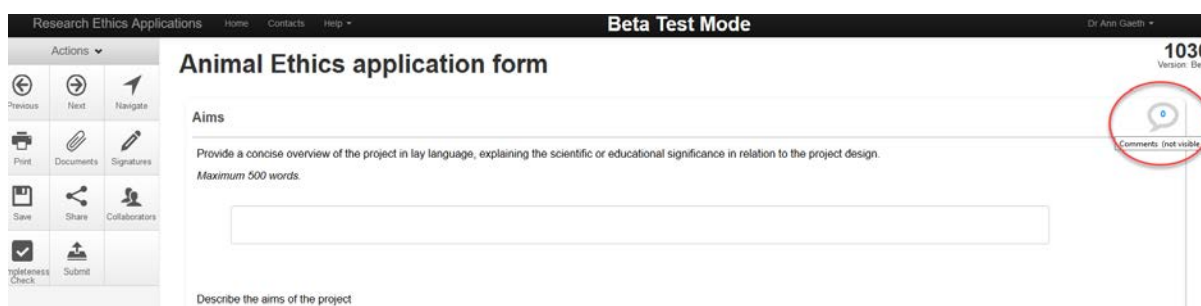


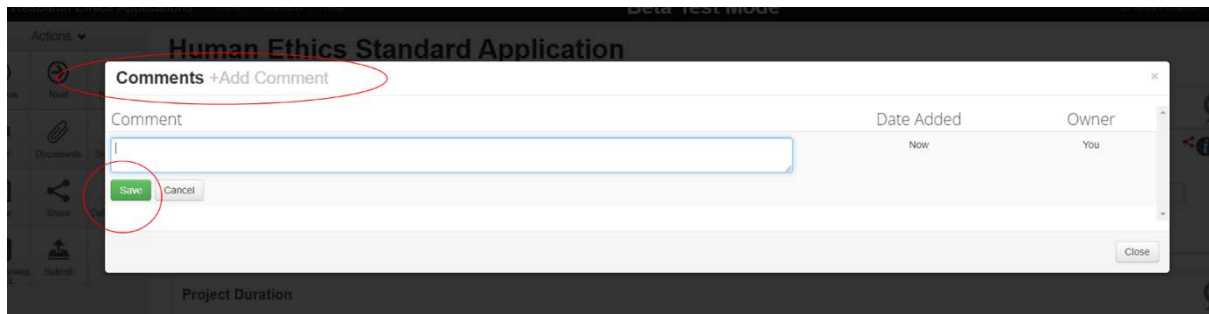
- To review your collaboration or edit permissions click on collaboration icon on LHS Actions tab. You can edit permission by clicking on edit permission button



