RISE PI User Guide for new applications

Introduction:
This user guide was developed by the Office of Research Services (ORS) for all Principal Investigators (PI) and study team members within RISE (Researcher Information Services – Ethics), the new on-line system for applying and managing research applications. This document provides a brief overview of the RISE system, and basic guidelines for the submission of new applications.

Previous applications submitted to ORS for ethical review were entered and managed in a system called ORSIL. ORSIL tracked and managed researchers, applications, amendments and renewals. All the approved Animal Ethics applications since January 1, 2000, from ORSIL have now been converted to RISE.

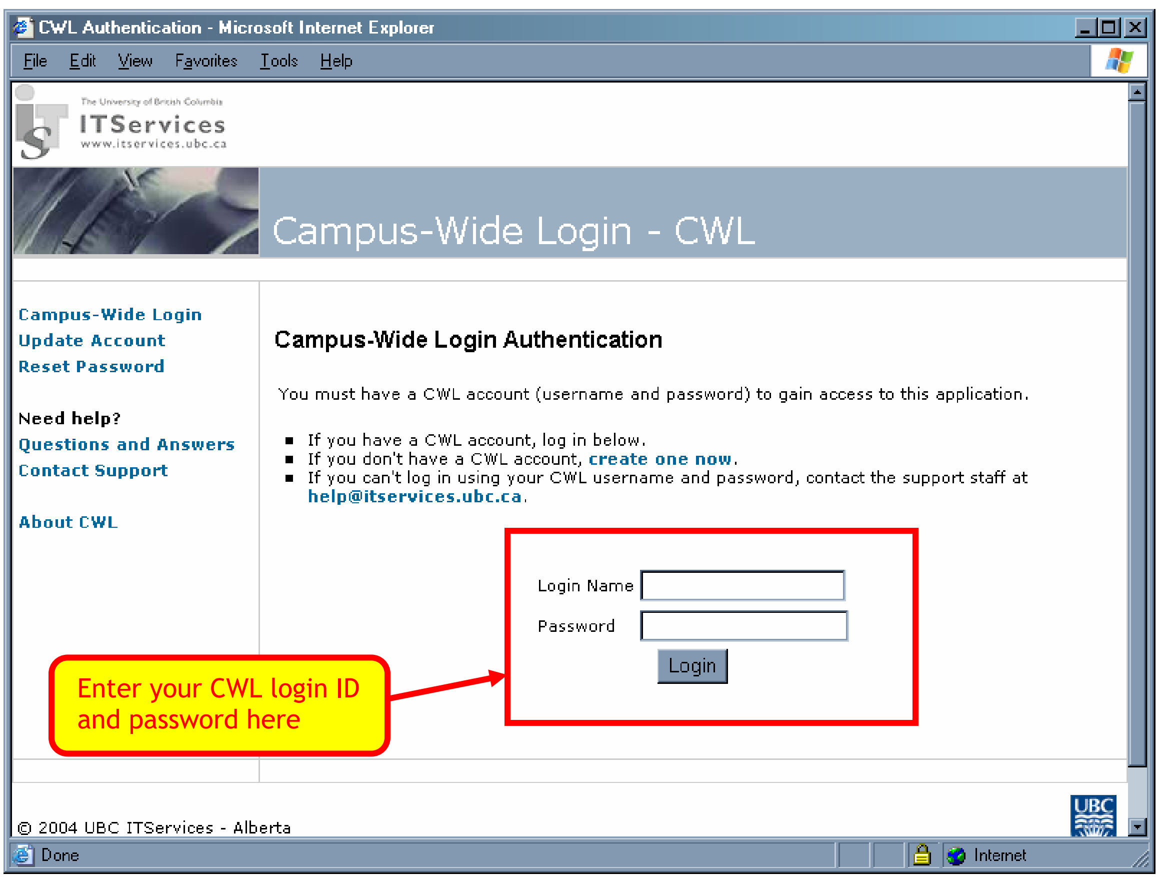
Approval Process for New Applications

Role	Order and Flow
Principal Investigator (PI)	After completing the application and you are ready to submit, the system will ask you which department you would like the application sent to for approval. Once selected, your application will be sent to the department head of the department you specified for review and approval.
Department Head	After reviewing the application, the department head can either send it back to the PI if they need clarification or have questions, or approve the application. If approved, the department head will forward the application to the Animal Care Committee Administration (ACCA) for review.
Animal Care Committee Administration(ACCA)	After reviewing the application, the ACCA can send the application back to the PI with questions or clarification, or the ACCA will forward the application for Committee Review, either full review or an expedited review, depending on the type of application.
Committee Members	The application will be reviewed at the next expedited or full committee meeting. Expedited meetings occur every 2 weeks, and full committee meetings occur monthly. After the application has been reviewed the PI will receive an email notification with the result of the meeting, and either provisos or an approval certificate.
Principal Investigator (PI)	If provisos have been sent from the committee, the PI must complete the list of provisos and submit them to the ACCA who will then forward the provisos to the next expedited meeting.
ACCA	Once the provisos have been reviewed at the expedited meeting, the ACCA will notify the PI if further provisos are required or if the application is approved.
Principal Investigator (PI)	Once the application is approved, the PI will receive an email notification of the approval as well as the approval certificate.

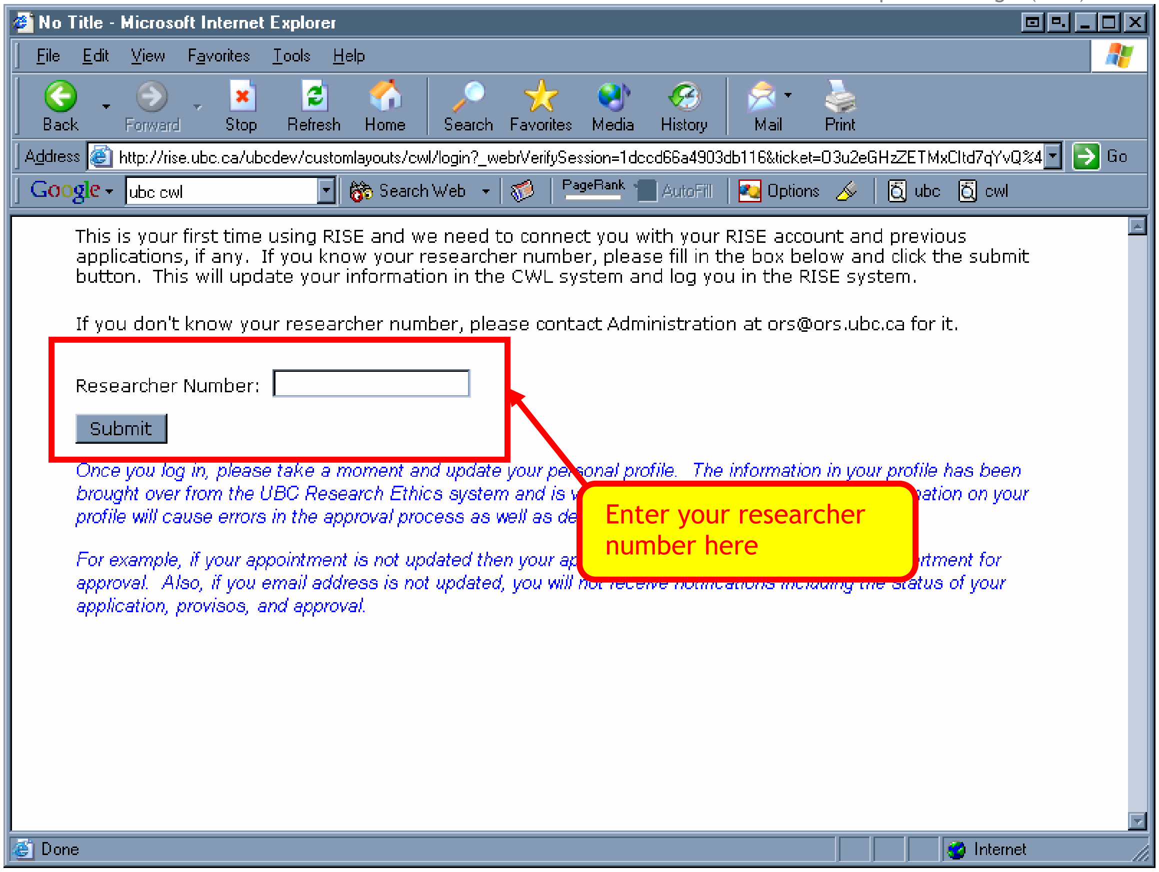
Track and Monitor the Application through the Approval Process
The states show the status of an application throughout the approval, amendment, and renewal process.
As your application moves through the approval process the states will change. Listed below are some states and what they mean:

- **Pre-submission** – when PI and study team are completing the application
- **Department Review** – when application has been submitted for department review and approval
- **Changes Required by Dept. Reviewer** – when department head requests changes from the PI.
- **ACC Staff Screening** – when the application has been approved by the department head and is now being reviewed by the Animal Care Committee Administration.
  Changes Required by ACC Staff – when Animal Care Committee Administration requests changes from the PI.
  Assigned for Full Review – the application will be reviewed at the next Animal Care Committee meeting.
- **Assigned for Expedited Review** – the application will be reviewed at the next Animal Care Committee Expedited meeting.
- **Provisos Pending** – Provisos have been sent to the PI from the Animal Care Committee.
- **Approved** – the application has been approved.

