



Haplo

haplo-services.com
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Haplo specialises in powerful, customisable software that supports academic institutions, helping them to control and manage large volumes of research information easily and intuitively.

Taken from the Greek word “haplóos”, meaning “single” or “simple”, Haplo isn’t merely our company name – it encapsulates our philosophy of managing all critical information in a single system that’s simple for everyone to use. It’s also what we call our open-source information management platform which is the power behind all of our applications.

Designed primarily to benefit higher education institutions, Haplo streamlines processes, raises the profile of research and keeps information accessible yet highly secure.

With its cutting-edge, flexible architecture, Haplo delivers a suite of highly tailored information management applications to meet your institution’s specific requirements.

A cost-effective, clear and intuitive system – Haplo transforms burdensome administrative processes and condenses them into a single, user-friendly online platform.

We hope you find this brochure helpful, and we look forward to working with you.

The Haplo Platform underpins our three research management solutions.



A solution that supports researchers and professional services teams at every stage of the research lifecycle – from funding proposals through to management of research outputs.



An easy-to-use online solution that streamlines the review of ethical approval applications. Transparent and efficient, Ethics Monitor saves time and ensures easy research governance across your institution.



A comprehensive and time-saving solution for postgraduate researchers, supervisors and graduate schools. PhD Manager keeps information in one place and streamlines the process of supervision meetings, progression monitoring, examinations management and reporting.

Research funding and project management

Haplo Research Manager streamlines the pre and post-award management of research funding across a university. It enables institutions to publicise funding opportunities, collaborate more easily on proposals and manage approval workflows. Haplo Research Manager analyses income by researcher, department, research group and university, and provides a real-time view of potential funding income.

Idea generation

Publicising grants and opportunities	Haplo Research Manager makes funding opportunities easier to discover by displaying them on an online noticeboard.
	Opportunities can be entered automatically through an API from a research funding source or individually by authorised users.
	Tailored, targeted lists of opportunities can be emailed to users based on their specific research interests.
Finding collaborators	Users can find potential cross-discipline collaborators throughout their institution by searching all researcher profiles, research outputs and research projects to find matching subject areas.
Reviewing previous proposals	Research offices can search all previously prepared funding proposals for best-practice examples or research ideas that can be reused.
	Haplo Research Manager identifies links between related projects, researchers and funders to find the most relevant proposals.
Developing relationships with external organisations	Haplo Research Manager maintains records of all partners and funders, and tracks all interactions with the external body.

Pre-award

Unique ID	A unique ID is generated and assigned to each funding project, to identify it consistently throughout the project lifecycle.
Collaborative preparation and file sharing	Researchers and the research office can collaborate on the preparation of funding proposals through Haplo. Files can be shared between all researchers involved with the project and research office.
	Haplo supports version control enabling files to be edited and new versions uploaded.
Online costing tool	Haplo's integrated costing tool enables researchers and research office to collaborate when producing costings, removing the need for laborious spreadsheets.
	Automatically selected templates apply funder and institutional policy to the costing calculations.
Multiple partners and departments	Haplo supports the costing of projects with multiple collaborating partners, and where multiple internal departments are costed in a single bid. The costing tool assigns and reports on the split of costs to each department or collaborating institution.

Pre-award

Reviewing and approving of draft costings	Haplo provides a comprehensive workflow system supporting the review and approval of draft costings by finance, faculty, research office and senior management. The platform records versions of costing calculations and allows for as many review iterations as are needed.
Sales forecasting	Potential income from funding proposals is incorporated into an income forecasting dashboard. The dashboard displays potential income by department, faculty, and across the institution.
Review	Requests can be sent to colleagues to review funding applications prior to submission, with responses tracked and feedback shared in Haplo with researchers and the research office.
Internal approval	Using Haplo's integrated workflow, internal approval can be requested automatically from relevant colleagues. Different approvers can be nominated for different types or values of application. Tasks and emails are sent to each approver in turn. Once approval has been granted, the researcher and research office are notified and can then submit their proposal to the funding body.
Meeting deadlines	A dashboard shows the research office all current applications in-progress and their deadlines. Deadlines taking place within four weeks are highlighted amber, while those taking place within two weeks are highlighted red.
Tracking proposals won and lost	Researchers can enter the outcome of each application within Haplo, enabling the institution to track opportunities won and lost.

Post-award

Project initiation	After a project has been awarded, Haplo supports project setup by automatically creating a project record for logging and sharing post-award information. Details of awarded projects can be publicised on the homepage, included in reports and emailed to relevant users.
Project files	Funder contracts and all critical documents can be stored within Haplo and linked to the relevant project.
Milestones and actions	Milestones can be added to projects to record when reports and invoices are due to funders and log any key actions to be completed. Haplo then prompts users ahead of every milestone deadline. Dashboards clearly display the status of milestones across all projects, enabling the research office to monitor them more effectively.
Tracking active projects	Authorised users can see all active projects within faculties, research groups, and across the whole institution. Project dashboards can be filtered to find projects by different criteria.

Reporting

Dashboards

Dashboards show a wide range of information covering all aspects of research activity, including but not limited to:

- Awarded income per faculty or research group and across the entire institution
- The pipeline of funding applications, their status and potential value per faculty or research group and across the entire institution
- Funding income per researcher, and the percentage success of funding applications per researcher
- Funding income per funder, and percentage success of funding applications per funder
- Reporting and comparison of financial data by academic year

Dashboards show only the information users are authorised to view - for instance, faculty based staff only see information related to their faculty.

All reports can be downloaded into Excel.

Key benefits

- **Saving time:** An online research management system can save significant time by streamlining processes and keeping all information in one system.
- **Improving support for researchers:** Researchers increasingly expect a robust online system they can use to interact with professional services teams within their institution, collaborate on funding proposals, log research outputs, and update their web profiles.
- **Raising the profile of research:** Haplo makes it far easier for researchers, departments and research groups to keep their public web profiles up to date.
- **Better reporting:** Institutions hold extensive data about research but in disparate systems and of varying quality. An online research management system can make better use of information already held and make it easier to gather better quality information. It will also improve the visibility of research activity and the detailed reports enable better intelligence-driven decision-making. Preparation for the REF and other required reports puts a significant but unavoidable burden on institutions - an effective online research management system can streamline the process, significantly reducing the burden on staff.
- **Improved research governance:** An online research management system helps to reduce reputational risk by streamlining the ethics approval process and monitoring compliance with funders' policies.

