UK Biobank Access Management System (AMS)
User Guide: Getting Started

Introduction
UK Biobank is a tool for health research that has been set up as an open access Resource available to all 
_bona fide_ researchers for all types of health-related research which is in the public interest. Researchers 
can register with UK Biobank and apply to access the Resource via the Access Management System (AMS).

This AMS User Guide is designed to give you an overview of the Registration, Application and Project 
Administration processes as well as providing basic instructions on how to navigate through AMS.

Suggestions and information for new users:
- Have a printout of this AMS User Guide to hand when you first use the system
- Read the background information about UK Biobank and details on our Access Procedures on the [UK Biobank website](#)
- Before registering, please ensure you have the following:
  - An electronic copy of your CV / Resume OR a link to a personal profile page on your institute’s 
    website (which can be uploaded during your registration submission); the UK Biobank Access 
    Management Team (AMT) needs one of these to complete the registration checks
  - Details of up to 5 peer-reviewed publications which you are named on
- Processing of an Application will begin after the initial fee has been paid
- Payments are accepted via BACs or credit/debit card (we are not able to accept AMEX or take 
  credit/debit card payments over the phone)
- The researcher submitting an application is automatically assigned as ‘Applicant Principal Investigator 
  (PI)’ to the proposed research project and they are required to sign a Material Transfer Agreement 
  (MTA) before data is released
- If you are named as Lead Collaborator on an application you will also be required to sign a Material 
  Transfer Agreement for your institute
- All documents uploaded into the AMS must be in a .pdf format

We recommend using Internet Explorer or Google Chrome – we are aware of some compatibility issues 
with certain browsers (such as Firefox and Safari).

If you have any further queries, or you have encountered any problems or faults, please send a Message via 
AMS. Prior to registration you can [send an email to the AMT](#).

The AMT can experience a high demand for services especially after a Data Showcase refresh; the AMT 
aims to respond to any correspondence as soon as possible so please allow 2 weeks before chasing.
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Registering and Applying to use the Resource

There are 5 stages that must take place before you can access the UK Biobank Resource:

1. **Registration**: To confirm the identity of each researcher intending to use the Resource, to check their *bona fides* before registering them as a potential user.
2. **Application**: To allow UK Biobank to assess: (i) whether the proposed research is likely to be approved; (ii) whether the proposed research meets the required criteria for access (including legal and ethics standards); (iii) whether the Resource contains the data and/or samples required for the proposed research; (iv) whether the amount of depletable sample required is scientifically justified; (vi) the cost of providing such data and/or samples.
3. **Access Sub-Committee (ASC) review**: The ASC is a sub-committee of the UK Biobank Board, and is responsible for making key access decisions, notably those regarding the use of depletable samples, recontact or potentially contentious research. The ASC meets on a quarterly basis.
4. **Material Transfer Agreement (MTA)**: For approved applications, the MTA needs to be executed and access charges paid before release of data and/or samples to the Applicant Principal Investigator (PI).
5. **Sample / Data Release**: Materials will only be released after payment and execution of the MTA. Data release is typically released on a weekly basis, whereas samples are released to an agreed timetable.

Creating an Account

Researchers can register and apply to access the Resource via the [UK Biobank website](https://www.ukbiobank.ac.uk). The Log in page allows you to sign in to an existing account or request a password and/or username reset if required:

- **STEP 1**: Click on ‘Sign up to access UK Biobank resources’ to start the signing up process
  - You need to enter your first and last names, a current valid email address and a password that meets our security requirements. Your email address will automatically be selected as your Username unless you choose to change it. Go to ‘STEP 2’ to see the sign up screen
• **STEP 2**: Once you have provided all your details, click on 'Sign up'.

![Sign up form]

Once you have successfully signed up, you will be navigated the screen below:

![Confirmation screen]

• The email will be sent to the email address provided in your registration.
• **STEP 3**: Clicking on the ‘Activate my registration’ hyperlink in the email will activate your AMS account
  - Please note that your account will not be active until you have confirmed your email address by clicking the link provided in the email as in the following example:

![Email Example]

• **STEP 4**: Following the link within the email will bring you to the screen below, which will automatically forward you to the log in screen:

![Email Verification Screen]

  - Please be sure to check your junk/spam email folder if you do not receive the automatic email
  - If you do not receive an email for activation, returning back to the main login page and signing up again will send you a new email for activation

• **STEP 5**: Log in to the AMS using the username and password you provided during registration:
When you log in for the first time, you will need to enter your details on the Registration page:

**Registration**

**STEP 6**: Complete the Registration Form

- Fields marked with an asterisk are mandatory and must be provided in order to proceed with your registration. It is advised to provide as much information as possible during the registration process so the AMT are able to successfully confirm your *bona fides*

- The section where you enter PubMed references should be populated with the 7-9 digit reference number for the PubMed

- Please attach any details of complaints that have been raised against you in the last 3 years, if applicable
  
  - Documents attached to your registration must be in a .pdf format

- You must agree to comply with our Terms and Conditions before you can submit your registration
  
  - These can be found following the hyperlink provided at the bottom of the Registration page
- If your primary institute is not listed as an existing institute you can add it to AMS by clicking ‘Click if not listed’
  - Mandatory fields are marked with an asterisk
  - Please use your institute’s legal name and provide as much information as possible so the AMT are able to verify your institute
- Note: if you select the ‘Click if not listed’ button by accident, pressing it a second time will enable you to select a pre-existing institute:

- All fields in the new institute area are free form entry text fields. Some fields will provide suggestions as you type, as in the example below:
• If you belong to more than one institute, the ‘Add Institute’ button can be used, which will enable you to enter a second institute. You can repeat this step as many times as necessary:

![Add Institute](image)

• **STEP 7**: Click on ‘Submit registration’. A message will display stating ‘Your registration is under review’:

![Submit registration](image)

• Once your registration has been submitted the AMT will review your details to confirm you as a **bona fide** researcher; we aim to complete our checks within 10 working days.
  - If the AMT require further information (for example a CV or profile page was not provided) this will impact on the time taken to approve your registration

• **STEP 8**: You will receive a Message in AMS if the AMT has any questions, or to inform you of registration approval. Messages can be accessed at the left hand side of the screen:
• When your Registration is approved you will be able to submit an application. On the left hand menu you will be able to see further sections called ‘Applications’, ‘Projects’ and ‘Showcase’ which are covered later in this Guide.