Access to RISE:
To access RISE, users will have to log on through Campus Wide Login (CWL). The CWL account set up is the same account used if you have logged on to my.cv.ubc.ca. After logging on through CWL, PI's and staff listed on previous animal care research applications will have to enter their Researcher Number, which will be sent to them from ORS. Entering their Researcher Number will connect the researcher and staff to their profile and applications from the existing system (ORSIL). This connection is only completed once, the first time the researcher logs on to RISE. After that the researcher will log on using their CWL password and will be directed to RISE, no Researcher Number will be required.



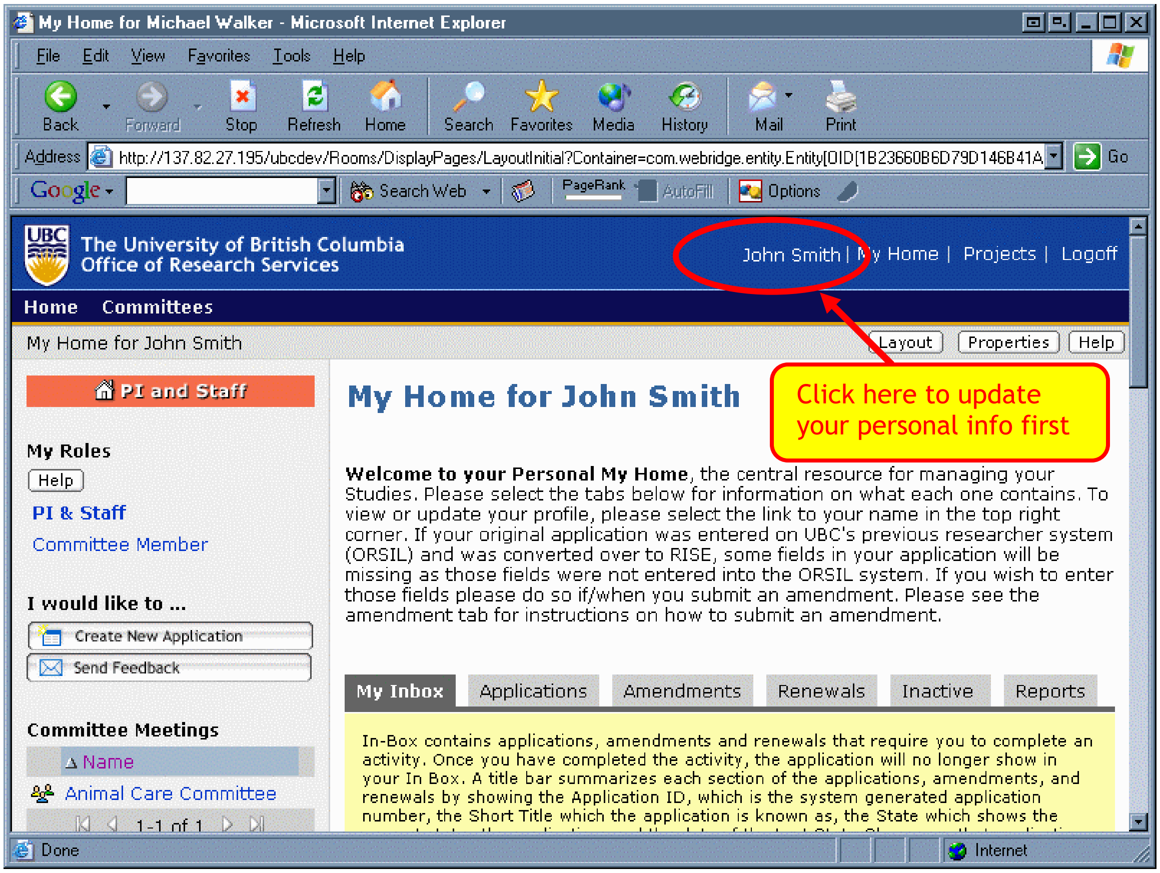
UBC Campus Wide Login (CWL) screen



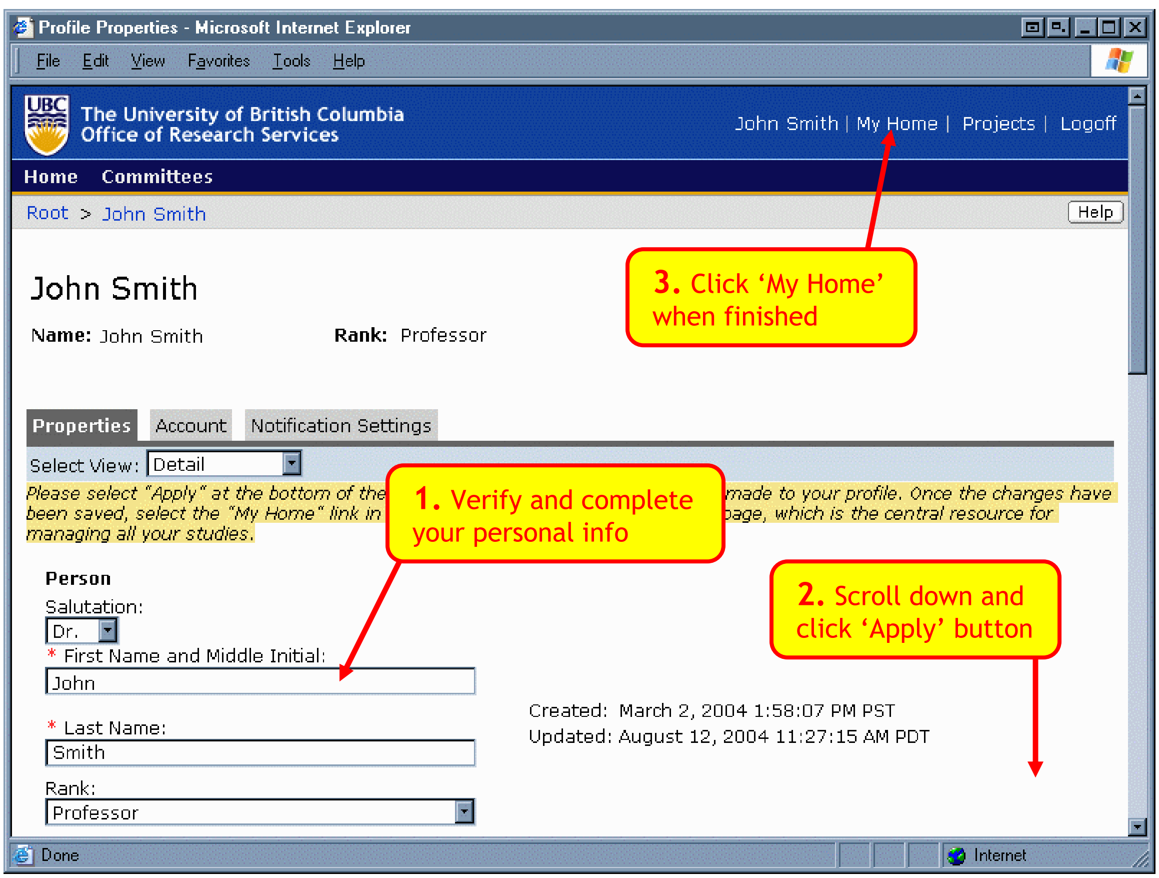
Enter your researcher number

New PI’s or new study team members needing access to RISE must contact Lynn Macdonald at Lynn.Macdonald@ors.ubc.ca to have their account set up. Once registered, Lynn will send the new user their log in ID and password, and at their first login the new user will be prompted to change their password. All PI’s or study team members listed on an application must be registered in the system.

At the first login, all users must view and update their profile if necessary as the profile is a very important part of RISE. A user’s profile will determine what access they have depending on their rank, what department to electronically send their applications to for review and approval using the appointments listed, and what email address to use when notifying the user on provisos, approvals, renewals, etc.

