

How to Submit a Protocol as a Designate

RAS Training Documentation

Last Modified: July 30, 2024

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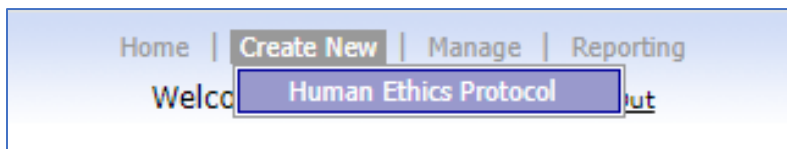
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Initial Application

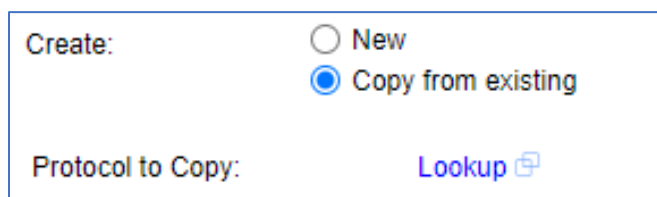
To create a new Human Ethics Protocol as a Designate:

1. Under the **Create New** menu item select **Human Ethics Protocol**

Note: The newly created protocol will receive a temporary protocol number while the application is in development. Once the application is submitted, a final Human Ethics Protocol number will be assigned.



2. Start filling out the following information to start your new protocol:
 - a. **Create** – New or Copy from Existing
 - i. To **copy from existing** protocol, click the **Lookup** link the Lookup Protocol to Copy window will appear

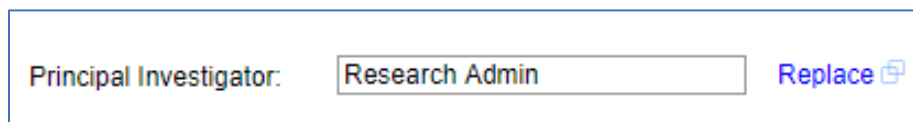


The screenshot shows a form with the label 'Create:'. There are two radio buttons: 'New' (unselected) and 'Copy from existing' (selected). Below this, there is a label 'Protocol to Copy:' followed by a blue 'Lookup' button with a small icon.

- ii. Search and select the protocol you wish to copy

Note: You will only be able to copy protocols you have access to.
- b. **Protocol Title** – Enter the title of the protocol

Note: The title must be unique per PI, this means it cannot be duplicated from another protocol under the same PI
- c. **Principal Investigator** – Populated with name of the user who is logged in, this should be the PI
 - i. When a Designate (i.e. Study Coordinator) is filling out the form for the PI you must replace the Principal Investigator name with the PI's name.
 1. Click **Replace** to choose the correct PI for this protocol.



The screenshot shows a form with the label 'Principal Investigator:'. Next to it is a text input field containing the text 'Research Admin'. To the right of the input field is a blue 'Replace' button with a small icon.

2. The **Find PI** search box will appear, type into the lookup field to find the PI's name.

Find PI

Lookup:

Name	ID	Department
Researcher_Jane	test	Psychology
Researcher_RAS	RAS_Researcher	Max Rady College of Medicine

3. Once the application has been completed it will then be sent to the PI for submission.

Principal Investigator: [Replace](#)

Note: When the application is complete, it will be sent to the PI for submission.

Department:

- d. **Department** – this drop down will auto populate based on the PI chosen
3. Click **Begin Application**

Create a New Human Ethics Protocol

Create: ☒ New ☐ Copy from existing

Protocol Title:

Principal Investigator: [Replace](#)

Note: When the application is complete, it will be sent to the PI for submission.

Department:

Complete Initial Application

The initial application form employs a feature that displays relevant questions and tabs based upon the responses provided throughout the application form. This means you will only see questions that are required for you to answer as you are completing the form.

1. If the designate is filling out this form for a Student PI, check off **Yes** for the question 'Is the Principal Investigator for this project a student?'. This will ensure they need to also include the student's advisor in the Research Personnel tab. See the Student PI Submission process for more details on student PIs.
2. Select the role of the Designate under the **Role** drop down.
3. Navigate through each page and answer each question as they appear within the form.

Protocol Number: TEMP-HE2020-0269
Initial Application

Principal Investigator: RAS Researcher
Print

Summary
Research Personnel
Attachments
Submit

Summary - Purpose of the Research

Protocol Title
Proxy Protocol
character count: 14

Principal Investigator
RAS Researcher
Replace PI

When the application is complete, it will be sent to the PI for validation

Is the Principal Investigator for this project a student?
☐ Yes
☐ No

Primary Department
Max Rady College of Medicine
replace

Application Initiated By
Research Admin

Role
Study Coordinator

previous
next

Adding Research Personnel

Add additional research personnel to the protocol including the Designates information.

1. Navigate to the Research Personnel tab
2. Click **Add** under the Protocol Personnel table

Protocol Personnel

Name	Department	Role	CV	CORE	PHIA	Access	CC	Contact Details	Contact Level
RAS Researcher	Max Rady College of Medicine	Principal Investigator		08/21/2020 Import	08/21/2020 Import	Signature Authority		Contact Details	Primary

[Add](#)

- The Find Person window will appear, search for the user's name in the Lookup field

Note: If the user you are trying to add does not appear in the list you can still add them to the protocol, see [Add On-The-Fly User](#) section.

Find Person

Lookup: [Go](#)

Name	ID	Department
Admin, Research	RAS_PI_Admin	Max Rady College of Medicine

- Click on the users' name to add them to the protocol

- Once they are added, complete the following:

- Select **Department**: this default to the users' primary department
- Select **Role**: this is the user's role for this specific protocol
- Import **CV**: this is the user's CV, optional (not required for Human Ethics Fort Garry)
- Import **CORE**: click **Import** to link the users CORE certificate
Note: all personnel must have CORE added to their user profile in the system. If they do not you must contact that person to get them to add it prior to submitting the protocol.
- Import **PHIA**: click **Import** to link the users PHIA certificate
Note: this is only required for the PI & Advisor prior to **submission** for studies that involve personal health information, all other research personnel must have this added to their profile for import prior to **approval**.
- Assign **Access**: this is the user's access to this protocol
 - Edit Access**: Gives the user edit access to the protocol. Usually given to Study Coordinators.
 - No Access**: Given to users that do not need to access the protocol in the system.
 - Read-Only Access**: Given to user that can access the protocol but only have read-only access, meaning they cannot edit the protocol.
 - Signature Authority**: This gives the user signing authority on the protocol
Note: Only the PI, Co-PI and Advisor roles can receive signing authority.
- Check the **CC** checkbox to have the user cc'd on all email notifications
- Oath of Confidentiality**: click attach to upload the user's oath of confidentiality
Note: this is required to be uploaded for each protocol personnel except for the PI, CO-PI and Advisor
- Choose the **Contact Level**: Primary or Secondary

Protocol Personnel											
	Name	Department	Role	CV	CORE	PHIA	Access	CC [?]	Oath of Confidentiality [?]	Contact Details	Contact Level
	RAS Researcher	Max Rady College of Medicine	Principal Investigator		04/01/2021 Import	04/01/2021 Import	Signature Authority			Contact Details	Primary
X	John Co-Investigator	Nursing	Co-Investigator		01/01/2021 Import	01/14/2020 Import	Edit Access	<input type="checkbox"/>	Oath of Confidentiality.pdf X	Contact Details	Primary

Add On-The-Fly User

If you can't find someone in the Find Person lookup window when trying to add them to the research personnel table, you can add them on-the-fly.

