DIGIPRIS: Regulation DIGIPRIS: Online Regulation



User Manual:

Entry of new Protocols
(COFEPRIS-04-010 Homoclave) and
Amendments (Homoclave COFEPRIS-09-012)





Introduction

DIGIPRIS: Online Regulation, Clinical Trials is the platform for procedures and services of the Federal Commission for the Protection against Sanitary Risks (Cofepris), where you can request authorization for research protocols in human subjects (in all their modalities) and procedures for modification or amendment to authorized research protocols.

Through the DIGIPRiS Platform: Online Regulation, you can:

- ÿ Having several applications and procedures at the same time
- ÿ View in real time the stage of your procedures: Application, Evaluation, Verification, Signature or Resolution
- ÿ View the resolution documents generated through the platform (Authorization, Prevention or Disposal)

The objective of this manual is to provide you with a guide for entering applications for the following homoclaves:

- ÿ COFEPRIS-04-010 Request for Authorization of Research Protocol on Human Beings, in all its modalities:
 - ÿ Modality A: Medicines, Biological or Biotechnological
 - ÿ Modality B: Medications (Bioequivalence Studies)
 - ÿ **Modality C:** New resources (Studies of materials, grafts, transplants, prostheses, physical, chemical and surgical procedures) and other methods of prevention, diagnosis, treatment and rehabilitation carried out on human beings, except for pharmacological ones)
 - ÿ **Modality D:** Risk-free research (observational studies that use documentary research techniques and methods, and those in which no intentional intervention or modification is made to the physiological, psychological, and social variables of the research subjects)
- ÿ **COFEPRIS-09-012** Request for Modification or Amendment to the Authorization of the Protocol of Investigation.







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Data classification and access to information

During data capture and document upload to the DIGIPRiS Platform: Online Regulation, You will be able to identify "classification labels" for the information, which are located below each of the application requirements.



These labels will help you understand the use, treatment, and controls that Cofepris will have on the information you enter, according to the type of label assigned:

Label	Classification	Description	
PÚBLICO	Public	Public domain information, without any particular treatment	
↑ INTERNO	Internal	Information accessible to all Cofepris staff	
RESTRINGIDO	Restricted	Information accessible only to specific Cofepris personnel because it is essential for the performance of their activities.	

If during the use of the platform you have any questions regarding any of the **classification labels**, You can click on the label, and the platform will display the corresponding description.

It is important to remember that public data will be part of the information that will be migrated. to the RNEC once your request has been authorized, so we suggest not sharing personal addresses, emails, or phone numbers. This data also has the TRDS label, indicating that it is requested in accordance with the recommendations of the World Health Organization (WHO).



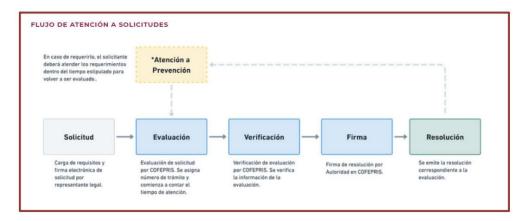




General application information

Before starting an application, consider the following:

- ÿ Any applicant (individual, legal entity, or individual with the role of authorizer or editor) may access and modify the documents and information in an "**Application**."
- ÿ The flow of attention in the requests entered in the DIGIPRiS Platform: Online Regulation, It is according to the following scheme:



ÿ At the top of the window, you can see the "**Process Status Panel**" throughout the entire application process, from entering data and uploading documents to the resolution of the "**Application**."



- ÿ You can save your application information at any time. You can also exit the application and continue editing it at a later time if you need to. It's important to remember that only changes saved before the end of the session will be retained. Therefore, it's recommended that you "SAVE" changes to your application regularly.
- ÿ The uploaded information and documents will be available within the "**Application**" for reading and/or downloading by all individuals who are part of the **group**.
- ÿ A procedure will be considered "initiated" until it is signed and submitted by the user to "Evaluation";

 otherwise, the captured information and entered documentation will only remain in the system for 90

 calendar days.