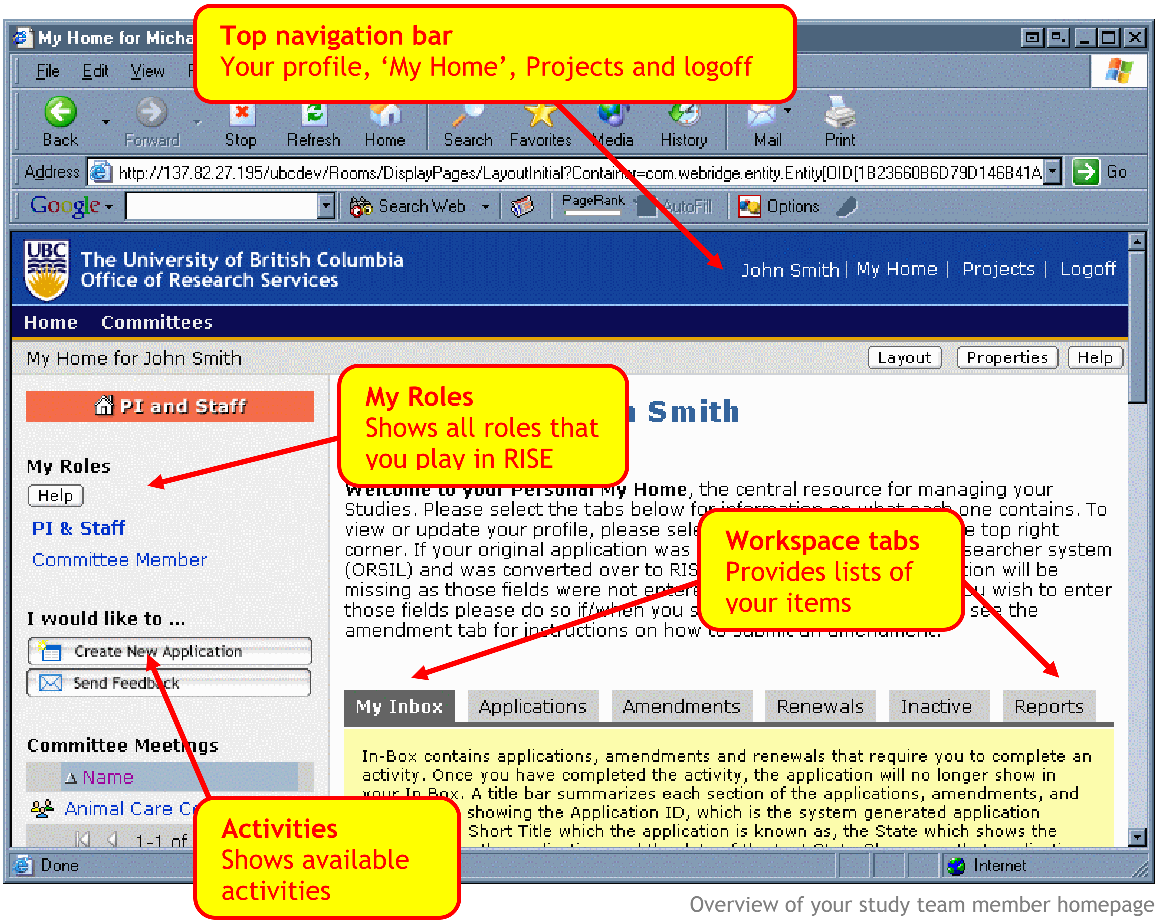


Click your user name at the top of the screen to update your profile



Follow steps 1, 2, and 3 above to update your personal info

The PI and Study Team Member Homepage:
Your personal "My Home" is the central resource for managing your studies. The system will assign role(s) according to the user's rank and responsibilities which are listed on the left side of the page under "My Roles". All PI and Study Team Members will have a user role called "PI & Staff". Some users will have multiple roles listed such as Department Approver, Committee Member, Facility Manager, or Peer Reviewer. To switch among user roles, click on the "role" which will have a hyperlink to navigate to that role's workspace.



Overview of your study team member homepage

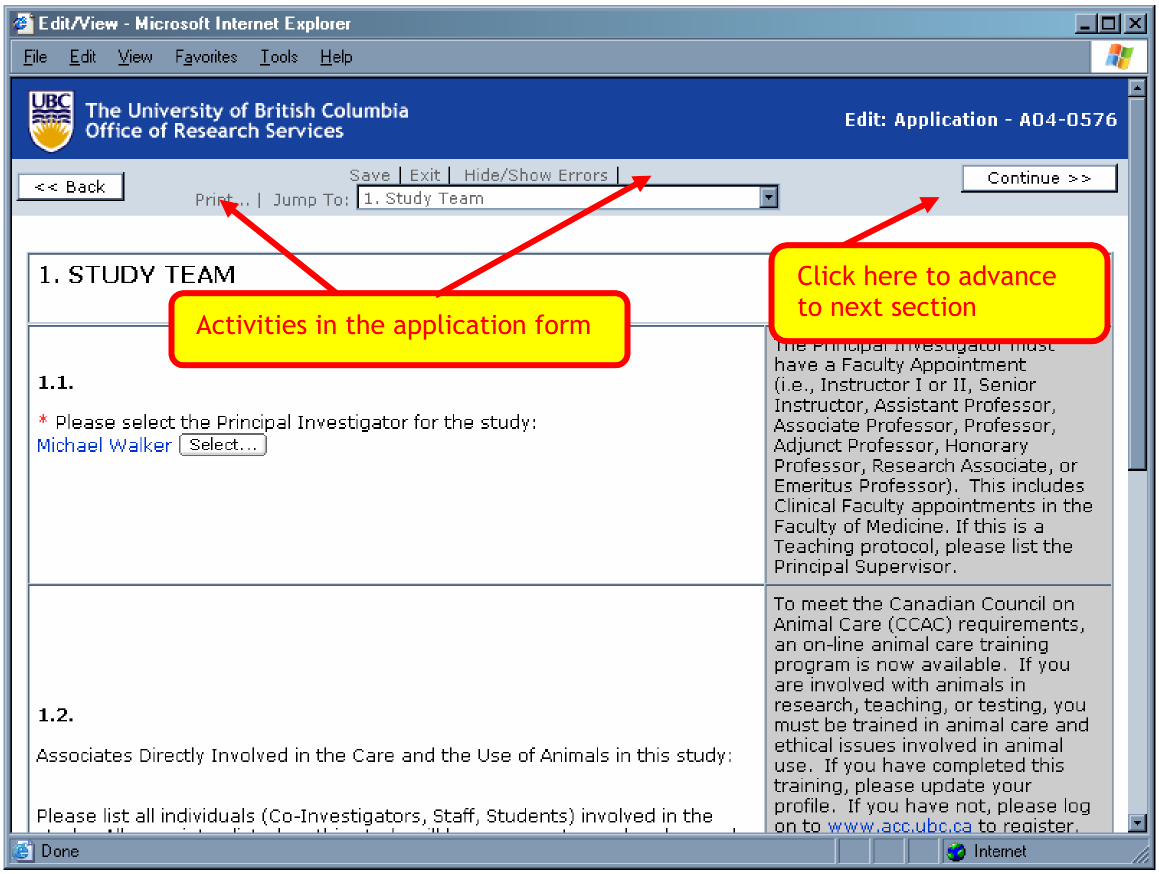
The Top Navigator Area contains the following hyperlinks:
1. **Your Name:** Allows you to view your user profile in the RISE system
2. **My Home:** Allows you to return to the default homepage, which is the central resource for managing your research applications, and to view your roles.
3. **Projects:** will allow users to create and view reports.
4. **Logoff:** Allows you to logoff from the RISE system.

My Home Workspace Activities:
Create New Application: Activity used to create new applications within the RISE system.

Within the My Home Workspace there are the following tabs:
1. **My Inbox**: The default tab which shows all new applications in "pre-submission" or those currently requiring action on your part. Applications in your Inbox require your immediate attention and should be dealt with in a timely manner.
2. **Applications:** Contains all of your applications in all states. Applications since January 1, 2000 are listed.
3. **Amendments:** Contains all of your amendments in all states. Amendments since September 2004 will be listed.
4. **Renewals:** Contains all of your renewals in all states. Renewals since September 2004 will be listed.
5. **Inactive:** Contains all your completed, closed, or terminated studies since January 1, 2000.
6. **Reports**: Contains custom reports built by the system administrator.

Creating New Applications:
To create a new application, click the "create new application" button on the left hand side of the My Home page. This will take you to the first page of the application form. Please note that all fields with a red asterisk are required items. The system will not allow you to proceed to the next screen or submit the application unless all required fields have been answered. In the application there are two functions at the top and bottom of the form: "back" and "continue".

- The **"back"** and **"continue"** buttons allow you to move through the application form one screen at a time.



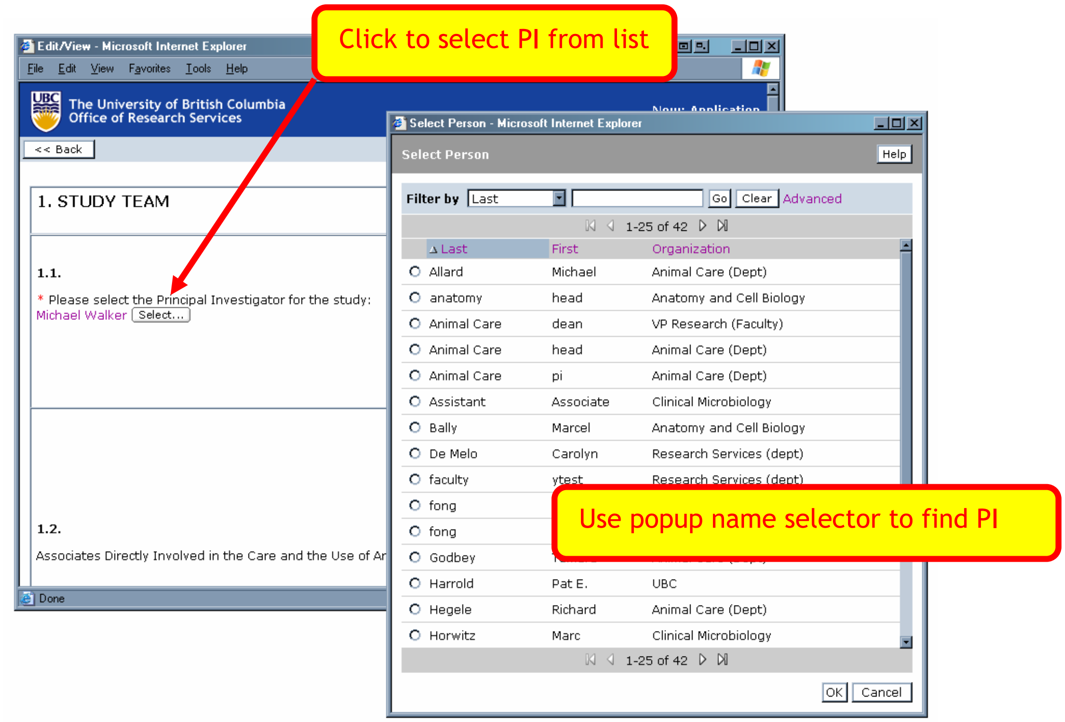
The first page of an application

Other activities in the application form on the blue title bar:

- **"Save"** button allows you to save your work in progress. This will allow you to return to your application later or have someone else on your study team edit and save the application. Please use this button often. Also note that each time a user hits "continue" the system will automatically save the data from the previous page.
- **"Exit"** button allows you to exit the application and return to the application homepage. You will be prompted to save your work prior to the exit.
- **"Print"** button allows you to see a print-friendly version of the application in progress, although it will not show data entered in questions where data is collected using another view. E.g. all the properties asked with animal information, the print view will only show the summary view for the animal information question on the application.
- **"Jump to"** button allows you to jump to different sections of the application form. This is especially helpful when you are resuming work on a previous created application. Be aware though that if you are completing a research application the "jump to" allows you to view pages of other application types like breeding, teaching, invertebrates, so be aware that you are only jumping to views that are applicable to your application and not completing forms for other types of applications.

Adding the Principal Investigator (PI) to an Application:
The RISE system allows only one PI. The PI must be registered in the system as they are chosen from a system "pick list". The user creating the application must be sure to add themselves as either the PI or a study team member otherwise they will not have access to continue to the next page. The PI may be added to the application as follows:

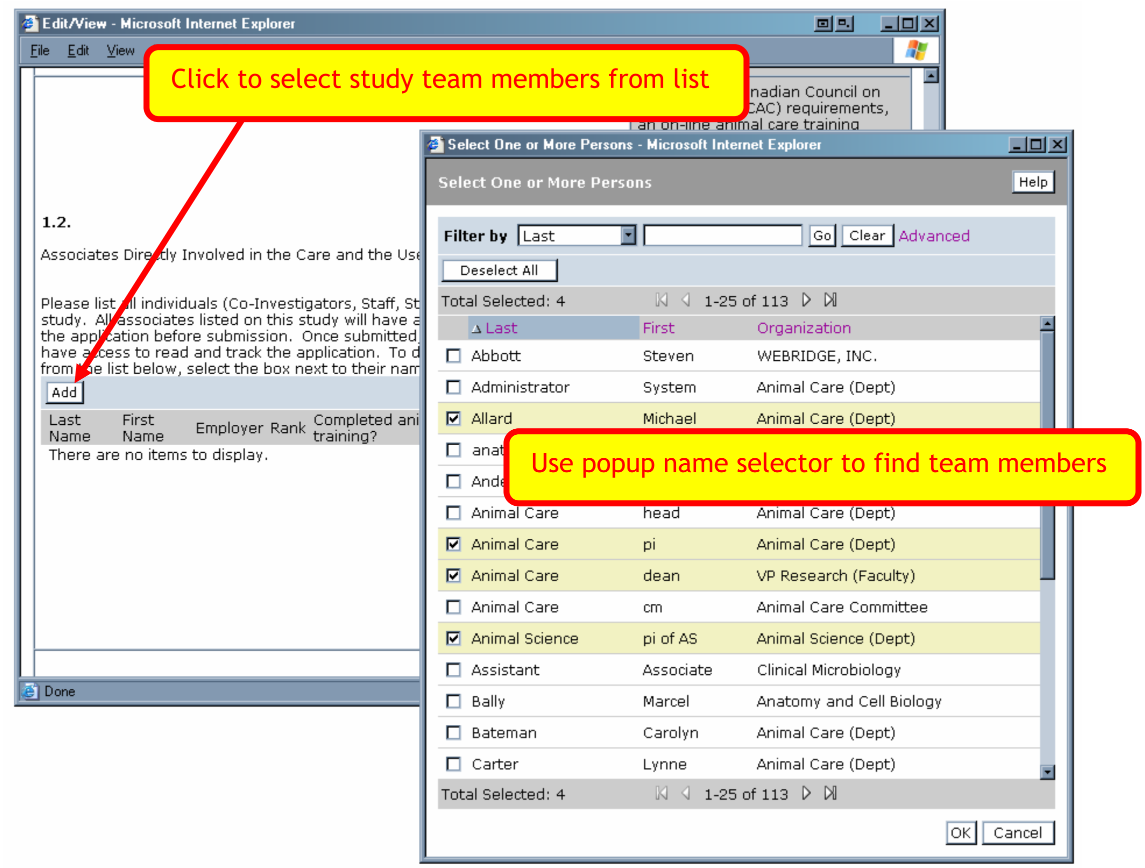
- Click on the "Select" button: A pop- up window will show all users currently registered within the system. You may use any of the fields to help search for the user – under "Last Name", the first few letters of the user's last name will suffice.
- Click "Go" when you have entered sufficient information.
- Select the name from the list below by hitting the circle next to their name which will highlight the name, then click the "OK" button at the bottom right of the screen. The name should appear in the PI field.



Please note that only the user added as the PI may submit the application. All study team members listed may begin and complete an application on behalf of the PI, however, only the user listed as the PI will have the "submit application" activity available.

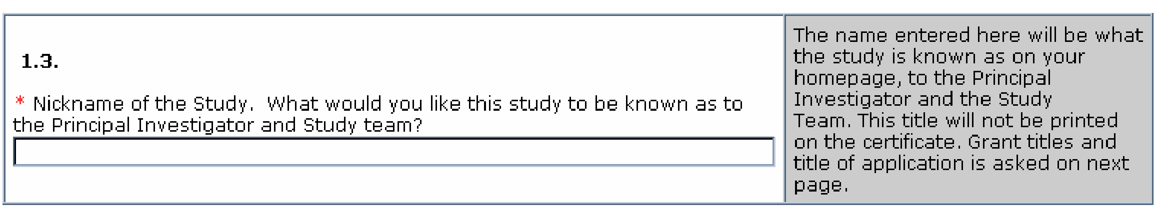
Adding Study Team Members to an Application:
The RISE system allows many study team members and they all must be registered in the system as they are chosen from a system "pick list". If a study team member is not in the "pick list", either the user or the new study team member must be registered by emailing their name, department, rank, phone number and email address to Lynn Macdonald at Lynn.Macdonald@ors.ubc.ca. The new user will be registered in the system within 24 hours and will have to be added to the application by a study team member once that is done. The user creating the application must be sure to have added themselves as either the PI or a study team member otherwise they will not have access to the application. The study team members, once added, will have access to the application using their RISE account. The study team members may be added to the application as follows:

- Click on the "Add" button: A pop- up window will show all users currently registered within the system. You may use any of the fields to help filter the search for the user – under "Last Name", the first few letters of the user's last name will suffice.
- Click "Go" when you have entered sufficient information.
- Select the name from the list below by hitting the circle next to their name which will highlight the name, then click the "OK" button at the bottom right of the screen. The name should appear in the study team member list.