Important: Most UM research personnel will be in the lookup. On-the-fly users are most likely external to the UM or students. Only **one** external research personnel is allowed **edit** or **view only** access to a protocol. Multiple no access external personnel may be added to the protocol. All on-the-fly personnel are reviewed by the Ethics Office at submission. If this rule is violated the protocol will be sent back to the PI to adjust.

1. Click on the **request that this person be added to the system** link

No Matches

...please refine your search,

or [request that this person be added to the system.](#)

2. Complete the following (all fields are mandatory):
 - a. Enter the **Last Name**
 - b. Enter **First Name**
 - c. Enter **Email Address**
 - d. Enter **Phone Number**
 - e. Select the **CORE Training Date**
 - f. Click on **Attach CORE Pledge** to upload the users CORE certificate

Add New Value

Last Name

First Name

Email Address

Phone Number

CORE Training Date

Do not select the Co-PI or the Advisor role to anyone added from this window. They will not be able to login to RAS to sign off on any submissions/tasks sent to them.

Attach CORE Pledge

Add

Cancel

3. Click **Add**

4. The user's **Department** will default to the PIs department. Make sure to update this to **External** if adding someone external to the UM, If adding a student add the PIs department.
5. Select the **Role** and **Access** for this user
Note: If this user does not require access to this protocol, they will not be given a profile in the system.
6. Attach the **Oath of Confidentiality**
7. Select the **Contact Level**

X	New Staff	External	Research Assistant	04/01/2021 Import	Import	No Access	<input type="checkbox"/>	Attach	Contact Details	Primary
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Once the application/submission has been submitted to the Ethics Office, a task will be sent to ORS to add this new user to the system.

How to Add a Document

There are a few different areas within the initial application that allows you to upload documents.

Here is the Participants > Recruitment subtab

1. Click **Add**

Attach copies of all material that will be given/read to participants and/or third parties:

Recruitment Documents

		Type	Name	Upload
X	1	Poster		Attach

Add

2. Select the **Type** of document
3. Type in the **Name** of the document
4. Click **Attach**, find, and **Upload** the document

Recruitment Documents

		Type	Name	Upload
X	1	Poster	Poster	Poster.pdf X

View All Documents

Throughout the initial application there are a few different places to add documents. You can view all uploaded documents under the Attachments tab.

Here you can view and/or add additional documents.

Documents

Type	Name	Version	Status	History	File Name/ Uploaded Date	Comments	Actions
Recruitment Documents	<input type="text" value="Poster.pdf"/>	<input type="text" value="1"/>	New		Poster.pdf 10/13/2020		View
Consent Documents	<input type="text" value="Consent.pdf"/>	<input type="text" value="1"/>	New		Consent.pdf 10/13/2020		View
Observation Guide Document	<input type="text" value="Consent.pdf"/>	<input type="text" value="1"/>	New		Consent.pdf 10/13/2020		View

Add

To continue the instructions for an Initial Application, go to:

- [Save Initial Application](#)
- [Submit Initial Application](#)
- [After Submission](#)

Follow-On Submissions

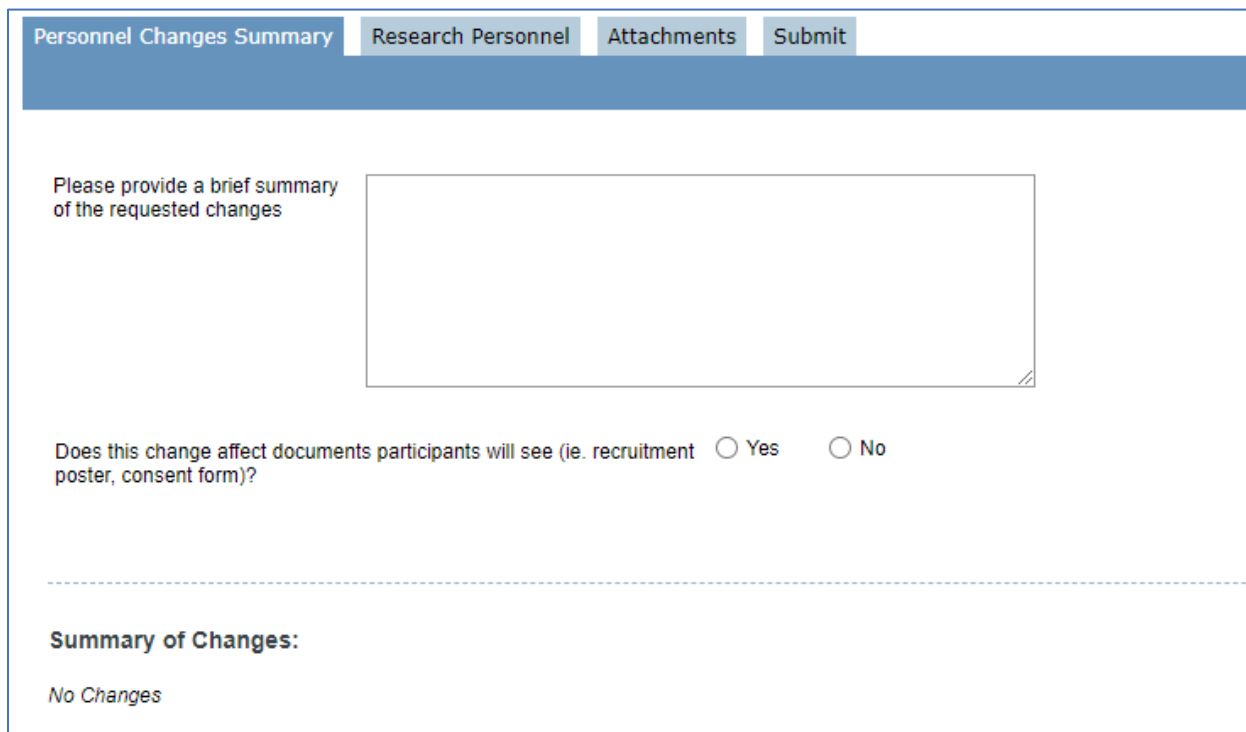
Amendment/Personnel Change

To create a new Amendment or Personnel Change form as a Designate:

1. Select the protocol link from the **LiveList**
2. Under **Actions** select **Create Amendment** or **Create Personnel Change**, click **Go**
 - a. **Amendment** – Complete all questions under Amendment Summary

