

UK Biobank Access Management System (AMS)

User Guide: Getting Started

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1. 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.

2. Suggestions and information for new users:

- Have 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:
 - i. 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.
 - ii. Details of up to 5 peer-reviewed publications which you are named on.
- 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.
- 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).
- All documents uploaded into the AMS must be in a .pdf format.

We recommend using Internet Explorer or Google Chrome to access the AMS – 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.

3. The UK Biobank Access process

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

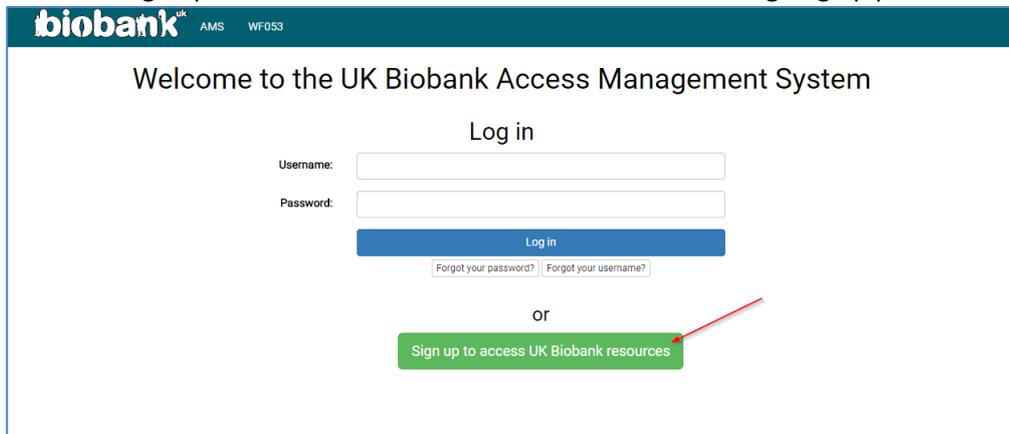
1. **Registration:** To confirm the identity of each researcher intending to use the Resource, to check their *bona fides* before registering them as a potential user.
2. **Application:** To allow UK Biobank to assess: (i) whether the proposed research is likely to be approved; (ii) whether the proposed 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; (v) 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 is typically released on a weekly basis, whereas samples are released to an agreed timetable.

4. Registering and managing your account

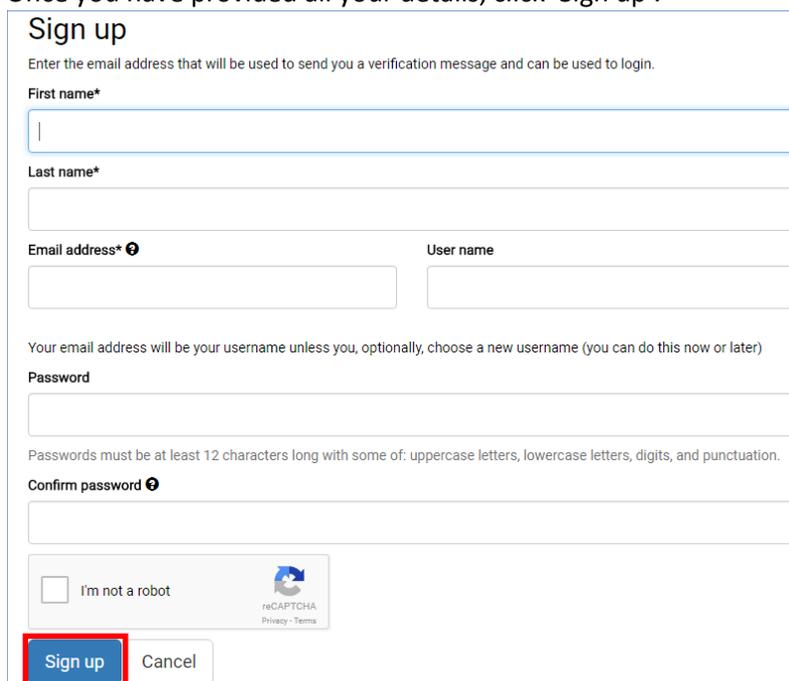
Researchers can begin the signing up process, log in to an existing AMS account or request a password and/or username reset via the [AMS Log in page](#).

4.1. Creating an AMS user account

- Click 'Sign up to access UK Biobank resources' to start the signing up process:



- Complete the Sign up form with 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.
- Once you have provided all your details, click 'Sign up'.

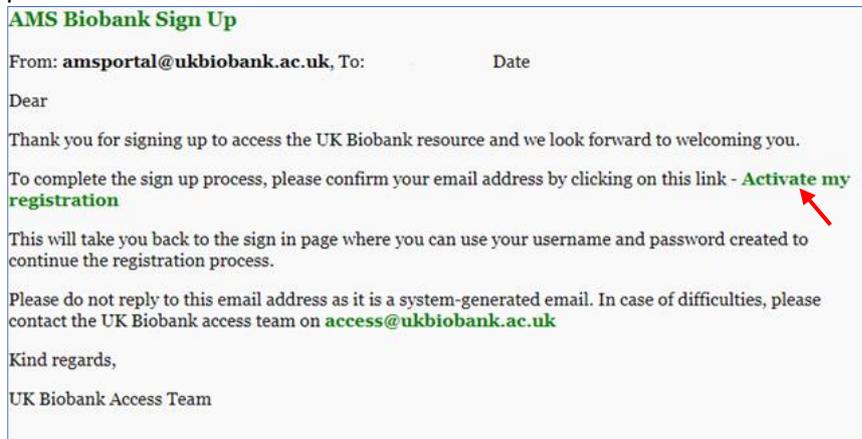


- Once you have successfully signed up, you will be navigated to the screen below and an email will be sent to the address provided in your registration.

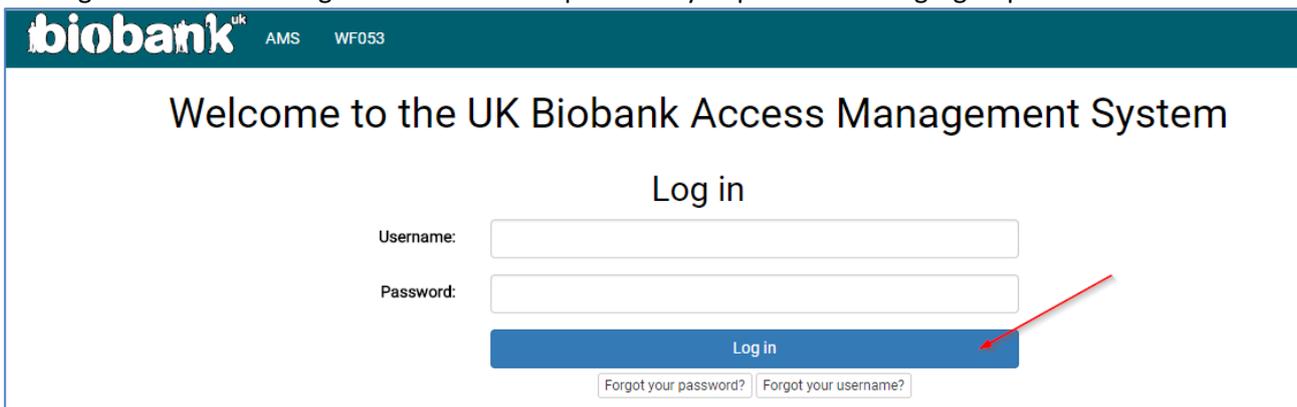
Note: If you do not appear to have received the activation email, please be sure to check your junk/spam email folder.



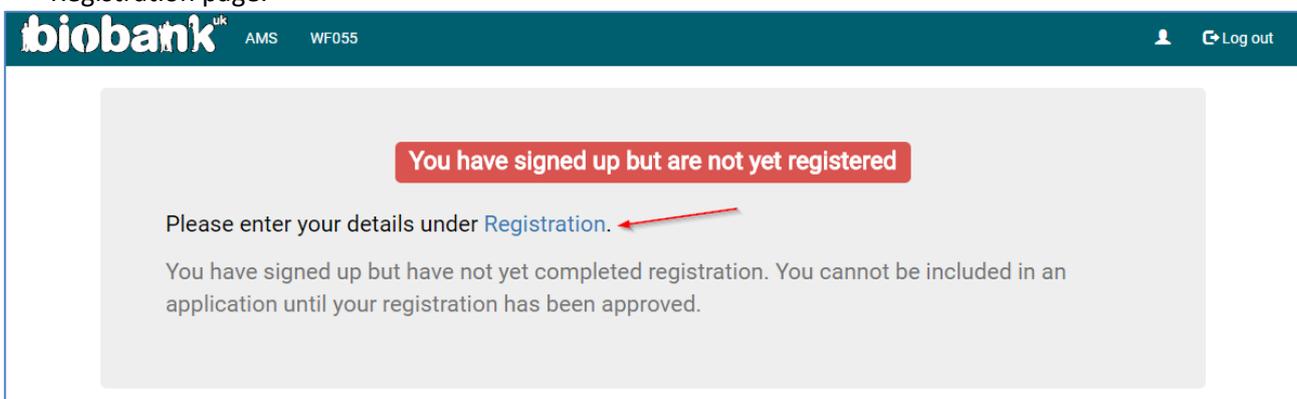
- Click on the 'Activate my registration' hyperlink in the email to activate your AMS account.
Note: This hyperlink will expire after 24 hours. If your link expires before you have activated your registration, you should return to the AMS login page and repeat the sign up process to receive a new activation email.
Note: Your account will not be active until you have confirmed your email address by clicking the link provided in the email.



