USER GUIDE
HUMAN RESEARCH ETHICS APPLICATION

Applicant Guide
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Advice and Assistance:

• The research ethics team can assist with system troubleshooting and general ethics enquiries:

Email: humanethics@massey.ac.nz
Or by telephone:
Patsy +64 6 350 5573 or X 83840 (internal)
Alice 64 9 414 0800, extn 43276 (internal)

• While Research Ethics Advisors are always available to support applicants over the phone, the Research Ethics Office is trialing drop-in sessions on a monthly basis. Initially the drop-in sessions will be trialed on the Albany campus with the Research Ethics Advisor (Alice Lindsay) available to help and assist researchers with the submission of human ethics applications in RIMS along with other procedural and process based queries. Sessions will be held one week prior to submission deadline dates with researchers able to drop by the venue or book a session ahead of time. Contact Alice on the number shown to find out session times or to book a time.

• Please note that students should consult with their supervisor in the first instance.

Saving the Application:

• The answers entered on each page are saved automatically when you click on the green arrows to navigate through the form.

• The application can also be saved at any time by clicking on the ‘save’ icon in the toolbar:

GETTING STARTED

STEP 1: Logging in

Navigation: http://rims.massey.ac.nz
Action: Enter your Massey network user name and password and click the login button.

Result: User is logged into the system and the home page is displayed
STEP 2: Creating A New Application

**Navigation:**
Ethics Tab  ➔ Applications

**Action:** click on create application

**Action:** click on Human Ethics Application

**Result:** a new application is created with an initial status of draft
Alternate STEP 2: Accessing Existing Application/s

Action: Click On My Applications Or All Applications Result: Applications available are display

Note: Applications are grouped according to their status. Applications can be completed progressively and do not have to be completed in one sitting

Result: Choose the relevant application by clicking on the blue title and the application will open
Step 3: Navigating the Application

There are four components to the application.

1. **Information area**: located at the top of the screen, the information area displays the application title, status and current workflow state.

![Information area screenshot]

2. **Toolbar**: Located at the top right hand corner of the application, the toolbar provides actions available to view and comment on the application. Icon descriptions can be found in the toolbar table (see appendix).

![Toolbar screenshot]

3. **Navigation Panel**: located on the left hand side of the application, the navigation section provides access to sections within the application (Form tab), and available actions (Action tab). The form tab shows the section headings and pages. The expand and collapse links can be used to view the whole form. The Action tab lists the action(s) available (e.g. submit, withdraw). The Review tab allows students to add the name of their supervisor for review and approval of their application (there may be more than one option for a person - don’t forget to pick the surname with the six digit number beside it).

![Navigation Panel screenshot]
3. **Application Content:** The Main Section Of The Screen, Displays The Application Questions And Responses.

Before you submit there is an **option** for you to send your application for peer review (this is NOT part of the approval process and the application is sent to your delegate for peer review as a pdf of the application)

**Applicant Information- PEER REVIEW (How to send for peer review before submission)**

Prior to submitting your application for approval, there is an option for you to have your application peer reviewed. (This could be a supervisor if you are a student, or a colleague in the case of academic research). The process is as follows:

- Click on the Action Tab
- Click on the 'Send for peer review' action
- Follow the instructions given.

Note: This process will send an email to your peer reviewer which contains a pdf of the application.

The peer reviewer comments by email outside of the RIMS process.

This **IS NOT** part of the approval process.

Following comment (if any) from your peer reviewer, you must **STILL** submit the final application through the Action Tab
4: Adding Team Members

**Navigation:**

Open the **Applicant** page. The person who created the application will automatically be listed as chief applicant; other members of the research team must be added manually.

**Action:** Select the applicant from the list.

**Result:** The details of the selected person will be displayed.

**Action:** Click on the green tick symbol to add.
THERE ARE TWO PARTS TO THE APPLICATION

a. Risk assessment
b. Full application

The risk assessment form must be completed and submitted. This can be submitted once there are three green ticks beside Project detail, Applicant and Risk Assessment and the applicant has signed off on the applicant sign off declaration
Step 4: Adding a Supervisor

If the applicant is a student then a supervisor must be identified and added to the review group to approve the application before submission to the Research Ethics Office. A supervisor is not required for staff applications.

Note: The Supervisor cannot also be an applicant.