Amendment Summary	Summary	Research Personnel	Participants	Consent Process	Data	Risks/Benefits	Dissemination/Withdrawing	Attachments	Submit
<p>Please provide a brief summary of the requested changes</p> <div></div>									
<p>Please provide a justification for these changes</p> <div></div>									
<p>Will there be changes to the number of participants? <input type="radio"/> Yes <input type="radio"/> No</p> <p>Will there be any changes in recruitment? <input type="radio"/> Yes <input type="radio"/> No</p> <p>Will there be changes in recruitment material? <input type="radio"/> Yes <input type="radio"/> No</p> <p>Will there be any changes to the consent form? <input type="radio"/> Yes <input type="radio"/> No</p> <p>Will participants need to be re-consented? <input type="radio"/> Yes <input type="radio"/> No</p>									
<hr/> <p>Summary of Changes:</p> <p>No Changes</p>									

b. **Personnel Change** – Complete all questions under Personnel Summary



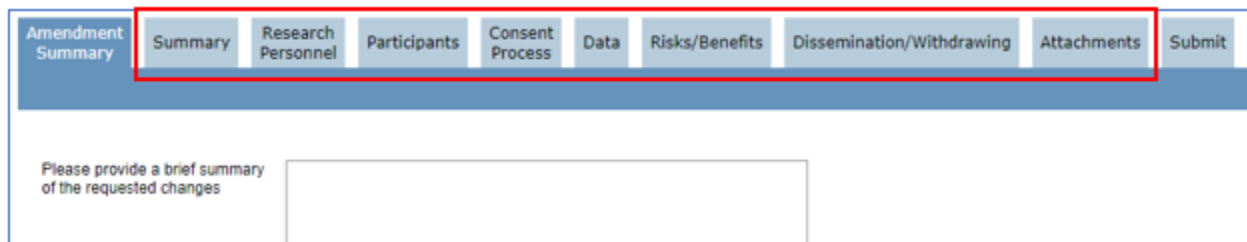
Personnel Changes Summary | Research Personnel | Attachments | Submit

Please provide a brief summary of the requested changes

Does this change affect documents participants will see (ie. recruitment poster, consent form)? ☐ Yes ☐ No

Summary of Changes:
No Changes

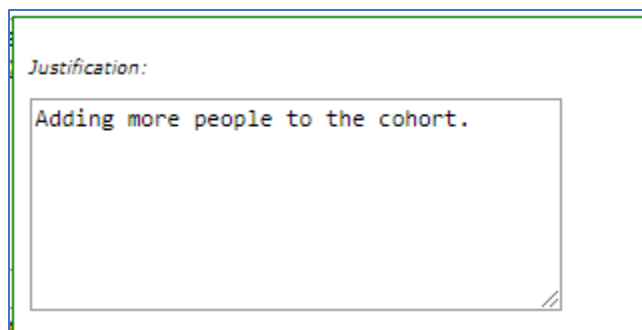
3. Navigate throughout the application and make your changes. As this is a living document, when you make a change to questions within the initial application section you will need to justify each change.



Amendment Summary | Summary | Research Personnel | Participants | Consent Process | Data | Risks/Benefits | Dissemination/Withdrawing | Attachments | Submit

Please provide a brief summary of the requested changes

- a. When you make a change to any question throughout the application it's tagged with **Amended (Please Justify)**
- b. Add your justification for the change to that specific question in the text box



Justification:

Adding more people to the cohort.

- c. Once you have included the justification the question will now state **Amended**
- d. A red asterisk will be added to each tab and a red box around the subtab to easily locate any changes to the application

Amendment Summary	Summary	Research Personnel	Participants*	Consent Process	Data	Risks/Benefits	Dissemination/Withdrawing	Attachments	Submit
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Participants

- Recruitment

How many participants do you expect to recruit?

We anticipate that approximately 45 adults between the ages of 50-70 will participate in one of three Turning Pages groups offered in 2018.

Need to increase to 100 adults.

A change based on the request.

Amended

- e. A summary of changes will appear in the **Amendment Summary** tab or **Personnel Change Summary** tab. This will include the previous value and the new value as well as the justification that was added

Summary of Changes:					
Location	Field	Original Value	New Value	Action	Justification
Participants >> Participants	How many participants do you expect to recruit?	We anticipate that approximately 45 adults between the ages of 50-70 will participate in one of three Turning Pages groups offered in 2018. Need to increase to 85 adults. A change based on the request.	We anticipate that approximately 45 adults between the ages of 50-70 will participate in one of three Turning Pages groups offered in 2018. Need to increase to 100 adults. A change based on the request.	Using New Value	Adding more people to the cohort.

Renewal Request

To create a new Renewal Request form as a Designate:

1. Select the protocol link from the **LiveList**
2. Under **Actions** select **Create Renewal Request**, click **Go**
3. Navigate through each tab and answer each question as they appear within the form

Renewal Request

Attachments

Submit

Have there been changes to the protocol design that have not been approved by the REB? ☐ Yes ☐ No

Provide a brief summary of the progress of the study.

Please brief justification for the renewal request.

previous ◀ ▶ next

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REB Event

To create a new REB Event form as a Designate:

1. Select the protocol link from the **LiveList**
2. Under **Actions** select **Create REB Event**, click **Go**
3. Navigate through each tab and answer each question as they appear within the form

Protocol Number: HE2021-0015
REB Event

Principal Investigator: Courtney Edworthy
[Print](#)
[ZIP Attachments](#)

REB Event
Attachments
Submit

Description of Event

What actions will be taken to rectify this event?

Have you notified any other offices of this event (ie. Privacy and Access Office)?
☐ Yes
☐ No

Please explain:

Does the protocol require changes to prevent this event from occurring again?
☐ Yes
☐ No

previous
next

Protocol Closure

To create a new Protocol Closure form as a Designate:

1. Select the protocol link from the **LiveList**
2. Under **Actions** select **Create Protocol Closure**, click **Go**
3. Navigate through each tab and answer each question as they appear within the form

Protocol Number: HE2021-0015

Protocol Closure

Principal Investigator: Courtney Edworthy

[Print](#)

[ZIP Attachments](#)

Protocol Closure

Attachments

Submit

Is communication with participants complete (ex. recruitment, data collection, summary of findings, member checking)?

☐ Yes ☐ No [?](#)

Please provide a brief summary of the outcome of the study and progress in meeting the study objectives.

Were there any problems encountered in this study?

☐ Yes ☐ No

previous ◀ ▶ next

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Reassign a Task

The reassign feature is used to assign a task (current working submission) to another research team member to continue editing or to complete the task on the PI's behalf. Due to the system workflow to ensure submissions are reviewed and signed off properly, when the reassigned task is submitted it will proceed in the workflow. This means that the submission will also go to the PI, CoPI(s), then Advisor(s) regardless of who is submitting the task.

When a task is with a PI, they can submit it to the next research team member in the workflow (e.g., CoPI, Advisor or OHRE depending on who is listed in the protocol), or they can reassign it to a research team member with edit access or signature authority.

Remember: A CoPI and Advisor can always send a task back to the PI by navigating to the Submit tab, checking off the "Send *Initial Application* back to the PI for Review" check box.

☐ Send Initial Application back to the PI for review? (Select this option only if you have made changes to the Initial Application, and want the PI to review them)

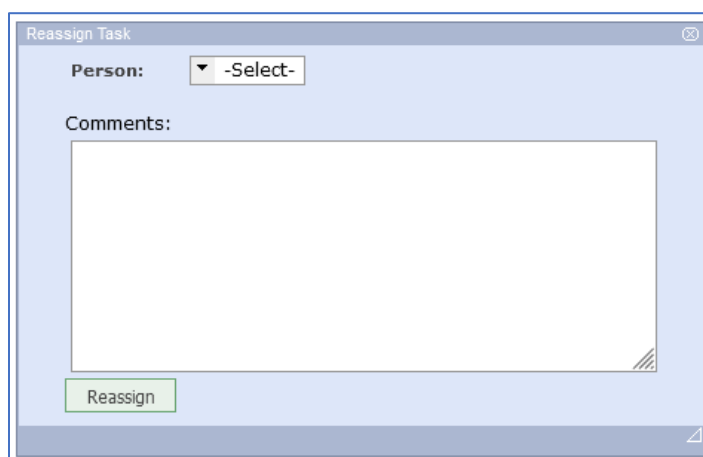
How to Reassign

1. Select the protocol link from the **LiveList**
2. Under **Submissions > Actions** click **Reassign Task**

Submissions							
Type	Receipt Date	Summary	Status	Decision	Lifecycle	Details	Actions
1 Initial Application	08/23/2023	View	Revisions	Pending	View	View	Withdraw Reassign Task