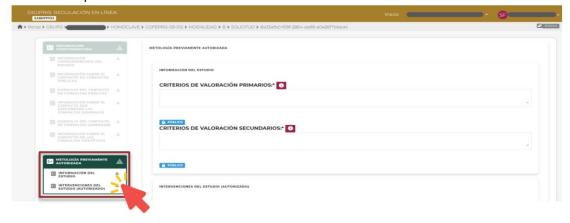




- ÿ Each "Request" on the platform is assigned an alphanumeric identification string or "Request Number" which, for security reasons, will not be sequential or consecutive.
- ÿ The "Application" must be signed and submitted using the Applicant 's current and active e-signature to be considered a "Process." At this point, the platform will assign a "Process Number," which will be consecutive according to the homoclave, modality, date, and time of signature.
- ÿ Once the "Request" is considered a "Process," the information and documents will remain available for the user to view, but they cannot be modified. The user will also be able to identify that the procedure is in the "Evaluation" stage.
- ÿ In the sections that make up the "**Application**" you can see the progress of the information entry in the boxes on the right side: you will see a "check mark" for completed sections and "warning triangles" in the sections with incomplete information.



To navigate between the different sections of the application, click on the boxes on the right side of the screen, which indicate the name of the corresponding section and the titles of the forms that make up the set of requirements.









Status and actions allowed for an application or procedure

The "Application" process is a previous stage to the evaluation of the "Process", once the application is "SIGNED AND SENT" the application will be considered processed, and the status of the process can be consulted in the "Process Status Panel". The status is classified by stages, which are as follows:

- ÿ **Request:** The user has initiated an authorization request in one of the homoclaves available (COFEPRIS-04-010 or COFEPRIS-09-012).
- ÿ **Evaluation:** The procedure is being evaluated by the Authority.
- ÿ **Verification:** The resolution of the procedure is being verified by the Authority.
- ÿ Signature: The resolution is signed by the Authority.
- ÿ **Resolution:** The procedure has a resolution available for the user.

Solicitud -	Evaluación —	Verificación —	S Firma	Resolución
	uando su solicitud este completa y guardada, debe se na Persona Moral.	er firmada por el rol de Solicitante Titular Persona Físic	ca o por el Rol de Autorizador si el solicit	ante Titular es

Likewise, the actions permitted on the information and documents available on the platform vary according to the stage/status of the "request" or "procedure," as shown below:

Actions allowed in each request status				
Stage	Edition	Consultation and download of docume	ents Other permitted actions	
Application	Yeah	Yeah	ÿ Delete request ÿ Sign and Send	
Assessment	No	Yeah	ÿ Download Application Form ÿ Download Acknowledgment of Receipt ÿ Withdraw procedure	
Verification a Company	No	Yeah	ÿ Download Application Form ÿ Download Acknowledgment of Receipt ÿ Withdraw procedure	
Resolution (authorized the disposal)	No	Yeah	ÿ Download Application Form ÿ Download Acknowledgment of Receipt ÿ Download resolution letter	
Resolution in case of Prevention	Yesh	Yeah	ÿ Download Application Form ÿ Download Receipt Acknowledgement ÿ Download resolution letter ÿ Withdraw procedure	







For procedures with a "PREVENTION" resolution, the user may only edit information in text fields marked as prevented. For more information, see the "Responding to a prevented procedure" section.







Edit or delete a previously saved request

- **1.** From the "Home" screen you can view all the requests made by the **group** and its statuses organized by Homoclave.
- **2.** To locate a specific request, click the "(+)" button located in the row of the corresponding homoclave.



3. Clicking on this will display all applications and their status, organized by category. In this section, you can see the "Application Number," the applicant, the date the last saved modification was made, and the stage.







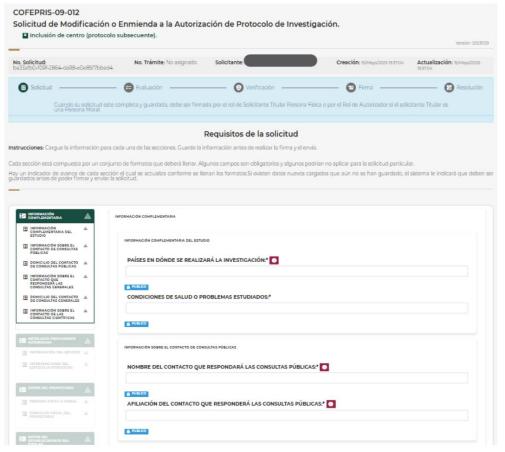




4. To edit, review data or download documents for an application, click the button. "**Consult**" of the corresponding row



Note: In the case of a "Request", after pressing the "Consult" button, the editing window will be displayed, as shown in the image.





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To properly enter information and documents, we recommend reviewing the following manual titles:

- ÿ Sections that make up an Application
- ÿ Capture information in a Request
- ÿ Upload files to an Application
- **5.** Remember to always save your information before exiting the application, signing, and submitting it. For more information on how to save your information, see the section "Saving Changes to an Application" in this manual.

In case you decide to delete the application:

1. At the bottom of the application editing window, you will find the "**DELETE**" button. **APPLICATION**". Click the button.