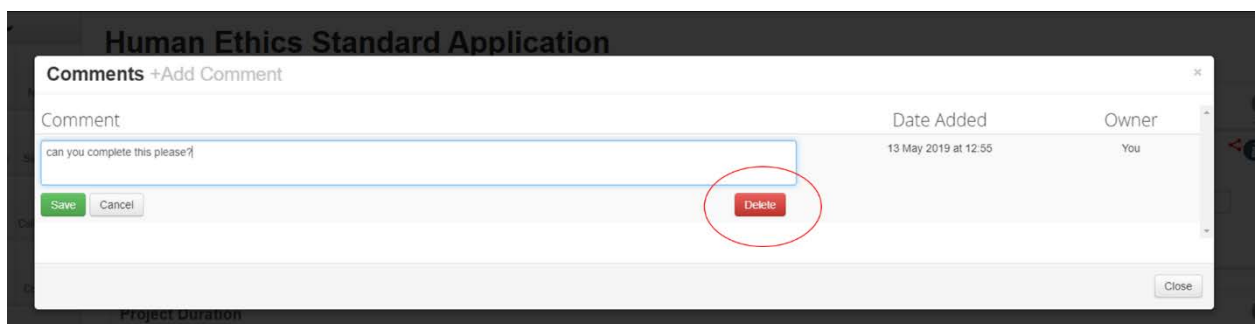
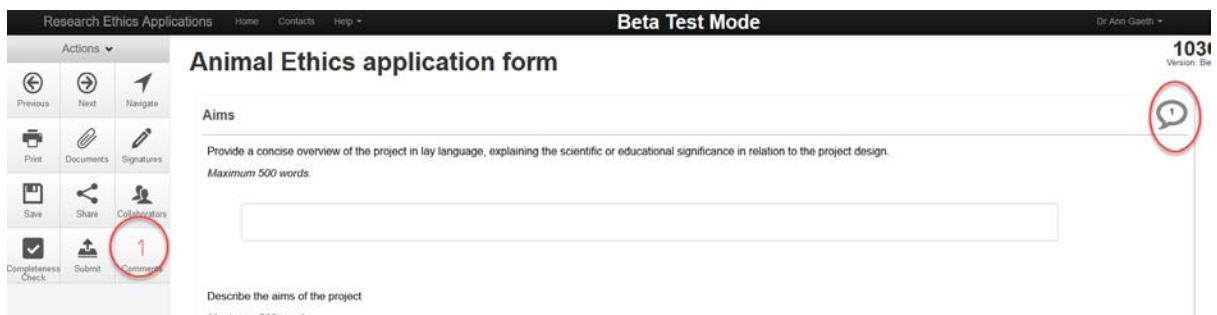
5 How to make comments on yours or a collaborator's ethics application

- 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

Research Ethics Applications | Home | Contacts | Help | **Beta Test Mode** | Dr Ann Gaeth (agaeth@swin.edu.au)

Work Area ▾

- Home
- Notifications: 6

Actions ▾

- Project
- Create Sub-form
- Share
- Completeness Check
- Submit
- Refresh
- Print

Animal Ethics Test 2 Jan 2020

Project Tree ▾

- Animal Ethics Test 2 Jan 2020
 - Animal Ethics application form

Form Status	Review Reference	Application Type	Date Modified
Not Submitted	N/A	N/A	02/01/2020 13:41

Navigation | Documents | Signatures | Collaborators | Submissions | History

Animal Ethics application form □ Show

Section

- Section A - Administrative Details
- Section B - Project Personnel
- Section C - Project Details
- Section D - Sign-off

Questions

- START: Administrative Details
- Project Personnel
- Aims, Benefits & Procedures
- Replacement, Reduction and Refinement
- Animal Use
- Sign-off**

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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

Research Ethics Applications | Home | Contacts | Help | **Beta Test Mode**

Actions ▾

- Previous
- Next
- Navigate
- Print
- Documents
- Signatures
- Save
- Share
- Collaborators
- Completeness Check
- Submit

Signature Requests 0

D4 This application must be signed by every investigator listed in the application. For each investigator (excluding yourself and the Chief Investigator), click the Request button, then enter the investigator's email address when prompted.

By Clicking "Sign" on this form, each associate investigator on this project agrees that:

I hereby declare that:

1. I am familiar with Part III of the Prevention of Cruelty to Animals Act 1986 (the Act), associated Regulations and the current version of the Australian code of practice for the care and use of animals for scientific purposes (the Code) and accept the responsibilities detailed therein to the extent of my involvement in this project; and
2. I accept responsibility for the conduct of all experimental procedures detailed in this application that I undertake, in accordance with the requirements of the Act, the Regulations and the Code and the Animal Ethics Committee.

Request Signature

Add Another Signature

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

Request a signature

Enter the email address of the person you want to sign this form

agaeth@swin.edu.au

Please review and sign the application

Request **Close**

- The person must also be listed as 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.

Research Ethics Applications Home Contacts Help - **Beta Test Mode**

Actions ▾

Previous Next Navigate

Print Sign **Reject**

Completeness Check

Animal Ethics application form

Read access only.

Introduction

This form must be completed by the CI and other listed investigators wishing to use animals for scientific purposes at Swinburne University SPPL20301. This is for teaching, research, diagnosis, product testing, and the production of biological products.