3. Select the **Person** to reassign the submission to

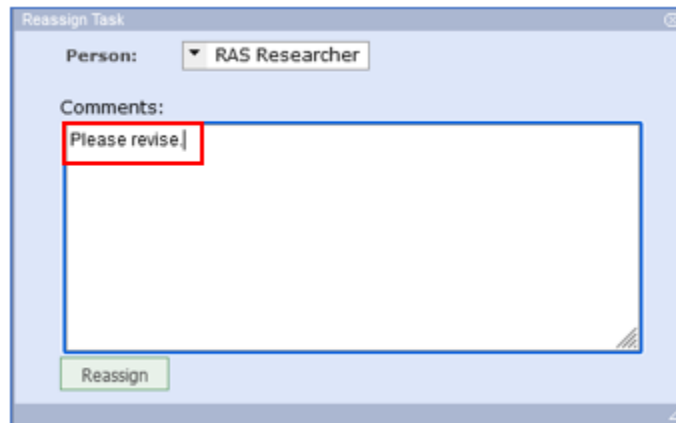
Remember: Only research personnel with Edit Access or Signature Authority will appear here.



The dialog box titled "Reassign Task" contains a "Person:" label followed by a dropdown menu currently showing "-Select-". Below this is a "Comments:" label followed by a large text area for input. At the bottom left of the dialog is a green "Reassign" button.

4. Add **Comments**, optional

Note: Comments will appear in the Lifecycle View once reassigned.



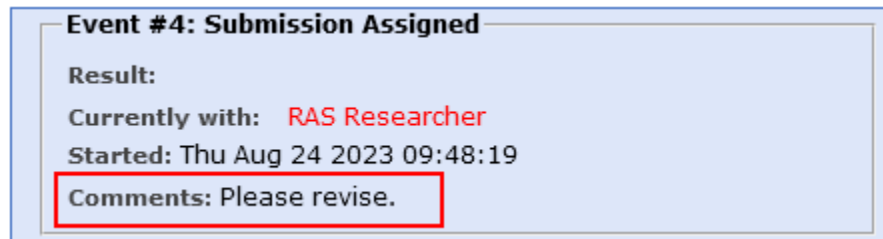
Reassign Task

Person: ▼ RAS Researcher

Comments:

Please revise.

Reassign



Event #4: Submission Assigned

Result:

Currently with: RAS Researcher

Started: Thu Aug 24 2023 09:48:19

Comments: Please revise.


5. Click **Reassign**

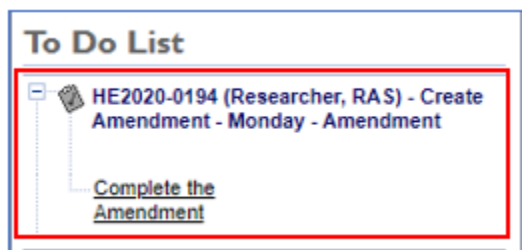
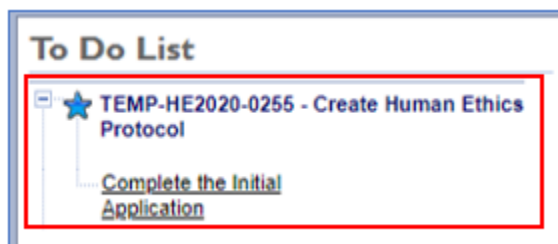
6. Task is now reassigned

Note: The task will be located in the reassigned users to do list, an email is not sent notifying the user of the task.

Save Initial Application or Follow-On Submission

The system will automatically save your progress when you navigate to a new tab within your submission. Do not exit your submission before navigating to a new tab or manually saving. To save an initial application or follow-on submission to complete it at a later date:

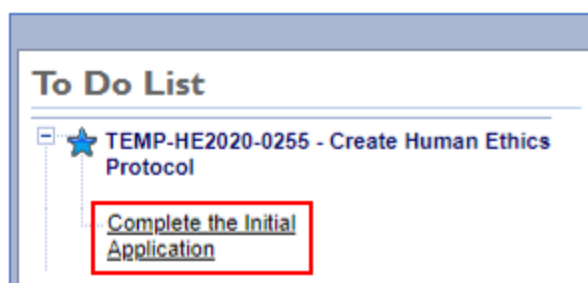
1. Click Save at the  **Save** top left-hand side of the screen
2. Click the Home menu item to return to the LiveList
3. The protocol is now listed in your To Do List



Continue Saved Initial Application or Follow-On Submission

To continue working on a saved initial application or follow-on submission:

1. Under the **To Do List**, find the saved initial application or follow-on submission task
2. Click the link within the task



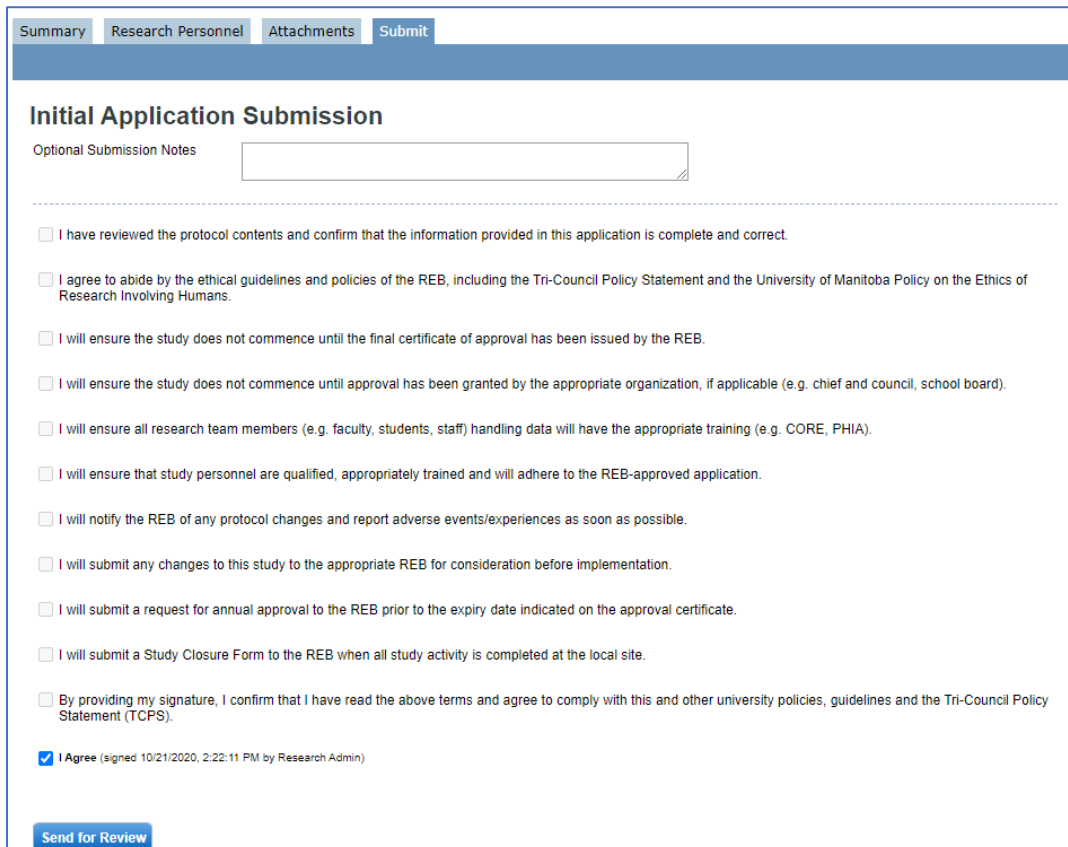
Submit an Initial Application or Follow-On Submission

Each application/submission form contains mandatory questions and logic to help ensure completeness.