2. The platform will display a screen to confirm the action. Click the "YES" button. "DELETE" to confirm the deletion.



Note: Please note that deleting a request cannot be undone and you will lose any data and/or documents associated with it.

3. Click "Home" to return to the main section.







Application for Authorization of a Research Protocol on Human Subjects (COFEPRIS-04-010)

The following section outlines the general procedure for requesting Authorization for a **Research Protocol in Human Subjects**, **as well as amendments or modifications** to the protocol. For more information on each type, variations in requirements, and their legal basis, please consult the **specific guidelines**. The following example will be used for Authorization for a Research Protocol in Human Subjects (COFEPRIS-04-010).

To start the application

 Once you have entered the platform, from the "Start" menu, click on the button "Start a new processing request."



2. A window will appear allowing you to select the procedure you wish to complete. Click the "+" button next to the COFEPRIS-04-010 Homoclave to view the different procedure options.









3. Identify the relevant modality for the request you wish to make and click on the button "**Continue**" that appears on the far right of the mode.



4. You will be directed to the section that summarizes the details of the procedure and the required forms. If you agree and wish to continue, click the "START A COFEPRIS-04-010 APPLICATION" button.



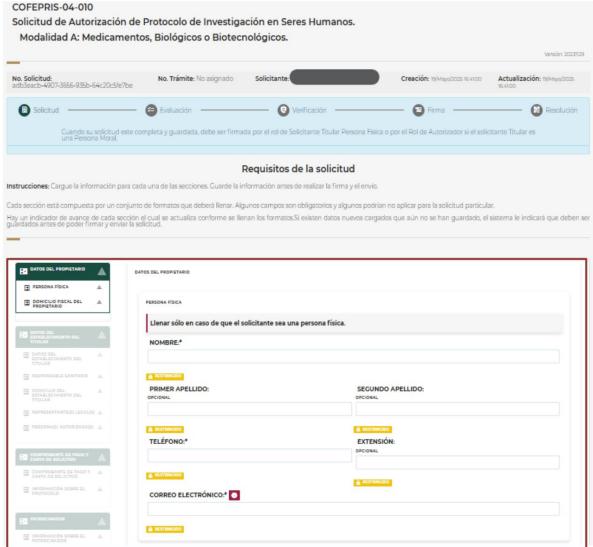






- **5.** While the request is being generated, the platform will display a pop-up window. Please hope.
- **6.** A window will then appear where you can: ÿ View the status of the request.
 - ÿ View general application data: application number, processing number (not yet assigned), applicant name, creation and update date.
 - ÿ Review the Instructions for completing the application.
 - ÿ Enter the information and documents required for the application.

To begin capturing information and uploading documents, go to the bottom of the window.





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To properly enter information and documents, we recommend reviewing the following manual titles:

- ÿ Sections that make up an Application
- ÿ Capture information in a Request
- ÿ Upload files to an Application

Note: You should always save your information before signing and submitting. For more information on how to save your information, see the Saving Changes to an Application section of this manual.







Sections that make up an Application

With slight variations, each of the COFEPRIS-04-010 homoclave applications is made up of the following sections:

- ÿ **Owner information:** form with the applicant's information, the information entered in this section will be used for the electronic capture of the "Authorization, Certificates and Visits Form, FF-COFEPRIS-01".
- ÿ **Data of the owner establishment:** this information is very important, as it will be used for the electronic capture of the "Authorization, Certificate and Visit Form, FF-COFEPRIS-01".
- ÿ **Proof of payment and request letter:** proof of payment of fees and written request letter request describing the application.
- ÿ **Sponsor:** section in which you will enter the information and documentation corresponding to the sponsor of the study.
- ÿ **Research documents:** This section requests general research data and documents (research protocol, study schedule, researcher's manual, and informed consent).
- ÿ **Research product**: In this section you must enter the information and documentation corresponding to the research product.
- ÿ **Research center:** In this section, you must enter the information and documentation corresponding to the research center or centers where the clinical trial will be conducted.
- ÿ **Emergency Care Center:** In this subsection, you must enter the information and documentation corresponding to the emergency care center, corresponding to the research center.
- ÿ **Principal Investigator:** In this subsection, you must enter the information and documentation corresponding to the Principal Investigator, who must have the academic training and professional experience necessary to conduct the study at the research center.
- ÿ **Research team:** In this subsection, you must submit information and documentation on the members of the research team, who must have the appropriate academic preparation and professional experience for the activities assigned to them.