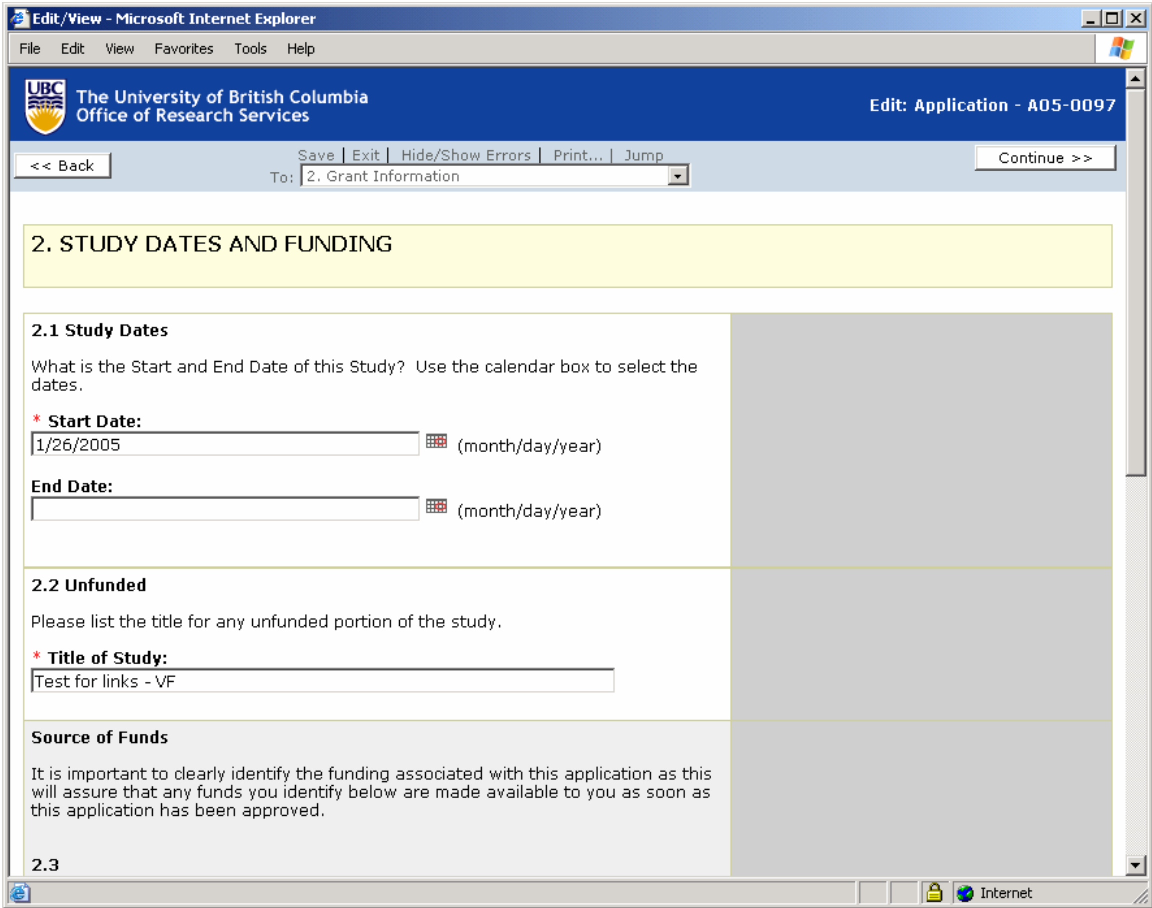
Continue adding study team members following the above instructions. To remove a study team member from the application, place a check mark in the box found next to their name and click “remove”.

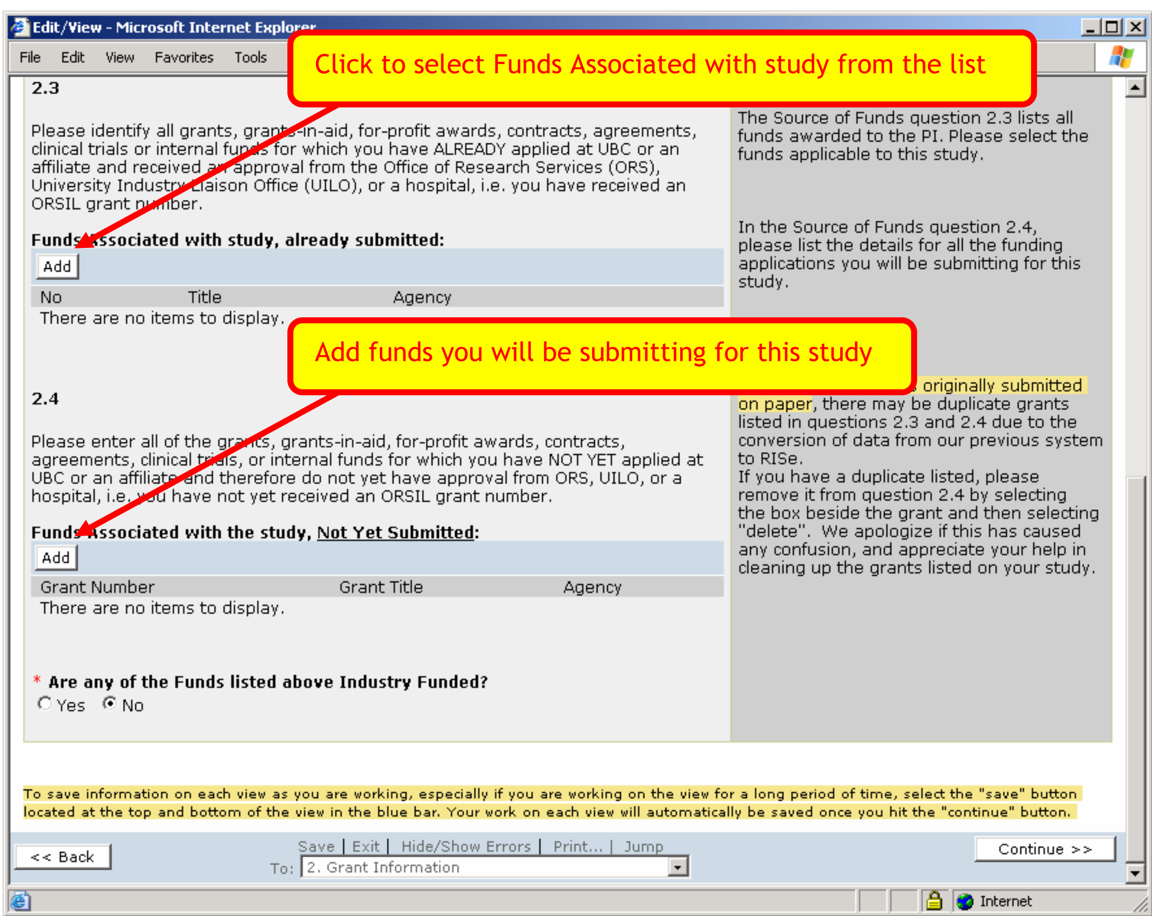
Nickname of Study:
The nickname of the study is an abbreviated form of the title of study and is used by the PI and study team members to identify the study under the Application tab and on the Application homepage. The name entered here is also what the study is known as to the Department Approver and Animal Care Committee for the approval process. This title will not be printed on the certificate. Grant titles and title of application is asked on page 2 of the application.


1.3.

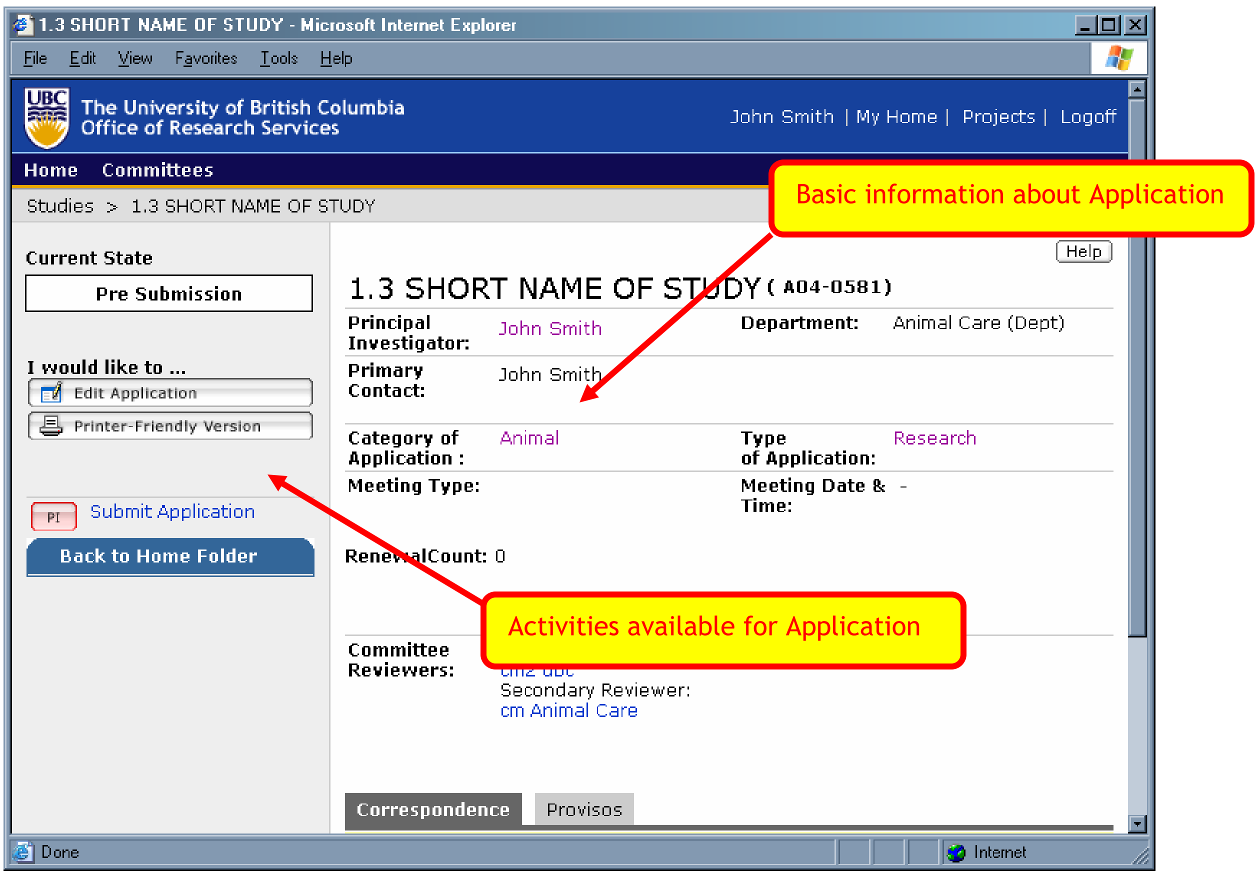
* Nickname of the Study. What would you like this study to be known as to the Principal Investigator and Study team?