- Following the link within the email will automatically direct you to the AMS log in screen.
Note: If you do not receive an activation email, you should return to the AMS login page and repeat the sign up process to receive a new activation email.
- Log in to the AMS using the username and password you provided during sign-up:



- When you log in for the first time, you must click the 'Registration' link and enter your details on the Registration page:

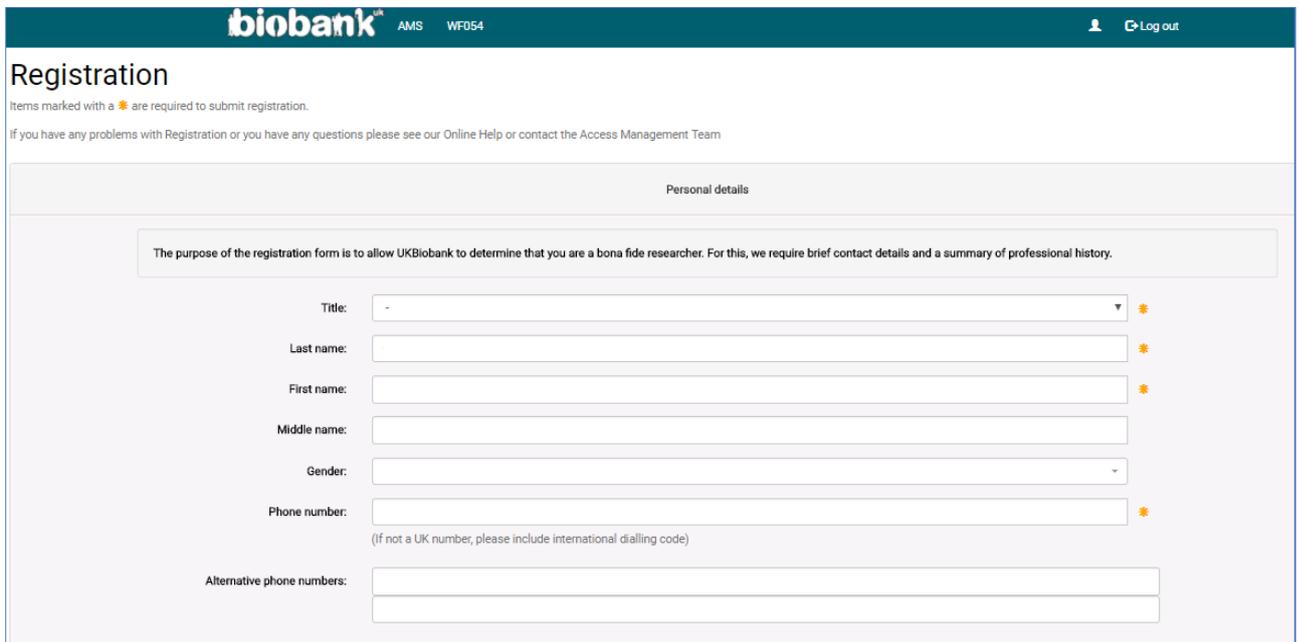


4.2. Registration

- Complete the Registration Form.

Note: Fields marked with an asterisk are mandatory and must be provided in order to proceed with your registration.

Note: 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*.

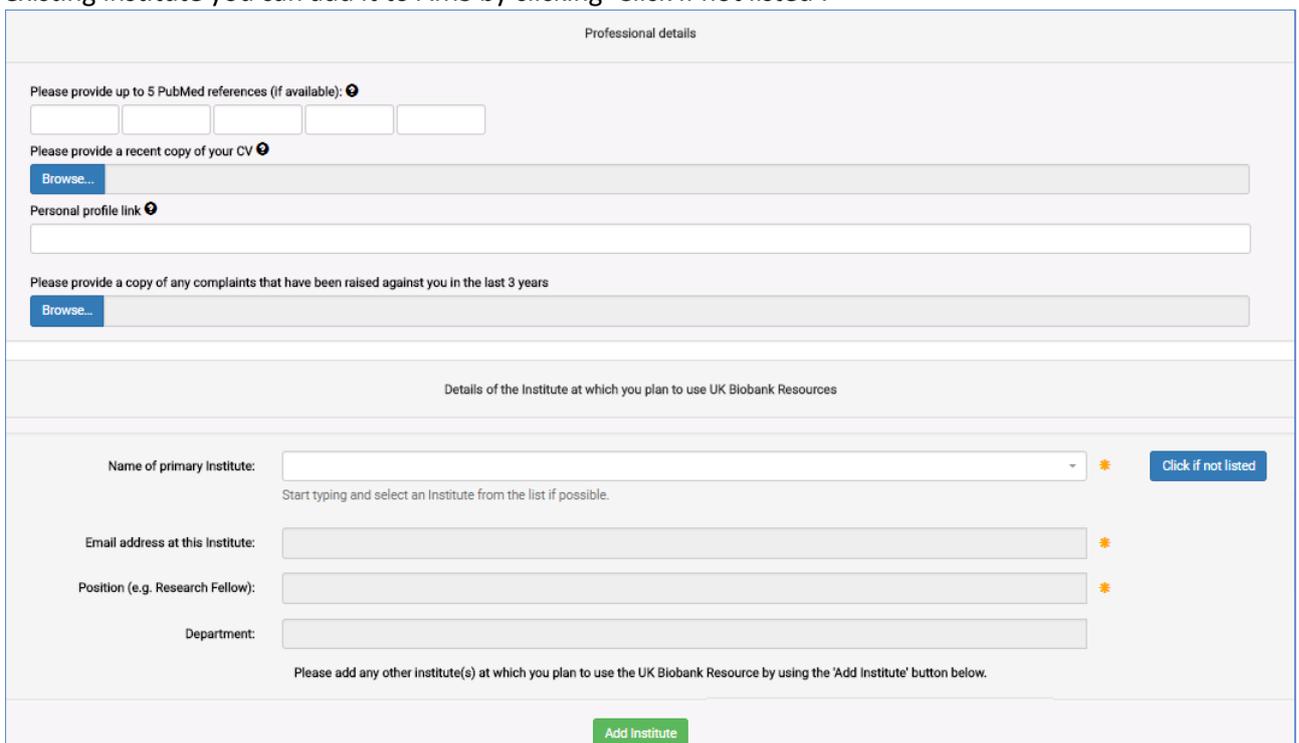


The screenshot shows the 'Registration' page on the biobank website. The header includes the biobank logo, 'AMS WF054', and a 'Log out' link. The main heading is 'Registration', with a note that items marked with an asterisk are required. Below this is a section titled 'Personal details' containing a text box explaining the purpose of the form. The form fields include: Title (dropdown), Last name, First name, Middle name, Gender (dropdown), Phone number (with a note about international dialling codes), and Alternative phone numbers (two text boxes). Asterisks are placed next to the Title, Last name, First name, and Phone number fields.

- PubMed references should be cited using the 7-9 digit reference number for each PubMed entry.
- Please attach an electronic copy of your CV/resume and details of any complaints that have been raised against you in the last 3 years.

Note: Documents attached to your registration must be in a .pdf format.

- If you have a personal profile on your institute website, please provide the link to this page.
- Select your primary institute from the drop-down list. If your primary institute is not listed as an existing institute you can add it to AMS by clicking 'Click if not listed'.



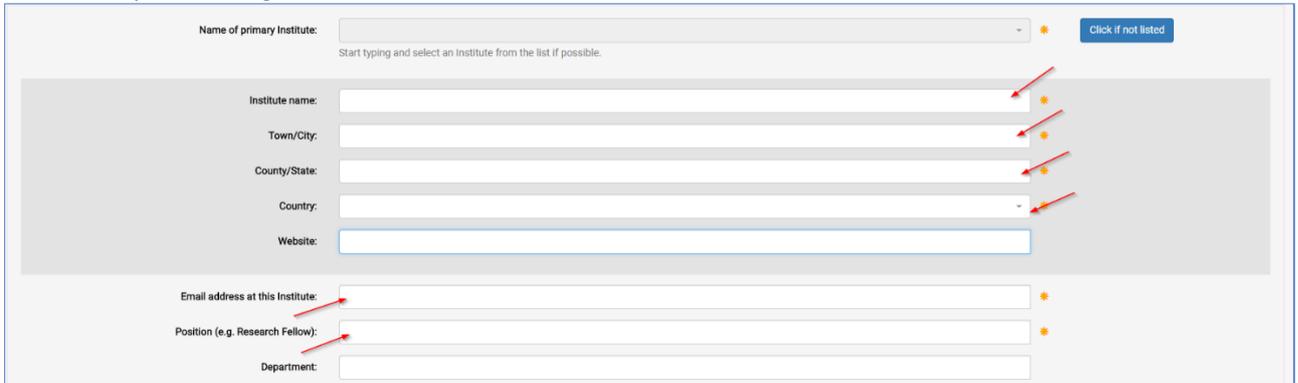
The screenshot shows the 'Professional details' and 'Details of the Institute' sections of the registration form. The 'Professional details' section includes: 'Please provide up to 5 PubMed references (if available):' with five input boxes; 'Please provide a recent copy of your CV:' with a 'Browse...' button; 'Personal profile link:' with an input box; and 'Please provide a copy of any complaints that have been raised against you in the last 3 years:' with a 'Browse...' button. The 'Details of the Institute' section includes: 'Name of primary Institute:' with a dropdown menu, a 'Click if not listed' button, and the instruction 'Start typing and select an Institute from the list if possible.'; 'Email address at this Institute:' with an input box; 'Position (e.g. Research Fellow):' with an input box; and 'Department:' with an input box. At the bottom, there is an 'Add Institute' button and the instruction 'Please add any other institute(s) at which you plan to use the UK Biobank Resource by using the 'Add Institute' button below.'

- To add a new institute, you must populate the screen shown below with the appropriate information.
 - All fields in the new institute area are free-form entry text fields. Some fields will provide suggestions as you type.

Note: Fields marked with an asterisk are mandatory.

Note: 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.



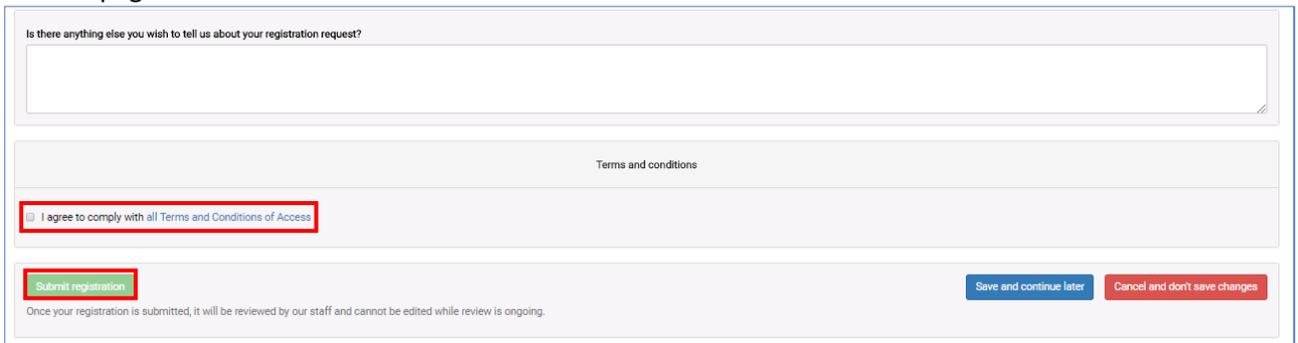
The screenshot shows a form for adding a new institute. At the top, there is a dropdown menu for 'Name of primary Institute:' with a 'Click if not listed' button. Below this is a section for 'Institute name:' with fields for 'Institute name:', 'Town/City:', 'County/State:', 'Country:', and 'Website:'. Each of these fields has a red arrow pointing to it and a yellow asterisk indicating it is mandatory. Below the institute name section are fields for 'Email address at this Institute:', 'Position (e.g. Research Fellow):', and 'Department:'. Each of these fields also has a red arrow pointing to it and a yellow asterisk indicating it is mandatory.