Action: Select the Applicant from the list. Staff will have a six (6) digit code next to their name. Do not choose a name that has a code longer than six (6) digits

Result: The details of the selected person will be displayed.
Applicant sign off
Before submission applicants must read the declarations on the applicant sign off page and tick the box to confirm that the applicant has read and understood the declaration statements.

If you have answered yes to ANY of the risk assessment questions the system will direct you to submit the application and continue by filling in a full application.

Due to your responses to the risk assessment questions, your application will need to go before the Human Ethics Committee. When you submit you will be taken to a second form to answer additional questions. Note that your responses provided so far will be available to the committee, but you will not be able to change them once you have submitted (with the exception of the risk assessment questions which can be changed in the second form).

Submission
Action: Go to Action tab and click submit

Result: If the application is deemed low risk and you are a student, your supervisor will receive an email asking them to review your application. They will either approve the application or return it to the student for further work. On submission by the student after revision it will again be sent to the
supervisor for review. When the supervisor is satisfied and approves the application, it is complete. An email will be generated detailing confirmation.

An application IS NOT APPROVED until the email from the Research Ethics Office has been sent to verify. If, after assessing the risk, the application requires going forward to an Research Ethics Committee then the full application (2) must be completed.
Completing a Full Application

Note: The original risk questions will already be populated in the full application. This part of the form can be marked as complete by clicking the page forward icon.

<table>
<thead>
<tr>
<th>Form</th>
<th>Review</th>
<th>Action</th>
</tr>
</thead>
<tbody>
<tr>
<td>4000010361: Manual</td>
<td>Application Status</td>
<td>Pending Project: Project Title</td>
</tr>
<tr>
<td>2 Data Collection</td>
<td>Data Elements</td>
<td>Collection of Information which creates a risk of harm to the participant.</td>
</tr>
<tr>
<td>3 Data Collection</td>
<td>Data Elements</td>
<td>Collection of Information which creates a risk of harm to the participant.</td>
</tr>
<tr>
<td>4 Data Collection</td>
<td>Data Elements</td>
<td>Collection of Information which creates a risk of harm to the participant.</td>
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<tr>
<td>5 Data Collection</td>
<td>Data Elements</td>
<td>Collection of Information which creates a risk of harm to the participant.</td>
</tr>
<tr>
<td>6 Data Collection</td>
<td>Data Elements</td>
<td>Collection of Information which creates a risk of harm to the participant.</td>
</tr>
</tbody>
</table>

STEP 5: Answering Questions in the Application

Questions within the application require answers in different formats – yes/no, check-box selection and text responses. The applicant can answer questions in any order. However, some questions are dependent on the answer provided to an earlier question. As such, it is advisable that you complete questions sequentially in order to avoid skipping sections unintentionally.

- Questions in red are compulsory to answer

- Information given in green fields alert the applicant to required documents

- Information given in blue fields reference the part of the Code applicable to the question

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STEP 6: Adding Documents

The documents section allows you to upload documents to support your application.

<table>
<thead>
<tr>
<th>Document Description</th>
<th>Reference (Document Title)</th>
<th>Soft Copy</th>
<th>Hard Copy</th>
</tr>
</thead>
<tbody>
<tr>
<td>Information Sheet</td>
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<td></td>
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<tr>
<td>Consent Form</td>
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<tr>
<td>Research Procedure flowchart</td>
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<td>Advertising</td>
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<td>Letter requesting access to an institution</td>
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<tr>
<td>Questionnaire</td>
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<td>Transcriber Confidentiality Agreement</td>
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<td>Focus Group Schedule</td>
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<tr>
<td>Focus Group Confidentiality Agreement</td>
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<tr>
<td>Confidentiality Agreement</td>
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<tr>
<td>Interview Schedule Document</td>
<td></td>
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<tr>
<td>Authority for Release of Tape Transcripts</td>
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<tr>
<td>Evidence of Consultation</td>
<td></td>
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<tr>
<td>Draft Database Access Letter</td>
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<td>Translated Document</td>
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<td>Health Screening Document</td>
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<tr>
<td>Invasive Procedure Supporting Documents</td>
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<tr>
<td>Massey Licensees Contact Document</td>
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<tr>
<td>Donors Permission Document</td>
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<tr>
<td>Letter requesting approval for use of database</td>
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<tr>
<td>Permission to Use</td>
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<tr>
<td>Permission to Import</td>
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</tbody>
</table>

Navigation:
Select the documents page under the Documentation section
Action: click the icon next to the document type you would like to upload.
Result: Upload file form will appear

Action: to add further documents when all existing rows are full, click the Add New Document link at the top of the attachments table.