**Amending Existing Details**

• After your Registration has been approved, you will be able to amend your contact details if/when necessary. This can be done using the ‘Profile’ tab on the left side of the page:

![Profile tab example](image)

• Please be aware that any changes to your details will need validating by the AMT. You will not have access to any of your current applications until your new details have been checked by the AMT (usually by the end of the next working day).

• To submit a change of details, select the relevant text box and then click ‘Save changes’. Below is a redacted example of the profile screen:

![Profile screen example](image)

• This screen can also be used to add or remove an institute.

• **If you need to remove an institute please ensure you add your new institute FIRST** – if you have no institutes named against your account the AMS will automatically lock your account. If this happens, please contact the AMT for guidance. Click ‘Save changes’ to submit your changes or ‘Cancel’ to stop your actions.
Forgotten Password or Username and Change Password

- If you have forgotten your AMS password or username, you can retrieve these by clicking ‘Forgot your password?’ or ‘Forgot your username?’:

- Clicking ‘Forgot your password?’ will redirect you to the page below. Enter the username that you selected at sign up (this will be your email address if you did not specify a username) and AMS will send a reset password link to your registered email address:

- Clicking the ‘Forgot your username?’ button will redirect you to the page below. Enter the email address you provided at sign up and AMS will email you with your user name:

- You are also able to change your password while logged in to AMS. Click the icon highlighted below, then click ‘Change password’:
Messages
UK Biobank encourages researchers to use Messages within AMS wherever possible, rather than sending an email. Clicking 'Messages' on the left of the screen will open a list of all of your Messages stored in AMS. If there are no messages the screen will look like this:

- You can also click the link at the top of the screen to open Messages:

- Messages default to your 'Unread' inbox but where a message has been sent to multiple parties, it will move to your 'Read' view after one recipient has opened it:

- Messages appear with the most recent at the top (as indicated in the Date created column). Further columns show 'Created by' (i.e. the sender), 'About' (containing a hyperlink to the relevant application) and 'Subject' (i.e. message title):

- To create a Message click the ‘Send message’ button on the right of the screen a blank message box will open – see example below:
• To view a message, click on the relevant drop-down arrow on the right:

![Subject](image)

UK Biobank Application

• Once your message is open, the ‘Read’ tick-box is automatically selected. ‘Untick’ this if you wish for the message to remain in your ‘Unread’ inbox:

![Unread](image)

Date created | Created by | About | Subject
---|---|---|---
4-Jan-2018 04:15 | AUTO | 40093 | UK Biobank Application

Dear Sarah,

You have recently been added as a collaborator on Application 40093 with title ‘Test application for submitting an MTA’. If you believe you have been added in error or have concerns with being named as a collaborator on this application, please contact the Access Management Team.

![Read](image)

• If the ‘Read’ box remains selected (fig. 1), your message will automatically be transferred to your ‘Read’ inbox (see fig. 2) once you move away from Messages or a reply is sent:

**fig. 1**

![Message](image)

Subject

UK Biobank Application

Dear Sarah,

You have recently been added as a collaborator on Application 40093 with title ‘Test application for submitting an MTA’. If you believe you have been added in error or have concerns with being named as a collaborator on this application, please contact the Access Management Team.

![Search in](image)

![Read](image)

Date created | Created by | About | Subject
---|---|---|---
4-Jan-2018 04:15 | AUTO | 40093 | UK Biobank Application

**fig. 2**

![Message](image)

Subject

UK Biobank Application

Dear Sarah,

You have recently been added as a collaborator on Application 40093 with title ‘Test application for submitting an MTA’. If you believe you have been added in error or have concerns with being named as a collaborator on this application, please contact the Access Management Team.

![Search in](image)

![Read](image)
- Clicking ‘Reply’ opens the following window where your message can be composed:

- ‘View Conversation’ allows you to see the entire conversation thread:

- The AMT will respond via Messages once your query can be answered – if an attachment is required then an email will be sent from access@ukbiobank.ac.uk referencing the date of your Message

**Collaborator Invitations**

If you have been named as a Collaborator on an application you will be notified via Messages when the application is submitted.
- The Applicant PI will not be able to add researchers to applications until the researchers are registered (and approved) with UK Biobank
- By opening the Application Number hyperlink you can read the Application but you will not be able to make amendments unless you have been assigned delegate access by the Applicant PI
- Click the UK Biobank logo to return to your AMS Home Page
Accessing Showcase

- AMS allows the Data Showcase to be accessed without submitting an application, for the purpose of getting more information than is permissible with the public access view.
- Once your registration has been approved, Showcase can be accessed by clicking the ‘Showcase’ button in the left tab of the screen once logged in:

![Diagram of Showcase access](image)

- Once in the Showcase area, click the ‘Go to Showcase’ button to access:

![Diagram of Go to Showcase button](image)
Submitting an Application

• Once your Registration has been approved a number of new tabs will become visible on your AMS Home Page (example below):

• **STEP 1:** To start a new application, select the ‘Applications’ tab and ‘Start new application’:

• **STEP 2:** Complete the application form which consists of the following sections:

  **A. Application details**
  The purpose of providing an application is for UK Biobank to determine whether the proposed research project is health related, feasible and in the public interest. For this, we require a brief synopsis of the research plan (i.e. a description of the aims, methods and intended outputs) rather than a full scientific view.