- 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:



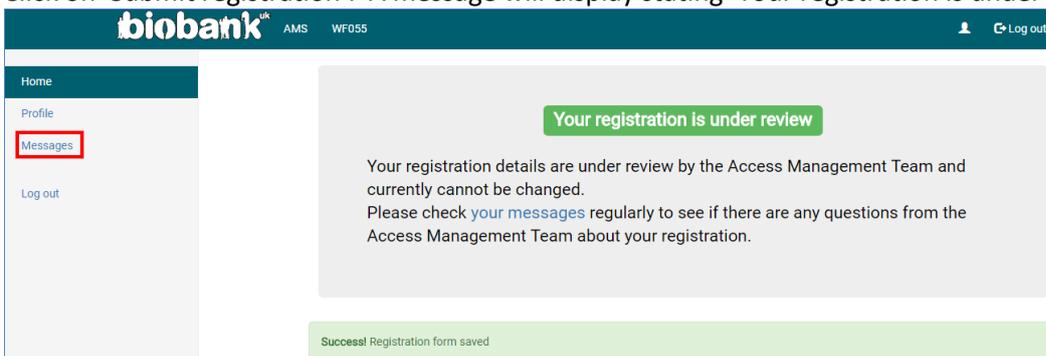
The screenshot shows a message box with the text: 'Please add any other institute(s) at which you plan to use the UK Biobank Resource by using the ‘Add Institute’ button below.' Below the message is a green button labeled 'Add Institute' which is highlighted with a red box.

- You must agree to comply with the UK Biobank Terms and Conditions of Access before you can submit your registration.
 - Terms and conditions can be accessed using the hyperlink at the bottom of the Registration page.



The screenshot shows the registration agreement screen. It includes a text area for 'Is there anything else you wish to tell us about your registration request?'. Below this is a section for 'Terms and conditions' with a checkbox labeled 'I agree to comply with all Terms and Conditions of Access' which is highlighted with a red box. At the bottom, there is a green button labeled 'Submit registration' (highlighted with a red box), a blue button labeled 'Save and continue later', and a red button labeled 'Cancel and don't save changes'. A small note at the bottom states: 'Once your registration is submitted, it will be reviewed by our staff and cannot be edited while review is ongoing.'

- Click on ‘Submit registration’. A message will display stating ‘Your registration is under review’:

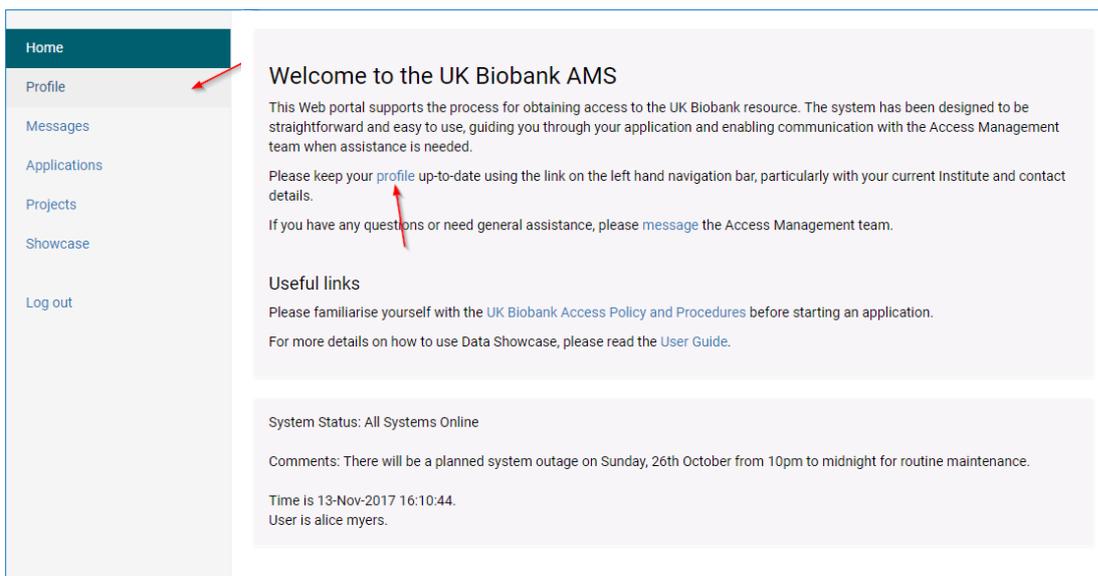


The screenshot shows the user interface after clicking 'Submit registration'. The top navigation bar includes the 'biobank UK' logo, 'AMS', 'WF055', and a 'Log out' button. A sidebar on the left contains links for 'Home', 'Profile', 'Messages' (highlighted with a red box), and 'Log out'. The main content area features a green banner that reads 'Your registration is under review'. Below the banner, the text states: 'Your registration details are under review by the Access Management Team and currently cannot be changed. Please check your messages regularly to see if there are any questions from the Access Management Team about your registration.' At the bottom, a green message box says 'Success! Registration form saved'.

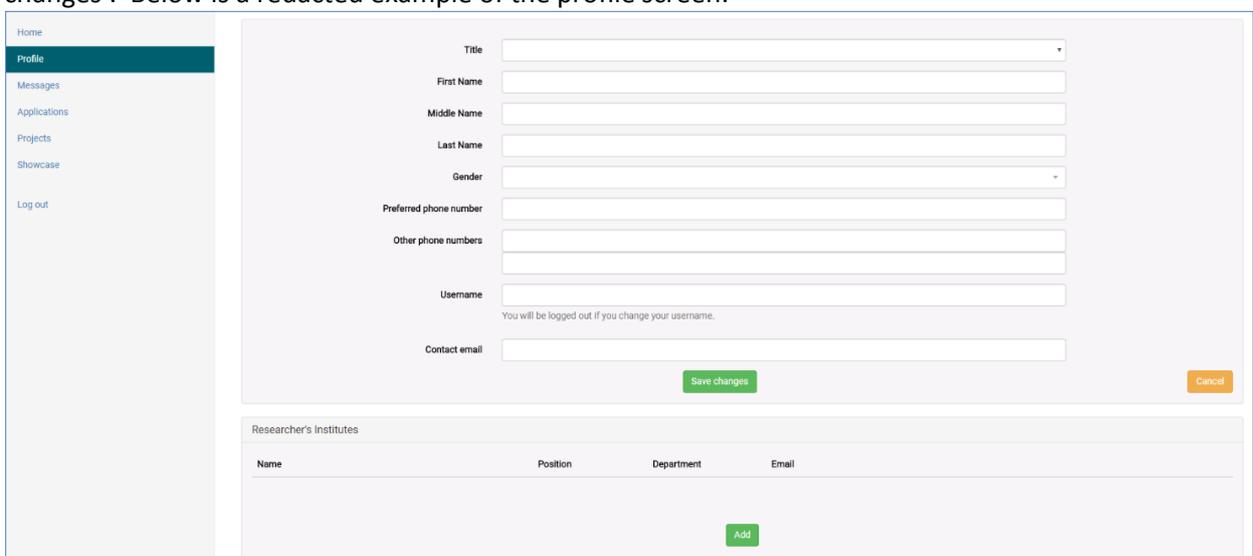
- Once your registration has been submitted, the AMT will review your details to confirm you as a *bona fide* researcher; we aim to complete our checks within 10 working days.
 - If the AMT require further information (for example a CV or profile page was not provided) this will impact on the time taken to approve your registration.
- You will receive a Message in AMS if the AMT has any questions, or to inform you of registration approval. Messages can be accessed via the left hand menu of the AMS screen (as shown in the above image).
- 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.

4.3. 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:



- Please be aware that any changes to your details must be validated 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, enter your updated details in the relevant text box and then click ‘Save changes’’. Below is a redacted example of the profile screen:

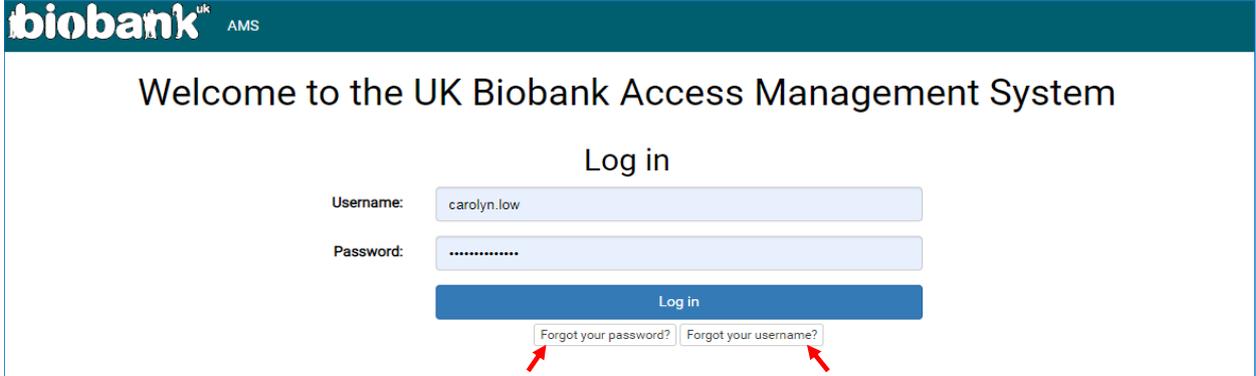


- This screen can also be used to add or remove an institute.