When you attempt to submit the initial application or follow-on submission, the system will validate the completeness of the application. If a required field has not been completed, the submission will be stopped, and the user will be prompted to complete the incomplete fields. See [Errors on the Application](#) for more information.

To Submit an Initial Application or Follow-On Submission:

1. Complete each question contained within each of the tabs and sub tabs of the form
2. When all questions have been addressed navigate to the **Submit** tab
3. Enter any desired **Submission Notes** in the field provided
4. When a Designate is submitting the application, the **Declaration Statements** will be greyed out, these must be completed by the PI



Summary Research Personnel Attachments **Submit**

Initial Application Submission

Optional Submission Notes

☐ I have reviewed the protocol contents and confirm that the information provided in this application is complete and correct.

☐ I agree to abide by the ethical guidelines and policies of the REB, including the Tri-Council Policy Statement and the University of Manitoba Policy on the Ethics of Research Involving Humans.

☐ I will ensure the study does not commence until the final certificate of approval has been issued by the REB.

☐ I will ensure the study does not commence until approval has been granted by the appropriate organization, if applicable (e.g. chief and council, school board).

☐ I will ensure all research team members (e.g. faculty, students, staff) handling data will have the appropriate training (e.g. CORE, PHIA).

☐ I will ensure that study personnel are qualified, appropriately trained and will adhere to the REB-approved application.

☐ I will notify the REB of any protocol changes and report adverse events/experiences as soon as possible.

☐ I will submit any changes to this study to the appropriate REB for consideration before implementation.

☐ I will submit a request for annual approval to the REB prior to the expiry date indicated on the approval certificate.

☐ I will submit a Study Closure Form to the REB when all study activity is completed at the local site.

☐ By providing my signature, I confirm that I have read the above terms and agree to comply with this and other university policies, guidelines and the Tri-Council Policy Statement (TCPS).

☒ **I Agree** (signed 10/21/2020, 2:22:11 PM by Research Admin)

[Send for Review](#)

1. Check the **I Agree** checkbox to agree to the certification statement
 - a. If a Co-PI is listed on the protocol under Research Personnel
 - i. The protocol will be sent to them for sign-off



- ii. After the Co-PI has reviewed the application/submission, navigate to the **Submit** tab
Note: The Co-PI has the option of sending the application back to the PI if changes have been made, click the Send back to PI for review first check box then check off I Agree.

☐ Send Initial Application back to the PI for review? (Select this option only if you have made changes to the Initial Application, and want the PI to review them)

- iii. Read and check each of the **Declaration Statements**
- iv. Check off **I Agree**

2. Click **Send for Review**

The application/submission has now been sent to the PI for review and signature.

Errors on the Initial Application or Follow-On Submission

If you get an error stating Incomplete Application, this means there are missed questions that need to be addressed.

Incomplete Application

The Initial Application submission is incomplete.

Please address the errors highlighted throughout the application form and resubmit.



Click **Return**

The form will return to the first error on your form. Errors are indicated by a red asterisk on the tab along with a red box around the subtab. Once you select the location of the error, the individual question will be marked with Required beside it.

Correct Errors

Protocol Number: TEMP-HE2020-0255 My New Protocol Initial Application

Principal Investigator: RAS Researcher Status: Correcting Errors/Omissions [Print](#)

Summary	Research Personnel	Participants	Consent Process	Data	Risks/Benefits	Dissemination/Withdrawing *	Attachments	Submit
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Feedback - Withdrawing

Will you be providing participants with the opportunity to review their data? ☐ Yes ☒ No

How will information from or about your participants be presented (e.g., summary statistics for the whole group, direct quotations from their interviews)?

Required

Once you complete all errors indicated, click the **Submit** tab and resubmit the initial application or follow-on submission.

After the submission has gone through, you can view the protocol in the LiveList.

PI Sign-Off

The PI will receive an email notification along with a **To Do List** task to sign off on the submission.

To review the initial application or follow-on submission:

1. Click the link in the To Do List

To Do List

TEMP-HE2020-0269 (Researcher, RAS) -
Submit Human Ethics Protocol - (Submitted:)
- Proxy Protocol - (Date Assigned: 10/21/2020)
Initial Review

[Human Ethics Protocol Created on your Behalf](#)

2. Click **Review/Submit Protocol**

Protocol Number: TEMP-HE2020-0269	Human Ethics Application
Principal Investigator: RAS Researcher	Status: In Development

The following Human Ethics application was created on your behalf:

Title: Proxy Protocol

Created by: Research Admin

[Review/Submit Protocol](#)

3. Navigate and review the whole submission, the PI can add additional information to any questions within the submission at this time as well
4. When all questions have been addressed navigate to the **Submit** tab
5. Enter any desired **Submission Notes** in the field provided, optional
6. Read and check each of the **Declaration Statements**

Summary	Research Personnel	Secondary Use of Data	Attachments	Submit
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Initial Application Submission

Optional Submission Notes

- ☒ I have reviewed the protocol contents and confirm that the information provided in this application is complete and correct.
- ☒ I agree to abide by the ethical guidelines and policies of the REB, including the Tri-Council Policy Statement and the University of Manitoba Policy on the Ethics of Research Involving Humans.
- ☒ I will ensure the study does not commence until the final certificate of approval has been issued by the REB.
- ☒ I will ensure the study does not commence until approval has been granted by the appropriate organization, if applicable (e.g. chief and council, school board).
- ☒ I will ensure all research team members (e.g. faculty, students, staff) handling data will have the appropriate training (e.g. CORE, PHIA).
- ☒ I will ensure that study personnel are qualified, appropriately trained and will adhere to the REB-approved application.
- ☒ I will notify the REB of any protocol changes and report adverse events/experiences as soon as possible.
- ☒ I will submit any changes to this study to the appropriate REB for consideration before implementation.
- ☒ I will submit a request for annual approval to the REB prior to the expiry date indicated on the approval certificate.
- ☒ I will submit a Study Closure Form to the REB when all study activity is completed at the local site.
- ☒ By providing my signature, I confirm that I have read the above terms and agree to comply with this and other university policies, guidelines and the Tri-Council Policy Statement (TCPS).
- ☒ I Agree (PI) (signed 10/21/2020, 2:32:40 PM by RAS Researcher)

[Send for Review](#)

