

1. Introduction

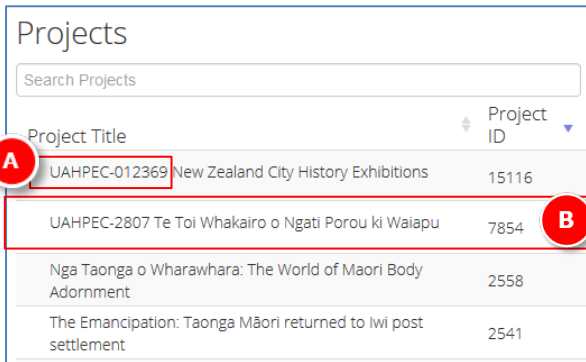
Once an application has been approved by the Ethics Committee, any required changes to the project needs to be made to the original application. A request must first be made to the Ethics team to unlock the application to allow an Amendment Request to be submitted. This request should be made by the PI, or the HoD / Academic Head.

NB For AHREC applications, if the initial application was previously submitted by email (prior to Ethics RM being implemented) please follow the guidance below.

NB For UAHPEC or AHREC applications that were initially submitted through Infonetica, please refer to the guide **Infonetica Ethics RM – Amendment Request (original application in Infonetica)**

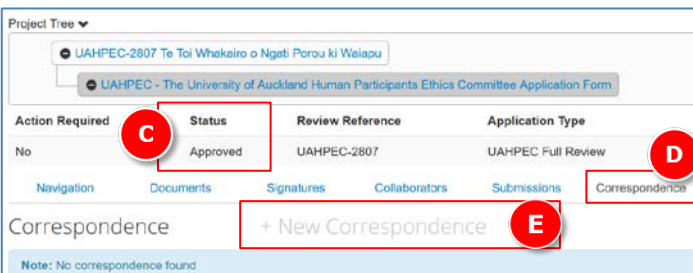
2. Request original application to be unlocked

- An amendment to a previously approved application can be submitted by amending the original application form
- Before any changes can be made to the original application, a request must be made to the Ethics team to have the application unlocked to enable updates to be made



Project Title	Project ID
UAHPEC-012369 New Zealand City History Exhibitions	15116
UAHPEC-2807 Te Toi Whakairo o Ngati Porou ki Waiapu	7854
Nga Taonga o Wharawhara: The World of Maori Body Adornment	2558
The Emancipation: Taonga Māori returned to Iwi post settlement	2541

- A.** Within the home (Work Area) page, a list of all your applications (projects) are displayed. For projects that originated within InfoEd or were emailed, the InfoEd number precedes the project name
- B.** Click on the relevant application to open it

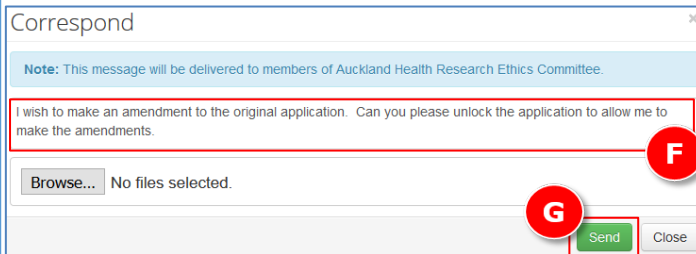


Action Required	Status	Review Reference	Application Type
No	Approved	UAHPEC-2807	UAHPEC Full Review

Correspondence + New Correspondence

- C.** As the Form Status is **Approved**, the application will be locked, and no changes can be made
- D.** Click on the **Correspondence** tab
- E.** Click on **+ New Correspondence**

2. Request original applic to be unlocked (cont'd)



Note: This message will be delivered to members of Auckland Health Research Ethics Committee.

I wish to make an amendment to the original application. Can you please unlock the application to allow me to make the amendments.

Browse... No files selected.

Send Close

- F.** Type your message, requesting the application be unlocked to allow an Amendment to be requested
- G.** Click **Send**

- This correspondence will be sent to the Ethics team, who will review and unlock the form
- An email notification will be issued confirming the form is unlocked, enabling you to make changes (see over)

NB Only the PI or HoD can request to unlock an application

NB The same process should be followed for any subsequent amendments

3. Commencing the Amendment Request

Fri 12/07/2019 3:04 PM
 donotreply@infonetica.net
 DC 0357 (239 v-1) Your Form has been unlocked

To: Denis Pulickakandathil Thomas

Your application: DC 0357 (239 v-1) test July 12-1 has been unlocked so that you can make changes to the application form.