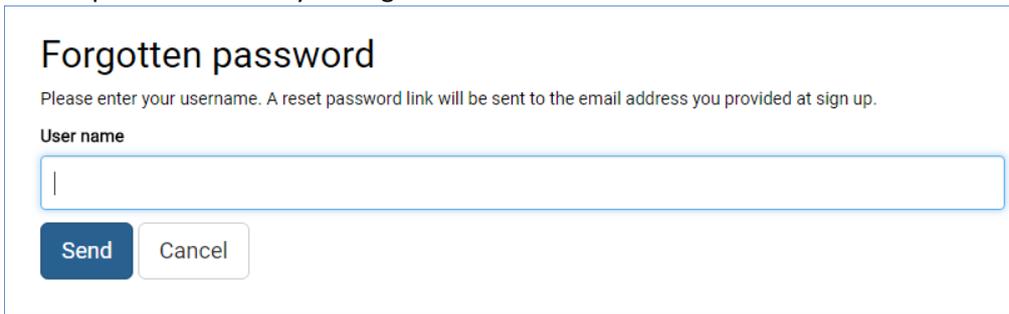
- If you need to remove an institute please ensure you add your new institute **FIRST** – if you have no institutes named against your account the AMS will automatically lock your account. If this happens, please contact the AMT for guidance. Click ‘Save changes’ to submit your changes or ‘Cancel’ to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

4.4. Forgotten Password or Username and Change Password

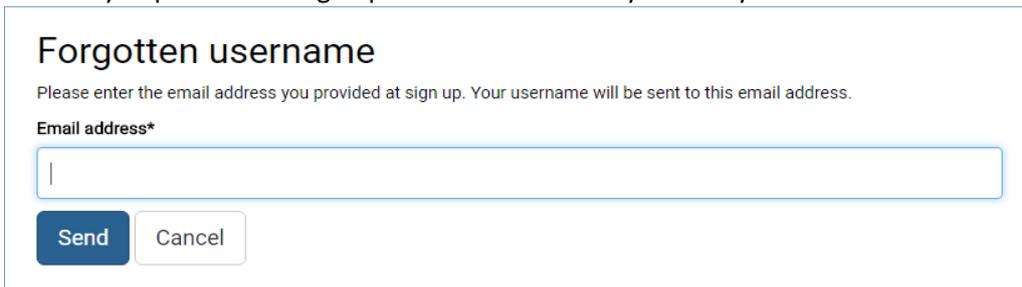
- If you have forgotten your AMS password or username, you can retrieve these by clicking ‘Forgot your password?’ or ‘Forgot your username?’:



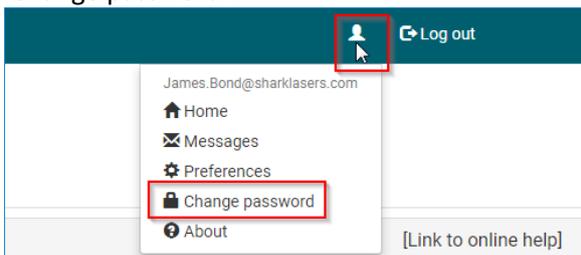
- Clicking ‘**Forgot your password?**’ will redirect you to the page below. Enter the username that you selected at sign up (this will be your email address if you did not specify a username) and AMS will send a reset password link to your registered email address:



- 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:



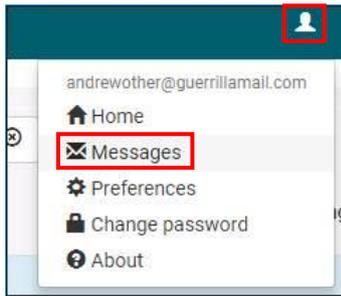
- You can also change your password while logged in to AMS. Click the icon highlighted below, then click ‘Change password’:



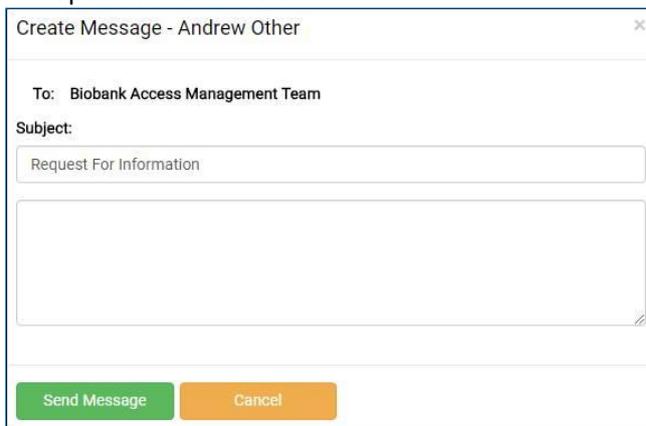
4.5. AMS messages

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 unread Messages stored in AMS.

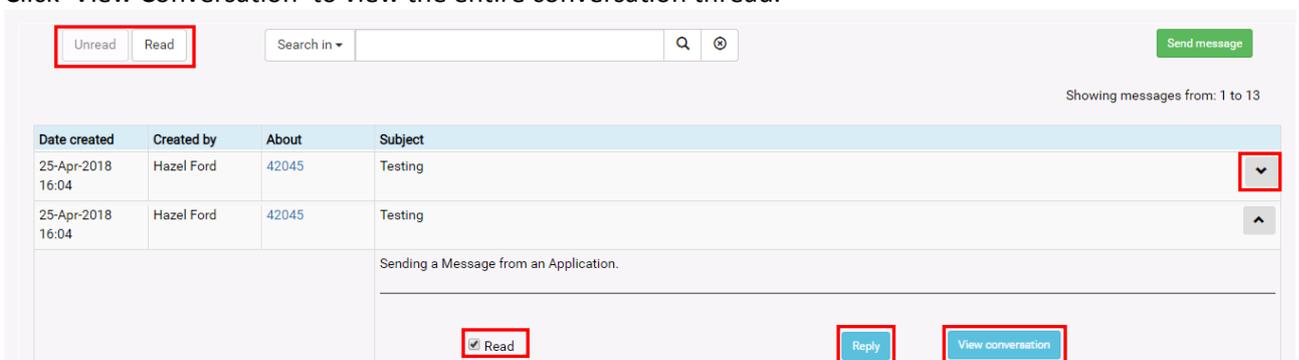
- You can also click the link at the top of the screen to open Messages:



- To create a Message click the 'Send message' button on the right of the screen, a blank message box will open as shown below:



- Received 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 (as shown below).
- Messages are sorted to show 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 view a message, click the drop-down arrow on the right.
- Once your message is open, the 'Read' tick-box is automatically selected and the message will be transferred to your 'Read' inbox. Untick this box if you wish for the message to remain in your 'Unread' inbox.
- Click 'Reply' to open a blank message box where a new message can be composed.
- Click 'View Conversation' to view the entire conversation thread.



| Date created | Created by | About | Subject |
|----------------------|------------|-----------------------|---------|
| 25-Apr-2018 16:04 | Hazel Ford | 42045 | Testing |
| 25-Apr-2018 16:04 | Hazel Ford | 42045 | Testing |

- 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.

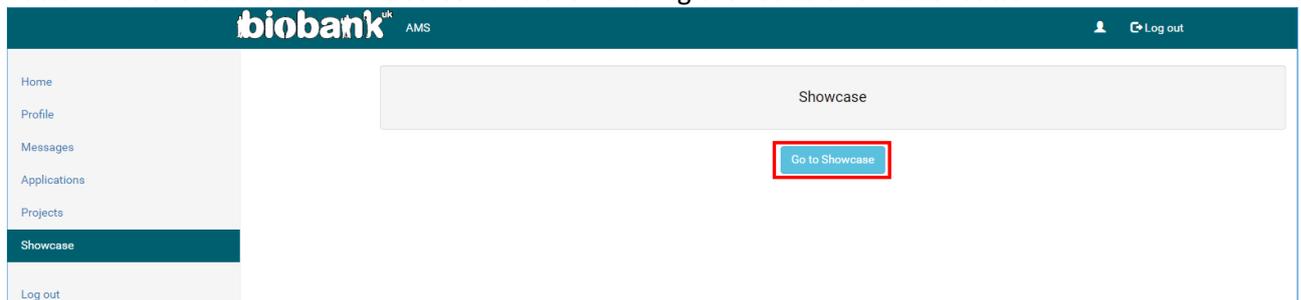
4.6. Collaborator Invitations

If you have been named as a Collaborator on an application you will be notified via an AMS Message 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.

4.7. Accessing Data 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 view.
- Once your registration has been approved, you can navigate to Showcase by clicking the 'Showcase' button in the left tab of the AMS screen and then clicking the 'Go to Showcase' button:



- For guidance on navigating the the UK Biobank Showcase System, please see our [UK Biobank Showcase User Guide](#).

5. Submitting an Application

5.1. Completing the online application

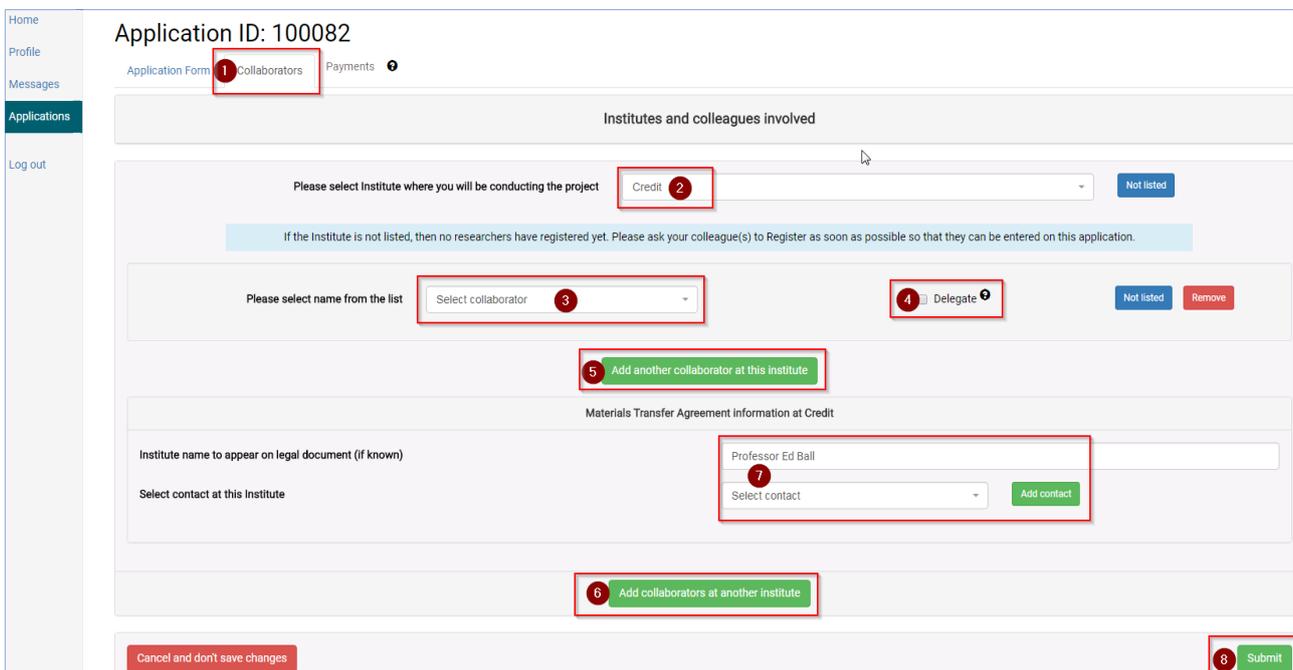
- Once your Registration has been approved a number of new tabs will become visible on the left hand panel of your AMS Home Page.
- To start a new application, select the 'Applications' tab and 'Start new application':



- Complete the online application form, a PDF version of the [application form](#) is available via the UK Biobank website for information purposes.
- Once your application is complete, 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 wish to abandon your application, you can do so by pressing 'Cancel' and changes will not be saved.

