

Guide to Completing and Managing a Compliance Application - Applicant

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1. Overview

This guide provides step-by-step instructions for applicants completing and managing a **Compliance Application** in Synto Solution.

The process outlined in this guide applies to Compliance Applications, including:

- Research Ethics
- Animal Care
- Radiation Permits
- Biohazard Permits
- Associated post forms

For this user guide, a Research Ethics application is used as an example. The steps and general workflow are applicable to other Compliance Application types, although specific questions and requirements may vary by program.

In this guide, you will learn how to:

- Sign in to Synto Solution
- Create a new Compliance Application
- Complete and validate an application
- Save and manage an application in progress
- Submit an application for review
- Respond to requests for clarification or revisions
- Track the status of submitted applications
- View application details and supporting documents
- Create and manage post forms associated with approved applications

2. Signing into Synto Solution

To begin, log in to your Synto Solution account.

Brock Users

If you have a **Brock University email address**:

- Select **BrockU Sign-in**.
- Follow the prompts to sign in using your Brock credentials.

External Users

If you have an external email address:

- Enter your email address.
- Enter your password.
- Select **External Sign-in**.

New External Users

If you are a new external user and do not yet have an account:

- Request an account through the appropriate process.
- An administrator will create your account.
- You will receive an automated email containing a link to set up your password.
- Select the link in the email.
- Enter and confirm your desired password.
- A confirmation message will appear once your password has been successfully set.
- Return to the Synto Solution login page.
- Sign in using **External Sign-in**.

3. Understanding the Dashboard

After signing in, you will arrive at your **Dashboard**.

The dashboard is the central location where you can:

- Create new applications
- Access applications that are currently in progress
- View submitted applications
- Track application statuses
- Access applications and associated forms

Applications that require action from you will generally appear under **Active Tasks**.

4. Creating a New Compliance Application

To begin a new application:

- Select **Start a New Process**.
- Select the appropriate **Program Type**.
- Choose the applicable application or process.

For example, for a Research Ethics submission, select the appropriate **Human Ethics Initial Application** process.

Note: The application type and available options may vary depending on the Compliance Program.

5. Entering the Project Title

After selecting the appropriate application:

- Enter your **Project Title**.
- Select **Confirm** to proceed.

The project title can be changed before the application is submitted if necessary.

6. Completing the Initial Questions

The first section of the application is the **Initial Questions** section.

Principal Investigator (PI)

When completing the **Principal Investigator** field:

- Ensure that the PI already has an account in Synto Solution.
- Select the appropriate PI from the available options.

Once the PI field has been completed, additional fields may become available.

Application Questions

Answer each question carefully.

Some questions use radio buttons or other selection fields that will dynamically generate additional sections of the application. The sections displayed will depend on your responses.

As a result:

- Some applications may require more sections than others.
- Certain responses may generate additional questions.
- Other responses may result in a shorter application.

Required Fields

All fields marked with an **asterisk (*)** are required.

At the bottom of each page, select **Validate** to check whether all required questions on that page have been completed.

7. Saving an Application and Continuing Later

Selecting **Save and Continue** creates the application in Synto Solution.

Once the application has been created:

- The Principal Investigator can no longer be changed.
- The application will appear under **Active Tasks**.
- The application will receive a unique **Application ID**.
- The application status will be **In Progress**.

You can return to an application at any time while it remains in progress. Your work will be saved in the system as you progress through the application.

8. Completing the Application

Navigate through each section of the application and complete all required fields.

When completing the application:

- Provide accurate and complete information.
- Complete all required fields marked with an asterisk (*).
- Follow any character limits indicated within the form.
- Upload all required supporting documents.
- Select **Save and Continue** regularly to save your progress.
- Review your responses carefully before proceeding.

Printing or Saving a Copy

You can select the **Print** button at any time to:

- Download or print an individual section of the application; or
- Download or print the complete application.

This can be useful for reviewing your application or maintaining a copy for your records.

9. Reviewing the Application before Submission

Before submitting your application, carefully review all sections.

Confirm that:

- All required fields have been completed.
- Your responses are accurate and complete.
- Required supporting documents have been uploaded.
- Any applicable character limits have been followed.
- The application successfully passes validation.

Once you are satisfied that the application is complete, you can proceed with submission.

10. Submitting the Application

Once all required sections have been completed and validation is successful:

- Select **Submit**.
- A confirmation message will appear on the screen confirming that the application has been submitted.

An email notification will also be sent to the email address associated with the Principal Investigator.

11. Viewing a Submitted Application

After submission, the application will no longer appear under **Active Tasks**.