- ÿ **Research Ethics Committee:** In this section, you must enter the information and documentation corresponding to the current Research Ethics Committee that will monitor the study at the research center.
- ÿ **Research Committee:** In this section, you must enter the information and documentation corresponding to the current Research Committee that will monitor the study at the research center.
- ÿ **Biosafety Committee:** In this section, you must enter the information and documentation corresponding to the current Biosafety Committee that will monitor the study at the research center.
- ÿ **Importer**: in this section you must enter the corresponding information and documentation to the **Importer**.
- ÿ **Additional information:** This section requests general information about the research and other information necessary to contact people who could provide information about the research.
- ÿ Other documents: If you have other documents that you consider important for the evaluation of your application and have not been requested in other sections, you may enter them here (materials for research subjects, protocol addenda, annexes, etc.). These documents will not be authorized; only an "Acknowledgment of Receipt" will be issued. Up to 15 documents may be added.

In the case of amendments and modifications (COFEPRIS-09-012), the requirements follow the same order; however, only the sections for which data or documents need to be updated are requested, according to each type of procedure. For protocols that were updated prior to the launch of the digital platform, an additional "Supplementary Information" form will need to be entered. This will allow information about the protocol to be published in the new version of the RNEC.

For more information on each modality, the variations in requirements, and their legal basis, please consult the specific guides.







Classification of Amendments and Modifications within the platform

For the purpose of streamlining procedures and clarifying requirements, **Amendments and Modifications** are categorized on the platform. To review the details of each amendment and the specific requirements, we suggest consulting the corresponding guide.

Mode (Internal)	Type of Amendment or Modification
А	Amendment to underlying documents: research protocol, researcher's manual, or informed consent/assent
В	Inclusion of research centers
С	Changes to the research center: address and/or name
D	Changes in the principal investigator
AND	Change or integration into the research team
F	Changes to the emergency center: address and/or name
G	Changes to the Evaluation Committees: Research Ethics Committee , Research Committee or Biosafety Committee
н	Security Amendment
1	Changes to the owner: address and/or name
J	Changes of sponsor: address and/or name
к	Change or addition of importer
L	Other modifications







Capture information in a Request

Before starting, take the following into account:

- ÿ Each section is made up of a set of forms that you must fill out. Some fields are mandatory and some may not apply to the particular "Application."
- ÿ Each form will indicate whether the data is mandatory (boxes with red fill, a warning triangle, and the legend "This field must not be empty") or optional (boxes with white fill).



ÿ There is a progress indicator for each section which is updated as the forms are filled out.

In case any requirement does not apply to your application: ÿ

Text field: You must enter "N/A"

ÿ File upload field and date field: You should leave the fields without information, nor documents.

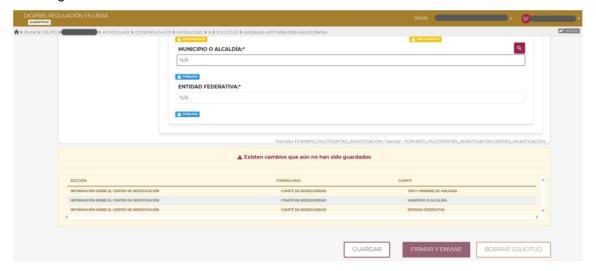








ÿ If you have entered new information in the application, at the bottom of the window the system will indicate through a section which information fields have not been saved in the application, as shown in the image:



ÿ Throughout the application, you'll find some **"Tips"** that will give you greater clarity on the different requirements. Just click on the information button ("i") located on the side of the requirement.









Uploading files to an Application

- ÿ The same considerations apply to this title as in the section "Capturing information in a Application".
- ÿ For the format of the documents, you will be told the format they should have (.pdf or word), as shown in the following images.

Example PDF document (.pdf):



Example WORD file (.doc or .doxc):



Note: Please note that documents with passwords, extensions, macros, or formats other than those indicated cannot be entered.

1. To upload files, click the "Attach PDF File" or "Attach WORD File" button as appropriate for each requirement, select the document(s) you wish to add, and click the "Open" button in the pop-up window.

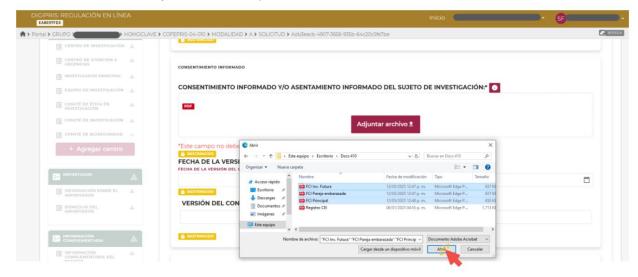






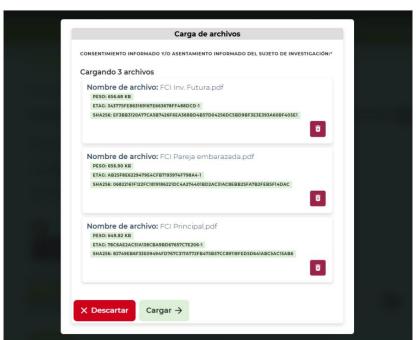


You can add documents one by one or select multiple documents at once.