Haplo Repository and Research Data Management

Taking an innovative approach to established information management principles, Haplo Repository mitigates common pain points and limitations, enabling institutions to do more with their repositories than ever before.

"I'm very impressed with the simplicity of the ingest workflow in Haplo, from both the administrator and end user perspective."

"For me, the most impressive part of the ingest processes, is the review. When an item is reviewed by staff, there is a clear audit trail for both the reviewer and the depositor to see. All the commenting and discussion is kept within the system. This is a major advance in repository software, especially when it comes to time critical deposits for compliance."

Depositing outputs

Submitting research outputs	<p>Haplo Repository enables researchers to self-deposit their research outputs. Researchers can review their research outputs and submit new research outputs. New outputs can be added either individually via an online form or by looking up and importing existing records by entering their DOI.</p> <p>Researchers are presented with different metadata records for different types of output, and embedded guidance notes help them complete the form correctly.</p>
Author citations	<p>Repository systems often can't distinguish between John and Jane Smith if they both prefer the citation "Smith, J.". They also get confused if Jane were to change her name to Jane McEnroe, and then prefer to be cited as "McEnroe, J."</p> <p>Haplo Repository creates unique author profiles per person, not per citation.</p> <p>The user interface enables the author to choose their citation for an output independently of the link to their author profile. This means different outputs can use different citations for the same person, and different authors can have the same citation with no ambiguity over which outputs belong to which author.</p>
Datasets and non-traditional outputs	<p>Many repository systems have very limited data models, so they struggle to store and manage records of a variety of types. Institutions must usually work around this by having two repositories, one for research data and one for traditional outputs such as articles.</p> <p>It's also common for non-traditional outputs such as performances or videos to be stored in a third system or managed individually, because the repository can't handle them adequately.</p> <p>It makes far more sense for researchers and other readers to have all research outputs related to a project in one place.</p> <p>Haplo Repository can represent any type of information and is specifically designed to manage datasets, traditional and non-traditional output types together. The system is incredibly flexible and templates for new output types can be added at any time.</p> <p>All research outputs can be searched simultaneously and all outputs from a researcher, research project or department can be displayed together.</p>

Depositing outputs

Security

Haplo's focus on security makes it the ideal repository for storing sensitive data and managing embargoed or restricted files.

Safely managing sensitive information is critical for a modern repository. However, traditional repository systems were designed to make all data and outputs available without restriction.

It's challenging to retro-fit security onto a system that hasn't been designed with a suitable threat model in mind, which leaves institutions to shoulder the additional administrative burden of storing and securing sensitive information in alternative systems.

Security is integral to the design of Haplo Repository and Haplo has been managing sensitive personal information to an exceptional standard for over a decade.

Because of the focus on security throughout Haplo Repository, institutions can safely manage all research data within the system, with confidence in the security of their repository, and with the tools to manage access controls within the institution and when working with external researchers.

Haplo is provided as an ISO27001 certified service.

Permissions

Fine-grained permissions provide flexible yet highly secure access to the repository system, enabling a greater level of control over access for different users.

Access rules can be applied down to the individual metadata field level, not just for the whole record. This enables administrative fields to be hidden from everyone except privileged users, or embargoed files to be available only to output authors (but not other researchers).

File types

Any type of file can be stored and managed within the repository, to enable management of written outputs, non-traditional outputs such as images and videos, and the underlying data files.

Text is extracted for full text indexing from common file formats, including PDF, MS Office, OpenOffice, text and HTML. These can be viewed in an embedded viewer directly on the page, along with image file formats including PNG, GIF, JPEG and TIFF.

Audio media players are included for WAV and MP3.

License

Submitters can select an appropriate licence from a metadata field containing a drop-down list of licences. The repository manager can confirm the licence or select an alternative.

A link to the licence is displayed on the metadata record in the public repository. The license will affect the behaviour of other parts of the system, e.g. if the license doesn't allow the file to be downloaded, a "request a copy" button appears which starts a workflow to provide access.

Deposit process

Haplo Research Manager provides a comprehensive and flexible workflow system. It is used to manage the submission and approval of outputs for deposit into the public repository.

The deposit process includes review stages by authorised users, such as repository managers, and automatic publication of the approved record to the public repository.

Records can be returned to submitters for changes. Haplo Research Manager maintains an audit trail of all actions together with a record of the conversation between the depositor and repository manager.

Processing outputs

DOI minting

Haplo supports plug-ins to permit the generation and assignment of DOIs, using DataCite, with institution-specific prefixes on ingest where a DOI is not already recorded for an item. Where a DOI is minted for the item, the DOI is automatically added to the metadata record and displayed publicly.

DOIs can be created for one collection of content only and not for others, or created following any other rule as described by the institution. DOIs may be assigned at a specified point in the ingest process, for example after approval of a record for publication.

Metadata and the link to a public landing page is stored in DataCite, and is updated when the item is revised. Institution specific policy controls which items and what metadata is stored, and how versions of items are managed.

SHERPA

Haplo Research Manager integrates with SHERPA tools to provide reference and guidance information on funder and journal requirements to users at appropriate stages in the workflow.

This will guide users towards compliance with funder and journal regulations, minimising the administrative burden for repository managers and ensuring the compliance of outputs uploaded into the repository.

Multiple embargoes

Haplo supports multiple embargo periods on a single item, assigned for outputs and individual files associated with an output record.

Publisher embargo periods for research outputs can be looked up using the SHERPA RoMEO service.

Embargo date reached

When an embargo date is reached, the embargoed file becomes available for download. This can either happen automatically (with or without notifying the submitter and repository manager) or can require confirmation by the repository manager before publication.

Search engines

Haplo is optimised for search engines by presenting clean and semantic mark-up in publication pages and embedding meta tags for machine-readable data.

All URLs are maintained and migrated using industry best practices when moving to Haplo Repository, ensuring the addresses of your existing landing pages will work indefinitely, and your search engine rankings are not affected.