5.2. Adding collaborator and MTA contact details

- 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 provide delegate access to collaborator(s) who will be able to update the application on behalf of the Applicant PI.
- To populate the collaborators tab (see figure below):
 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):
 3. To add a collaborator from your institute, select the collaborator's name from the dropdown list which contains all active UK Biobank-registered researchers at your institute.
 4. Check the 'Delegate' box if you wish to give delegate rights to the collaborator. Collaborators with delegate rights are able to edit the application, make edits to the collaborator screen, make payments and download the data.
 5. Use the 'Add another collaborator at this institute' button to add additional collaborators at this institute. You should add all collaborators that will be working with UK Biobank data. Incorrectly added collaborators can be removed by clicking the 'Remove' button next to their name. Click 'Add another collaborator at this institute' to add the collaborator to your Application.
 6. To add collaborators at another institute, click the 'Add collaborators at another institute' button. If the collaborator you wish to select is not present in the dropdown list, 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. You do not need to enter the legal name of your main institute or collaborating institutes at this stage as this information is contained in the Institute Details that are held in the AMS. You should use the 'Select a contact at this institute' dropdown list to add an MTA contact for each institute listed on your application. The MTA contact should be someone different to the PI/Lead Collaborator and should be authorised to sign legally binding documents on behalf of the institute.



Home
Profile
Messages
Applications
Log out

Application ID: 100082

Application Form **1** Collaborators Payments

Institutes and colleagues involved

Please select Institute where you will be conducting the project Credit **2** Not listed

If the institute is not listed, then no researchers have registered yet. Please ask your colleague(s) to Register as soon as possible so that they can be entered on this application.

Please select name from the list Select collaborator **3** **4** Delegate Not listed Remove

5 Add another collaborator at this institute

Materials Transfer Agreement information at Credit

Institute name to appear on legal document (if known) Professor Ed Ball

Select contact at this institute Select contact **7** Add contact

6 Add collaborators at another institute

Cancel and don't save changes **8** Submit

- If the MTA contact you wish to add is not present in the dropdown list, you can add new MTA contact by clicking 'Add contact'. Another screen will open (shown below) where you can complete the new MTA contact details. When you have finished click on the 'Add' button.

8. Click the 'submit' button at the bottom of the 'Collaborators' page to submit collaborator information.

5.3. Creating an application basket

- When creating an application to access the UK Biobank Resource, the PI and collaborators with delegate authority can connect to the UK Biobank Showcase via the AMS to create baskets containing the data-fields and returned datasets they would like to access for their research.
- To create a data basket you must navigate to the 'Application' tab of your application and scroll down the page to Section B: 'Selection of data-fields'. Click the 'Create application basket' to be taken to the UK Biobank Showcase.
- Please refer to our [Managing Baskets in the Showcase Environment](#) user guide for guidance on populating and managing the content of application baskets.

- When you have completed populating your basket in Data Showcase, click on the ‘AMS’ link in the top right corner of your screen to return to your application form in the AMS. Changes to your basket will be saved and you can reopen and amend it if necessary.
- If you wish to come back to the application at a later date, click ‘Save and continue later’.
- If you are ready to submit your application, check the box to confirm that the information provided in the application is full and correct, then click ‘Submit’. You will be returned to your AMS home page.
- It is recommended that researchers read the Terms and Conditions of the UK Biobank MTA which can be found within Annex II of our Access Procedures. These can be located via the hyperlink on this page or in the ‘Resources’ tab on the UK Biobank website (www.ukbiobank.ac.uk).

5.4. Amending an application

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

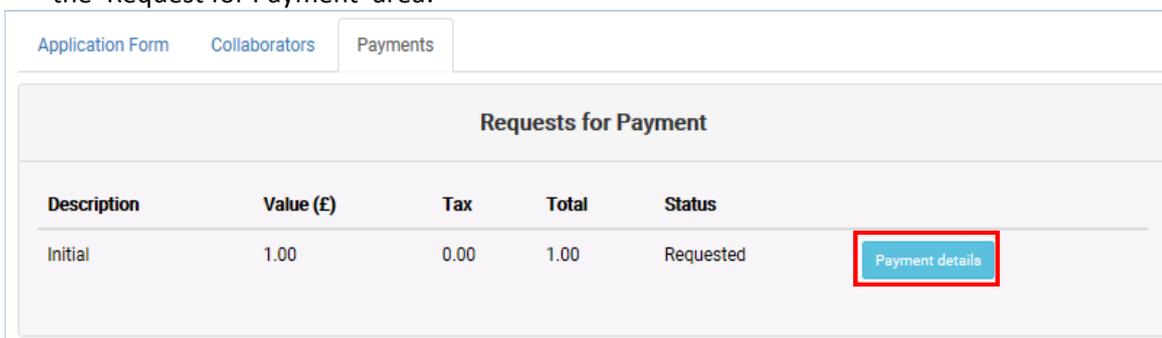
- The application will be locked while a review is in progress. You will be able to view your application but will not be able to make amendments to the text or basket.
- When the AMT unlock your application, you (or a delegate collaborator) will be able to amend the information within it.
- Once you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

5.5. Payment

- UK Biobank requires payment of an Access fee(s) for every application:
 - a. A main payment: due after the application is approved and before data is released.
 - b. Other payment: another payment may be required if we receive an additional request for bulk data when none was originally selected or if further work is required after a project is underway.
- To access the Payment section of an application:
 - Click on ‘Applications’ in the AMS navigation pane.
 - Click on ‘View/Edit’ next to the relevant application, then select the ‘Payments’ tab where ‘Requests for Payment’ and ‘Financial documents’ will be visible.

5.5.1. Making a payment:

- Upon submission of an application, the AMS will generate a request for payment which will be visible in the ‘Request for Payment’ area:



| Requests for Payment | | | | |
|----------------------|-----------|------|-------|-----------|
| Description | Value (£) | Tax | Total | Status |
| Initial | 1.00 | 0.00 | 1.00 | Requested |

- AMS provides options to:
 - Create an Invoice with or without a PO number.
 - Pay online via SagePay.
- Once you are ready to make an online payment or would like to request an invoice, click the ‘Payment Details’ button that appears next to the requests for payment. This will open up the ‘Payment details’ form with Institute, Applicant PI name, department and Institute City, County/State and Country pre-populated (see below).
 - Tick the checkbox to indicate that the Applicant Institute will make payment or untick the checkbox to add details of the Paying Institute if different from the Applicant Institute.

NOTE: Only delegate collaborators or delegate collaborating institutes can make payments on behalf of the Applicant PI).

- Complete the form as appropriate.
- Add a Purchase Order number if relevant.
- Confirm that all details are correct by ticking the checkbox.
- The Applicant PI (or delegate) may then choose to:
 - a) Request Invoice: to generate an invoice in the 'Financial documents' area of the Payments tab.
 - b) Pay Online: to progress to SagePay and pay online via credit card.
 - c) Save for later: to save details and return to the 'Payments' tab.

Application ID: 120068

Application Form Collaborators **Payments**

Payment details

Please provide your payment details below to support either payment online or invoice request. You may optionally provide detail of an alternative institute that you would like to pay on your behalf.

| | |
|--|--|
| <p>Institute: <input type="text" value="Edinburgh University"/></p> <p>PI Institute will make payment <input checked="" type="checkbox"/></p> <p>PI First name: <input type="text" value="Ivan"/></p> <p>PI Last name: <input type="text" value="Pavlov"/></p> <p>Department: <input type="text" value="Physiology"/></p> <p>* Address line 1: <input type="text"/></p> <p>Address line 2: <input type="text"/></p> <p>* Postcode: <input type="text"/></p> <p>City: <input type="text" value="Somewhere"/></p> <p>County/State: <input type="text" value="Someshire"/></p> <p>Country: <input type="text" value="UK"/></p> | <p>Paying Institute (if different)</p> <p>Institute: <input type="text"/></p> <p>* Contact first name: <input type="text"/></p> <p>* Contact last name: <input type="text"/></p> <p>Department: <input type="text"/></p> <p>* Address line 1: <input type="text"/></p> <p>Address line 2: <input type="text"/></p> <p>* Postcode: <input type="text"/></p> <p>City: <input type="text"/></p> <p>County/State: <input type="text"/></p> <p>Country: <input type="text"/></p> <p>VAT number: (if applicable) <input type="text"/></p> |
|--|--|

PO Number (if relevant)

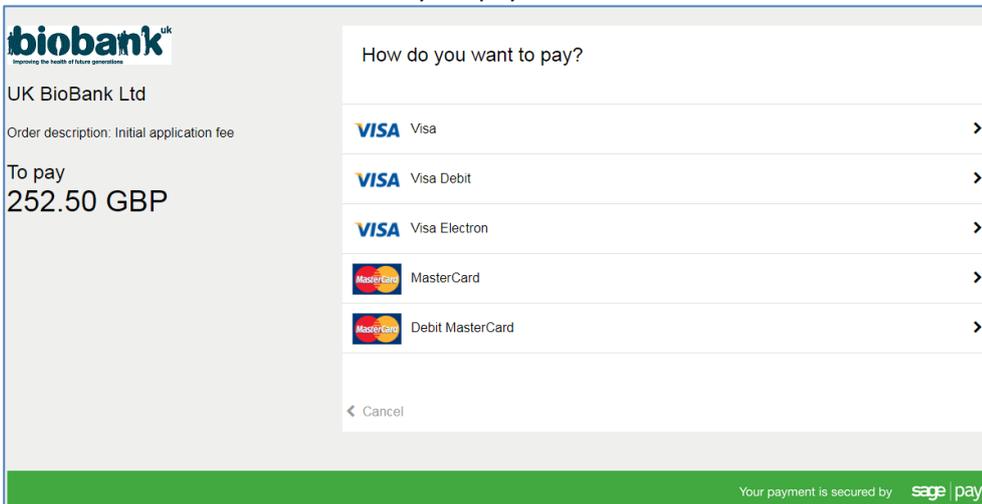
I confirm that all details are correct

- If you request an invoice, an invoice will be generated and the application payment Status will update to 'Invoiced'.
 - The invoice will be available to download as a .pdf document by clicking the invoice document number.
 - If you change your mind and decide to pay online, you can click on the 'Payment details' button to go back to the Payment details form where you can select 'Pay Online' instead.