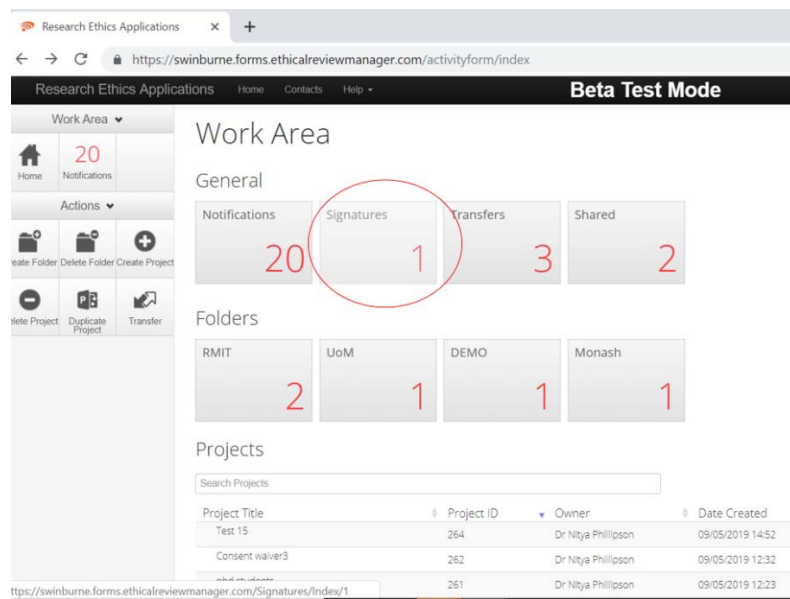
Applications will be treated in confidence in accordance with University and statutory requirements.

It is important that the application be written in lay language so that all members of the SAEC may understand and fully appreciate the application.

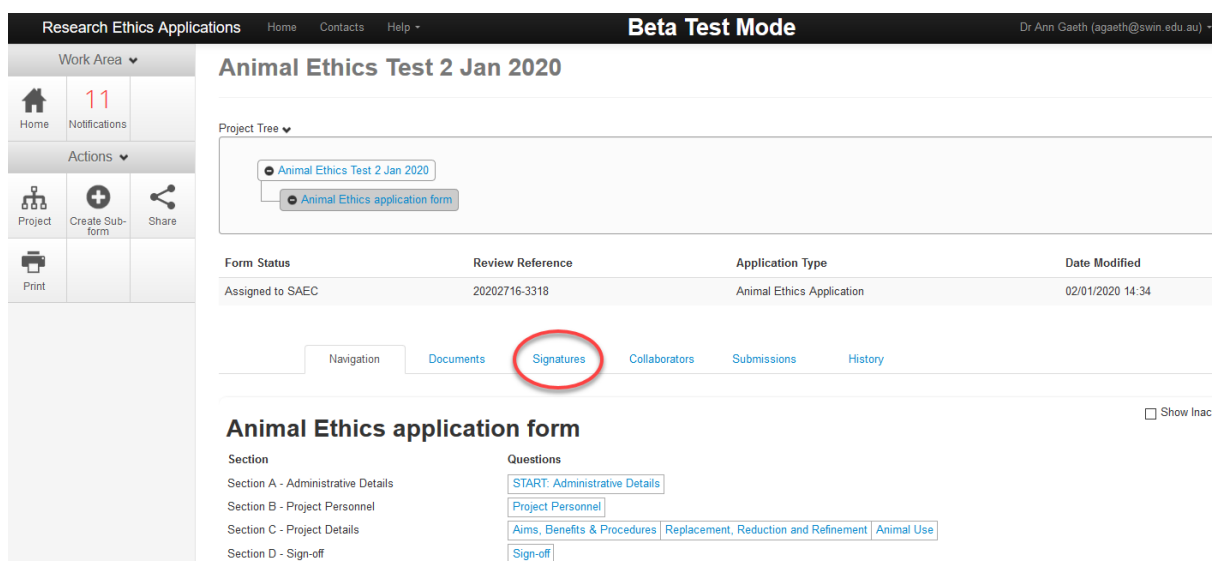
Understanding the Animal Code and relevant legislation is the responsibility of the investigator; ignorance is not acceptable as an excuse. All scientific procedures carried out in accordance with the Prevention of Cruelty to Animals Act 1986 (the Act), associated Regulations (updated 2019) and the Australian code of practice for the care and use of animals for scientific purposes (the Animal Code). Knowledge of these documents will assist you in completing this application in a satisfactory manner. The de

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.