Processing outputs

Reports

Haplo provides the functionality for monitoring wide-ranging use of the repository, including:

- Items added each year
- Status of newly submitted items
- Items with embargoed or otherwise restricted files
- Number of file downloads and access requests
- Last access date of files
- Administrative metadata including date and time of record creation, name of record creator, date, time and names of users making subsequent changes
- A comprehensive audit trail including user, date, time and searches performed
- Number of REF-compatible research outputs for each Unit of Assessment and in each faculty or research group
- Funder policy compliance reports on a per-item or per-funder basis
- Compliance rates recorded on a per-faculty and per-department level
- Individual item compliance recorded and highlighted to researchers at the point of deposit
- Reporting information gathered on a per-article basis, allowing article level metrics reporting
- Configuration of each item record to show number of downloads
- Optional integration of Google Analytics and other external altmetrics services into the public repository page

Integrations

Integrations

Haplo provides an extensive API to enable data to be fed to and from other systems, with custom APIs developed as required.

Haplo can publish and receive machine-readable, structured data (e.g. JSON, XML), in an open format. This is achieved via a publicly accessible and openly documented API (e.g. using the REST architectural style over HTTP, or SOAP web services.) This can be fulfilled through batch publishing of CSV files, or more structured data formats.

In addition, Haplo Research Manager has the ability to publish data changes from and to the system in real-time.

Data harvesting

Haplo minimises manual data entry by integrating with industry standard systems. This enables researchers to harvest items directly into the repository.

When harvested items are matched to a profile, the system prompts the user to confirm or disclaim them.

To speed up metadata quality checks, repository editors are given clear notices in the user interface, indicating that the record was harvested.

Haplo will draw publication metadata and citation information from external databases to which the institution subscribes or to which a free licence is available including: Web of Science by Thomson Reuters; Scopus by Elsevier; PubMed; CrossRef; ORCID; EuropePMC; Figshare; Altmetric; Mendeley; and JISC Router.

Research Fish

Haplo presents data in a format that can be uploaded to Research Fish, as a precursor to an automatic feed when a Research Fish API is made available.

Integrations

CERIF	Haplo sits within the CERIF framework for CRIS systems, using similar and compatible concepts to describe institutional information.
VIVO	Haplo can be configured using the VIVO ontology for VIVO compliance.

Finding and reusing outputs

Search	Users can search Haplo Repository to find the items they want and discover relevant content. Haplo supports the indexing and search of the full text of uploaded files in all major machine-readable formats. Search result prioritisation ensures that search terms matching key fields such as title and abstract are displayed at the top of the search results list.
Embargo access feature request	<p>Haplo Repository includes an access request feature and workflow that can be configured to allow access to embargoed or restricted files. If the license and other rules of the institution permit, internal users and unauthenticated public users can request access.</p> <p>Access requests follow a workflow to gain approval, which may include steps where the files are processed, e.g. to anonymise data sets.</p> <p>On approval, the user is granted access to the file for a limited period and the download is logged for auditing. This process uses an email account to identify the user and provides access through a link emailed to that user, although it could be adapted to require an account to be created.</p>
Re-use licenses	<p>The researcher can propose a re-use licence which the repository manager can confirm. Users can be required to agree to or acknowledge a re-use licence before viewing the item. Agreement and download is then logged on the audit trail.</p> <p>Haplo provides a dashboard for reporting which items use (and re-use) licences. If required, the number (or names, if provided) of users who have agreed to/acknowledged the re-use licence can be analysed.</p>

Impact and esteem

Impact

Recording impact and evidence of impact

Haplo Research Manager supports the recording of research impact and evidence of impact.

Evidence of impact can be uploaded in a variety of formats and linked to the impact record, including letters, emails, testimonials and reports. Records can link to external supporting material such as radio or television broadcasts, or other online sources.

Impact records can be updated to capture new evidence and changes over time. Haplo supports version control on all records, enabling all previous versions of impact records to be stored and accessed.

Linking impact to research projects

Records of impact link to the underlying research project, researchers, associated funding, and research outputs. Impact can be linked to REF Units of Assessment.

Several projects can be linked to a single impact record and one project can be linked to multiple records.

Haplo maintains links between all related records, enabling users to easily find all impact statements related to researchers within a department.

Workflow review

Records of impact submitted by a researcher can be sent to a reviewer to approve before being confirmed and published.

Reports

Dashboards show impact reports for all researchers. They can be filtered to show records of impact for researchers within a specific department, or for all research associated with a specific REF Unit of Assessment.

Public portal

Impact statements and case studies can be published on the researcher's public profile or displayed internally only.

Esteem

Recording esteem

Within Haplo Research Manager, researchers can select from a pre-defined list of esteem measures and then add more details about the individual measure of esteem being recorded. Dates and organisations involved are recorded in a structured way to enable effective reporting. The categories of esteem measures can be defined by the institution, and changed as required in response to changes in institutional or REF requirements.

As throughout Haplo, any record can be linked to any other record, so records of esteem factors can be linked to other records such as the relevant research output, postgraduate researcher, grant or record of impact.

Public portal

Haplo provides a public showcase for an institution's research.

Every aspect of Haplo's public portal is customisable, from the kinds of information it displays, to the way that information is structured and presented.

Using open tools, the institution's web team has full control over all HTML generated, and can modify the HTML, CSS and templates of the public portal to match the look and layout of the institution's visual identity.

Haplo's public research portal can include:

- A fully browsable and searchable repository of research outputs
- A directory of researchers with comprehensive web profiles
- Listing of faculties, departments, research groups and the people, research projects, and research outputs associated with them.

Researcher profiles

Researcher profiles	Haplo keeps comprehensive, up-to-date profile records for each researcher.
Integrating data	Relevant data held in other university systems can feed into Haplo and be displayed on the researcher's profile. This saves time and avoids manual entry of existing information such as job titles, telephone numbers, and email addresses stored in multiple systems.
Researcher updates	Researchers can update their own researcher web profiles with a photo and biographical description, social media links, links to other sites, achievement and esteem entries. Changes to public profiles can either appear instantly or can require an approval step.
Automatic updates	Information gathered throughout Haplo automatically populates researcher profiles, such as postgraduate research supervision experience, committee roles, publications, research projects, funding and collaborations.
Curriculum Vitae	Researchers can generate and download an academic CV incorporating the latest information displayed on their profile. The CV is downloaded as a PDF, with or without institutional branding.
Reports	Reporting dashboards show how complete and up-to-date each researcher's web profile is.