Action: enter a document description (for example, recruitment flyer) in the text box displayed. Click to save the new document type.
Result: a new document type is added and a document can be uploaded by clicking on Icon, as described.
**STEP 7: Viewing documents**

**Navigation:**
Open the Documents page

**Action:** Click on the document title.  **Result:** The attachment will open in a new window

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**Table:**

<table>
<thead>
<tr>
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<th>Hard Copy</th>
</tr>
</thead>
<tbody>
<tr>
<td>Information Sheet</td>
<td>Test response to applicant (3).docx</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Consent Form Document</td>
<td>Information Sheet_CD study_CD group (1).docx</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Research Procedure Flowchart</td>
<td>Participant Consent_CD study.docx</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Advertising Document</td>
<td></td>
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<td></td>
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<tr>
<td>Draft Request Letter - Enter Institution</td>
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<td></td>
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<tr>
<td>Questionnaire Document</td>
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<td>Focus Group Guide Document</td>
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<tr>
<td>Interview Guide Document</td>
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<tr>
<td>Māori Consultation Document</td>
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</tbody>
</table>

**Note:** there may be more than one page for the uploaded attachments; this is indicated by the page counter at the bottom of the attachments table. If you would like to be able to view all the documents uploaded on one page change the page size number to the total number available.

**Action:** Check the attachment and close the new window once you have finished.
STEP 8: Viewing a PDF copy of the Application

This function allows the applicant to generate a PDF or HTML copy of the application, enabling them to view all of their answers in a single document and print or save a copy.

**Note:** Attachments are not included in the pdf and must be opened separately.

**Navigation:**

Click the Icon On The Toolbar. The Following Screen Will Open:

**Action:** Select ethics application and either HTML or PDF. Note: a summary of all comments on the application can also be generated by selecting comments report.

Click OK.

**Result:** Document will display in a new screen.

**Note:** if the window does not open, check your browser settings to ensure that ‘pop ups’ are enabled

**Action** Document Can Be Printed Or Saved
STEP 9: Submitting a Completed Application

Note
Before you submit there is an option for you to send your application for peer review (this is NOT part of the approval process and the application is sent to your delegate for peer review as a pdf of the application)

Applicant Information- PEER REVIEW

Prior to submitting your application for approval, there is an option for you to have your application peer reviewed. (This could be a supervisor if you are a student, or a colleague in the case of academic research). The process is as follows:

• Click on the Action Tab
• Click on the 'Send for peer review' action
• Follow the instructions given.

Note: This process will send an email to your peer reviewer which contains a pdf of the application.
The peer reviewer comments by email outside of the RIMS process.
This IS NOT part of the approval process.
Following comment (if any) from your peer reviewer, you must STILL submit the final application through the action tab

The ethics application can only be submitted when all mandatory questions in the form have been answered
This is true if a green ✓ appears next to each item in the navigation section. A yellow arrow or red exclamation point will appear against unanswered sections:

(Hint: Use The Expand Link To Check All Items):
**Adding a supervisor’s details in section 4**

In addition to adding supervisor details in the review tab (step 4) - before final submission students **can** add supervisor details.

**Navigation:** Select the Submission tab.

**Action:** List the surname of your supervisor in the search box and click on the magnifying glass. Choose the option with the six-digit number beside it. Your supervisor details will be displayed. Choose the position as co-applicant and tick on the green tick symbol to accept.
Step 10: To submit the completed Application

**Navigation:** To submit the completed Application, select the Action tab

**Action:** Click Submit Application.

**Result:** If the form is complete, the application is submitted to the next stage of review and the applicant is informed.

If the form is incomplete, an error message will appear informing the applicant that their form cannot be submitted. This will display above the application title. Return to the form tab to determine what needs to be completed.
STEP 11: Responding to Committee Feedback

Following review by the Human Ethics Committee, you will receive an automated email notifying you of the outcome. If you are required to make changes to your application, you will be advised to log in to the online system and review the committee feedback. This feedback will be in the form of a word document that will appear in the documents section (usually on page 3 or 4). It will be identified as “Committee Feedback” or “Meeting Outcome” and have a status of either “Approved with conditions”, “Provisional Approval” or “Deferred”.