  A1. Project title – This should be a short description of your proposed project and contain no more than 200 characters.

  A2. Research question(s) and aim(s) – Summarise the research questions for your project and what you aim to achieve, containing no more than 200 words.

  Do you require biological samples? Yes/No – If you select Yes to this question, you will be required to fill out section C as well as three additional questions in section A3. If you select No to this question, these will not be required as part of your application.

  Does your project require UK Biobank to re-contact participants? Yes/No - If you select Yes to this question, you will be required to fill out section D. If you select No to this question, these will not be required as part of your application.

  A3. The background and scientific rationale of the proposed research project in general (containing no more than 300 words).

  A3.1. The background and scientific rationale for the use of samples, using no more than 300 words. (This question will not be made available to you if you selected ‘No’ to requiring biological samples).

  A3.2. The justification as to why UK Biobank samples in particular are needed for your research (i.e. why can’t appropriate samples be sourced from elsewhere or readily recruited by your research group...
using no more than 150 words. (This question will not be made available to you if you selected ‘No’ to requiring biological samples).

A3.3. If you wish to upload further documentation to support your request for requiring samples, please do so here. (This option will not be made available to you if you selected ‘No’ to requiring biological samples).

A4. A brief description of the method(s) to be used, containing no more than 300 words.

A5. The type and size of dataset required (e.g. men only, participants with imaging data only, whole cohort, etc.) containing no more than 100 words.

A6. The expected value of the research (taking into account the public interest requirement) containing no more than 100 words.

A7. Up to six keywords which best summarise your proposed research project. Researchers can search for approved projects via a tag cloud based on the keywords entered, e.g. cancer, cognition, diabetes, etc. The entry fields use predictive type-ahead based on commonly used keywords, but please add your own as required.

A8. Please provide a lay summary of your research project in plain english, stating the aims, scientific rationale, project duration and public health impact (up to 400 words). If your research application is approved, the lay summary will be published on the UK Biobank website, and so must be understandable by the general public.

A9. Will the research project result in the generation of any new data-fields derived from existing complex datasets, such as imaging, accelerometry, electrocardiographic, linked healthcare data, etc, which might be of significant utility to other researchers? Yes/No

A10. What is the estimated duration of your project, in months? If you consider (because for example the project is one involving the generation of hypotheses) that it would be difficult to set a fixed end point, we are prepared to consider a rolling 36 month period (during which annual updates are required).

B. Selection of data-fields
This part of the application form asks some general questions relating to required data for your research project. In addition, selecting ‘Create application basket’ allows you to create an application basket within our data showcase and add data-fields needed for your research.

B1. Would you like to access an existing copy of the genotyping dataset held at your institute? Yes/No (We no longer provide bridges to existing genotyping datasets - please contact the Access Management Team for information on linking a phenotypic dataset to an institute-held genotyping dataset)

B2. Would you like to access an existing copy of other bulk data files (e.g. imaging) held at your institute? Yes/No

B3. Would you like to re-use an existing dataset already held at your institute to conduct your research (i.e. that contains all the data you need for this new project)? Yes/No (Please note, we no longer approve access to the dataset of another project to carry out new research - phenotypic datasets will be issued by UK Biobank directly and each clinical dataset will have a unique set of pseudonymised identifiers, allowing us to retain necessary controls including limiting the ability for PIs to share findings between applications before returning results to UK Biobank)

C. Selection of samples (This section only becomes available if you answer yes to requiring biological samples)
The purpose of this section is to clarify precisely which type of samples are required for your application, as well as your intended use for those samples.

C1. What are the sample type(s), volume(s) and number(s) of samples required? Please refer to the online help for guidance including, for example, information on how DNA was extracted.

- Sample type and collection period can be selected using the dropdowns provided and the remaining criteria can be filled out using free-text
- You can request multiple sample types within the same application and can do so by selecting 'Request another sample type'.

<table>
<thead>
<tr>
<th>Sample type</th>
<th>Minimum total volume (µL)</th>
<th>DNA concentration (ng/µL)</th>
<th>DNA yield (µg)</th>
<th>Collection period</th>
<th>Number of participant samples</th>
<th>Number of assays to be performed on sample</th>
<th>Maximum freeze/thaw cycles</th>
</tr>
</thead>
<tbody>
<tr>
<td>Select type of sample</td>
<td>✓</td>
<td>✓</td>
<td>✓</td>
<td>Baseline</td>
<td>✓</td>
<td>✓</td>
<td>✓</td>
</tr>
</tbody>
</table>

C2. If you are intending that an external lab (i.e. not UK Biobank) will conduct the assay, please provide brief details of the proposed lab, the proposed and the related quality control protocol using no more than 150 words.

C3. If you wish to upload documentation to support the proposed assay(s) and quality control, please do so here:

D. **Re-contacting participants** (This section only becomes available if you answer yes to requiring UK Biobank to re-contact participants)

Although our participants have consented to be re-contacted, they have not consented to be re-contacted on demand. As such, decisions on whether re-contact is justifiable and appropriate will be made by UK Biobank, with advice from the Ethics and Governance Council, and such re-contact requires separate approval from a Research Ethics Committee (and UK Biobank will generally also require independent scientific review to help ensure that re-contact is warranted).

D1. Please consult the guidance on the website relating to re-contact applications and provide the scientific justification for and details of the nature of the re-contact using up to 300 words (in order words why does the conduct of your research project require the re-contact of UK Biobank participants)

D2. If you wish to upload further documentation to support your request for re-contact, please do so here (.pdf format only).