Research governance

Ethics Monitor is an online easy-to-use solution for streamlining the review of applications for ethical approval. With comprehensive reporting, transparency and time-savings at every stage, Ethics Monitor assures good research governance across an institution.

Ethics Monitor is configured to display your institution's forms, workflow, terminology and processes. The Ethics Monitor team works closely with institutions throughout the configuration process to ensure a successful implementation.

"Ethics Monitor has been a resounding success for us - reducing decision times, introducing transparency to all stakeholders, and providing an online virtual replacement for scheduled committee meetings."

Dr Laura Boubert, University of Westminster

Online forms

Customisable forms	<p>Forms can be customised to reflect the needs of different disciplines and categories of user. The forms reflect the terminology, committee names, and methodology of an institution.</p> <p>The forms are clearly laid out guiding the user through the application process. Users only see questions that are relevant to their category or discipline, or the answers provided to previous questions.</p>
Embedded guidance notes	<p>Guidance notes provide additional information about each question in the ethics application form. They can incorporate links to further information, such as relevant parts of the institution's ethics code.</p>
File uploads	<p>Files can be uploaded as part of the ethics application form, and Ethics Monitor supports all file formats. If supporting documents are required, the applicant will be unable to submit an application until the required documentation is provided.</p> <p>Once submitted, reviewers can view uploaded files as part of the online application. Reviewers can download a PDF of the completed application form including all supporting documents.</p>
Saving drafts	<p>Applicants can save drafts and return to edit them later, enabling them to gather supporting documentation, complete necessary training or gather further information required to complete the form. Reviewers can see draft applications. Forms cannot be submitted until they are fully completed.</p>
Revising and resubmitting applications	<p>Applications that have been returned to the applicant for changes can be revised and resubmitted. Copies of all previously submitted versions are stored.</p> <p>Ethics Monitor clearly tracks all amendments, revisions and comments from reviewers.</p> <p>The 'Show changes' feature clearly marks both old and new versions of changed answers, viewed on their own or as part of the full application.</p>

External ethical approval

Registering applications that require external approval	<p>Applications requiring approval by external organisations (e.g. NHS) can be supported in line with the institution's processes.</p> <p>Draft applications can be reviewed within Ethics Monitor, enabling the institution to provide internal feedback before final submission to the external body.</p>
Formal acknowledgement of external approval	<p>When the applicant confirms external approval has been granted, the application can be forwarded within Ethics Monitor to the relevant university committee.</p>

Significant amendments

Approving significant amendments	<p>Where a research project changes sufficiently to require additional ethical approval, an application for approval of significant amendments can be submitted through Ethics Monitor.</p>
Reviewing significant amendments	<p>Applications for approval of significant amendments are submitted to the appropriate reviewers and committees, in accordance with the institution's processes.</p> <p>Once submitted, Ethics Monitor notifies reviewers or committees that they have a new task with a direct link to the application to review.</p>

Adverse events

Reporting adverse events	<p>If an adverse event occurs following ethical approval, the researcher can submit details within Ethics Monitor linked to the original application.</p>
Adverse event notifications	<p>Once an Adverse Event form is submitted, email notifications are sent to all users involved in reviewing and approving the original application, and to any other roles that need to be notified according to the institution's processes.</p>

Cancellation

Cancellation	<p>Authorised users can cancel ethics approval in the rare cases where the research or circumstances around the research have changed so substantially as to warrant cancellation.</p>
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Streamlined approvals

Automatic routing	<p>Applications are routed to the most appropriate reviewer and committee, based on the category of applicant, discipline, and class of application.</p>
Delegating tasks	<p>If a reviewer (either at supervisor or committee level) is unavailable or unable to complete an assigned task, they can delegate it to another reviewer. If a reviewer sees that a task has stalled with an unavailable assignee, they can reassign the task to themselves.</p>
Signing off low risk applications	<p>Low risk applications can be signed off at an early stage in the review process, removing the need for unnecessary review at higher levels, if allowed by the institution's policy.</p>
Assigning reviewers	<p>Applications can be assigned to individual members of an ethics committee for review, or to other users within the institution who've been selected for their expertise.</p>

Streamlined approvals

Reviewing submissions from taught students and postgraduate researchers	Prior to submission, applications from postgraduate researchers and taught students can automatically be routed to the applicant's supervisor for review.
Automatic prompts and reminders	<p>Each user automatically receives an email and task notification when they're required to complete an action within Ethics Monitor, with a direct link to the record requiring action.</p> <p>Reviewers, ethics committee secretaries, members and applicants receive an email with a direct link to the page requiring their attention.</p> <p>All users receive a weekly reminder that clearly lists outstanding tasks, helping them to manage their workload more efficiently.</p>
Commenting on specific answers	Reviewers can comment on answers to specific questions within an application.
Returning applications for changes	Applications can be returned to the applicant to revise and resubmit.
Visibility of applications at every stage	<p>Both the applicant and assigned reviewers can track the progress of an application at every stage.</p> <p>Reviewers and committee members can see comments from other reviewers and monitor the progress of an application once they have completed their task.</p> <p>Applicants can track their application as it moves through the review process.</p>
Editable notification templates	<p>Applicants and their supervisors are notified of an application's outcome through template notifications. Administrators can edit notifications, adding any information that applicants might need.</p> <p>Template emails for every possible outcome can be generated and stored within the application record.</p>
Automatic routing of high risk applications	Applications ranked as high risk can be routed directly to committee level, where they can be reviewed or redirected as appropriate.
Flagging and re-routing conflicts of interest	Any conflict of interest between an applicant and prospective reviewer can be flagged and the application forwarded to alternative reviewers.