Research Ethics Applications Home Contacts Help - **Beta Test Mode** Dr Ann Gaeth (agaeth@swin.edu.au)

Work Area 11

Home Notifications

Actions

Project Create Sub-form Share

Print

Animal Ethics Test 2 Jan 2020 2716

Project Tree

- Animal Ethics Test 2 Jan 2020
 - Animal Ethics application form

Form Status	Review Reference	Application Type	Date Modified
Assigned to SAEC	20202716-3318	Animal Ethics Application	02/01/2020 14:34

Navigation Documents **Signatures** Collaborators Submissions History

Type	Signatory Email	Signed Date	Validity
PRINCIPAL INVESTIGATOR/RESEARCHER	agaeth@swin.edu.au	02/01/2020 14:34	Valid
ASSOCIATE INVESTIGATOR/RESEARCHER	sfried@swin.edu.au	02/01/2020 14:34	Valid
Animal Facility Manager	sfried@swin.edu.au	02/01/2020 14:33	Valid
Trainer (Animal Handling)	sfried@swin.edu.au	02/01/2020 14:32	Valid
Dean/Head of School	sfried@swin.edu.au	02/01/2020 14:31	Valid
Animal Facility Manager	sfried@swin.edu.au	02/01/2020 14:23	Invalid
PRINCIPAL INVESTIGATOR/RESEARCHER	agaeth@swin.edu.au	02/01/2020 14:11	Invalid

Signature Requests

Type	Signatory Email	Requested Date	Status	Response Date	Action
ASSOCIATE INVESTIGATOR/RESEARCHER	sfried@swin.edu.au	02/01/2020 14:33	Signed	02/01/2020 14:34	Cancel
Animal Facility Manager	sfried@swin.edu.au	02/01/2020 14:32	Signed	02/01/2020 14:33	Cancel

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

Research Ethics Applications Home Contacts Help - **Beta Test Mode**

Actions

Previous Next Navigate

Print Documents Signatures

Save Share Collaborators

Completeness Check Submit

Applicant Sign-off

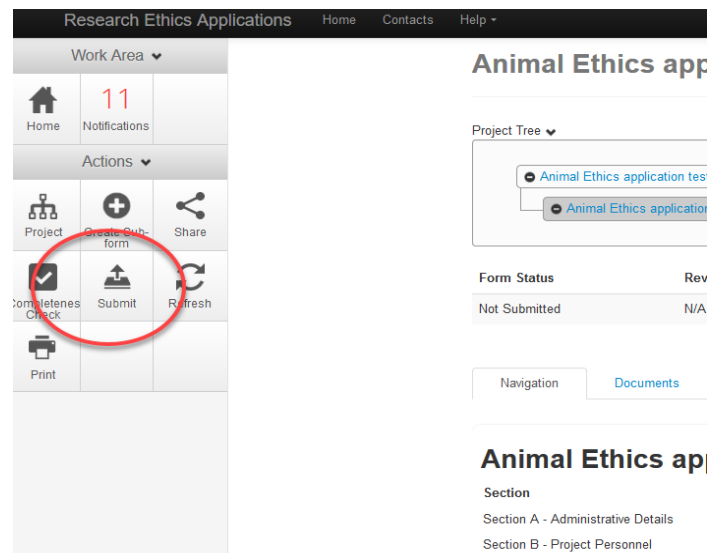
D8.1 By clicking "Sign", I, the researcher agree that:

- I am familiar with Part III of the *Prevention of Cruelty to Animals Act 1986* (the Act), the Regulations 1997 and the *use of animals for scientific purposes* (the Code), and accept the responsibilities detailed therein.
- I accept responsibility for the conduct of all experimental procedures detailed in this application, in accordance with Ethics Committee.
- I have listed each person engaged in this project and consider that they have the qualifications, experience and train competent to perform procedures described to the extent of their role. If any person is not already skilled in the procedure of performing any procedure independently. All personnel have been made aware of their role and responsibility documentation.
- The Animal Facility Manager has been made aware of requirements for this application.

