

# General Guidelines

## When to use an Amendment Request

- Protocols that have been completed (check attached documents for notification/advice).

ExclusionS

**Amendment Request form is used to make minor amendments to previously approved Human Ethics Applications. These can include:**

- If the only change is HOD as the HoD signs ex officio, and if the holder of the position changes and is not a member of the research team.
- If amendment changes the risk status of the original application from Low to Full Review.
- If the amendment involves including Māori participants: new protocol to obtain VC Māori approval.

ExclusionS

**Minor changes or modifications to previously approved Protocol**

- To add or remove members from personnel team
- To change the title of the project for clarity
- To add or modifications to methodology/questionnaires

Applicant to explain rationale behind modifications or additions and provide track changed supporting documentation with amendment request application.

If the original PI has left the University, and not able to submit an Amendment Request to change to the PI: This request can be made by the relevant Head of Department via Outlook or Cloud Service.

If ethics approval is still required for a project after a three year extension: a new initial application is required. Applicant to note the number of the project that was previously approved and explain that this is substantially similar, but due to previous 3 year extension are required to fill in the form as a whole (Section L:1 of the Application Form).

ExclusionS

**Extension of research for a further three years**  
This should be carried out at least one month before the expiry date of the protocol.

Applicant to explain reasons if extension to protocol takes place after expiry, also provide any supporting documentation from the HOD if relevant.

- If initial application is not clear that the intention of research is structured as a multiphase;
- If PIS/consent to participants doesn't clearly state and they will be contacted later for other sections of the research;
- If the application was for a Pilot Study and the amendment is for the main study

Application to resubmit new application and reference previous application in new protocol (Section L:1).

ExclusionS

**Amendment Requests made to a Protocol with a multiple stages in the initial application.**

These can include:

- Minor amendments to a Pilot study before undertaking actual research
- Minor amendments to a previously approved multiple phases/stages of research methodology/design.