2. Once you click the "Open" button, a "File Upload" pop-up window will appear where you must confirm the upload of the selected file(s) by clicking the "Upload" button.

Note: If you do not wish to upload any of the previously selected documents, click the red button (Trash Can with X) to remove that document from the list of documents to be uploaded. You can also select "Discard" to cancel the upload of all files visible in the "File Upload" pop-up window.





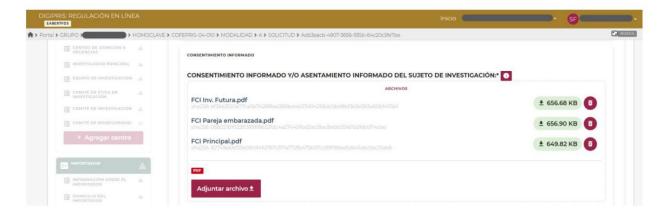




3. When you start uploading your files, you'll be able to see the progress in the lower right corner of each document.



4. When the file upload is complete, you will be directed to the "**Application**" section where the documents were uploaded. If necessary, you can download the documents for viewing by clicking on the green rounded box indicating the file size.



5. Afterward, you can continue filling out the various forms, uploading documents, or saving fields. For more information, see the "Saving Changes to an Application" section of this manual.



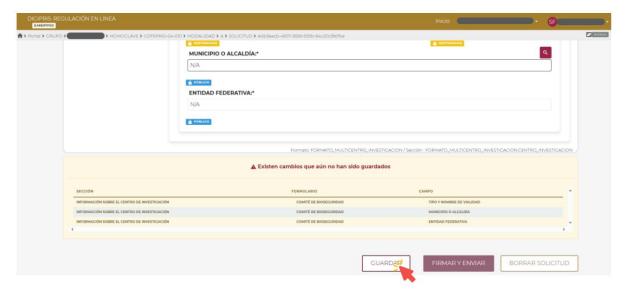




Save changes made to a Request

To save changes to an "Application," scroll to the bottom of the page.

1. On this screen, you'll see the different elements you've modified and are available for saving. To complete the saving process, click the "SAVE" button.



Note: You must always "SAVE" changes made to information and documents before signing and submitting.

It is very important to verify that the information submitted on the forms is correct, as some sections will be included in the resolution document issued by the Health Authorization Commission (such as the name of the owner establishment, address, sponsor's name, scientific title of the protocol, etc.). For more information, consult the guide corresponding to each homoclave and modality.

Remember that some of this data will be part of the information published on the National Register of Officials (RNEC) once your application is authorized (such as the public title of the protocol, inclusion criteria, and exclusion criteria). For more information, see the specific section of this manual, "Data Classification and Access to Information."



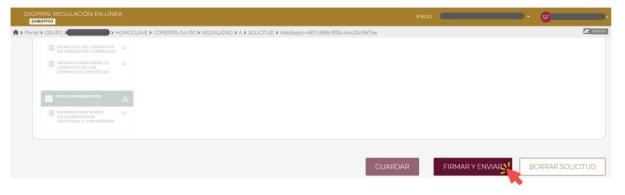




Sign and submit an application or generate a procedure

To finalize your application, it must be submitted and signed, so you must follow these steps:

- **1.** In this section, enter the requested information, upload your documents, and save the changes you made to your Application. For more information, see these manual sections:
 - ÿ General information on applications
 - ÿ Capture information in a Request
 - ÿ Upload files to a Request ÿ Save changes made to a Request
- Go to the bottom section of the application window and click on the "SIGN AND" button. TO SEND".



3. The platform will display a window where you can see the application number, applicant, creation date, and update date. If necessary, you can review the application details by clicking the "(+)" button on the far right of the "View application details" box.



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To hide the information, click the "(-)" button on the far right of the "View request details" box.

- **4.** To sign the application, go to the bottom of the window and click on the **"Upload"** button. **private key .key"** and upload the corresponding file.
- **5.** Once the platform verifies the validity of your electronic key, a text field will open where you must enter your private key password. When finished, click **"Sign."**







Cancel or consult a procedure

From the "Home" screen, you can view all the requests made by the group, as well as those of each individual. The requests are organized by Homoclave.