Supporting committees

Committee review	Committees can view outstanding applications, set up meetings, enter comments, and communicate easily with their members. Applications can be approved, rejected, returned to the candidate with requests for amendments, or forwarded to another committee or reviewer for further advice.
Committee meetings	Committee meetings can be organised and conducted through Ethics Monitor. Committee secretaries can schedule applications for discussion at an upcoming meeting, and discussions between committee members can be held online.
Automatic agendas	Once a meeting has been scheduled, an agenda featuring all necessary information is automatically generated and sent to all attendees a week before the meeting.

Supporting committees

Automatic minutes

Once a meeting has concluded, minutes detailing the actions taken are created automatically.

Reporting

Automatic ID

Ethics Monitor automatically assigns a unique, sequential ID to all applications.

Real-time user engagement dashboards

A variety of dashboards provide visibility of ethical approval processes, producing reports on both current and historical applications.

Highlighting high-risk applications

Ethics Monitor classifies applications according to risk levels. These are determined by the answers provided in the application form.

High-risk applications are highlighted on dashboards for easier monitoring.

Filtering and exporting results

Ethics Monitor can filter reports according to a variety of criteria, i.e. risk level, submission date, status, faculty, department or name. Results can then be exported to Excel.

Easier auditing

Dashboards enable users to track the entire approval process and ensure that best practice is being observed at all levels. If there are concerns about a specific application this can be fully audited showing all reviewers' comments and decisions.

Delegation and oversight

Ethics Monitor provides central oversight of approval processes delegated to subject-specific committees.

Ethics Monitor

University of Westminster Case Study

The need for ethical approval of the research undertaken within academic institutions is an integral part of the research process and important to an institution for compliance, duty of care, and risk management.

One of the challenges of research ethics is the scale of work involved for committee members – who are mostly faculty members – and the difficulty of tracking applications and decisions. Both are required to support the process and ensure that all applications are treated fairly.

The time involved in performing this work is often underestimated by universities – the variety and complexity of decisions requires extensive discussion and negotiation.

Even more challenging are the logistical issues of organising committee meetings, which are traditionally held face-to-face and require quorate attendance.

The University of Westminster introduced Ethics Monitor in 2014 to facilitate the management of Research Ethics committees, to help track the progress of applications and to allow discussions to occur and be managed virtually.

The challenge

Ethics committees were being stretched by a time-consuming email and paper-based approval process - these were unreliable and far from transparent, leading to long review and approval lead times.

Scheduling face-to-face committee meetings during busy times was also extremely difficult, leading to further delays in decision making.

The university needed a robust, comprehensive platform to boost efficiency, increase transparency and streamline the process from submission through to final approval.

The solution

After introducing Ethics Monitor, the university reported the system had been “a resounding success” and that it had succeeded in “reducing decision times, introducing transparency to all stakeholders, and providing an online virtual replacement for scheduled committee meetings”.

Increased time-efficiency

The intuitive online forms and user-friendly workflows in Ethics Monitor have saved committees significant time, with time-to-approval for a sample of taught student applications “halved, from 15 days to 7 days”.

Rather than being limited to discussing applications when sufficient numbers of committee members were physically present, committee members can now discuss applications and make properly considered decisions whenever, and wherever they happen to be.

Greater transparency

The ability to hold virtual discussions and committee meetings through Ethics Monitor has facilitated quicker, more constructive decision-making and greater transparency. The ease of communication through the platform has also engineered a more collaborative approach to improving ethical practices and understanding.

A simplified process

Ethics Monitor's automatic notifications and ability to display the status of applications in real time has made the University of Westminster's ethical review process quicker and more streamlined for all involved.

Easier auditing and review

Application records include full history of all actions, decisions, notifications, and all versions of forms and files, making it easier to audit decisions made and review the quality of decision making.

By freeing up more time, Ethics Monitor has changed and broadened the role of committees, enabling them to regularly evaluate core ethical concepts and check these are reflected in departmental procedures and documentation, and ensuring that applications are treated fairly.

Full report

An integrated psychology virtual research ethics committee - Boubert, L. and Taylor, D.A.

Published in the Proceedings of EDULEARN16 Conference, 2016.

<https://www.ethics-monitor.co.uk/#case-study>

Previous practice	Issue	Ethics Monitor solution
Forms submitted by hand or email, and tracked in a spreadsheet	Forms were misplaced, the log was subject to human error, and forms couldn't be tracked	Applications are created and kept in Ethics Monitor, accessible by all stakeholders (applicant, supervisor, committee)
Manual checking of forms to ascertain whether correctly completed and all mandatory questions answered	Time consuming for reviewers and applicants, subject to human error.	Automatic checking of completion of questions, forms cannot be submitted until all mandatory questions answered
Committee review subject to availability of committee members to attend	Committee meetings frequently rescheduled due to staff availability, creating delays to decisions	Committee discussion take place online asynchronously and in response to application submissions
Applicants had to wait to receive approval with no communication on the progress of applications	Approvals could typically take up to 8 weeks to process	'Up to date' information on status of application available to applicants and supervisors at all times
PDF letters prepared and emailed by an administrator	Time consuming, delays due to administrator availability	Automatic generation of notification letter
Committee documents were saved on a shared drive and disseminated by email	Documents were duplicated, relied on administrator to disseminate documentation	Online committee document repository available to all committee members. Meetings easily scheduled, agendas automatically compiled and reminders automatically sent

Postgraduate Research Management

PhD Manager streamlines the administration of graduate schools by replacing manually intensive paper-based processes with an easy-to-use online solution, improving efficiency and transparency.

By keeping information in one place, PhD Manager improves the visibility of all aspects of the graduate school. It enables projects requiring additional support to be identified and engagement by postgraduate researchers with visas to be monitored.

PhD Manager has a proven track record. 100% of Graduate School Managers using PhD Manager would recommend it, and 80% have already recommended it to another institution.