<https://auckland.forms.ethicalreviewmanager.com/Project/Index/363>

- A. When the Ethics team unlock your application, an **email notification** will be issued confirming the form is unlocked, enabling you to make changes
- B. Click on the **link** within the email notification to access the application form

UAHPEC-2807 Te Toi Whakairo o Ngati Porou ki Waiapu

Note: There is a newer version of the project **Update**

- C. Click **Update** to bring up the newest version of the application form.

Only the PI / Supervisor can Update

Update Project

Note: This will update all the forms within this project. Any electronic signatures on unsubmitted forms will be invalidated – NOTE updating does not invalidate signatures on submitted forms

Update Description

Update Close

- D. Click **Update**

Navigation Documents Signatures Collaborators Submissions

UAHPEC - The University of Auckland Human Participants Ethics Committee Application

Section Introduction Questions Introduction - PLEASE CLICK HERE TO START

- E. Select **Introduction – PLEASE CLICK HERE TO START**

Introduction Whakataki

With the migration of older infoEd applications into Ethics RM, the pathway to access the appropriate form has changed. On this page, information is available for the steps required to complete and submit the correct form.

Please click on the relevant option for more information:

- New UAHPEC application
- Amendment request - Ethics RM Application
- Amendment request - InfoEd Application

Instructions about the steps to follow are on the next screen, please click on the **NEXT** action button (top left of the screen).

Select from the following:

- New UAHPEC application or amendment request (previously approved in Ethics RM)
- Amendment request - InfoEd application

- F. Select **Amendment request – InfoEd Application**
- G. Click on the **Next** action button
- H. Select **Amendment request – InfoEd Application**
- I. Click on the **Navigate** action button

3. Commencing the Amendment Request (cont'd)

UAHPEC - The University of Auckland Human Participants Ethics Committee App

Section Introduction Questions Introduction - PLEASE CLICK HERE TO START

Section 13 Submission and Sign off

- J. Select **Submission and Sign off**

Section 13 : Submission and Sign off

Application type

Please select one of the following:*

- INITIAL APPLICATION – default application type for initial applications. Do not change the application type if outstanding signatures are still required. All sign-offs will have to be obtained again if the application is re-submitted with this application type.
- AMENDMENT REQUEST – you want to make changes to a previously approved application or request an extension of the approval period.

Provide a summary of the proposed amendments:*

Please summarise all the amendments in the text box below.

- K. Click **Amendment Request.**
- L. Type a succinct summary, in bullet point format, of all the changes included within this Amendment Request

NB

The summary of changes should include:

- any change of PI;
- adding or removing research team members (including students);
- requesting an extension of the approval period and;
- any other changes to the project procedures or documents, as applicable

Does this amendment request include change of personnel?*

Yes No

- M. If the amendment includes change of personnel, select **Yes** and continue to **3a Change of Personnel**;
- Otherwise select **No** and continue to **3b Other Changes**

3a. Change of Personnel

UAHPEC - The University of Auckland Human Participants Ethics Committee

Section

Introduction

Eligibility for UAHPEC review

Section 1 **B**

Section 13

Section 14

Section 15

Actions

Previous Next

Navigate **A** Print

Documents Signatures

Save Roles

Collaborators Completeness Check

- A. Select the **Navigate** action button
- B. Click **Applicants** (Section 1)

1.3. Principal Investigator Contact Details:^{*}

For Coursework applications, add the Course Director's information

C

- C. If there has been a change in PI, **search** for, select and add the name and details of the new PI

NB You must search for the new PI by typing the name within the Search User box. The system won't allow you to overwrite the existing applicant details (as the fields are greyed out).

D

- D. To add any new research team members, including students, select **Add Another** in the appropriate part of the application and enter their details

NB Personnel from a migrated application will not show. Select 'Yes' for the relevant personnel type to populate personnel originally named on the application e.g. Are there any other investigators involved in the project (excluding student researchers)?

Yes No

NB If there has been a change in PI, add the name and details of the new PI. Transfer the application to the new PI. Please refer to the guide **Infonetica Ethics RM – Transfer application (to another PI)**. The reason for this change should also be detailed within summary section within Section 13

NB If a PI has left the University and the project has a new PI, attach approval for the change from the Academic Head in Section 13. Contact the Ethics team to assist with the transfer of the application

3b. Other Changes

UAHPEC - The University of Auckland Human Participants Ethics Committee

Section

Introduction

Eligibility for UAHPEC review

Section 1

Section 13

Section 14

Section 15 **B**

Actions

Previous Next

Navigate **A** Print

Documents Signatures

Save Roles

Collaborators Completeness Check

- A. Select the **Navigate** action button
- B. Click **Migrated from InfoEd** (Section 15)