The name entered here will be what the study is known as on your homepage, to the Principal Investigator and the Study Team. This title will not be printed on the certificate. Grant titles and title of application is asked on next page.


Edit/View - Microsoft Internet Explorer
File Edit View Favorites Tools Help
The University of British Columbia
Office of Research Services
Edit: Application - A05-0097
<< Back
Save | Exit | Hide/Show Errors | Print... | Jump
To: 2. Grant Information
Continue >>
2. STUDY DATES AND FUNDING
2.1 Study Dates
What is the Start and End Date of this Study? Use the calendar box to select the dates.
* Start Date:
1/26/2005
(month/day/year)
End Date:
(month/day/year)
2.2 Unfunded
Please list the title for any unfunded portion of the study.
* Title of Study:
Test for links - VF
Source of Funds
It is important to clearly identify the funding associated with this application as this will assure that any funds you identify below are made available to you as soon as this application has been approved.
2.3
Internet


Edit/View - Microsoft Internet Explorer
File Edit View Favorites Tools
Click to select Funds Associated with study from the list
2.3
Please identify all grants, grants-in-aid, for-profit awards, contracts, agreements, clinical trials or internal funds for which you have ALREADY applied at UBC or an affiliate and received an approval from the Office of Research Services (ORS), University Industry Liaison Office (UILO), or a hospital, i.e. you have received an ORSIL grant number.
Funds Associated with study, already submitted:
Add
No Title Agency
There are no items to display.
Add funds you will be submitting for this study
2.4
Please enter all of the grants, grants-in-aid, for-profit awards, contracts, agreements, clinical trials, or internal funds for which you have NOT YET applied at UBC or an affiliate and therefore do not yet have approval from ORS, UILO, or a hospital, i.e. you have not yet received an ORSIL grant number.
Funds Associated with the study, Not Yet Submitted:
Add
Grant Number Grant Title Agency
There are no items to display.
* Are any of the Funds listed above Industry Funded?
Yes No
The Source of Funds question 2.3 lists all funds awarded to the PI. Please select the funds applicable to this study.
In the Source of Funds question 2.4, please list the details for all the funding applications you will be submitting for this study.
originally submitted on paper, there may be duplicate grants listed in questions 2.3 and 2.4 due to the conversion of data from our previous system to RISe.
If you have a duplicate listed, please remove it from question 2.4 by selecting the box beside the grant and then selecting "delete". We apologize if this has caused any confusion, and appreciate your help in cleaning up the grants listed on your study.
To save information on each view as you are working, especially if you are working on the view for a long period of time, select the "save" button located at the top and bottom of the view in the blue bar. Your work on each view will automatically be saved once you hit the "continue" button.
<< Back
Save | Exit | Hide/Show Errors | Print... | Jump
To: 2. Grant Information
Continue >>
Internet

The Application Homepage:
After you have exited from or finished the application, you will be returned to be the Application Homepage. All applications created within RISE are assigned a homepage in which the PI and Study Team can continue to update the application in pre-submission and monitor/track its progress as it moves through the approval process.
Activities on the Application Homepage:
- **View Application:** Allows you to view the application once the application has been approved
- **Edit Application:** Allows you to edit the application in pre-submission state, or in Provisos Pending state. Also allows you to view the application while it moves through the approval process. The application will be locked while it moves through the approval process but if you select "edit application" you can still view all the pages of the application.
- **Submit Application**: Allows the PI (only the PI) to submit the application for approval. Once the application has been submitted the activity will no longer show on the application homepage.
- **Print Friendly Version**: Allows you to view a print-friendly version of the application on one continuous page.
- **Create New Amendment:** Allows you to create a new amendment on an approved application
- **Create New Renewal:** Allows you to create a renewal on the application



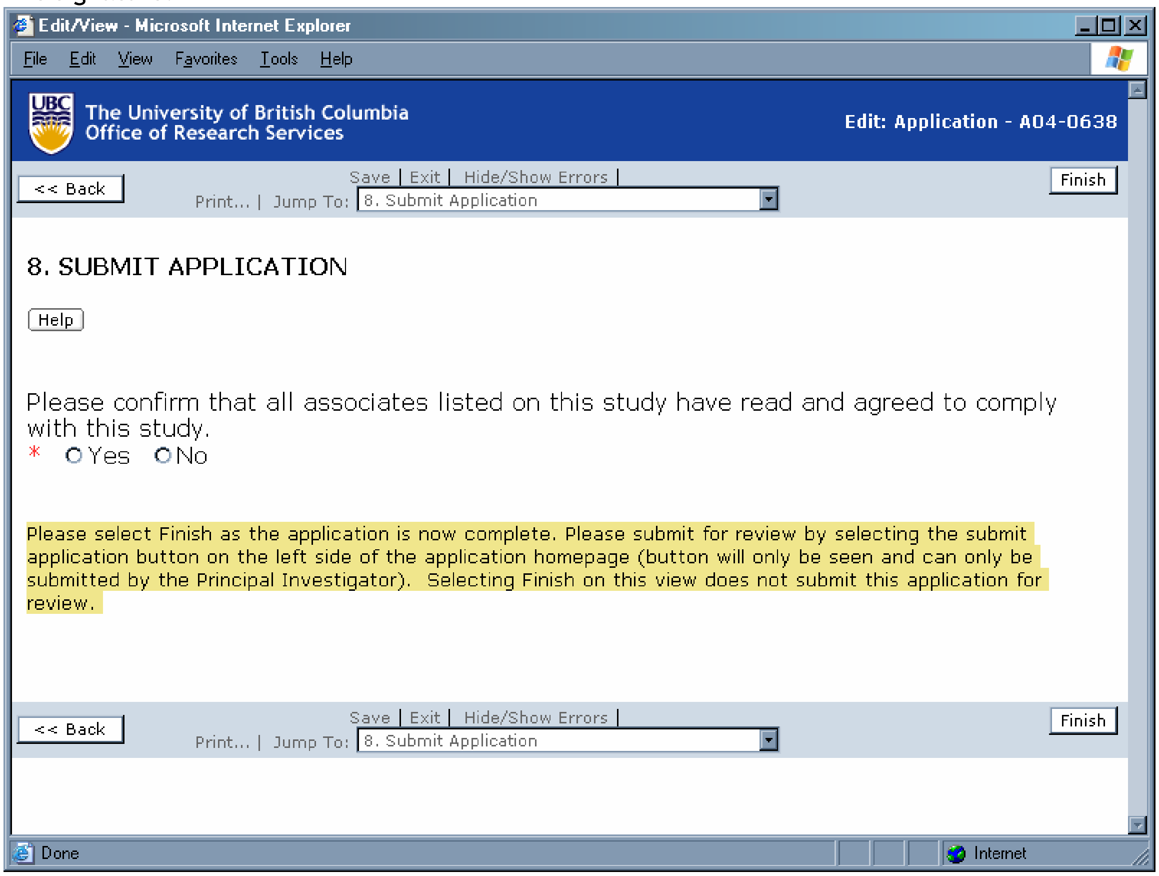
The Application Homepage

Uploading Attachments:
Certain questions on the application will ask you to upload attachments, if necessary. Attachments to the applications are uploaded as follows:
1. Click "browse" to navigate to the file's location on your computer hard drive or a shared drive.
2. Select the file and click "Open"
3. Click "OK"

After the file has been successfully uploaded, it will appear as a hyperlink in the application form.

Signature from the PI and Study Team Members:
On the last page of the on-line application a question asks "Please confirm that all associates listed on this study have read and agreed to comply with this study", and the user must select yes or no. This question is equivalent to all the signatures for the study team members as it confirms that all read and agreed to this study.

The PI signs the application using the "Submit Application" activity. That activity states a declaration and agreeing to the declaration by selecting "OK" to submit is equivalent to the PI's signature.