Instead, it will be available under:

Your Submitted Applications

The application status will appear as:

Submitted by Candidate

At this stage:

- The application is available in **read-only mode**.
- You can view the submitted information.
- You can use the **Print** button to download or print an individual section or the complete application for your records.

12. Responding to requests for Clarification or Revisions

During the review process, reviewers or administrators may request clarification or revisions to your application.

If revisions or clarification are required:

- You will receive an email notification outlining the requested changes or comments.
- Your application will return to the **Active Tasks** section of your dashboard.
- The application status will change to:
Returned for Correction

13. Making Revisions to a Returned Application

To respond to a returned application:

- Open the application from **Active Tasks**.
- Review the requested changes or clarifications.
- Revise the applicable sections of the application.
- Navigate to the **Clarification and Revision** section using the left-hand menu.

Make sure that your revisions directly address the comments or clarification requests received.

14. Uploading a Response Letter

In the **Clarification and Revision** section:

- Select the appropriate radio button confirming that you have attached your response letter.
- Prepare a response document addressing the clarification or revision comments.
- Upload the response document in the designated attachments area.

Your response letter should clearly explain how you have addressed the requested changes. A point-by-point response can help reviewers identify the revisions made to the application.

Important: The response letter should supplement the revisions made directly within the application form. Where changes are requested to specific application fields, ensure those fields are also updated.

15. Resubmitting a Revised Application

After making all required revisions:

- Review the updated application.
- Confirm that your response letter has been uploaded.
- Select **Validate** to ensure all required fields have been completed.
- Select **Submit**.

The revised application will then be returned for further review.

16. Receiving the Application Decision

Once a decision has been made on your application:

- The Principal Investigator will receive a notification.

- An attachment may be included with the notification, where applicable.
- The application status in Synto Solution will be updated to reflect the decision.

17. Tracking Your Applications

You can track your applications at any time from the Synto Solution dashboard.

From the dashboard, you can:

- View the current status of your applications.
- Open submitted applications.
- Review application information.
- Access supporting documents.
- Access post forms associated with approved applications.

18. Viewing Application Details

Open an application to access the available tabs.

Depending on the application and its status, you may see the following tabs:

Summary Details

The **Summary Details** tab provides key information about the application, including general application information and status.

Application

The **Application** tab displays the submitted application form.

For submitted applications, the application is available in **read-only mode**.

File Uploads

The **File Uploads** tab allows you to view documents that have been attached to the application.

Post Forms

The **Post Forms** tab becomes available once the application has been approved.

This tab allows you to create and manage post forms associated with the approved application.

19. Creating a Post Form

Once an application has been approved, you can create an associated post form from the **Post Forms** tab.

To create a post form:

- Open the approved application.
- Select the **Post Forms** tab.
- Locate the appropriate form.
- Select the **three dots (...)** next to the form.
- Select **Create Report**.
- Complete the post form.

The process for completing and submitting a post form is generally the same as the process used to complete and submit the initial application.

20. Managing Created Post Forms

Once a post form has been created, it will appear in the **Created Reports** section of the **Post Forms** tab.

From this section, you can:

- View the progress of your post forms.
- Check the current status of a post form.
- Open a post form.
- Select the **three dots (...)** next to a post form to access available actions.

The actions available may vary depending on the current status of the post form.

21. Application Statuses at a Glance

Status	Meaning
In progress	The application has been created but has not yet been submitted.
Submitted by Candidate	The application has been submitted and is available for review.
Returned for Correction	The application has been returned to the applicant for revisions or clarification.
Approved	The application has been approved. Post forms may become available.

Note: Additional statuses may be displayed depending on the Compliance Program and the stage of the review process.

22. Helpful Tips

Before submitting a Compliance Application, keep the following in mind:

- Ensure that the correct application type has been selected.
- Confirm that the correct Principal Investigator has been entered.
- Complete all required fields.
- Review your responses carefully.
- Follow any character limits provided.
- Upload all required supporting documentation.
- Use **Validate** to identify incomplete required fields.
- Select **Save and Continue** regularly while completing your application.
- Keep a copy of your submitted application and supporting documents for your records.
- Monitor your email for notifications regarding your application.
- Check your **Active Tasks** regularly if an application has been returned for correction.
- When responding to revisions or clarification requests, address each comment clearly and update the relevant sections of the application.
- Ensure that your response letter is uploaded in the **Clarification and Revision** section when required.

23. Summary of the Compliance Application Process

The overall application process can be summarized as follows:

Sign in → Start a New Process → Select Application Type → Enter Project Title → Complete Initial Questions → Complete Application Sections → Upload Supporting Documents → Validate → Submit → Review Process → Respond to Revisions/Clarifications if Required → Decision → Track Application → Create Post Forms After Approval