UNIVERSITYOF BIRMINGHAM

Clinical Trial Management

UoB QMS reference number: UoB-CLN-SOP-001

Purpose:

The purpose of this procedure is to explain how clinical trials should be conducted within the University of Birmingham (UoB). It maps out all aspects of clinical trial management, and explains how different departments within the UoB work together.

Scope:

All UoB staff members involved in clinical trials sponsored and managed by the UoB should follow this procedure, focussing on those aspects of this procedure that cover their day to day work. Where clinical trials are (co-)sponsored and/or (partially) managed by another institution, this procedure should be followed as far as possible.

Implementation plan:

| The initial implementation period has been set to 6 months to allow for the procedure to be embedd | led |
|--|-----|
| in the UoB structures, with the note that over this period of time all staff members should start to | |
| follow this procedure where possible. | |

| The | ereafter - |
|-----|--|
| | For new trials identified prior to any grant application, follow the processes from 'Idea' onwards. |
| | For trials in the phase of grant application, follow the processes from 'award receipt & distribution' onwards, and follow any previous processes as far as possible. |
| | For trials in their set up phase, ensure any regulatory requirements are met, follow the processes 'throughout the project' and onwards, and follow any previous processes as far as possible. |
| | For ongoing trials and trials in the closure phase, ensure any regulatory requirements are met, follow the process 'Amendments', and supply information to Sponsor as requested on the process map 'throughout the project'. |

Date of implementation:

01-Dec-2012

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Abbreviations and Definitions:

| Term | Description |
|--------------------|--|
| ARSAC | Administration of Radioactive Substances Advisory Committee |
| Chief Investigator | Chief Investigator means: (a) in relation to a clinical trial conducted at a single trial site, the investigator for that site (b) in relation to a clinical trial conducted at more than one trial site, the authorised health care professional (doctor, dentist, nurse or pharmacist), whether or not he is an investigator at any particular site, who takes primary responsibility for the conduct of the trial |
| СІ | See 'Chief Investigator' |
| Clinical research | Any health related research on humans. |
| Clinical study | Any health related research study on humans. This includes: Study administering questionnaires/interviews for quantitative analysis, or using mixed quantitative/qualitative methodology Study involving qualitative methods only Study limited to working with human tissue samples (or other human biological samples) and data (specific project only) Study limited to working with data (specific project only) |
| Clinical trial | For clinical trials using an Investigational Medicinal Product: Any investigation in human subjects intended to discover or verify the clinical, pharmacological and/or other pharmacodynamic effects of one or more investigational medicinal product(s), and/or to identify any adverse reactions to one or more investigational medicinal product(s) and/or to study absorption, distribution, metabolism and excretion of one or more investigational medicinal product(s) with the object of ascertaining its (their) safety and/or efficacy. For all other clinical trials: A set of procedures in medical research and drug development that are conducted to allow safety (or more specifically, information about adverse drug reactions and adverse effects of other treatments) and efficacy data to be collected for health interventions. Examples include devices, surgery and radiotherapy trials. |
| СТІМР | A Clinical Trial of an Investigational Medicinal Product |
| стос | Clinical Trials Oversight Committee |
| СТИ | Clinical Trials Unit |
| DSUR | Development Safety Update Report |
| ERN | Ethics Registration Number; an internal number assigned to a project following completion of a UoB Ethical Review of Research Self Assessment Form |
| IRAS | Integrated Research Application System; set up to streamline the research application process in the UK |
| IRMER | The Ionising Radiation (Medical Exposure) Regulations 2000 |
| LES | College of Life and Environmental Sciences |

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| MDS | College of Medical and Dental Sciences |
|---------------------------|--|
| NIHR | National Institute for Health Research |
| NIHR CSP | NIHR Coordinated System for gaining NHS Permission |
| PF2 / PF3 Form | Forms used by the Research Governance Team for request for Sponsorship |
| Pink Form | College of Medical and Dental Sciences Application for Research Grants and Contracts Approval Form; this is a college specific form that facilitates the review, approval and tracking of any new grant proposals and is commonly known as 'Pink Form'. Note: for trials set up in LES an equivalent form (or forms) are set up to ensure the same information is captured and reviewed. At the time of writing, the actual name of this form (or forms) is not yet known; please liaise with the LES Research Support Partner to obtain the latest information. |
| PI | See 'Principal Investigator' |
| Principal Investigator | The investigator is responsible for the conduct of a clinical trial at a trial site. If a trial is conducted by a team of individuals at a trial site, the investigator is the leader responsible for the team and may be called the Principal Investigator. |
| R&KT Office | Research & Knowledge Transfer Office |
| RA1 Form | Research Activation Form used by the Research Finance Office to document that an account has been set up and listing the account code. |
| REC | Research Ethics Committee |
| RG Number | Research Governance Number; the number that the Research Governance Team will assign to any project put forward for UoB Sponsorship |
| Research Facilitator | The Research Facilitator acts as the central contact point in project development, initiation and conduct. The Research Facilitator liaises with relevant contacts e.g. Finance Office, peer review and any other internal or external bodies which may be able to assist. Research Facilitators work closely with Head of School to ensure compliance with the UoB Code of Practice for research and other regulations especially with regard to more junior researchers or those working outside of a Clinical Trials Unit. Different Colleges may use different job titles for the same role. |
| SAE | Serious Adverse Event |
| SAF | UoB Ethical Review of Research Self Assessment Form |
| SUSAR | Suspected Unexpected Serious Adverse Reaction |
| UKCRN | UK Clinical Research Network |
| UoB | University of Birmingham |
| UoB CTU | One of the three UKCRN fully registered University of Birmingham Clinical Trials Units, i.e. Cancer Research UK Clinical Trials Unit (CRCTU), Birmingham Clinical Trials Unit (BCTU) or the Primary Care Clinical Research and Trials Unit (PC-CRTU). |
| UoB Lead | The UoB Lead is a (senior) person in the UoB who takes responsibility for the conduct and delivery of those parts of the study which are either carried out at or managed/overseen by the UoB. Normally this would be an academic researcher, but in some cases it may be a senior member of a UKCRC registered UoB CTU. |

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See also the Glossary of Terms.