| Requests for Payment | | | | |
|----------------------|-----------|------|-------|----------|
| Description | Value (£) | Tax | Total | Status |
| Initial | 1.00 | 0.00 | 1.00 | Invoiced |

| Financial documents | | | |
|---------------------|----------|---------|-------------|
| Description | Doc. No. | Type | Date |
| Initial | AQT00001 | Quote | 10-Jan-2018 |
| Initial | INV01002 | Invoice | 10-Jan-2018 |

- If you choose to pay online, you will be redirected to SagePay where you can pay by card. Click on 'Confirm card details' to make your payment:



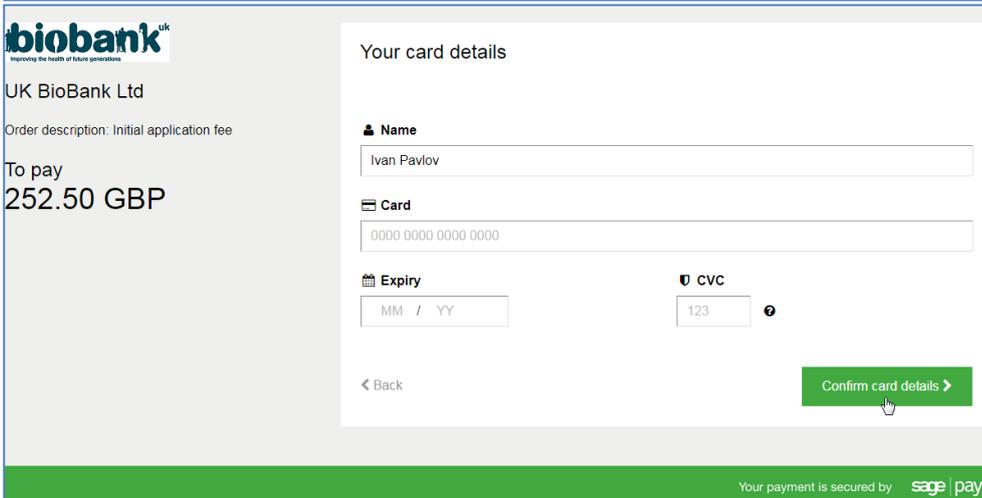
UK BioBank Ltd
Order description: Initial application fee
To pay 252.50 GBP

How do you want to pay?

- VISA Visa
- VISA Visa Debit
- VISA Visa Electron
- MasterCard MasterCard
- MasterCard Debit MasterCard

Cancel

Your payment is secured by sage | pay



UK BioBank Ltd
Order description: Initial application fee
To pay 252.50 GBP

Your card details

Name: Ivan Pavlov

Card: 0000 0000 0000 0000

Expiry: MM / YY CVC: 123

Back Confirm card details

Your payment is secured by sage | pay

5.5.2. 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 which must be populated 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
- To help UK Biobank locate your payment, please send any remittance provided by your Finance Department to creditcontrol@ukbiobank.ac.uk

5.5.3. Generating a receipt

- Once payment is confirmed by UK Biobank, the status of the request for payment will be updated to ‘Paid’ and the ‘Request Receipt’ button will appear in the Payments tab. Click this button to generate a receipt:

| Requests for Payment | | | | | |
|-------------------------|-----------|-------|--------|--------|-----------------|
| Description | Value (£) | Tax | Total | Status | |
| Initial application fee | 250.00 | 50.00 | 300.00 | Paid | Request receipt |

- Receipts will appear in the ‘Financial documents’ area where they can be downloaded as a .pdf document:

| Financial documents | | | |
|-------------------------|----------|---------|-------------|
| Description | Doc. No. | Type | Date |
| Initial application fee | INV00081 | Invoice | 08-Nov-2017 |
| Initial application fee | REC00016 | Receipt | 10-Jan-2018 |

5.6. Material Transfer Agreement (MTA)

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.

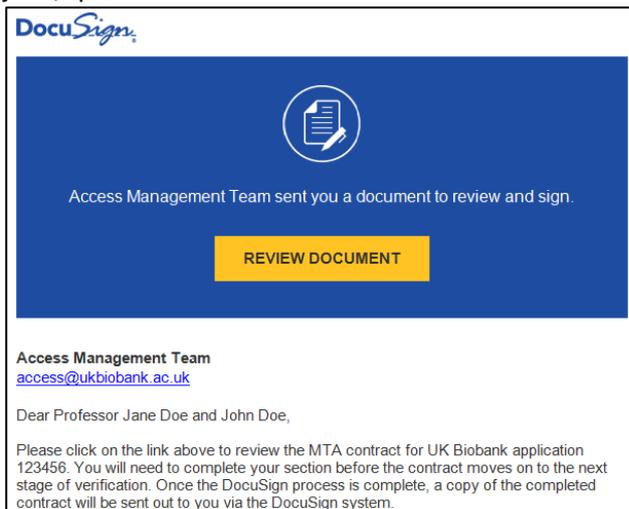
5.6.1. Ensuring the correct point of contact

If an MTA contact has not already been added to your application you can update the MTA Contact via the ‘Collaborators’ section of your application (see [section 5.2](#) of this guide).

5.6.2. Accessing the MTA document

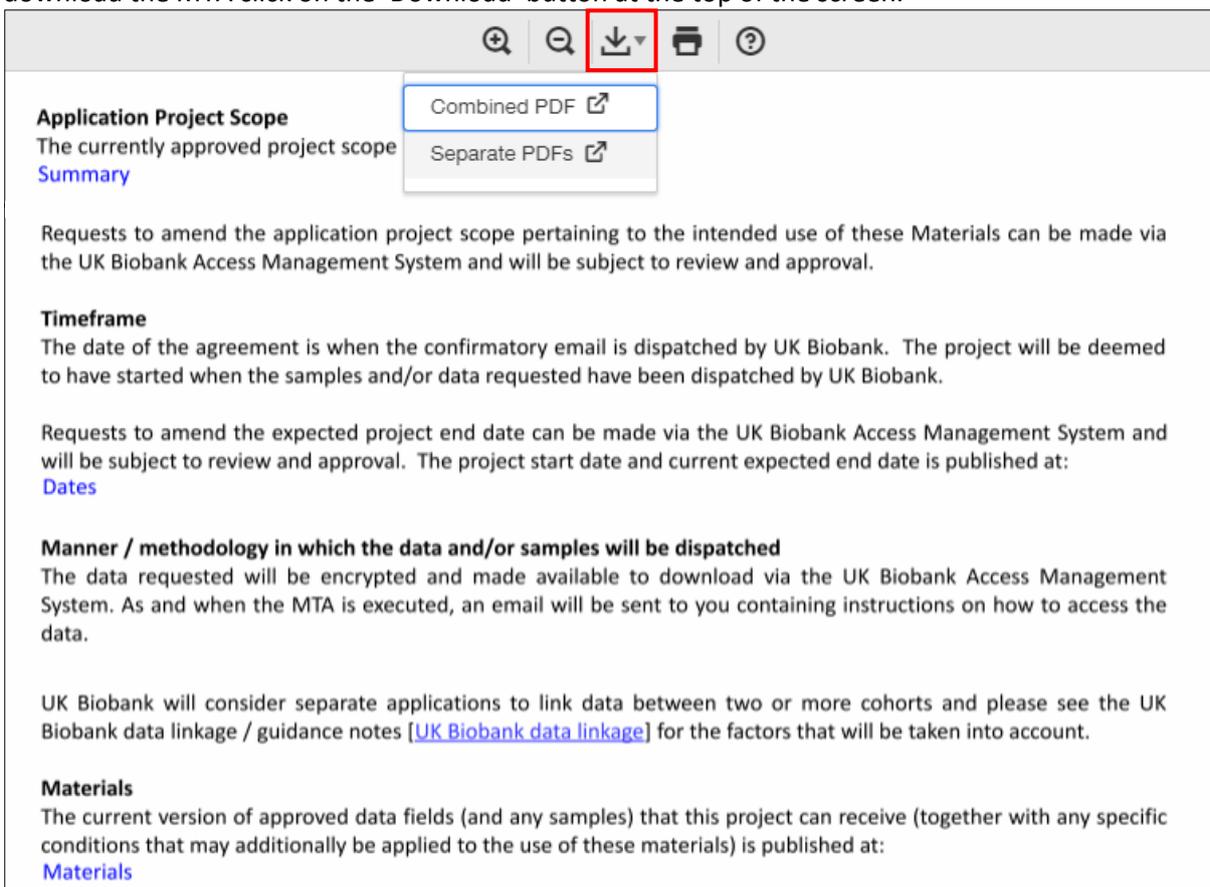
- Once your application is approved, the AMT will send you and your collaborators a Message via AMS and distribute the MTAs to the PI/Lead Collaborators and MTA Contacts for each institute through DocuSign.

- 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 a 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:

NOTE: 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.



5.6.3. Signing the MTA via DocuSign

- When you are ready to sign the MTA scroll to the bottom of page 1 where you will find pre-loaded boxes underneath 'Read and Understood by the Applicant Principal Investigator' in which 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 and return you to to the MTA where you should add your name and position in the empty box to the right of your signature:

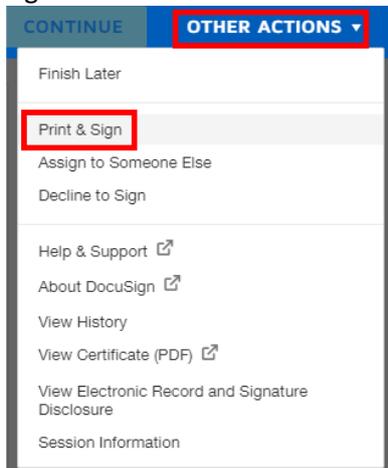
- When you have added your signature, and typed your name and position in the boxes provided, hit 'Finish' in the top right of the screen. This will open a pop-up window where you can download and

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'.