- **STEP 3**: Once you are happy with your application, you can submit by pressing the appropriate button at either the top or bottom of the screen. Alternatively, you can save your application as a draft to return to at a later date by pressing 'Save and continue later'. If you would like to abandon your application, you can do so by pressing ‘Cancel’ and don’t save changes.
Collaborators tab

Once an application is saved you will be able to access the Collaborators tab where you can add other researchers and institutes involved in the research. You will also be able to select collaborator(s) who you wish to delegate to update the application on behalf of the Applicant PI.

- **STEP 4**: Update the collaborators tab:
  1. Click on the collaborators tab.
  2. Select the institute where you will conduct the majority of the research for this project, using the dropdown list provided (this will default to your primary institute, but can be changed if necessary):

      Please select institute where you will be conducting the project  
      [Institute name will appear here]

      **Note**: You can only select institutes outlined in your Profile, or your collaborators’ primary institute(s). If your preferred institute is not listed, you need to add it as one of your institutes via your Profile tab.

  3. Add collaborators from your institute by pressing ‘Add another collaborator at this institute’. This will reveal a dropdown list containing all active UK Biobank registered researchers at your institute.
  4. Use the boxes next to the collaborators to select delegates. Collaborators with delegate rights are able to edit the application, make edits to the collaborator screen, make payments and download the data once the application has been approved:

      Add another collaborator at this institute

  5. Add another collaborator at your institute, if applicable. You should add all collaborators that will be working with UK Biobank data. The ‘First Name’, ‘Last Name’ and ‘Email’ fields are mandatory. You need to use your collaborators email address provided at registration. Incorrectly added collaborators can be removed by clicking the Remove hyperlink next to the relevant collaborator. Click Add Collaborator to add the collaborator to your Application.
  6. Add collaborators at another institute, if applicable. If the collaborator you wish to select is not contained in the dropdown, it is because they are not yet registered (or approved) with UK Biobank. Please ask them to submit a registration; once they are an Approved Researcher you will be able to add them to your application.
  7. Add or select MTA information; specify the legal name of the institute and select contact.
  8. Choose to submit application at this stage:

- **STEP 5**: Specify the legal name of your institute (this is how the name will appear on the MTA agreement).
- **STEP 6**: Specify the legal name of the collaborating institute (this is how the name will appear on the MTA agreement). Alternatively, you can add new MTA contact information or select an existing legal contact:
Another screen will open where you can complete the MTA contact details. When you have finished click on the ‘Add’ button:
Creating an Application Basket

- **STEP 7**: In this section you can select the data and/or samples that you wish to apply to access. Please refer to the Data Showcase User Guide on the UK Biobank website for information on how to navigate the Resource.
- Clicking on ‘Create application basket’ takes you to the Data Showcase:
  - When you access the Data Showcase from your AMS2 login, your screen will identify a basket, application and researcher IDs, as well as a summary of basket items.
  - In the screen shot below, IDs are referred as ‘X’ and the basket contents are 0, as this is an empty basket:

![Image of Data Showcase](image)

- The tabs above and below the summary and circled in red allow you to modify the contents of your basket.
- You can select to ‘Browse’, to ‘Search’ or to display ‘Catalogues’ of Category and Data fields listings that contain the information you are interested in accessing.
- The tabs ‘Filter Conditions’, ‘Previous baskets’ and ‘List Actions’ contain free-text boxes that allow you to provide further information / instructions regarding the samples or data you would like to access. The ‘Previous baskets’ will be blank for new applications.
You can choose to Exclude Missing Values or customise the relevant data-field by selecting ‘Define Filters’ in each data field or by adding those filters in the ‘Filter conditions’ tab (see User guidance notes for more information).

If you are subsequently approved to use an existing dataset at your institute, it will be visible here.

Under ‘List actions’ you can add or remove data-fields and Affy SNP IDs into your basket by providing a list of IDs. This can be done by pasting a list of data-field IDs or Affy SNP IDs into the box.

We encourage you to include the following data-fields with basic demographic information which is usually needed for analysing UK Biobank data:

<table>
<thead>
<tr>
<th>Data Field ID</th>
<th>Description</th>
</tr>
</thead>
<tbody>
<tr>
<td>31</td>
<td>Sex</td>
</tr>
<tr>
<td>34</td>
<td>Year of birth</td>
</tr>
<tr>
<td>52</td>
<td>Month of birth</td>
</tr>
<tr>
<td>53</td>
<td>Date of attending assessment centre</td>
</tr>
<tr>
<td>54</td>
<td>UK Biobank assessment centre</td>
</tr>
<tr>
<td>191</td>
<td>Date lost to follow-up</td>
</tr>
<tr>
<td>21000</td>
<td>Ethnic background</td>
</tr>
<tr>
<td>21003</td>
<td>Age when attended assessment centre</td>
</tr>
</tbody>
</table>

If your basket includes information from the Hospital in-patients registry, you should also include the following data fields:

<table>
<thead>
<tr>
<th>Data Field ID</th>
<th>Description</th>
</tr>
</thead>
<tbody>
<tr>
<td>41078</td>
<td>Episodes containing ’’Diagnoses - secondary ICD10’’ data</td>
</tr>
<tr>
<td>41080</td>
<td>Episodes containing ’’Operative procedures - secondary OPCS’’ data</td>
</tr>
<tr>
<td>41082</td>
<td>Episodes containing ’’Dates of operations’’ data</td>
</tr>
<tr>
<td>41083</td>
<td>Episodes containing ’’Episode start date’’ data</td>
</tr>
<tr>
<td>41084</td>
<td>Episodes containing ’’Episode end date’’ data</td>
</tr>
<tr>
<td>41096</td>
<td>Episodes containing ’’Date of admission to hospital’’ data</td>
</tr>
<tr>
<td>41101</td>
<td>Episodes containing ’’Date of discharge from hospital’’ data</td>
</tr>
<tr>
<td>41142</td>
<td>Episodes containing ’’Diagnoses - main ICD10’’ data</td>
</tr>
<tr>
<td>41146</td>
<td>Episodes containing ’’Operative procedure - main OPCS’’ data</td>
</tr>
<tr>
<td>41148</td>
<td>Episodes containing ’’Date of operation’’ data</td>
</tr>
<tr>
<td>41252</td>
<td>Episodes containing ’’Source of inpatient record’’ data</td>
</tr>
</tbody>
</table>

The ‘Clear’ tab has a link to ‘Destroy Basket’. Please do not use this unless you wish to delete your basket and start again.