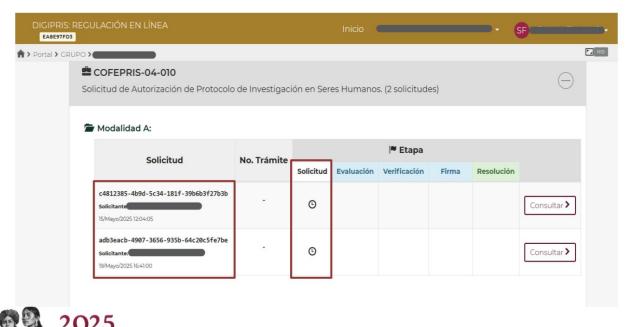
1. To locate a specific request, go to the corresponding homoclave and click the "(+)" button at the end of the row.



2. By clicking the button, you can view all the "requests" created by the group. You can also view the request number, the transaction number if signed, the last saved modification date, and the status. This status is displayed in the "Stage" table. As mentioned in the "Status and actions allowed for a transaction" section, the status of transactions is divided into the following stages:



To know the status of each procedure, you must observe which box has the clock icon, as shown in the image:







3. To consult the details of a "**Procedure**" click on the "**Consult**" button in the row corresponding.



When you enter the procedure, you can also view its status through the "Process Status Panel," located at the top of the screen. The status of the procedure will be shown by the "shading" of the icons, as shown below:

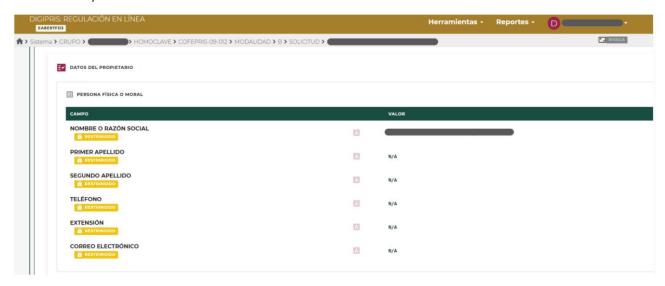








4. Within the "**Consultation**" section you will also find the different actions you can perform with the information and documents, for more information, we recommend that you consult the section "Status and actions allowed for a procedure."



- **5.** If you decide to withdraw from a procedure: at the bottom of the window for reviewing the procedure, you will find the **"CANCEL PROCEDURE" button.** When you click the button, please note the following:
 - ÿ The withdrawal cannot be undone.
 - ÿ Any costs associated with the procedure cannot be recovered or used to make another request.







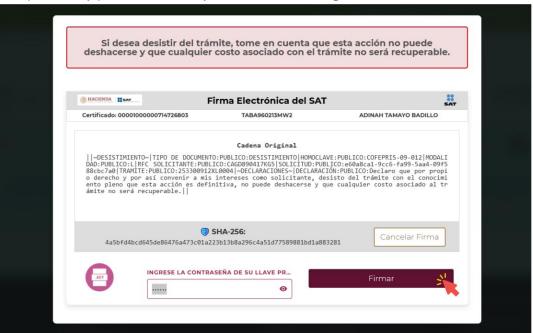




6. A pop-up window will immediately appear in which you must sign the withdrawal. To sign, you must click the "**Upload private key .key**" button and upload the corresponding file.



7. Once the validity of your electronic key has been verified, a text field will open in which you must enter the information. Enter your private key password. When you're done, click "Sign."





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8. Once finished, the platform will direct you to the "Process Status Panel." You can download the withdrawal receipt by clicking the "Download" button below the "Resolution Letter" text.





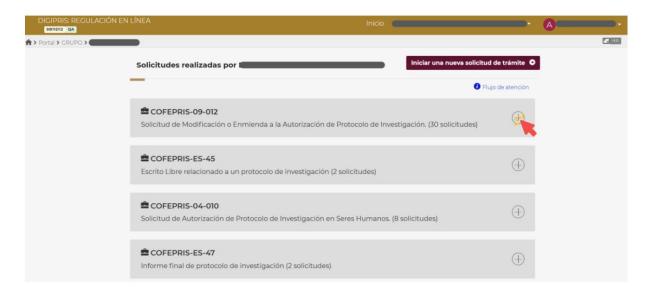




Download documents associated with a procedure

From the "**Home**" screen, you can view all the requests made by the group and their status, organized by Homoclave.