Sign

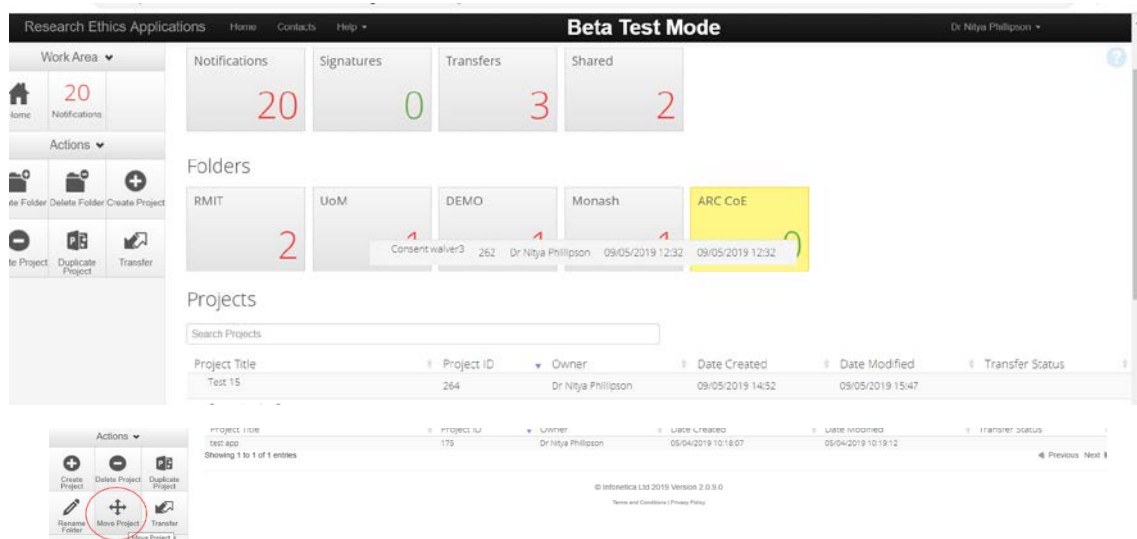
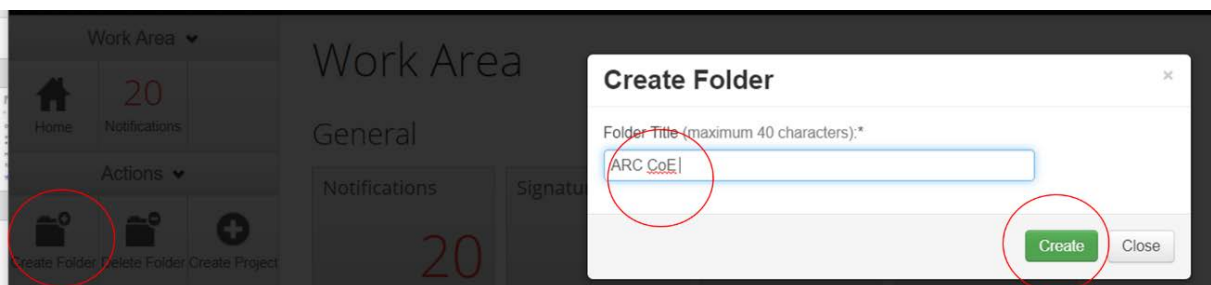
6.5 Submitting an ethics application