When you log in to the online system, you will see that the application has one of the following statuses:

- Approved
- Approved with conditions
- Declined
- Pending
- Draft
- To Amend
- Transferred
- Withdrawn

To respond to the committee, download the “Committee Feedback” document, respond to the queries under each point; make changes to the application as required online; and upload any amended public documentation. The response to the committee should be uploaded to the online system and marked as “Applicant Response”.

EMAIL NOTIFICATIONS

Emails will be sent to all the applicants, principal supervisor (if applicable) and applicants listed on the application whenever the status of the application changes. Emails are also sent to the ethics committee administrator and the Chair when their action is required.

The applicant cannot commence their research until they receive an email notifying them that final approval has been granted.

TROUBLESHOOTING

If you are having trouble logging into the system or completing the form, please contact the Research Ethics Team:

Email: humanethics@massey.ac.nz

If you require ethics advice or guidance, please contact the relevant research ethics advisor:

Albany: Alice Lindsay A.Lindsay@massey.ac.nz Extn 43276
Wellington & Palmerston North: Patsy Broad P.L.Broad@massey.ac.nz Extn 83840
Low Risk Notifications: Miralie Thomas Vincent M.E.Thomas@massey.ac.nz Extn 83841 or Alice Lindsay A.Lindsay@massey.ac.nz Extn 43276
<table>
<thead>
<tr>
<th>Term</th>
<th>Definition</th>
</tr>
</thead>
</table>
| Approved           | Either with or without comments.  
With comments – The committee has reviewed the application and is satisfied that the project meets the requirements of the Code of Ethical Conduct for Research, Teaching and Evaluations involving human participants. However, minor queries or revisions may have been requested. These must be made and the application resubmitted and final approval granted prior to commencing the research.  
Without comments - The committee has reviewed the application and is satisfied that the project meets the requirements of the Code of Ethical Conduct for Research, Teaching and Evaluations involving human participants. The applicant is free to commence the research as outlined in the application. |
| Provisional Approval | The application has been reviewed by a committee and returned to the applicant with the review outcome “Provisionally Approved”. The applicant is required to make changes to the application before resubmitting it for review by the Committee Chair. |
| Deferral           | The committee has reviewed the application and is not satisfied that the project meets the requirements of the Code of Ethical Conduct for Research, Teaching and Evaluations involving human participants. However, it could meet requirements pending substantial revision of the application and/or satisfactory answers to questions from the committee.  
The review outcome is “Deferred”. The applicant is required to make significant changes to the application before resubmitting it for review by the full committee. |
<p>| Declined           | The committee has reviewed the application and is not satisfied that the project meets the requirements of the Code of Ethical Conduct for Research, Teaching and Evaluations involving human participants, nor that it can meet the requirements of the Code if changes are made. The application is “Declined” and cannot be resubmitted. The reasons for declining the application will be sent to the Applicant. The applicant may wish to consider submitting a new application to the committee which has been substantially revised. |
| Withdrawn          | The ethics administrator has marked the application as withdrawn because the applicant has advised them that the research will not proceed, or the application has been inactive for more than 6 months. It is not possible to ‘re-activate’ a withdrawn application. |</p>
<table>
<thead>
<tr>
<th>Icon</th>
<th>Name</th>
<th>Description</th>
</tr>
</thead>
<tbody>
<tr>
<td>➡️</td>
<td>Next Page</td>
<td>Go to the next page in the application</td>
</tr>
<tr>
<td>←</td>
<td>Previous Page</td>
<td>Go to the previous page in the application</td>
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<td>🗄️</td>
<td>Save</td>
<td>Save the application</td>
</tr>
<tr>
<td>📝</td>
<td>Application Comments</td>
<td>Not activated – this function cannot be used at this stage</td>
</tr>
<tr>
<td>📝</td>
<td>Reports</td>
<td>Reports menu to select and run a report, reports include the ability to print the whole application, application comments, attached documents and review outcomes</td>
</tr>
<tr>
<td>📥️</td>
<td>Page Comment</td>
<td>Not activated – this function cannot be used at this stage</td>
</tr>
<tr>
<td>📘</td>
<td>Help</td>
<td>Help for the page for the questions</td>
</tr>
<tr>
<td>🌋</td>
<td>Exit</td>
<td>Exit the application and return to the applications home page</td>
</tr>
</tbody>
</table>