**STEP 8:** To add data-fields, go to the ‘Browse’ tab at the top of the page or alternatively find the data-field or category using the ‘Search’ tab and navigate to the required category:

Click **Modify Basket** to add/edit/review available data-fields in Category 100315

For instance, if you select ‘Baseline characteristics’ you will be displayed the list of data fields available in this category. You can add each of them separately to your basket, or you can click on the yellow ‘Modify Basket’ button to add all / a set of them at once:
STEP 9: Select the data-fields you require, or hit ‘Add all fields’ at the bottom and click ‘OK’ on the pop-up, then click ‘Update’ to add them to the basket.

STEP 10: Repeat for other categories/data-fields until you have everything you require:

STEP 11: Click on the ‘Basket’ tab at the top to see a Summary of your Basket or when you are finished so you can return to the Showcase Basket homepage and check all the required data-fields have been added successfully.

STEP 12: Click on the ‘AMS’ tab in the top right corner of your screen when you have finished your basket, to return to your application form. Changes to your basket will be saved and you can always reopen and amend it.

STEP 13: Clicking on ‘Save and continue later’ if you wish to come back to the application at a later date. You will only be able to submit your application after confirming that all the information provided in the application is full and correct. If you try to submit the application without checking ‘yes’ a pop-up warning box will appear on screen.
• **STEP 14**: Submit Application – when you are satisfied with all the information supplied in the application click on the ‘Submit’ button. You will then be returned to your home page:

You will be able to print a .pdf version of your application via your AMS Home Page:

a. Click on the **Applications** tab on the navigation pane to the left of the home page
b. Click on the **View/Edit** button next to the appropriate application
c. A summary of your application form is displayed which you can print
d. Use the Ctrl + P on your keyboard or right mouse click then click print to print application form

**Payment**

**Make payment**

Once you have submitted an Application you will be able to return to the AMS Home Page.

- **STEP 1**: Click on Applications from the navigation pane.
- **STEP 2**: Click on ‘View/Edit’ next to the relevant application, then click on the ‘Payments’ tab where the application ‘Requests for Payment’ and ‘Financial documents’ will be visible.
  - Please note that the AMT are unable to commence review of your Application until the initial Invoice has been paid
- UK Biobank usually requires two payments for every application, although we do review our charges regularly:
  a. An initial payment: due after application submission, before application review begins
  b. A main payment: due after the application is approved and before data is released
  c. Other payment: another payment may be required if we receive a request for bulk data which was not originally selected or further work is required after a project is underway

**Selecting your payment type:**

- AMS allows you to select your method of payment:
  a. Create an Invoice with or without a PO number
  b. Pay online via SagePay
- Once a payment has been requested by UK Biobank it will be visible in the Payments tab of your application as status ‘Requested’ in the ‘Requests for Payment’ area:
In advance of payment being requested, a quotation will be available on the Payments tab of the application within the ‘Financial documents’ area as type ‘Quote’ for you to review and discuss with your institution or with UK Biobank:

<table>
<thead>
<tr>
<th>Description</th>
<th>Doc. No.</th>
<th>Type</th>
<th>Date</th>
</tr>
</thead>
<tbody>
<tr>
<td>Initial</td>
<td>AQ000001</td>
<td>Quote</td>
<td>10-Jan-2018</td>
</tr>
</tbody>
</table>

Once the payment becomes due, this quotation will be converted into a Request for Payment and become visible in the ‘Requests for Payment’ area of the Payments tab.

STEP 3: Once you are ready to make an online payment or would like to request an invoice, click the ‘Payment Details’ button that appears in the Requests for Payment that appears next to the Status ‘Requested’:

STEP 4: This section allows you enter a payment address, make online payment or request an invoice:

**VAT NUMBERS MUST NOT INCLUDE ANY ALPHA CHARACTERS AS THE SYSTEM ONLY RECOGNISES NUMBERS**

- Clicking the ‘Payment details’ button will open up the ‘Payment details’ form with Institute, Applicant PI name, department and Institute City, County/State and country populated on the form.
- Tick the checkbox to indicate if the Applicant Institute will make payment.
- Untick the checkbox and add details of the Paying Institute if different from the Applicant Institute. See illustration below (only delegate collaborators or delegate collaborating institutes can make payments on behalf of the Applicant PI):

![Payment details form](image-url)
d. Complete the form as appropriate  

  e. Add a Purchase Order number if relevant  

  f. Confirm that all details are correct by ticking the checkbox  

  g. Applicant PI (or delegate) may then select on:  

  a. **Request Invoice**: where an invoice will be generated in the ‘Financial documents’ area of the ‘Payments’ tab.  

  b. **Pay Online**: where the user will be progressed to SagePay to pay online via credit card. 

  c. **Save for later**: where the details will be saved for later but the Applicant PI or delegate will be returned to the ‘Payments’ tab and any details entered are saved:  

  • **STEP 5**: You can choose to click on ‘Request Invoice’ which will generate an invoice and the application payment Status will update to Invoiced:  

  ![Invoice process screenshot](image1)  

  • The invoice will then be available to download as a .pdf as required:  

  ![Invoice](image2)  

  • If you change your mind and decide to pay online, you can click on ‘Payment details’ button to go back to the ‘Payment details’ form where you can choose to ‘Pay Online’ instead:
• **STEP 6:** Alternatively, you can choose to click ‘Online Payment’ - you will be redirected to SagePay where you can pay by card. Click on ‘Confirm card details’:

Payment / Shipping Information
• Please note that the section ‘VAT Status’ will only be visible if the country in the payment section is a member of the EU. Please refer to [UK Biobank’s VAT note](#) on the UK Biobank website for further details regarding VAT and the impact on researchers.
• The Shipping address will be the same as the billing address unless the ‘Shipping address different than billing address?’ box is checked. If checked, new address fields that require populating will become visible.