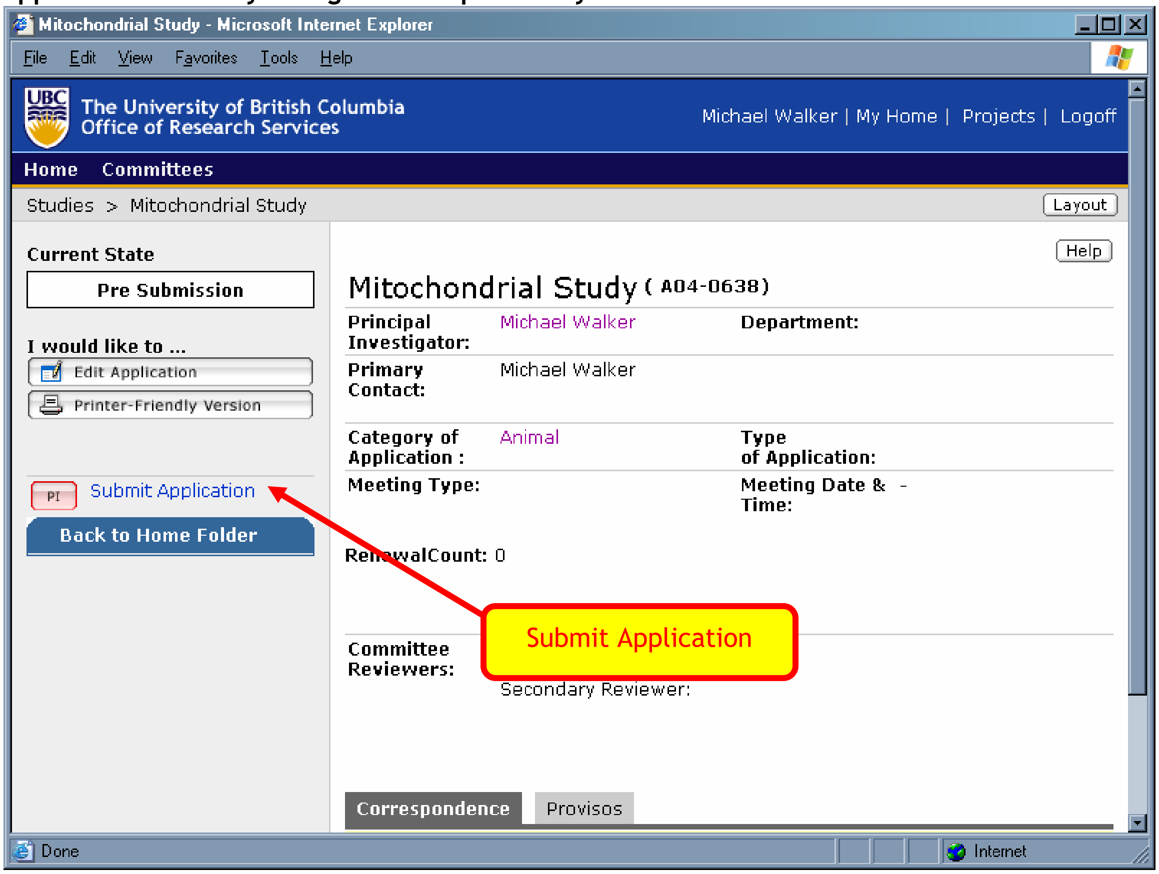
Final Application submission

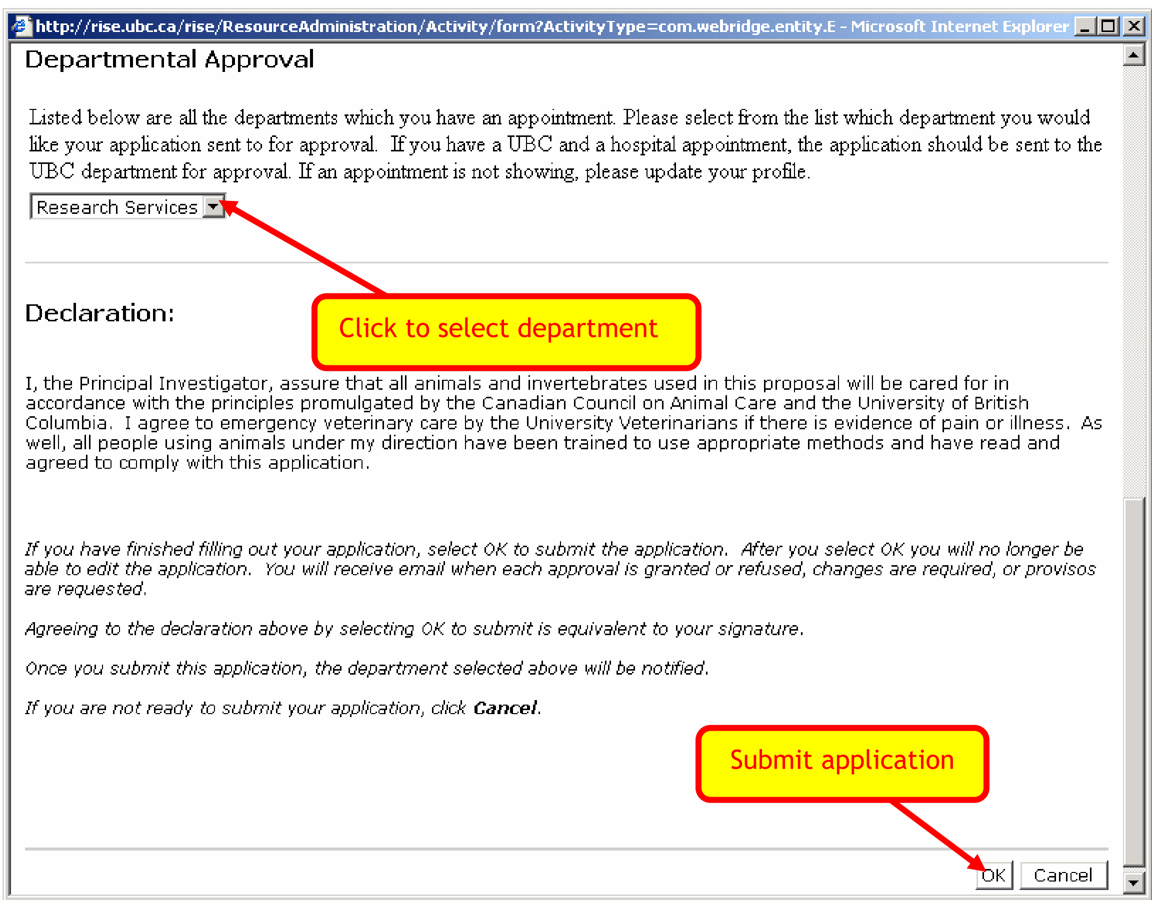
Submitting the Application and Department Review/Approval:
After you complete all the required information on the application, the PI may submit the application for department review using the "Submit Application" activity found on the left-hand side of the application homepage. The "Submit Application" activity is only available to the user who has been named as the PI for the study. On that activity, the form will show the PI a drop down box with their department (or departments if more than one) and ask which department will be approving this application. The PI will select the department, read the declaration, and select "OK" to submit if they agree. The appointments listed for the PI are generated from the PI's profile. Once the PI has selected which department will be approving the application, the application is electronically sent to the Head of the selected department for approval. If a department is missing or incorrect, the PI will need to update their profile by selecting the link to their name in the top right corner of the page.

After successful submission, the application will move from the "Pre-Submission" state to the "Department Review" state, and will move from the Inbox tab to the Applications tab. The PI and Study Team can monitor and track the state of the application by viewing the application under the Applications tab. The application will not be sent to the Animal Care Committee for review until the application has been approved by the required department approver.

Note: The Submit Application activity will validate all fields in the application and prevent submission if any required fields have not yet been completed. You must complete all the

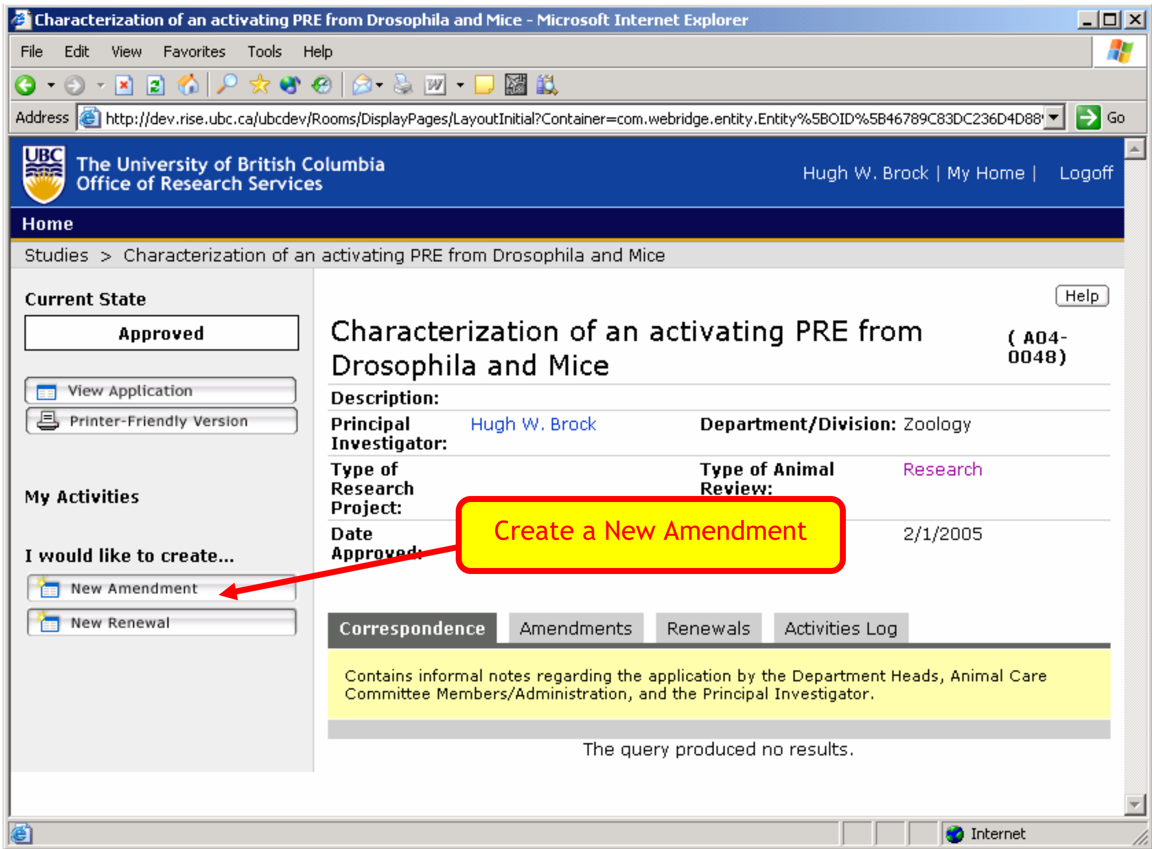
required information to successfully submit an application for review and approval. After successful submission, the PI and Study Team members will only have read access to the application until any changes are requested by the Animal Care Committee.