“PhD Manager is accessible, reliable, fresh, integral”
University of Northampton

“PhD Manager is efficient, transparent, supportive and clear”
University of Westminster

Supervision

Supervision	<p>Supervisory teams are recorded within PhD Manager, and changes to established supervision teams can be requested by an existing supervisor. Once approved, the supervisory team record is updated automatically.</p> <p>Supervisors can see the current progress of the postgraduate researchers they supervise, including key details such as start date, mode, and submission deadline. They can also see the number of supervision meetings held, read notes of what was discussed and see agreed action points.</p>
Supervision meetings	<p>Either the PGR or the supervisor can log a supervision meeting in PhD Manager. Logging a future meeting enables the PGR to share files and notes with their supervisor in advance, and notes can be added by the PGR and supervisor following the meeting.</p> <p>The PGR and supervisor are prompted to review the meeting notes, which are ultimately signed off by the supervisor.</p> <p>Once they are logged within the system, all notes and files are searchable by PGRs, supervisors and administrators.</p> <p>Using PhD Manager’s dashboards, administrators can monitor each PGR’s performance according to the frequency of supervisory meetings.</p>
Supervision and examiner experience	<p>A record of PGR supervision experience is compiled automatically for each supervisor.</p> <p>Supervisors can also add any supervision and examiner experience gained externally to their personal record.</p> <p>Dashboards display the supervision experience for every supervisor clearly, making it easier to construct new supervisory teams that comply with institutional requirements.</p>

Key milestones and processes

Calculating key dates	<p>PhD Manager's project dates calculation engine calculates PGR submission deadlines and other key dates. Deadlines are automatically recalculated upon approval of changes to mode or suspensions.</p>
Progression monitoring	<p>Progression reviews can be organised within PhD Manager, and progress reports can be submitted by PGRs. The reports can then be reviewed and decided upon by supervisors.</p> <p>Progress review forms and workflows can be customised to suit different programmes and users.</p>
Examination	<p>PhD Manager calculates and reminds PGRs of their upcoming submission deadline.</p> <p>Supervisors are reminded to nominate examiners for approval a few months before the submission date.</p> <p>PGRs can submit their thesis online, which is then circulated to examiners.</p> <p>Pre and post-viva examiner reports can be submitted online.</p> <p>Conferment and final thesis deposition are efficiently managed through PhD Manager.</p>
Change requests	<p>PGRs can use PhD Manager to submit change request applications such as suspension, extension and change of mode.</p> <p>After forwarding the application to the appropriate reviewer and approver, the system notifies PGRs and supervisors of the outcome, and recalculates key project milestones if required.</p>
Online forms	<p>PhD Manager uses online forms to streamline completion and submission of forms across all processes.</p> <p>Forms can be customised to display different text to different types of user. Template forms can be created for users from different departments, on different modes, or registered for different awards.</p> <p>By guiding users to exactly what information needs to be entered, PhD Manager's carefully designed online forms and workflows lead to an improved quality of applications overall.</p>
Attaching files	<p>Documents of any format and size – including whole theses – can be attached to PhD Manager's online forms.</p> <p>Where the file is in a common file format (including images, Microsoft Office and PDF) it can be reviewed in the browser, and the full text can be extracted for searching.</p>
Version control	<p>Forms can be returned to applicants for them to edit and resubmit. Previous versions of forms are stored and any changes between versions are clearly highlighted.</p>
Submission notifications	<p>Once a form is submitted through PhD Manager, users are notified by email.</p> <p>Automatic email notifications are also sent to PGRs and supervisors at key points throughout a workflow – from initiation to completion.</p>
Approvals	<p>Approvers are notified to review a form once it has been submitted.</p> <p>Workflow routes can be customised to reflect an institution's processes. This enables the system to determine which are the appropriate approvers and committees for each form.</p> <p>Once a form is submitted, reviewers and approvers are each notified by email, and each will be assigned a task on their Haplo task list.</p> <p>Weekly reminder emails are automatically sent to users listing any outstanding tasks.</p>

Key milestones and processes

Task delegation	<p>If members of staff are absent or unavailable, the task can be delegated to another supervisor or approver.</p> <p>The original supervisor or approver can reassign the task to themselves when they return.</p>
Disability support	<p>PGRs with recognised disabilities (as defined by each institution) can be flagged within PhD Manager at key academic stages, allowing reasonable adjustments and legal obligations to be met more easily.</p>
Committee meetings	<p>Committee secretaries can review applications sent to the committee. They can then return the application for more information, submit it for discussion by the committee, or forward it to the committee chair.</p> <p>Applications can be scheduled for discussion at an upcoming committee meeting, or can be discussed via an online discussion between committee members.</p> <p>Once a meeting is scheduled, an agenda listing all the applications to be discussed is automatically generated by the system, then sent to all committee members one week before the meeting date.</p>

Training and development

Training needs analysis	<p>PhD Manager's training needs analysis tool prompts PGRs to reflect on their current and desired level of expertise against a series of key skills.</p> <p>PGRs can update their training needs analysis at any time and share it with supervisors.</p>
Training plan	<p>PGRs can share training plans with their supervisors and mark when training objectives have been completed.</p>
Event management	<p>Training facilitators can organise and publicise training and development events within PhD Manager. PGRs receive email invitations and can reserve their place online.</p> <p>Registers of attendance can be printed and administrators can confirm the attendance of each PGR.</p> <p>Waiting lists are managed within the system, and certificates of attendance can be generated automatically.</p>
Development record	<p>PGRs can create a record of all training and development they have undertaken within PhD Manager. Their attendance at university training and development events is logged automatically.</p>

Reporting

Reports	<p>PhD Manager can produce reports at PGR, supervisor, department and university level, including:</p> <ul style="list-style-type: none">• Directories of postgraduates researchers• Status reports for key processes affecting all postgraduate researchers, such as progression reviews• PGR attendance at training and development events• PGR funding reports
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Reporting

Filter and export results

Reports can be filtered according to a variety of criteria such as: start/end date, status, faculty, department, name, and academic year.

Reports can be exported using Excel.

Permissions

Fine-grained permissions can be set to control access to reporting.

Reporting permissions may be confined to a subset of the data – for example, users may have their viewing permissions restricted to data concerning PGRs in their department.

Dashboard permissions can also be adjusted for colleagues beyond the graduate school, such as those responsible for visa compliance.

Appeals and complaints

Because PhD Manager can be adjusted to reflect institutional regulations and processes, there is less scope for users to make errors.

With records kept in one place, it's quicker for those investigating appeals and complaints to retrieve all of the relevant information, rather than pull it from multiple sources.