1. To locate a specific request, click the "(+)" button in the row of the corresponding homoclave.



2. To review the documents associated with a procedure, click on the "**Consult**" button on the corresponding procedure.









3. In the "Process Status Panel" section, you can access the acknowledgments and official letters that have been generated on the DIGIPRIS Platform: Online Regulation. To view a document, click the "Download" button located below each file. The document will be downloaded in PDF format and will be available for viewing.



4. In the case of "**Procedures**" in the "**Evaluation**" stage, under the "**Procedure Status Panel**" You will find the "**Original Application**" resource, by clicking on the "(+)" button, you will be able to display the captured information and the documents uploaded in the application:

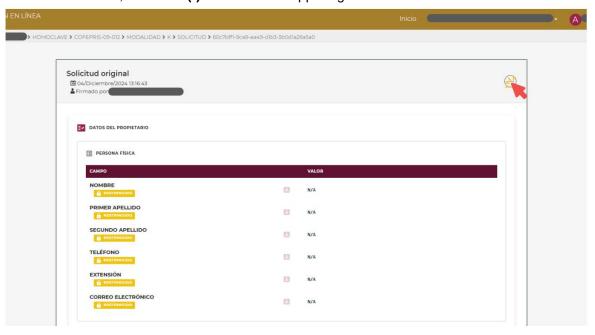




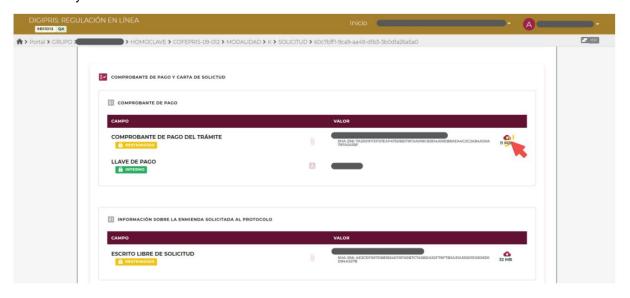




5. To hide the information, click the "(-)" button in the upper right corner of the box.



6. To download any of the application documents, locate the requirement in the drop-down list and click the "cloud" icon on the far right of the corresponding document row. The download will begin immediately.









7. For procedures in the resolution stage, click "**View**" to view: the "Application number," the applicant, the date of the last saved modification, the stage, and the "Process number."



8. Upon entering the process, you will find the "Application Form," the "Acknowledgments of Receipt," and the "Resolution Letters" generated. To view the documents, click the "Download" button below each item. You will also be able to see the meaning of the resolutions and the date each document was issued.









9. Authorized procedures: Procedures that have been authorized will have a legend indicating this at the top of the "Process Status Panel," which will be green, as shown in the image:



10. Prevented procedures: Procedures that have been prevented will have a legend indicating this at the top of the **"Process Status Panel"**, which will be yellow:









11. Discarded procedures: Procedures that have been discarded will have a legend indicating this at the top of the **"Process Status Panel,"** which will be in red:



To return to your procedures, click the "Home" button.

Remember that the legal deadlines for responding to notifications of the resolution of procedures will begin upon review on the platform.







Respond to a prevented procedure

From the "Home" screen, you can view all the requests and procedures completed by the group and their status, organized by Homoclave.

1. On the "Home" screen you must locate the application by clicking on the "(+)" button that appears. is found in the row of the corresponding homoclave.



2. Once you identify the procedure, click on the "Consult" button in the corresponding row.





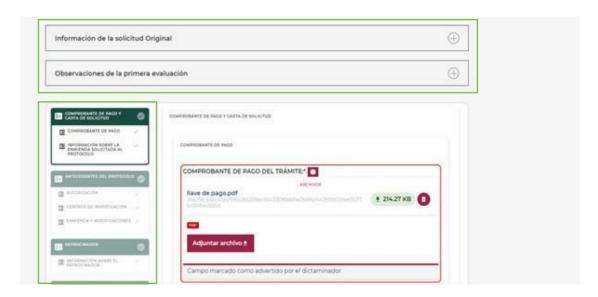




3. Within the process, you can download the "Resolution Letter" by clicking on the corresponding "Download" button . In this Letter, you will find the prevention points identified in the evaluation of your request.



4. At the bottom of the window, you will find the box to view the **"First Assessment Observations."** Here, you can view the fields in which you need to enter new information and/or upload the necessary documents to **respond to the prevention.**



Please note that only fie<u>lds that have been prevented by the</u>
Cofepris Health Authorization Commission; it may:

- ÿ Modify or delete and replace data.
- ÿ Delete and replace or add documents.