• Please note that the following fields are mandatory:
  a. Institute Name
  b. Contact first and last names
  c. Address line 1
  d. Postcode
  e. I confirm that all details are correct

• **STEP 7:** To help UK Biobank locate your payment, please send any remittance provided by your Finance Department to creditcontrol@ukbiobank.ac.uk

**Receipt**

• **STEP 8:** Once a payment is confirmed by UK Biobank as ‘Paid’, it will be possible to generate a receipt by clicking the ‘Receipt’ button that appears after a payment is made:

<table>
<thead>
<tr>
<th>Description</th>
<th>Value (£)</th>
<th>Tax (£)</th>
<th>Total (£)</th>
<th>Status</th>
<th>Request Receipt</th>
</tr>
</thead>
<tbody>
<tr>
<td>Initial application fee</td>
<td>250.00</td>
<td>50.00</td>
<td>300.00</td>
<td>Paid</td>
<td></td>
</tr>
</tbody>
</table>

**Financial documents**

<table>
<thead>
<tr>
<th>Description</th>
<th>Doc. No.</th>
<th>Type</th>
<th>Date</th>
</tr>
</thead>
<tbody>
<tr>
<td>Initial application fee</td>
<td>INV00081</td>
<td>Invoice</td>
<td>08-Nov-2017</td>
</tr>
</tbody>
</table>

• **STEP 9:** This receipt will then appear in the ‘financial documents’ area of the ‘Payments’ tab where you can click on it and download it as a .pdf for your reference:

<table>
<thead>
<tr>
<th>Description</th>
<th>Doc. No.</th>
<th>Type</th>
<th>Date</th>
</tr>
</thead>
<tbody>
<tr>
<td>Initial application fee</td>
<td>INV00081</td>
<td>Invoice</td>
<td>08-Nov-2017</td>
</tr>
<tr>
<td>Initial application fee</td>
<td>REC00016</td>
<td>Receipt</td>
<td>10-Jan-2018</td>
</tr>
</tbody>
</table>
Material Transfer Agreements (MTAs)

Once your application has been approved, the AMT will prepare and distribute the MTA for you and your MTA Contact to sign and return. An MTA is required for each institute named on your application.

Ensuring the correct point of contact

- The MTA contact (name of an authorised signatory) should have been provided at application stage
  - If you did not have it at that time then you can update it at a later stage, but the AMT needs this information before they can generate and distribute the MTA
- To update the MTA Contacts please go to the ‘Collaborators’ section of your application and scroll down to the ‘Materials Transfer Agreement information at UK Biobank’ section for each institute. Select a name from the dropdown list or click on ‘Add contact’ to enter the details of a new person:

Accessing the MTA document once created

- Once your application is approved, the AMT will send you and your collaborators a Message via AMS and distribute the MTAs to both the PI/Lead Collaborators and MTA Contacts for each institute through DocuSign
- You and your MTA contact will receive an email notification that your MTA has been sent. If you have received an approval message in AMS and do not appear to have received your MTA please check your junk/spam email folder:

- Click on ‘Review Document’ to open your MTA. You will be prompted to read the Electronic Record and Signature Disclosure and to agree to use electronic records and signatures. Tick the box to agree, and then hit ‘Continue’
- You can review the terms and conditions of the MTA by scrolling through the document. Information on the scope and timeframe of the project, along with the data fields approved for release, can be found in Annex A:
**Application Project Scope**

The currently approved project scope is published at:

**Summary**

Requests to amend the application project scope pertaining to the intended use of these Materials can be made via the UK Biobank Access Management System and will be subject to review and approval.

**Timeframe**

The date of the agreement is when the confirmatory email is dispatched by UK Biobank. The project will be deemed to have started when the samples and/or data requested have been dispatched by UK Biobank.

Requests to amend the expected project end date can be made via the UK Biobank Access Management System and will be subject to review and approval. The project start date and current expected end date is published at:

**Dates**

**Manner / methodology in which the data and/or samples will be dispatched**

The data requested will be encrypted and made available to download via the UK Biobank Access Management System. As and when the MTA is executed, an email will be sent to you containing instructions on how to access the data.

UK Biobank will consider separate applications to link data between two or more cohorts and please see the UK Biobank data linkage / guidance notes [UK Biobank data linkage](#) for the factors that will be taken into account.