If there are concerns about an application, a full audit showing all reviewers' comments and decisions can be generated with a few clicks of a mouse.

Visa monitoring

PhD Manager records and tracks evidence to support UKVI compliance.

PGRs with visas are displayed on a visa monitoring dashboard which displays the date of last engagement, highlighting where PGRs have not been active for a certain time.

Engagement means attendance at a supervision meeting, university training course or conference event. It also includes submission of key academic stage applications, attendance at transfer or examination vivas, or whatever key monitoring points an institution uses.

External examiner 'right to work' checks

Administrators can add passport and 'right to work' checks for external examiners to an examiner's record within PhD Manager, this includes the ability to upload relevant files.

Administrators can be prompted to check 'right to work' as part of the examination workflow.

The status of external examiner 'right to work' checks can be displayed on external examiner dashboards.

Impact of PhD Manager

Before using PhD Manager, graduate schools described their processes as time consuming, manual, and slow; difficult to track; and reliant on frequently out of date information. Event management was often labeled 'time consuming', involving multiple steps within several different systems or spreadsheets. Tracking the workflow of documents was slow and clunky, and often based on circulating Word documents by email.

After implementing PhD Manager, graduate schools have reported more streamlined and time-efficient processes, greater visibility, and availability of up-to-date information. PhD Manager offers significant benefits to everyone involved in supporting postgraduate research at an institution.

How have graduate school managers and administrators benefited from PhD Manager?

80% of graduate school managers using PhD Manager said using the system has positively changed their role in supporting postgraduate researchers.

Instead of answering questions about regulations and processes (which are now clearly displayed within PhD Manager) they are able to spend time supporting postgraduate researchers and adding value as they develop other areas of their postgraduate research programme.

Some of the major benefits of PhD Manager to graduate school managers and administrators:

- It has massively reduced the time managers spend on purely administrative tasks.
- Preparing for a committee takes as little as one hour, where before it often took half a day.
- It has dramatically cut email traffic caused by applications and processual queries, lightening the burden on Managers and committee members.
- The platform enables shared access to records which are updated in real time. Information is easily accessible to everyone, which has eliminated many unnecessary queries – everyone in the institution can see the same information.
- The relaying of outcomes to postgraduate researchers and supervisors is automated. Managers no longer need send notifications by email, saving significant time as the system notifies all relevant stakeholders simultaneously.
- Tier 4 Attendance Monitoring can be based in real time and does not require chasing.
- Managers can see exactly where an application is without having to chase people.
- Applications no longer get "lost", and accountability is clearly visible at each stage.
- Event management has been streamlined, which benefits managers, administrators and postgraduate researchers. The administration of workshops and skills development records are seamlessly integrated into the student's administrative path through PhD Manager. Everything's in one place.
- Having a clearer system has allowed Managers to improve annual progress reviews, which has subsequently improved the quality of their research degree provision, PRES results and completion rates.
- While the system takes care of regulations and processes, Managers can spend more time supporting postgraduate researchers and developing other areas of their academic programme, such as improved disability support.

How have postgraduate researchers benefited from PhD Manager?

Instead of downloading different forms from different systems, introducing PhD Manager has enabled postgraduate researchers to access everything they need within a single system.

Postgraduate researchers can access information whenever they want, since PhD Manager is accessible via any internet-enabled device (both inside and outside of the institution).

PhD Manager has led to a general reduction of paper and has removed the need for gathering actual signatures, which has been extremely well received by postgraduate researchers.

Some of the major benefits for postgraduate researchers have been:

- Information is made available to postgraduate researchers in one place, and they can access it anywhere.
- All the key documents are attached to the relevant process within the system. The online forms are much easier to complete than paper-based forms, and it's much easier to get them approved online than in person.
- Processes and regulations are much clearer.
- Applications are processed and approved quicker.
- Feedback and annual progress review processes have greatly improved and are now far simpler.

How have supervisors benefited from PhD Manager?

The overarching benefit for supervisors using PhD Manager is the increased visibility of information about their postgraduate researchers and their supervisory histories.

Supervisors can easily record their supervision meetings within the system, and it provides them with a central place to store records from the meeting. These can be shared with the entire supervisory team.

This information is kept within the supervisory dashboards and all the available data is displayed in real-time.

As with postgraduate researchers, the fact that PhD Manager provides clear processes and clarity on regulations saves Supervisors time. The system walks them through the Regulations as they use it, meaning they are more confident in supporting postgraduate researchers and require less support from graduate schools.

Some of the major benefits to supervisors have been:

- Increased visibility of information about their postgraduate researchers and supervisory histories.
- Clearer processes and regulations.
- Easier form-filling and less paperwork, making it easier to keep on top of tasks.
- Easy access to their records from any location meaning applications can be progressed while they are not on site.
- Easier, more detailed record-keeping, which provides critical information when dealing with difficult supervision issues.

How have postgraduate research coordinators benefited from PhD Manager?

Through the extensive data available in PhD Manager, postgraduate research coordinators now have a greater oversight of progression within the graduate school. They can easily see larger trends within the graduate school as well as more granular information, like specific postgraduate researchers who keep missing deadlines.

PhD Manager's records can be accessed whenever they want and wherever they are, which is important for faculty postgraduate research coordinators who are often away from their desks.

Some of the major benefits to postgraduate research coordinators have been:

- Real-time process tracking, allowing easier oversight of postgraduate researcher progression status.
- Intuitive dashboards and user-interface, enabling easier workflow management.
- More streamlined processes, saving time and cutting back on email traffic.
- Access to information whenever they want, without having to ask the Graduate School Registry.
- Easier management of staff allocation for supervision, assessment and examination.
- More comprehensive and detailed record-keeping, which provides critical information when dealing with appeals and complaints.

How have training and development managers benefited from PhD Manager?

PhD Manager's training events functionality is extremely popular with training and development managers, who describe it as being "seamlessly integrated" with the student's administrative path through PhD Manager.

The functionality enables authorised training organisers to publish details of upcoming events, which postgraduate researchers can then view and book. Alerts, reminders and emails are then sent for upcoming events.