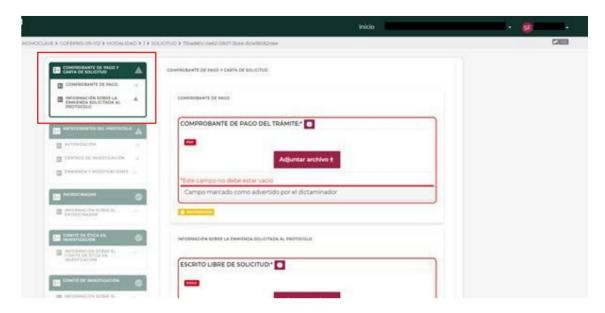




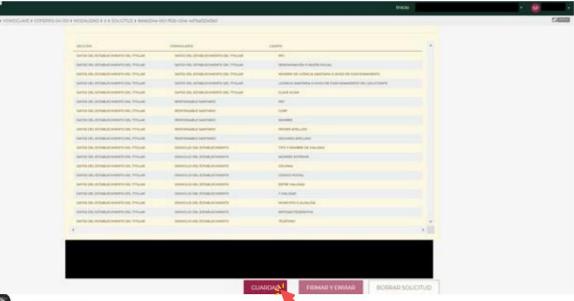


To properly enter information and documents, we recommend reviewing the following manual titles:

- ÿ Sections that make up an Application
- ÿ Capture information in a Request
- ÿ Upload files to an Application



Remember to save the information before signing and submitting. For more information, see the section " *Saving Changes* to an Application" in this manual.

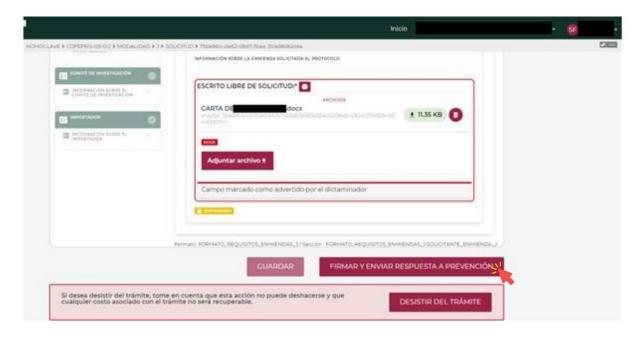




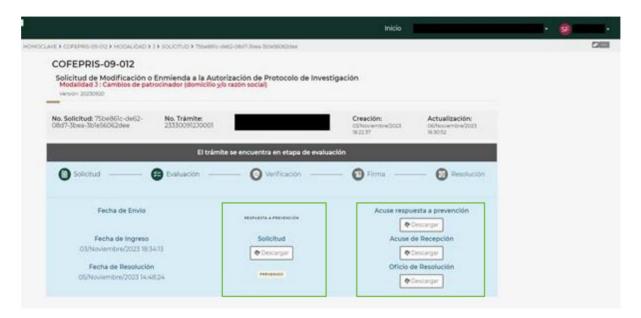




5. Once you've finished and saved your changes, proceed to "SIGN AND SEND RESPONSE TO PREVENTION." For more information, see the "Signing and Submitting a Request" or "Creating a Procedure" sections of this manual.



6. Once the **Prevention Response is signed**, the platform will display a window where you can download the corresponding documents. For more information, see the "Download documents associated with a procedure" section of this manual.





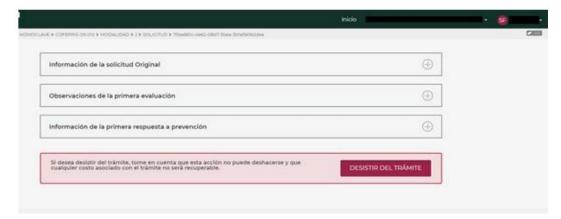




7. While the Prevention Response is in the "Evaluation" stage, in the lower part of the window you will be able to see the "Original Request Information", the "Observations of the first evaluation", "First response information for prevention" or "CANCEL THE PROCEDURE".

For more information, see the "Withdraw or consult a procedure" section .

Note: Remember that **COFEPRIS-04-010** and **COFEPRIS-09-012** procedures in all thei<u>r modalities only have the opportunity for one prevention and, therefore, one response to prevention.</u>









Abbreviations

ÿ COFEPRIS: Federal Commission for the Protection against Sanitary Risks

ÿ CURP: Unique Population Registry Code ÿ WHO: World

Health Organization ÿ RFC: Federal Taxpayer

Registry

ÿ **RNEC:** National Registry of Clinical Trials ÿ **SAT:** Tax Administration System ÿ **TRDS:** Trial Registration Data

Set