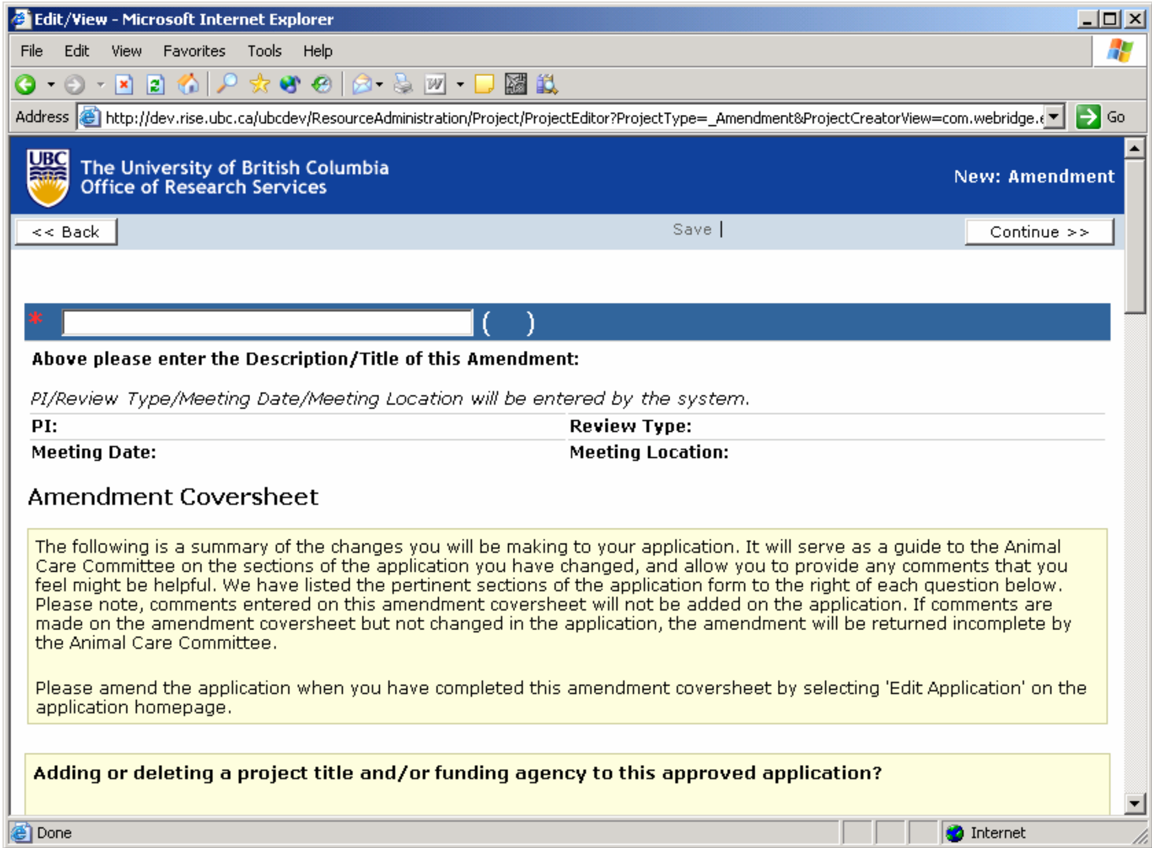




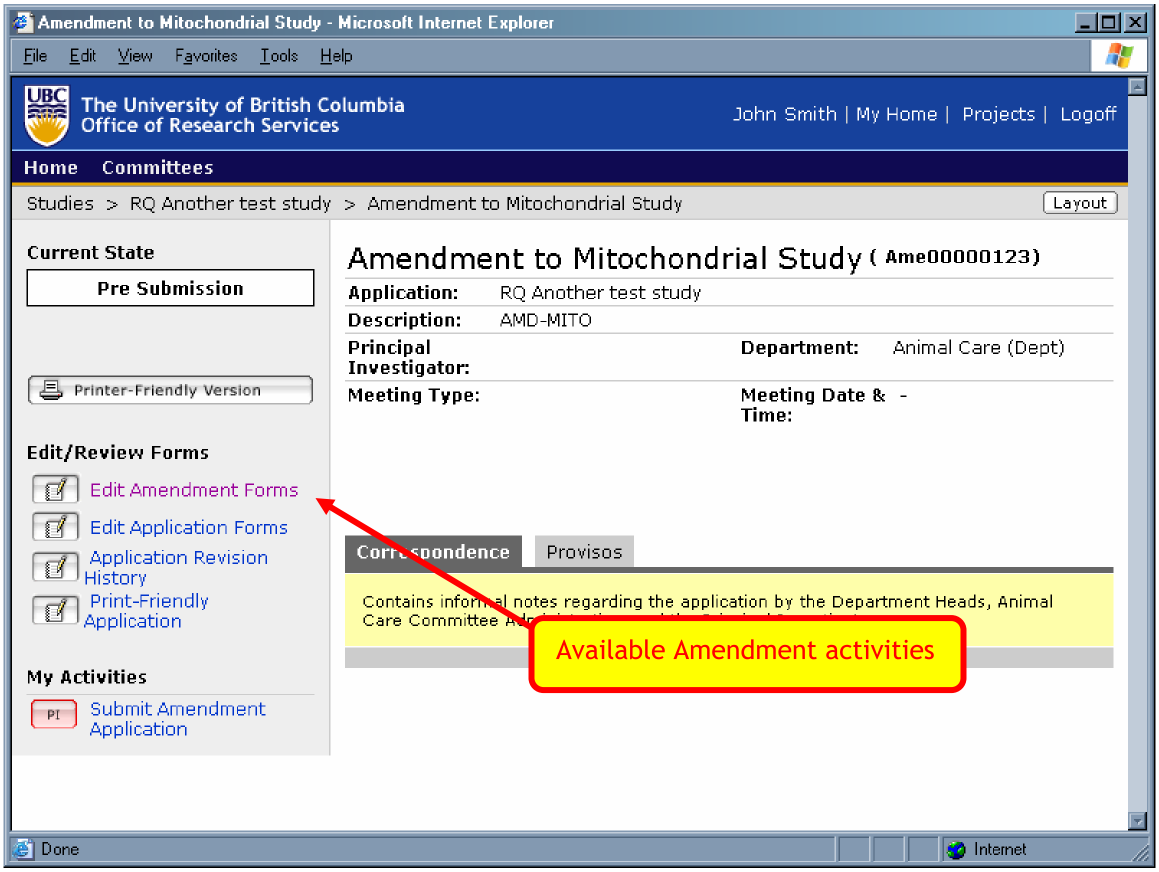
RISE User Guide for Amendments

Amendments can only be created on an approved application, and can be created by the Principal Investigator or any member listed on the study team. Amendments can only be submitted by the Principal Investigator. To create an amendment, select the application you would like to create the amendment on from the Applications tab. The activity to create an amendment is on the left hand side of the application homepage called "create a new amendment".





Once the PI or study team member selects the link to create a new amendment, they complete a short one page coversheet indicating which sections they would like to amend. Once you have completed the amendment coversheet, please amend the application with the changes by selecting "edit application form" on the application homepage. The application will then be unlocked for the user to amend. Comments entered on the amendment coversheet are not automatically added to the application, this must be completed by the user. If comments are made on the amendment coversheet but not changed in the application, the amendment will be returned incomplete by the Animal Care Committee. Once the changes have been made on the application, select “submit amendment application” sending the amendment for approval. Once the amendment has been sent, the application will be locked again as read only. A snapshot of the original application before the amendment changes were made will be kept under the amendments tab.



Activities for creating an amendment:
"edit amendment form" – to change or read the one page amendment document.
"edit application form" – to change and amend the properties of the application.
" application revision history" – tracks the pages where changes on the application were made, who made the changes, and when the changes were made.
"submit amendment application" - select this activity when the amendment form is complete and all the amendment changes have been made on the application. After this activity is selected, the amendment will be sent for approval and the application will be locked again with changes no longer allowed. * Any study team member can create and complete the amendment form and changes on the application, but only the Principal Investigator can select the "submit amendment application" activity.

User Guide for Renewals

The PI will receive an email notification when the application is up for renewal. The PI can also see when an application is up for renewal by viewing the expiration date on the application homepage.

The PI can renew the application by selecting the application that is up for renewal from the applications tab, then selecting "create renewal" which is listed on the left hand side of that application. Only the PI can renew the application.

Renewing an application does not allow changes to be made on the application. The application will be renewed maintaining all aspects of the original study. If the renewal contains modifications to the original study, the user will have to complete and submit an amendment form to the Animal Care Committee as a separate process along with the renewal.