Some of the major benefits to training and development managers have been:

- The Training Needs Analysis tool, which enables PGRs to work more fluidly with supervisors by reviewing and monitoring their own training and development needs, reducing the workload for training and development managers
- Real-time tracking of shared PGR training plans, enabling managers to assess progress and development.
- Automatic logging of PGR development records and attendance at university-organised training events.

PhD Manager Case study

University of Westminster

The challenge

Supporting several hundred postgraduate researchers across five campuses in central London, the University of Westminster Graduate School was keen to improve the postgraduate research experience and cut the programme's administrative overhead.

A confusing patchwork of spreadsheets, paper forms, Word documents and PDFs had led to inefficiencies and unreliable information. Paper and email-based applications only worsened the situation, preventing processes from being as transparent as they should be; and the constant stream of examinations, thesis submissions and performance monitoring reviews was overwhelming.

The Graduate School was keen to move to a single, comprehensive information management platform, and implement streamlined online forms to help them administer this complex set of processes and improve the student experience.

Professor Joss, Graduate School Director explains, "what's most important to me is ensuring that each postgraduate researcher is receiving effective support" and that they have "the best chance of a timely and successful completion."

The solution

The Graduate School selected PhD Manager due to its comprehensive functionality, configurable architecture and intuitive user experience.

Haplo worked closely with the Graduate School to understand their processes, and reflect their terminology, workflows, and forms in PhD Manager.

Within a year, the Graduate School were seeing the impact of the system:

"Our completion rates have risen significantly over the past year, and PhD Manager has played a key part in enabling that success." – Professor Simon Joss, Graduate School Director

Streamlined processes

PhD Manager's forms and workflows are all generated online, meaning postgraduate researchers and supervisors no longer have to navigate a complex network of word forms and processes.

Postgraduate researchers and their supervisors use PhD Manager for recording logs of supervision meetings throughout the year. The Graduate School benefits from integrated functionality to publicise and administer their extensive training and development programme.

More transparency

Graduate School administrators are no longer the sole keepers of critical information, and no longer need to spend time answering requests for basic information. As everybody has access to the same information, postgraduate researchers, supervisors, and faculty coordinators have direct access to the information they need, whenever and wherever they need it.

The reduced administrative burden has enabled postgraduate researchers and their supervisors to spend more time progressing their research, has improved the student experience and provides a more professional service to postgraduate researchers.

How we deliver your system

Haplo provides a comprehensive service to deliver your system, working collaboratively with you from project conception through to successful implementation. We will take the time to understand your requirements, deliver an application which meets them, host and support your application, and continue our dialogue for the full lifetime of your application.

What happens after selecting Haplo

Action	Details and timescale
Institution reviews processes, forms, workflows and make any required changes	We work with your users to understand their requirements in detail, and configure the system to meet their precise needs. Institutions should take as long as they need to ensure the documentation provided to Haplo is the final version of what will be integrated within the new system.
Data	Institutions gather and check data for import into the system.
Institution decides internal name for their system	Institutions decide what they'd like to call their new application. Start this discussion early as it can often involve many stakeholders.
Institutions provide Haplo with documentation, forms, regulations etc.	This stage takes as long as the institution needs to gather all relevant documentation.
Haplo reviews the documents and drafts initial implementation plan	Haplo will review the documentation and forms and ask for clarifications as needed.
Design workshop	Haplo liaises with the institution to set up a convenient workshop date. The workshop should include all key stakeholders and usually takes place over 1 or 2 days.
Institution post-workshop actions	The workshop can stimulate discussions about processes and policies, and, more often than not, highlight gaps in procedures. Following the workshop institutions may review their procedures again, with any changes fed back to Haplo. This stage of the process varies in length depending on the types of requirements that need to be defined.
Haplo writes the implementation plan	Two weeks following submission of the final requirements, Haplo present a detailed implementation plan to the institution to approve.
Institution implementation plan approval	The institution reviews the implementation plan with key stakeholders and either approves the plan or returns it to Haplo for amendments.
Haplo edits implementation plan	If required, further amendments are made to the implementation plan, usually within two weeks.

What happens after selecting Haplo

Action	Details and timescale
Institution implementation plan approval	The institution approves the final implementation plan.
Configuration and data transfer	Following approval of the implementation plan, Haplo will normally require 8-10 weeks to configure the system, integrate the data feed and integrate with the authentication system.
Institution testing	<p>We provide training and support during user testing, and a prompt response to any changes required.</p> <p>Following development, institutions perform two weeks of testing and feedback any required changes by the end of the two weeks.</p> <p>Haplo attend on the first day of testing to train users in using the system and how to test the system effectively.</p>
Haplo revisions following testing	Haplo will normally require two weeks to make the required changes.
Institution testing	Following the required changes, institutions perform another round of testing, usually for two weeks.
Haplo revisions following testing	Haplo will normally require two weeks to make the required changes.
System approved for deployment	The institution approves the system for deployment or a further cycle of development and testing is undertaken.
Deployment and training	<p>Following resolution of issues raised during testing and agreement to deploy, Haplo will deliver the live system.</p> <p>We provide expert support during the critical early days after deployment, and ongoing.</p> <p>Haplo will produce user guides, and deliver a demo system incorporating your functionality with anonymised data, suitable for use in internal presentations and training sessions.</p>

How we support you

Dedicated support desk

Our experienced support team is available to assist you during working hours. Infrastructure support is available 24/7 and our monitoring systems automatically notify our team members of issues.

Online support library

Our online support library gives you access to the latest IT Support Manual and Administrator's Manual.

Training

Haplo can provide face-to-face or remote training to individual users or groups. While we develop your new system, our team will visit in person on the first day of testing for one day of key-user training.

Closer to deployment, Haplo will provide 0.5 days of virtual training to IT colleagues who will be supporting the system and data feed integrations.

We can provide training to end users – although, in our experience, formal end-user training is not necessary due to the intuitive user interface.

User groups

Haplo Research Manager, PhD Manager and Ethics Monitor each have a user group. Each group is chaired by a representative from institutions using Haplo.

User group meetings are an important forum for discussing emerging requirements and how they can be supported within Haplo. The roadmap for each Haplo product is agreed with the user group each year.

Product roadmap

Our product roadmap is heavily influenced by our clients and is agreed with our user group. Our product roadmaps are published online, in our support library.