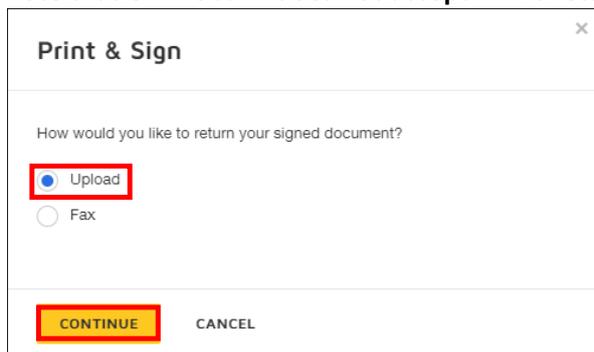
- When you and your MTA Contact have both signed the MTA, DocuSign will automatically notify the AMT.

5.6.4. Signing and returning a paper copy of the MTA

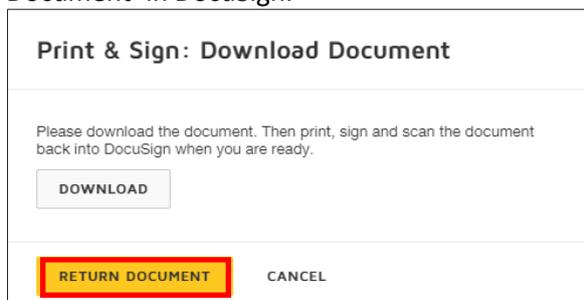
- UK Biobank distributes MTAs for signature through DocuSign, however we are aware that some institutes prefer not to sign contracts electronically. If your institute wishes to provide a 'wet ink' signature click on 'Other Actions' and select 'Print & Sign':



- 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 select 'Return Document' in DocuSign.

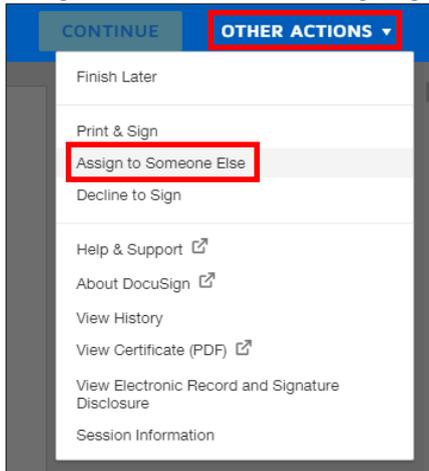


- A new window will open where you can upload your scanned MTA to DocuSign. When your MTA has been uploaded select 'Finish'.

NOTE: 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.

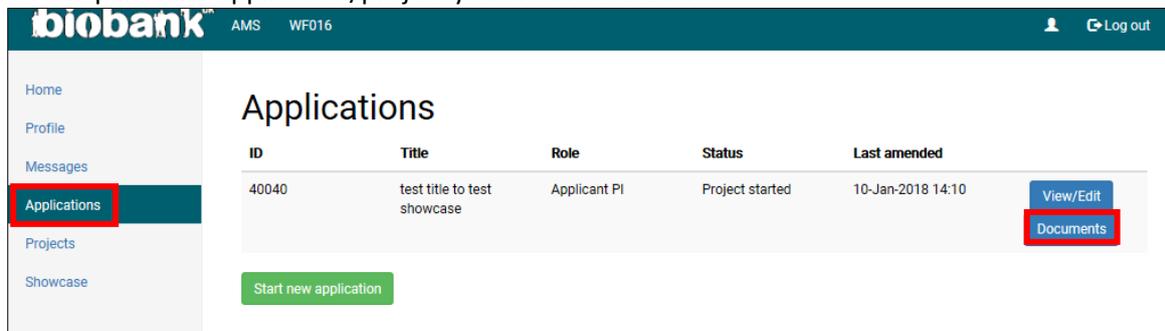
5.6.5. Reassigning the MTA contact

- 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:



5.6.6. MTA execution

- When signed MTAs have been returned to UK Biobank from all collaborating institutes **and** payment has been received from the Applicant Institute, the MTAs for the application will be sent to UK Biobank's legal counsel for execution.
- Once 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 go to the 'Applications' area of AMS and click the 'Documents' button for the particular application/project you are interested in:



- If your MTA has been executed you will see it in the 'Application documents' area 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 your own institute or UK Biobank.

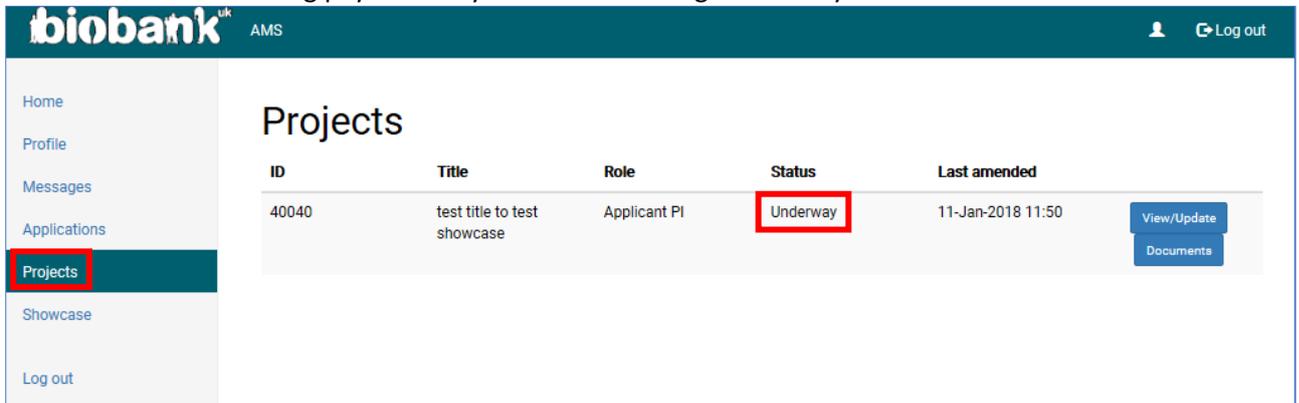
| Application documents | | |
|-----------------------|----------------------------------|-------------|
| Document type | Filename | Date |
| Generated MTA | 40040_4058_GEN_1 | 10-Jan-2018 |
| Executed MTA | 40040_4058_EXD_1 | 12-Jan-2018 |

[Back](#)

6. Data release

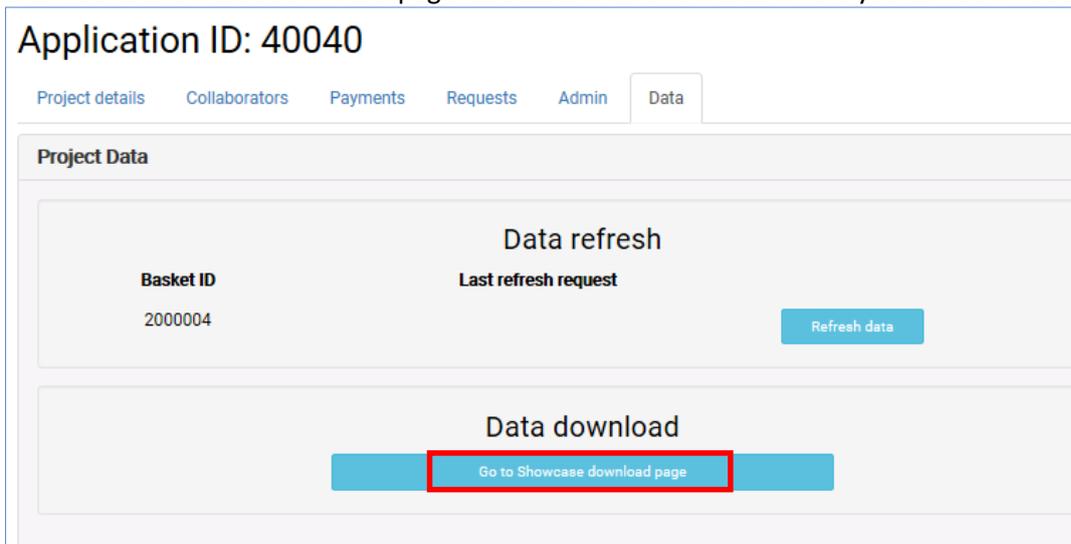
The AMT will notify you via a Message in AMS when your dataset has been scheduled for extraction and release.

- 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 to AMS and select 'Projects' on the left side to view your projects list.
 - If your project is not listed here it means UK Biobank has not progressed it to 'Underway'. This may be due to outstanding payment or your MTA not being executed yet:



| ID | Title | Role | Status | Last amended | |
|-------|-----------------------------|--------------|----------|-------------------|--------------------------|
| 40040 | test title to test showcase | Applicant PI | Underway | 11-Jan-2018 11:50 | View/Update Documents |

- Once your application is visible in the 'Projects' list, 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:



Application ID: 40040

Project details Collaborators Payments Requests Admin **Data**

Project Data

Data refresh

Basket ID: 2000004

Last refresh request

Refresh data

Data download

Go to Showcase download page

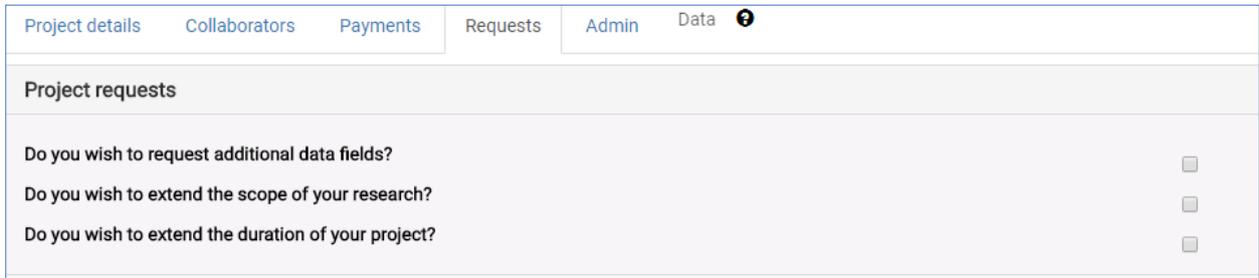
- The Downloads page will allow you to read the ["Accessing your data"](#) page on Data Showcase (which provides details on how to download the different types of data available) and to fetch the various utilities (e.g. helper programs) in advance of, or after, data release.
- If the 'Data' tab is **not 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 ([section 5.6.6](#) of this document) for guidance on how to check the status of your MTA.

7. Projects Underway

- Once the MTA has been executed for an application it's status is updated to 'Project started'.
- 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.