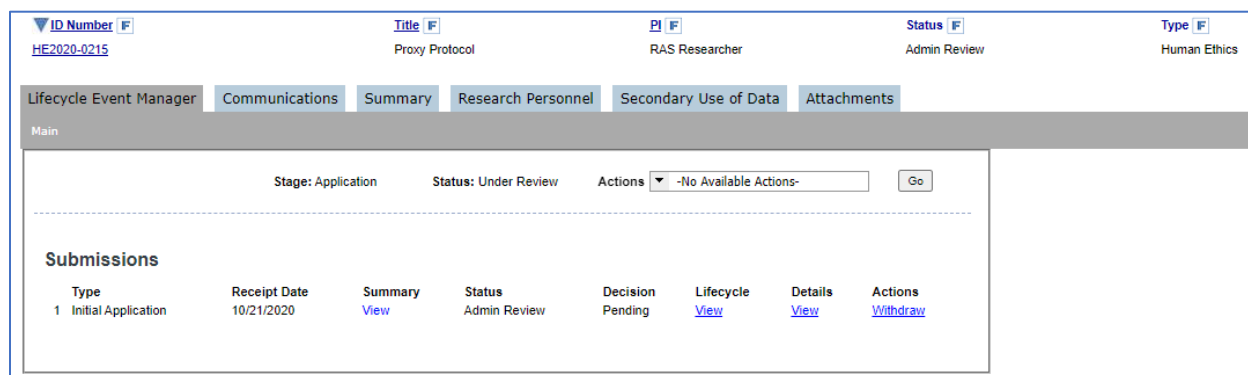
7. Check the **I Agree** checkbox to agree to the certification statement
8. Click **Send for Review**

The submission is now sent to the Ethics Office for review.

After Submission

Once you have submitted the initial application or follow-on submission, the designate and PI can view its progress in the LiveList.

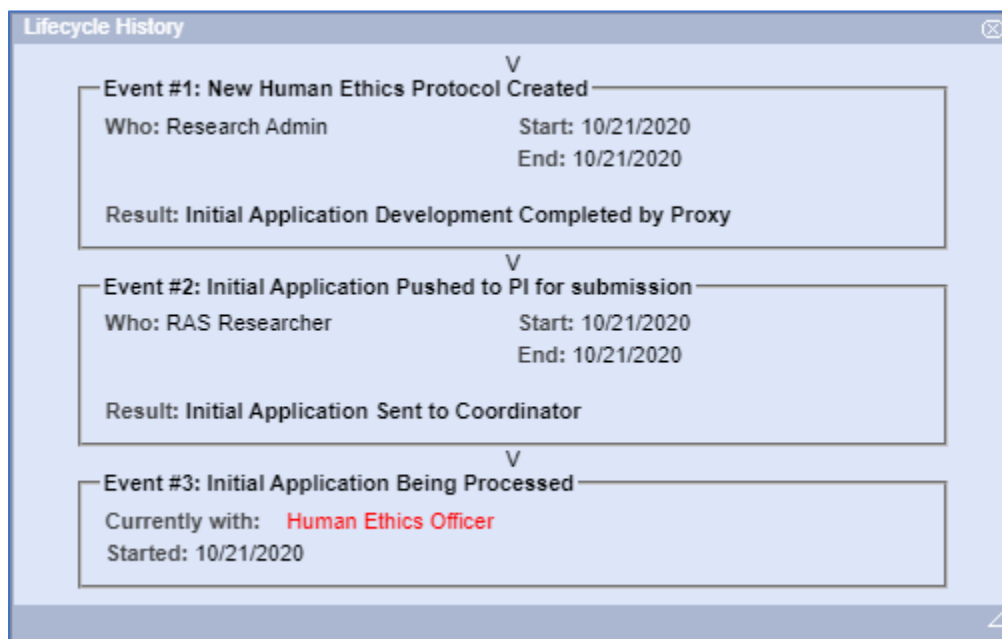
1. Navigate to the **LiveList**
2. Select the protocol from the list by clicking on the protocol number link under the Protocol/Project Number column



The screenshot shows the LiveList interface for submission HE2020-0215. At the top, there are tabs for Lifecycle Event Manager, Communications, Summary, Research Personnel, Secondary Use of Data, and Attachments. Below these tabs, there is a table of submissions. The table has columns for Type, Receipt Date, Summary, Status, Decision, Lifecycle, Details, and Actions. The first row shows an Initial Application with a Receipt Date of 10/21/2020, Status of Admin Review, and Decision of Pending. The Lifecycle column has a link to View, and the Actions column has a link to Withdraw.

Type	Receipt Date	Summary	Status	Decision	Lifecycle	Details	Actions
1 Initial Application	10/21/2020	View	Admin Review	Pending	View	View	Withdraw

3. To view the current Lifecycle History of this submission, click on the **View** link under Lifecycle
 - a. The Lifecycle History window will appear, this tells you where the submission is



The screenshot shows the Lifecycle History window for submission HE2020-0215. It lists three events: Event #1: New Human Ethics Protocol Created, Event #2: Initial Application Pushed to PI for submission, and Event #3: Initial Application Being Processed. Each event includes details about who created it, when it was created, and the result.

Event	Who	Start	End	Result
Event #1: New Human Ethics Protocol Created	Research Admin	10/21/2020	10/21/2020	Initial Application Development Completed by Proxy
Event #2: Initial Application Pushed to PI for submission	RAS Researcher	10/21/2020	10/21/2020	Initial Application Sent to Coordinator
Event #3: Initial Application Being Processed	Currently with: Human Ethics Officer	Started: 10/21/2020		

4. To view the protocol and the submission status in more detail, click on the **View** link under Details

Protocol: HE2020-0215
Submission Type: Initial Application
[Print](#)

[Review Dashboard](#)
[Summary](#)
[Research Personnel](#)
[Secondary Use of Data](#)
[Attachments](#)

Version 1

Date	Duration	Type	Process	Board	Decision
10/21/2020		Analyst	Administrative		

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5. To return to the **LiveList**
 - a. Click the **Home** button under the Menu Bar or;
 - b. Click on the Protocol Number link above the **Lifecycle Event Manager** tab

Withdraw Initial Application or Follow-On Submission

An initial application or follow-on submission can be withdrawn after you have submitted a submission but before it has been approved.

1. In the **LiveList**, select the protocol link under Protocol/Project Number to view the Lifecycle Event Manager
2. Under Submissions > Actions click **Withdraw**

Submissions							
Type	Receipt Date	Summary	Status	Decision	Lifecycle	Details	Actions
3 Amendment	10/27/2020	View	Admin Review	Pending	View	View	Withdraw
2 Amendment	08/24/2020	View	Completed	Approved	View	View	
1 Initial Application	08/21/2020	View	Completed	Approved	View	View	

3. A confirmation window will appear, Click **OK** to continue

Are you sure you wish to Withdraw this submission?
This action cannot be reversed.

OK

Cancel

4. The submission will still be listed under **Submissions** for audit trail purposes

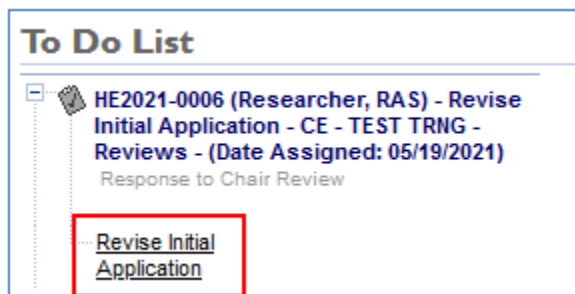
Submissions							
Type	Receipt Date	Summary	Status	Decision	Lifecycle	Details	Actions
3 Amendment	10/27/2020	View	Withdrawn		View	View	
2 Amendment	08/24/2020	View	Completed	Approved	View	View	
1 Initial Application	08/21/2020	View	Completed	Approved	View	View	