**Materials**

The current version of approved data fields (and any samples) that this project can receive (together with any specific conditions that may additionally be applied to the use of these materials) is published at:

**Materials**

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- Please note that Annex A contains links that are only accessible if the MTA is downloaded. To download the MTA click on the ‘Download’ button at the top of the screen:
Signing the MTA

- When you are ready to sign the MTA scroll to the bottom of page 1 where you will find pre-loaded boxes where you can add a signature and print your name and position. Your MTA Contact will find similar pre-loaded boxes directly underneath ‘For and on behalf of Applicant Institution’:

  - Click on the box marked ‘Sign’ to open a pop-up window where you can amend your name or initials. You can change the style of the signature by clicking on ‘Change Style’. If you prefer you can draw your signature freehand by clicking on ‘Draw’:

  - When you are satisfied with your signature hit ‘Adopt and Sign’; this will add the signature to the MTA. You will be returned to the MTA where you should add your name and position in the empty box to the right of your signature:
• When you have added your signature, and typed your name and position in the boxes provided, hit ‘Finish’ in the top right of the screen. This will open a pop-up window where you can download and save a copy of your MTA, or print a copy. You can sign up for a free DocuSign account by filling in the form and clicking ‘Submit’. To continue without creating an account hit ‘No Thanks’.

![Save a Copy of Your Document](Image)

- Sign up for a FREE DocuSign account today and sign all your documents electronically.

  - Email
  - ben.holbrook@ukbiobank.ac.uk
  - Password
  - Please enter your password
  - Confirm Password

  - Country
  - -- Select --
  - Invalid Country

  By clicking the ‘SUBMIT’ button, you agree to the Terms & Conditions [here](#) and Privacy Policy [here](#).

  [Submit] [No Thanks]

• When you and your MTA Contact have both signed the MTA DocuSign will automatically notify the AMT
Signing and Returning a Paper Copy

- UK Biobank distributes MTAs for signature through DocuSign, however we are aware that some institutes prefer not to sign contracts electronically. If your institute wishes to provide a ‘wet ink’ signature click on ‘Other Actions and select ‘Print & Sign’:

- A pop-up window will open asking how you would like to return the MTA, by upload or fax. Please note that UK Biobank does not accept MTAs returned by fax. Select ‘Upload’ and hit ‘Continue’:

- You will be prompted to download the MTA. Download and print a paper copy, sign the appropriate part of the MTA (at the bottom-right of page 1) and print your name and position alongside your signature

- When you and your MTA Contact have both signed the MTA, scan the MTA and hit ‘Return Document’. A new window will open where you can upload your scanned MTA to DocuSign. When your MTA has been uploaded hit ‘Finish’:

- Please send an email to access@ukbiobank.ac.uk to notify the AMT as DocuSign does not automatically notify us when a paper copy has been uploaded
Reassigning the MTA
- If your named MTA Contact has received the MTA but has decided that an alternative legal contact should sign it, they can click on ‘Other Actions’ and select ‘Assign to Someone Else’.
  - A pop-up window will open where they can add the email address and name of the new signer, along with a reason for reassigning:

MTA Execution
- When signed MTAs have been returned to UK Biobank from all collaborating institutes and main payment has been received from the Applicant Institute, the MTAs for the application will be sent to UK Biobank’s legal counsel for execution
- When the MTAs are executed the AMT will send you and your collaborators a message via AMS and will contact our Data Analysts to arrange the release of your dataset
- To check the status of your MTA agreement go to the ‘Applications’ area of AMS and click the ‘Documents’ button in the relevant row of the particular application/project you are interested in:

- In the Application documents area you can see all versions of the MTA associated with your application
  - If you do not see a document type labelled ‘Executed MTA’ then your MTA is still in the process of being signed by either UK Biobank or your own institute:

- To open a document click on the filename; the documents can be downloaded and shared with your legal department
Amending an Application (unlocked by UK Biobank for amendments)

The AMT will notify you via a Message in AMS if your application requires amendment.

- The application will be locked once a review is in progress. You will be able to view your application but will not be able to make amendments to the text or basket.
- When the AMT unlocks your application you (or a delegate collaborator) will be able to amend the information within it.
- Once you have made the amendments ensure you re-click the ‘Submit’ button. Please note that clicking the ‘Submit form’ button re-locks your application.

Data Release

The AMT will notify you via a Message in AMS when your dataset has been scheduled for extraction and release.

- The application will now be visible and accessible via the ‘Projects’ area of AMS.
- When the dataset has been released the Applicant PI and delegate collaborators will be notified via email.
- You should log-in and select ‘Projects’ on the left side to see their project listed:
  - If your project is not listed here it means UK Biobank has not progressed it to ‘Project Underway’. This may be due to outstanding payment or your MTA not being executed yet.

Once your application is visible, click on the ‘View/Update’ button to the right of the relevant project to access your dataset via the ‘Data’ tab.

Click ‘Go to Showcase download page’ to access Data Showcase where you can download your data:

- The Downloads page will allow you to read the “Accessing your data” page on Data Showcase (which provides details on how to download the different types of data available) and to fetch the various utilities (e.g. helper programs) in advance or after data release.
• If the ‘Data’ tab is not accessible within the project itself (greyed out), this means that the Material Transfer Agreement (MTA) for your institute has not yet been executed. Please see the MTA section (above) for how to check the status of your MTA:

Projects Underway
Once the MTA has been executed for an application it becomes considered a ‘Project started’ with UK Biobank.

• The original approved application will be visible in the ‘Applications’ area but any changes to the application should now be handled within the ‘Projects’ area of AMS

Requesting Changes
• Under the Requests tab, there are three types of changes you can request:
  1) additional data-fields
  2) to extend the scope of your research (additional analyses or justification for new categories of data)
  3) to extend the duration of the project
• Please be aware that you can submit more than one type of request at the same time, but after submitting your request you will not be able to amend it unless it is unlocked by the AMT
• Click on the box to select one or more of these:

• If you submit multiple requests and UK Biobank needs to decline one element, the request will be unlocked by the AMT for changes to be made.

Requesting additional data-fields
• Click on the ‘Do you wish to request additional data-fields’ button
• Click the ‘Select data’ button to go to the Data Showcase area:

    Do you wish to request additional data-fields?
    Do you wish to extend the scope of your research?
    Do you wish to extend the duration of your project?