7.1. Requesting Changes

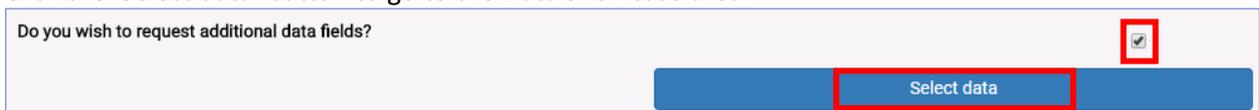
- Under the Requests tab, there are three types of changes you can request:
 - 1) additional data-fields
 - 2) to extend the scope of your research (additional analyses or justification for new categories of data)
 - 3) to extend the duration of the project
- Please be aware that you can submit more 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 boxes 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 to allow you make the required changes.

7.1.1. Requesting additional data-fields

- Select the 'Do you wish to request additional data-fields?' box.
- Click the 'Select data' button to go to the Data Showcase area:



- Use the Browse or Search functions at the top of the page to locate the categories that you want, then click 'Modify Basket':



- Select the data-fields you require or click 'Add all fields', then click 'OK' on the pop-up to add all data-fields in that category and select 'Update' to add them to your basket:

| Field ID | Field Name | In Basket | Omitted |
|----------|--|-----------------------|----------------------------------|
| 100760 | Breakfast cereal consumed | <input type="radio"/> | <input checked="" type="radio"/> |
| 100770 | Porridge intake | <input type="radio"/> | <input checked="" type="radio"/> |
| 20105 | Liquid used to make porridge | <input type="radio"/> | <input checked="" type="radio"/> |
| 100800 | Muesli intake | <input type="radio"/> | <input checked="" type="radio"/> |
| 100810 | Oat crunch intake | <input type="radio"/> | <input checked="" type="radio"/> |
| 100820 | Sweetened cereal intake | <input type="radio"/> | <input checked="" type="radio"/> |
| 100830 | Plain cereal intake | <input type="radio"/> | <input checked="" type="radio"/> |
| 100840 | Bran cereal intake | <input type="radio"/> | <input checked="" type="radio"/> |
| 100850 | Whole-wheat cereal intake | <input type="radio"/> | <input checked="" type="radio"/> |
| 100860 | Other cereal intake | <input type="radio"/> | <input checked="" type="radio"/> |
| 100880 | Dried fruit added to cereal | <input type="radio"/> | <input checked="" type="radio"/> |
| 100890 | Milk added to cereal | <input type="radio"/> | <input checked="" type="radio"/> |
| 100900 | Intake of sugar added to cereal | <input type="radio"/> | <input checked="" type="radio"/> |
| 100910 | Intake of artificial sweetener added to cereal | <input type="radio"/> | <input checked="" type="radio"/> |

- 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 it – this might show if you click the Update button but have not specified anything in the *special requirements*.

7.1.2. 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?

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)

- The current scope is not editable and is for reference only. Please copy the current scope into the text 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.

7.1.3. Extending the duration of your project

- Click on 'Do you wish to extend the duration of your project?', 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.

Do you wish to extend the duration of your project?

Current End
 Extend by (months) Propose end

Please give reason (up to 200 words)

- 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:

| ID | Title | Role | Status | Last amended | |
|-------|------------------------------|--------------|---------------|-------------------|--------------------------|
| 40055 | Test application for baskets | Applicant PI | Change review | 11-Jan-2018 10:38 | View/Update Documents |

- 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.

7.2. Requesting a data refresh

During the lifetime of your project updated data may be made available for your data-fields.

- To update your data, go to the 'Data' tab in the Project area and click 'Go to showcase to refresh or download data':

Project Data

Data refresh or download

- Click on 'Application' at the top of the page to be taken to your approved baskets.

| Basket ID | Name | Contents | State | Date Approved |
|-----------|------|----------|--------|---------------|
| 2010139 | - | 3523 | Active | 2019-07-19 |
| 2007139 | - | 3619 | Active | 2019-01-02 |

Click on ID/name of previously approved baskets to view, refresh or change state.

- Click on the Basket ID of the basket you would like to refresh. This will open an expandable list of all categories contained in the basket.
- Scroll to the bottom of the page to the 'Refreshes' tab. Click on 'Request Refresh'.

Refreshes
Actions

The last update to the data repository was on 1 Apr 2019.
The last update to any of the data fields in basket 2001098 was on 8 Mar 2019.

There have been no refresh requests for this basket.

Request Refresh

- After clicking the 'Request Refresh' button the 'Refreshes' tab will show the status of the request.

Refreshes
Actions

The last update to the data repository was on 1 Apr 2019.
The last update to any of the data fields in basket 2001098 was on 8 Mar 2019.

| Refresh ID | State | Created | Last update |
|------------|--------|-------------|-------------|
| 28704 | Queued | 14 Aug 2019 | 14 Aug 2019 |

This basket cannot currently be refreshed. Reason: a refresh of this basket was requested on 14 Aug 2019 which is after the last update to the data repository. Refreshing this basket now would fetch no new data.

- You will receive an automated email when your refreshed basket is available to download.
- If there has not been an update to the Data Showcase in regard to items in your basket, you will not be able to request a basket refresh as doing so would fetch no new data.

Refreshes
Actions

The last update to the data repository was on 19 Jul 2019.
The last update to any of the data fields in basket 27617304 was on 13 Apr 2019.

There have been no refresh requests for this basket.

This basket cannot currently be refreshed. Reason: this basket was Approved on 27 Jun 2019 which is after the last update to any of the data fields it contains on.
Refreshing this basket now would fetch no new data.

Improving the health of future generations

7.3. 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:

biobank AMS

[Log out](#)

[Home](#)
[Profile](#)
[Messages](#)
[Applications](#)

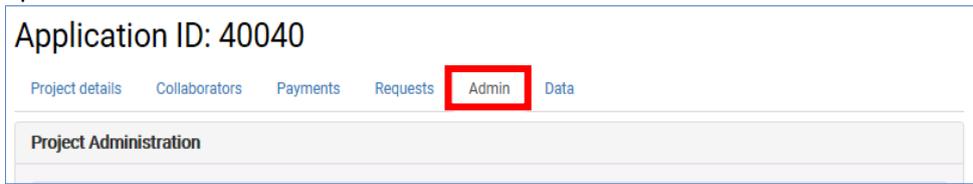
Projects

[Showcase](#)

Projects

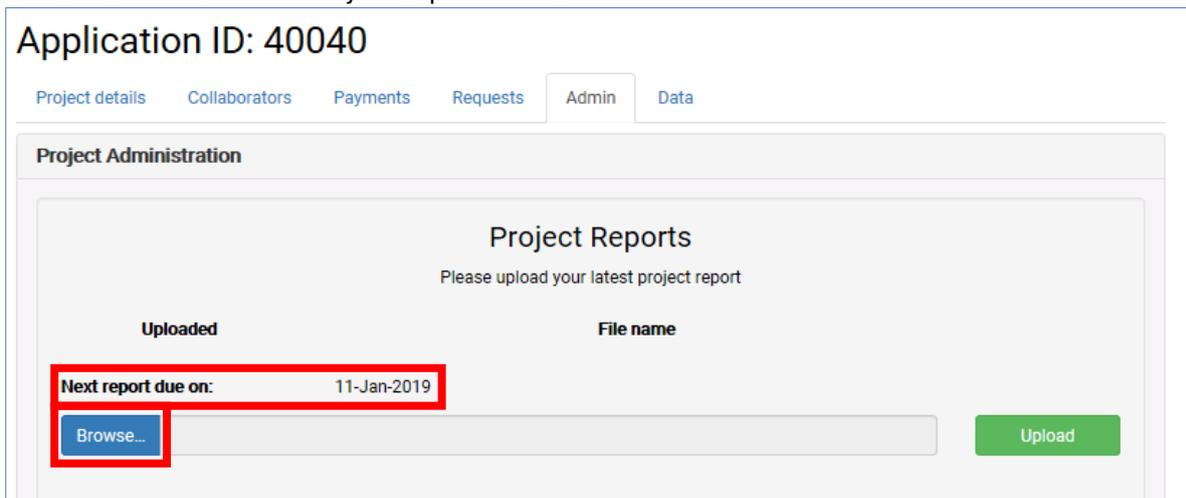
| ID | Title | Role | Status | Last amended | |
|-------|-----------------------------|--------------|----------|-------------------|---|
| 40040 | test title to test showcase | Applicant PI | Underway | 11-Jan-2018 11:50 | <div style="border: 2px solid red; padding: 2px; display: inline-block; margin-right: 5px;">View/Update</div> <div style="border: 1px solid #ccc; padding: 2px; display: inline-block;">Documents</div> |

- Click on the 'Admin' tab to display reports, publications, and conferences already uploaded and to upload new ones:

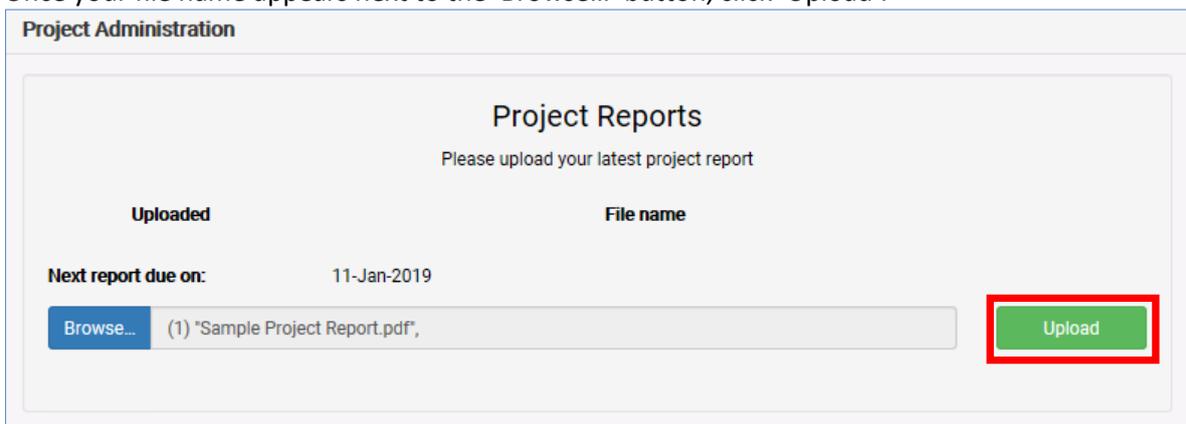


7.3.1. Project reports

- The Research Project Update Report must 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 the UK Biobank website. To upload a file, click the 'Browse...' button in the 'Project Reports' area:



- 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 name 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.

7.3.2. 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 publication in the text box within the 'Publications' area of the 'Admin' tab and 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.

7.3.3. 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.
- Please upload any relevant information to AMS by clicking 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 name 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.