Revisions Required

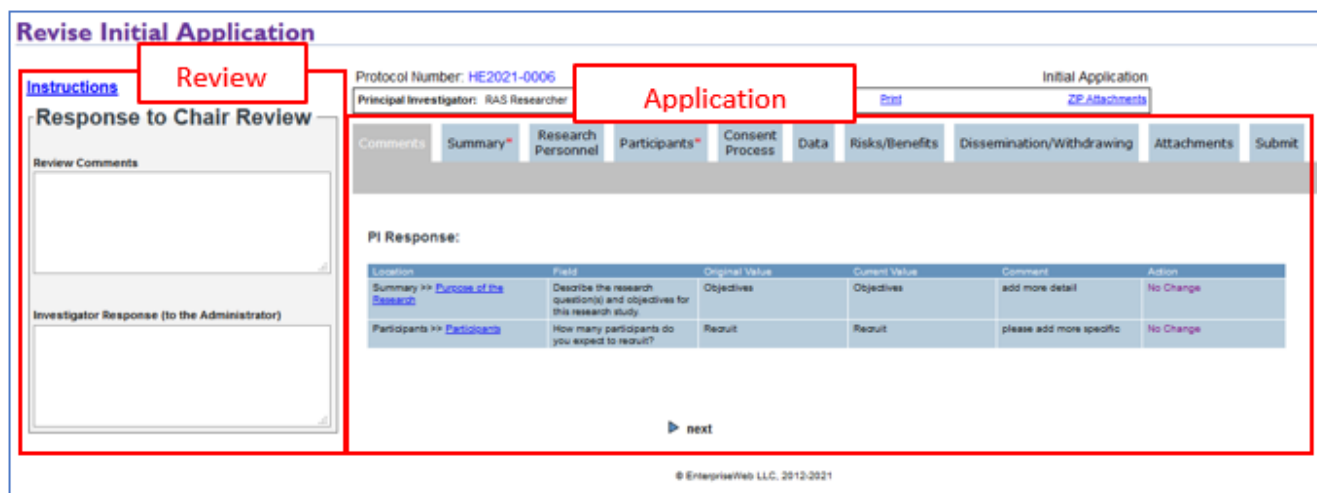
After an application or submission has been reviewed and it is sent back from the OHRE for revisions, the PI will receive an email notification and task to be completed in their To Do List.

The designate (or Study Coordinator) will also receive an email notification if they were cc'd under the Research Personnel section of the protocol. If the designate is to complete the revision task they can reassign the task to themselves. See **Delete or Reassign Task** section of the Lifecycle Event Manager.

1. Under the **To Do List**, find the Revise task
2. Click the link within the task



3. There are 2 main sections in this view: **Review** and **Application** section
Remember: The Review section can change based on who has provided the review. The example below is a Chair Review, you may also see OHRE Review or Member Review.



Revise Initial Application

Protocol Number: HE2021-0006
Principal Investigator: RAS Researcher

Initial Application
Start ZF Attachments

Review

Application

Response to Chair Review

Review Comments

Investigator Response (to the Administrator)

PI Response:

Location	Field	Original Value	Current Value	Comment	Action
Summary >> Purpose of the Research	Describe the research question(s) and objectives for this research study.	Objectives	Objectives	add more detail	No Change
Participants >> Participants	How many participants do you expect to recruit?	Recruit	Recruit	please add more specific	No Change

next

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4. The **Comments** tab provides a summary of all comments made
5. Click on the link under **Location** to bring you to each comment to review

Comments	Summary*	Research Personnel	Participants*	Consent Process	Data	Risks/Benefits	Dissemination/Withdrawing	Attachments	Submit																		
PI Response: <table border="1"> <thead> <tr> <th>Location</th> <th>Field</th> <th>Original Value</th> <th>Current Value</th> <th>Comment</th> <th>Action</th> </tr> </thead> <tbody> <tr> <td>Summary >> Purpose of the Research</td> <td>Describe the research question(s) and objectives for this research study.</td> <td>Objectives</td> <td>Objectives</td> <td>add more detail</td> <td>No Change</td> </tr> <tr> <td>Participants >> Participants</td> <td>How many participants do you expect to recruit?</td> <td>Recruit</td> <td>Recruit</td> <td>please add more specific</td> <td>No Change</td> </tr> </tbody> </table> <p style="text-align: center;">▶ next</p>										Location	Field	Original Value	Current Value	Comment	Action	Summary >> Purpose of the Research	Describe the research question(s) and objectives for this research study.	Objectives	Objectives	add more detail	No Change	Participants >> Participants	How many participants do you expect to recruit?	Recruit	Recruit	please add more specific	No Change
Location	Field	Original Value	Current Value	Comment	Action																						
Summary >> Purpose of the Research	Describe the research question(s) and objectives for this research study.	Objectives	Objectives	add more detail	No Change																						
Participants >> Participants	How many participants do you expect to recruit?	Recruit	Recruit	please add more specific	No Change																						

Note: Any comments made will also be indicated with a red * on the tab within the Application section.

- Make the appropriate changes to each question based on comments provided

Important: For information on how to upload a marked-up version of a document, please see [Attachment: Marked-Up Versions](#)

- If Justification is required, add your justification to the popup box that appears beside the question

Note: Justification is mandatory, you must fill in a response.

Requirement:
Confirm and justify participants.

Justification:

- Any additional changes to the application/submission, will be added to the **Comments** tab

Comments	Summary*	Research Personnel*	Participants*	Consent Process	Data	Risks/Benefits	Dissemination/Withdrawing	Attachments	Submit																								
PI Response: <table border="1"> <thead> <tr> <th>Location</th> <th>Field</th> <th>Original Value</th> <th>Current Value</th> <th>Comment</th> <th>Action</th> </tr> </thead> <tbody> <tr> <td>Summary >> Purpose of the Research</td> <td>Describe the research question(s) and objectives for this research study.</td> <td>Objectives</td> <td>Objectives - there are many objectives which are included in the attachment.</td> <td>add more detail</td> <td>Using New Value</td> </tr> <tr> <td>Participants >> Participants</td> <td>How many participants do you expect to recruit?</td> <td>Recruit</td> <td>100 participants.</td> <td>please add more specific</td> <td>Using New Value</td> </tr> <tr> <td>Research Personnel</td> <td>What type of data (e.g. directly identifiable, anonymized) will each individual have access to?</td> <td>Data</td> <td>Data - data will be anonymized.</td> <td></td> <td>Using New Value</td> </tr> </tbody> </table> <p style="text-align: center;">▶ next</p>										Location	Field	Original Value	Current Value	Comment	Action	Summary >> Purpose of the Research	Describe the research question(s) and objectives for this research study.	Objectives	Objectives - there are many objectives which are included in the attachment.	add more detail	Using New Value	Participants >> Participants	How many participants do you expect to recruit?	Recruit	100 participants.	please add more specific	Using New Value	Research Personnel	What type of data (e.g. directly identifiable, anonymized) will each individual have access to?	Data	Data - data will be anonymized.		Using New Value
Location	Field	Original Value	Current Value	Comment	Action																												
Summary >> Purpose of the Research	Describe the research question(s) and objectives for this research study.	Objectives	Objectives - there are many objectives which are included in the attachment.	add more detail	Using New Value																												
Participants >> Participants	How many participants do you expect to recruit?	Recruit	100 participants.	please add more specific	Using New Value																												
Research Personnel	What type of data (e.g. directly identifiable, anonymized) will each individual have access to?	Data	Data - data will be anonymized.		Using New Value																												

- Add any additional comments in **Investigator Response** under the Review section

[Instructions](#)

Response to Chair Review

Review Comments

Investigator Response (to the Administrator)

10. Navigate to the **Submit** tab and resubmit the application/submission

The revision has now been sent to the PI for review and signature.