• As with adding data-fields to the basket at application stage, use the Browse or Search functions at the top of the page to locate the categories that you want, then click ‘Modify Basket’:

    Click [Modify Basket] to add/edit/revlew available data-fields in Category 100102

• Select the data-fields you require or hit ‘Add all fields’, then hit ‘OK’ on the pop-up to add all data-fields in that category then hit ‘Update’ to add them to your basket:
• Repeat until you have all the data-fields/categories you require
• Go to Basket at the top of the page and check that the data-fields have been added to your basket, then click on the AMS tab to return to your project. When in AMS, click ‘Submit’
• Please note, where new bulk data (e.g. raw images) have been requested please extend the scope of your project (instructions below) to provide details of what novel data-fields will be returned to UK Biobank.
• NOTE: if you see a message which says "Unable to update basket: UNABLE TO UPDATE SPECIAL REQUIREMENTS" you can disregard – this might show if you click the Update button but have not specified anything in the special requirements.

Extending the scope of your Project
• Click on ‘Do you wish to extend the scope of your research?’ and text boxes will drop down:

Do you wish to extend the scope of your research?

• The current scope is not editable and is for reference only. Please copy the current scope into the box and add new text following it to explain what additional work you would like to do (i.e. provide detail of additional analyses)
• Where new bulk data categories have been requested, please give details of what novel data will be returned to UK Biobank
• In the ‘Please give reason’ box, please provide justification for why you need to extend your project
• For extensions which are quite different from the original project scope, please explain why this is relevant as an extension to the current project or you may be asked to submit a new application:

Please copy/paste your current scope into the field below and then expand the text to describe the new scope (up to 200 additional words - please note, there is a 2000 word limit)

Please give reason (up to 200 words)

Extending the duration of your Project
• Click on ‘Do you wish to extend the duration of your project?’ and the current timeline and a text box will drop down:
In the ‘Extend by (months)’ box, add how many additional months you would like to extend the project by. Provide justification for the extension in the box below. Please note there is a 36 month limit for duration extension; any extensions submitted more than 12 months before the existing project end date are unlikely to be approved.

Once you have finished, hit ‘Save for later’ to save what you have written and continue editing another time, or ‘Submit’ to submit your project extension request.

Once submitted, the status of the project in the ‘Projects’ area will change to ‘Change Review.’ The status will remain as ‘Change Review’ until the request is approved or declined.

Once the request has been approved or declined, the project status will revert to ‘Underway.’ If the project change has been approved, you will see the updates visible in the ‘Project Details’ tab or the ‘Data’ tab.

Requesting a data refresh
Your data-fields may be subject to updated data being made available during the lifetime of your project.

To update your data, go to the ‘Data’ tab in the ‘Projects’ area and click ‘Refresh data’ next to the basket you would like to refresh.
• The date of the last request will appear next to each basket ID
• A refreshed data basket will be made available to you in the Showcase download page as soon as possible – after a Data Showcase refresh this may be a number of weeks, rather than days
• The ‘Refresh data’ button will be greyed out until these data are made available
• If there has not been an update to the Data Showcase in regard to your basket items since the last refresh, your basket will not be updated
• UK Biobank would request that you do not request refreshed baskets in a frequency less than 3 months at a time:
Project Administration
As part of your agreement with UK Biobank, you are required to advise us of your project progress in an annual Research Project Update Report. You are also required to submit information on publications and conferences at least 2 weeks in advance of each publication.

- These items can be submitted in the ‘Admin’ section of your project
- Go to the Projects area and click the ‘View/Update’ button of the relevant project:

![Projects](image1)

- Click on the ‘Admin’ tab which will display reports, publications, and conferences already uploaded and allow you to upload new ones:

![Admin Tab](image2)

Project Reports
- The Research Project Update Report needs to be uploaded annually and at the end of the project
- The system will display the due date for the next Report in this area
- The Annual Project Report template can be found on UK Biobank’s website [here](#). To upload a file, click the ‘Browse…’ button in the ‘Project Reports’ area:

![Browse Button](image3)

- Select the file that you would like to upload and click ‘Open’. Please be advised that only .pdf files can be uploaded and there is a limit of 10MB per file:
- Once your file appears next to the ‘Browse…’ button, click ‘Upload’:

- Once uploaded, the document will become visible in this area and you can click on the document file name to review it.
- If you need to remove a document from this area, click the ‘Remove’ button to the right of the document file name:

Publications
You are required to provide UK Biobank with details of the contents of any publication using UK Biobank data at least 2 weeks prior to publication.

- To advise UK Biobank of an upcoming publication that you cannot upload to AMS please email access@ukbiobank.ac.uk with an attachment.
- Once published, please insert a weblink to the document in the area to the left of ‘Add’ in the ‘Publications’ area of the ‘Admin’ tab:
• Click ‘Add’ to add this to your list of publications:

• Your publication will then become visible. If you need to remove a link click the ‘Remove’ button
• If you cannot provide a link to your article, please upload it in the ‘Conferences’ section of the ‘Admin’
tab, situated below the ‘Publications’ area

Conferences
You are required to provide UK Biobank with details of any conferences using UK Biobank data at least 2
weeks prior to the conference.
• To advise UK Biobank of an upcoming conference please send a Message via AMS or an email to
  access@ukbiobank.ac.uk plus click the ‘Browse…’ button in the Conferences area of the ‘Admin’ tab:

• Select the file that you would like to upload and click ‘Open’. Please be advised that only .pdf files can
  be uploaded and there is a limit of 10MB per file. Once your file appears next to the ‘Browse…’ button,
click ‘Upload’:

• Once uploaded, the document will become visible in this area and you can click on the document file
  name to review it
• If you need to remove a document from this area, click the ‘Remove’ button to the right of the
document file name