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



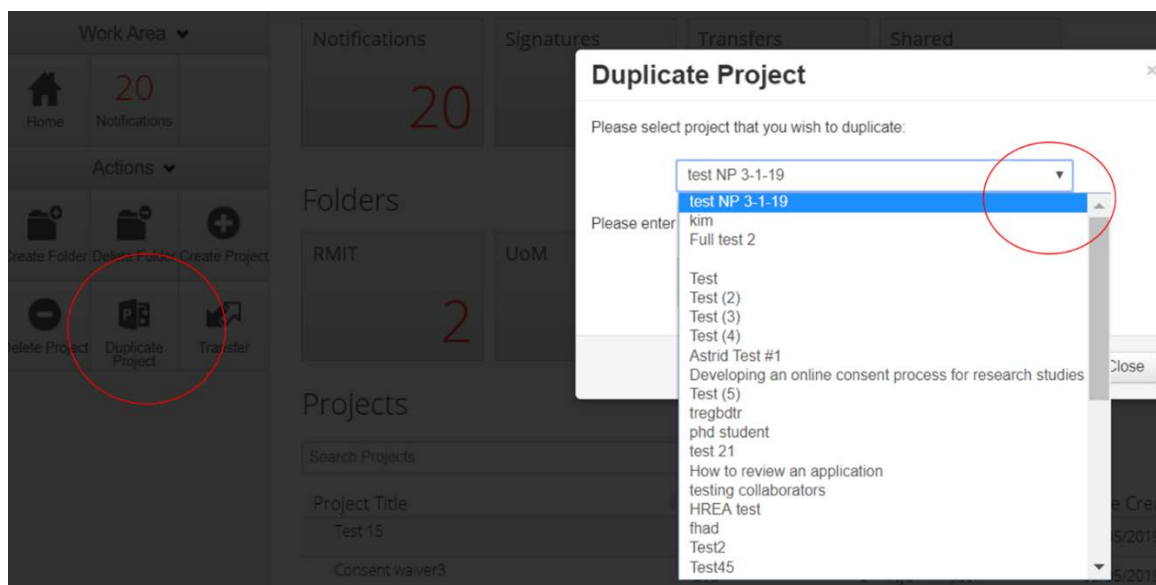
7 How to organise your projects

- 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

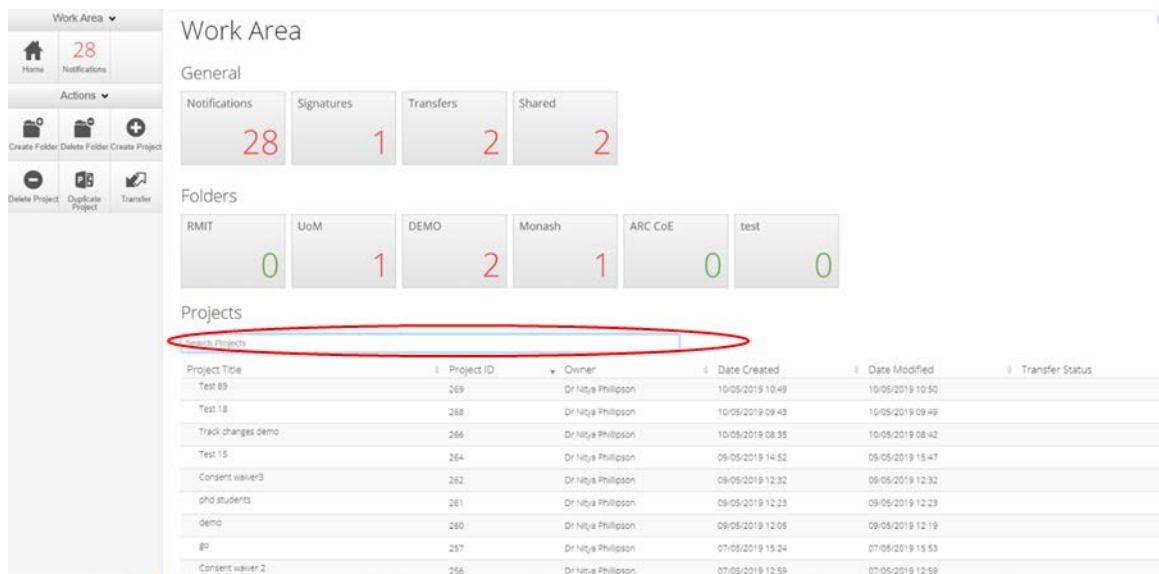
- Click on Duplicate project in the LHS actions tab of the work area
- Select the application you wish to duplicate out of the drop-down list. All applications within the work area will be listed. If the application you wish to duplicate is in a folder, enter that folder and then select duplicate. The 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:

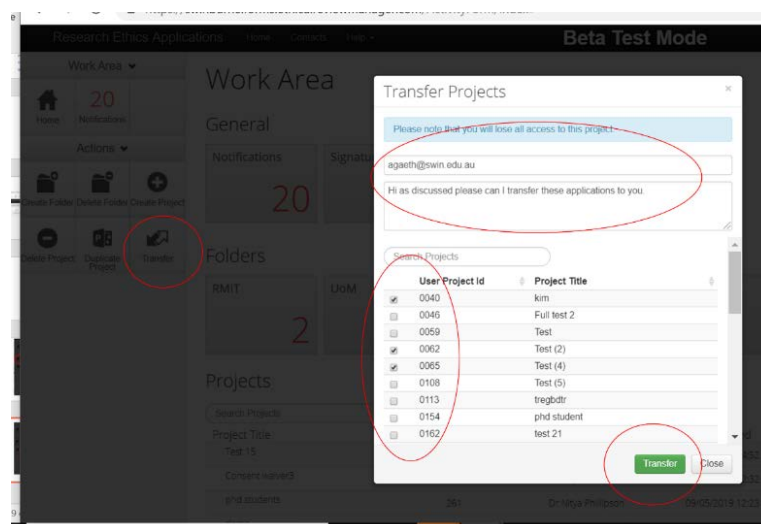
- The work area has all your ethics applications that are not in folders in a searchable list. To search for an ethics application, type in the title or key word. The list of projects will start narrowing down as you type.
- Please note that projects in folders cannot be found using this search bar.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

The screenshot displays the ERM system interface. On the left, the 'Work Area' sidebar contains a 'Transfers' icon circled in red. The main content area shows the 'Transfers' section with a table of transfer requests. The table has columns: Transfer Id, Project Title, From User, To User, Message, Requested Date, Response Date, Status, and Action. The 'DTCA test 002 - greater than low risk' entry is highlighted in yellow, and its 'View Project' button is circled in red. Below this, the 'DTCA test 002 - greater than low risk' form is shown, with the 'Accept Transfer' and 'Reject Transfer' buttons in the 'Actions' sidebar circled in red.

Transfer Id	Project Title	From User	To User	Message	Requested Date	Response Date	Status	Action
14	Test (3)	You	Dr Ann Gaeth	hi pls accept my projects	09/05/2019 12:24		Requested	View Project
13		You	Dr Ann Gaeth	hi pls accept my projects	09/05/2019 12:24		Requested	View Project
12	test NP 3-1-19	You	Dr Ann Gaeth	hi pls accept my projects	09/05/2019 12:24		Requested	View Project
10	Fun wwith forms	Ms DTCA Tester	You	please accept my app	03/05/2019 11:27		Requested	View Project
9	DTCA test 002 - greater than low risk	Ms DTCA Tester	You	please accept my app	03/05/2019 11:27		Requested	View Project

Form Status	Review Reference	Application Type
Conditionally Approved	N/A	Human Ethics Full - Greater than Low Risk

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.