Attachments: Marked-Up Versions

A Marked-Up Version of a document is a copy that includes track changes to indicate changes made. These documents must be uploaded in the Attachments tab along with a copy of a clean version of the document.

Important: The marked-up version is not part of the final approval. This means you will not see this copy once the submission is approved only the clean version.

Note: Depending on where you are in the submission process or what type of submission you are revising, the Marked-Up Version section in the Attachments tab may look slightly different. The example below is of an Initial Application returned to the PI for after a pre-review.

Revise Initial Application

[Instructions](#)

Revisions

Review Comments
Please see comments. The document title names must be updated/changed and then uploaded as 'Marked Up Version' under the Attachments tab with track changes or highlighting. Please also upload a clean copy of documents in the appropriate tabs.

Investigator Response (to the Analyst)

Protocol Number: **HE2023-0228**

Principal Investigator: Courtney Edworthy

[Print](#) [ZIP Attachments](#)

Comments

Summary

Research Personnel

Participants

Consent Process*

Data

Risks/Benefits

Dissemination/Withdrawing

Indigenous Peoples

Attachments*

Submit

PI Response:

Location	Field	Original Value	Current Value	Comment	Action	Justification
Attachments	Document type / Name	Consent Documents / Consent.pdf	Consent Documents / Consent.pdf	Please make the appropriate changes and upload a marked up version with track changes along with the updated Consent form.	New document required	
Consent Process >> Informed Consent Process	Consent Documents	Consent.pdf [View Page]	Consent.pdf [View Page]	Please add dates.	No Change	

▶ next

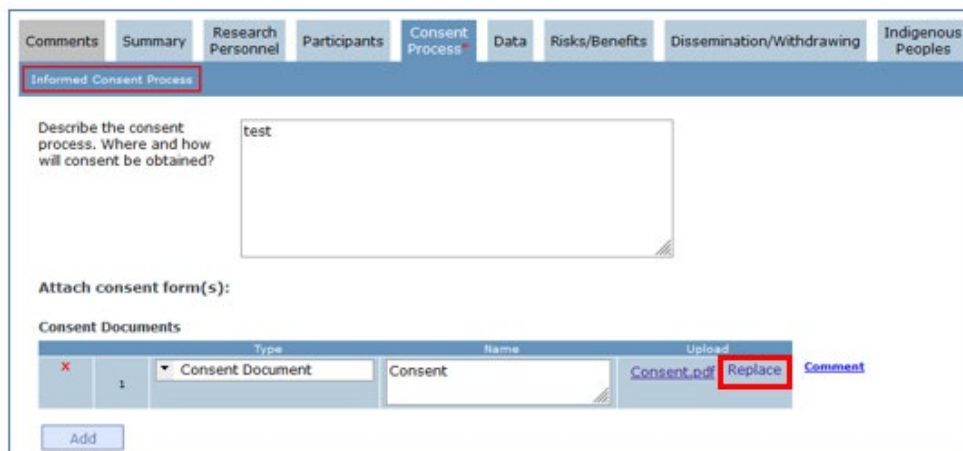
Upload Clean & Marked-Up Version

To upload the marked-up version you must replace/upload a new “clean” version of the document then the marked-up version.

There are two ways to upload the clean version: Under the designated tab (i.e. Consent Process for a consent form) or under the Attachments tab.

Designated Tab

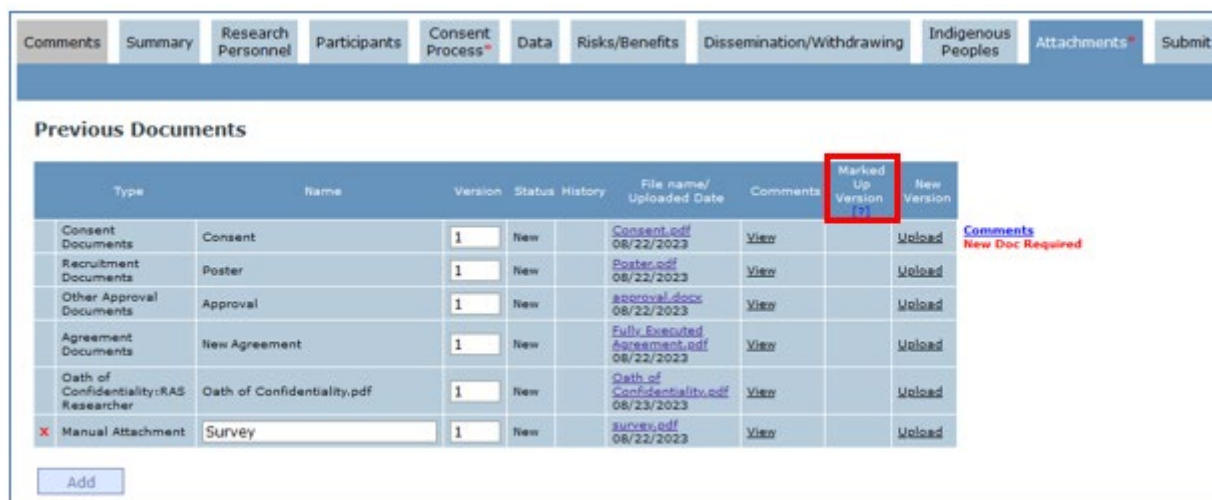
1. Navigate to the designated tab, in this example the **Consent Process** tab
2. Click **Replace**, find and **Upload** the clean version of the document



3. Once the new document has been uploaded navigate to the Attachments tab to upload the marked-up version

Attachments Tab

1. Navigate to the **Attachments** tab
2. Click **Upload** under New Version, find and **Upload** the clean version of the document
3. Once the new document has been uploaded you can now upload the marked-up version



Type	Name	Version	Status	History	File name/ Uploaded Date	Comments	Marked Up Version	New Version
Consent Documents	Consent	1	New		Consent.pdf 08/22/2023	View		Upload
Recruitment Documents	Poster	1	New		Poster.pdf 08/22/2023	View		Upload
Other Approval Documents	Approval	1	New		approval.docx 08/22/2023	View		Upload
Agreement Documents	New Agreement	1	New		Fully Executed Agreement.pdf 08/22/2023	View		Upload
Oath of Confidentiality:RAS Researcher	Oath of Confidentiality.pdf	1	New		Oath of Confidentiality.pdf 08/23/2023	View		Upload
Manual Attachment	Survey	1	New		survey.pdf 08/22/2023	View		Upload

Marked-Up Version

1. Navigate to the **Attachments** tab
2. Click **Attach** under Marked Up Version, find and **Upload** the marked-up version of the document

Type	Name	Version	Status	History	File name/ Uploaded Date	Comments	Marked Up Version [?]	New Version
Consent Documents	Consent	1	New	View	Consent 2.pdf 08/23/2023	View	Attach	View / Replace
							Comments New Doc Provided	

3. **Note:** The original document that was replaced in the designate tab and attachments tab can still be viewed by clicking **View** under History

Type	Name	Version	Status	History	File name/ Uploaded Date	Comments	Marked Up Version [?]	New Version
Consent Documents	Consent	1	New	View	Consent 2.pdf 08/23/2023	View	View X	View / Replace
							Comments New Doc Provided	