Type	Document Name	File Name	Version Date	Version	Size	View	Delete
Miscellaneous Documents	C	HE-012369 - 2014-07-24 - eForm - Initial Application - Conditionally Approved - 307 - Human Ethics Application Form - v3.1.pdf	24/07/2014	1	0 bytes	D Download	Delete
Miscellaneous Documents		HE-012369 - 2014-08-27 - eForm - Conditionally Approved - RO Processing Changes - 306 - Human Ethics Application Form - v3.1.pdf	27/08/2014	1	0 bytes	Download	Delete

- C. All **documents** associated with the approved InfoEd application are available
- D. Select **Download** to access the relevant document, make the required changes using tracked changes or highlighting

UAHPEC - The University of Auckland Human Participants Ethics Committee

Section

Introduction

Eligibility for UAHPEC review

Section 1

Section 13 **F**

Section 14

Section 15

Actions

Previous Next

Navigate **E** Print

Documents Signatures

Save Roles

Collaborators Completeness Check

- E. Select the **Navigate** action button again
- F. Select **Submission and Sign off** (Section 13)

NB Do not upload any new or amended documents within Section 15, these should be uploaded within Section 13

4. Uploading documents

- All amended or new documents should be uploaded within section 13 (Submission and sign off)

Attach amended documents

Make changes to previously approved or add new documents - as relevant:

- All documents associated with the approved InfoEd application can be found in section 15
- Download the relevant document(s), make the required changes using tracked changes or highlighting
- Attach the amended or new document(s) in section 13 (Submission and sign-off)
- Explain in the summary if documents were amended or are new, or if no changes to previously approved documents were required.

Upload Document **A**

- A.** To attach a document, click on **Upload Document**

Documents - Miscellaneous Documents

Please attach your Miscellaneous Documents here:

Document Name	Version Date	Version
Browse		Upload

Browse **B**

- B.** Click on **Browse** to search for the document

File Upload

← → ↑ ↓ Ethics > InfoEd Docs

Search InfoEd Docs

Organize New folder

Name	Date modified	Type
HE012345 Initial Application Human Eth...	24/11/2020 10:28 AM	Microsoft Wor...

File name: HE012345 Initial Application Human Ethics

Open **C**

- C.** Search your drives / folders for the relevant document and when selected click on **Open**

Documents - Miscellaneous Documents

Please attach your Miscellaneous Documents here:

Document Name	Version Date	Version
D HE012345 Initial Appl...	E F	G 2.0 Upload

HE012345 Initial Application Human Ethics Application Form.docx

Feedback/Comments

- D.** The **document name** will be displayed in Ethics RM
- E.** For documents that have mandatory requirement (e.g. CVs, Protocol), click in the **Version Date** field to bring up the calendar and select the relevant date
- F.** Enter the **Version number** (when mandatory)
- G.** Click on **Upload**

Type	Document Name	File Name	Version Date	Version	Size	View	Delete
Miscellaneous Documents	HE012345 Initial Application Human Ethics Application Form	HE012345 Initial Human Ethics Application Form.docx	24/11/2020	2.0	12.5 KB	Download	Delete

Upload Document **I**

- H.** The document details will be displayed
- I.** Click on **Upload Document** to repeat the process if required

5. Changing an uploaded document

- If an incorrect document has been added then this needs to be deleted and the correct one uploaded.

Type	Document Name	File Name	Version Date	Version	Size	View	Delete
Miscellaneous Documents	HE012345 Initial Application Human Ethics Application Form	HE012345 Initial Human Ethics Application Form.docx	24/11/2020	2.0	12.5 KB	Download	Delete A

Upload Document

- A.** Within the relevant section where the document was added, click **Delete**
- Repeat steps **A – G** within section 4. **Uploading documents** to upload the correct document

NB If a document has been replaced following a request for further information by the Ethics Team, please enter a new version number so the pre-screener and Reviewer know this has been updated

6. Completing the Amendment Request

Are you a student?*
(Doctoral, Masters or Honours or undergrad/summer student)

- Yes **No** **B**

- 13.2.** To submit the application, please click "Sign" *
Sign-Off must be done by the Principal Investigator or Supervisor only.

Sign **C**

- B.** Click **No** to confirm you are not a student
- C.** Click **Sign**

Sign Form

Are you sure you wish to sign this form?

Warning! Once all the signatures are signed, the form will be automatically submitted.

Sign **D**

- D.** Click **Sign**

NB HoD sign off is NOT required for an Amendment Request.

7. Subsequent Amendment Requests

- This same process should be followed for any subsequent amendment requests
- A fresh 'summary of changes' box should be completed for each subsequent change