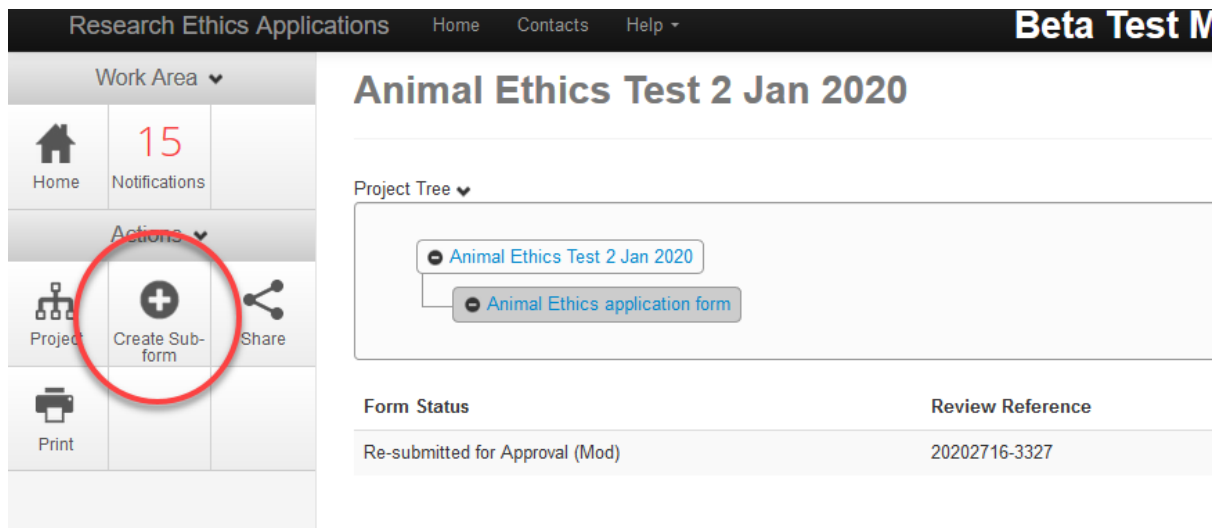
11.1 Modifying your application in ERM

- 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.

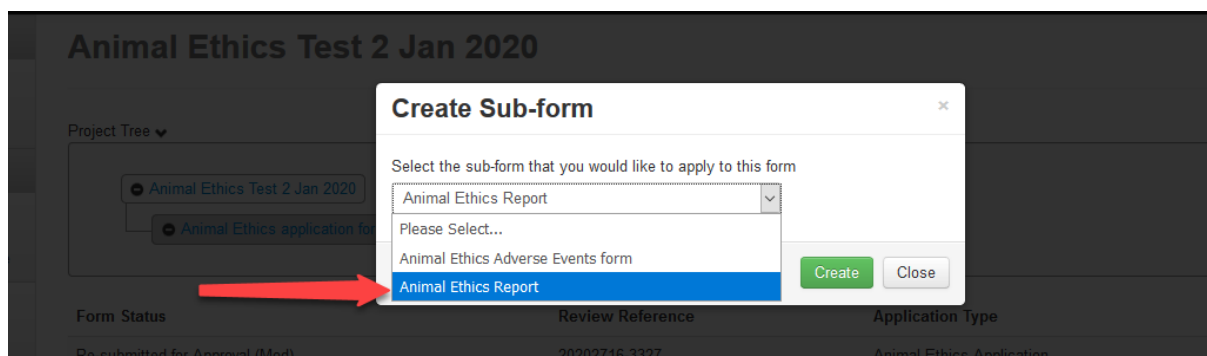
- If the modifications involve any changes to experimental protocols or care of animals you may also require sign off by the trainer (of the new protocols), animal facility manager and/or the HOD. You will be advised by the SAEC EO if these signatures are required and if so then follow the instructions 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.

Request a signature

Enter the email address of the person you want to sign this form

Email Address

Enter a message (Optional, max 800 characters)

Request Close

- 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 (resetethics@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 resetethics@swin.edu.au

ics Test 2 Jan 2020

cs Test 2 Jan 2020

Ethics application for

Create Sub-form



Select the sub-form that you would like to apply to this form

Please Select...



Please Select...

Animal Ethics Adverse Events form

Animal Ethics Report

Close

Review Reference

Application Type