Responsibilities:

Given the complexity of this procedure, a colour coding has been used to identify individuals/teams and their role in the procedure. Below is a summary of their responsibilities and the colour coding used for the individual/team.

Chief Investigator or delegate

The Chief Investigator (CI) is responsible for the initiation, conduct and completion of the clinical trial. They may however delegate tasks. Delegates may include trial team members, who may be based in a Clinical Trials Unit (CTU). Where the CI does not hold a contract with the UoB and the UoB takes on trial management, it would be expected they work together with a UoB Lead, who may also be delegated certain tasks.

Specific tasks are indicated in black.

Research Officer, Research Facilitator, Research Support Partner, College of Medical and Dental Sciences Research & Knowledge Transfer Office, Clinical Research Compliance Team

The College of Medical and Dental Sciences (MDS) Research & Knowledge Transfer (R&KT) Office provides practical support and guidance to researchers. Members of the office include the Research Officer (a central administrative post) and the Research Facilitators (who work closely together with the researchers). In the College of Life and Environmental Sciences (LES) the post of Research Officer is covered by the Research Support Partner, who also fulfils the role of Research Facilitator, alongside other LES Research Facilitators.

The Clinical Research Compliance Team also forms part of the MDS R&KT Office, and is responsible for developing an infrastructure for researchers involved in clinical trials. In addition, the team takes on responsibilities relating to Sponsor oversight such as audits and quality checks.

Specific tasks are indicated in red.

Research Governance Team

The Research Governance Team is responsible for Sponsorship decisions and confirmation of Sponsorship on behalf of the UoB, signing-off any applications for approval/authorisation as Sponsor representative, issuing Trial Specific Template Site Agreements, and for maintaining Sponsor oversight.

Specific tasks are indicated in light blue.

Research Finance Office

The Research Finance Office is responsible for providing staff costs and advice on funder rules for research applications, setting up trial accounts, and all other pre- and post award financial administration.

Specific tasks are indicated in purple.

Insurance Administrator / Insurance Office

The Insurance Administrator is responsible for processing any requests for clinical trial insurance, in liaison with the Insurance Office. The Insurance Office is responsible for the complete insurance portfolio within the UoB.

Specific tasks are indicated in dark green.

Research Ethics Team

The Research Ethics team is responsible for the operation of the University's internal ethical review processes, including the administration of the UoB Ethical Review of Research Self Assessment Form (SAF) and the co-ordination of applications requiring further review by an internal ethical review committee.

Specific tasks are indicated in dark blue.

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Research Contracts Team

The Research Contracts team is responsible for drafting, reviewing and negotiating contracts with funders and other collaborating parties, ensuring that the University and individual researchers are protected from contractual risks and liabilities. The team is also responsible for approving the final agreement for signing by an authorised signatory (usually the Deputy Director of Finance or Head of Research Support Group).

Specific tasks are indicated in orange.

Procedure:

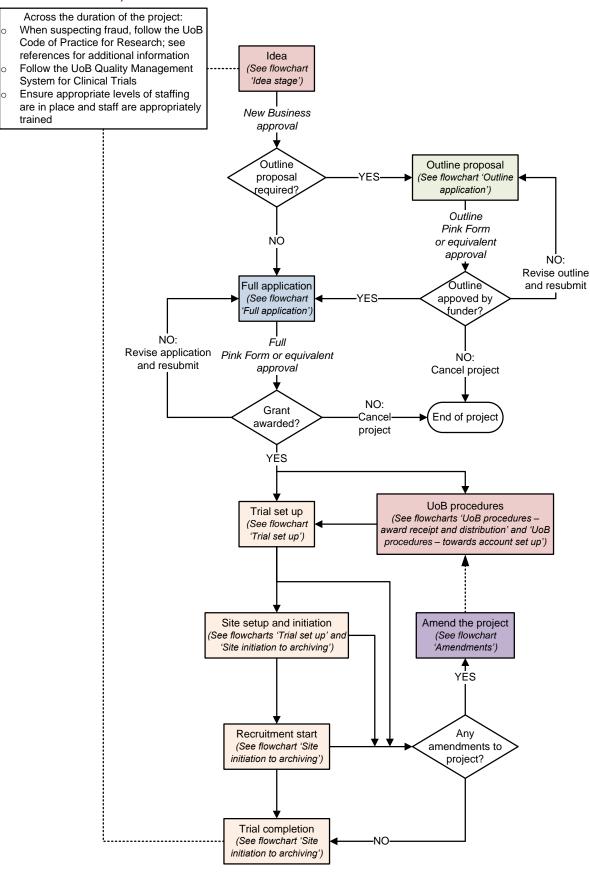
| Exp | planatory notes |
|-----|--|
| | The procedure consists of several flowcharts. The first flowchart is a summary; with each coloured box being detailed further in subsequent flowcharts. |
| | Throughout the document references are made to the Pink Form or equivalent. For trials set up in MDS a College of Medical and Dental Sciences Application for Research Grants and Contracts Approval Form must be completed; this is commonly known as the Pink Form. For trials set up in LES an equivalent form (or forms) is set up to ensure the same information is captured and reviewed. At the time of writing, the actual names of this form (or forms) is not yet known; please liaise with the LES Research Support Partner to obtain the latest information. |

☐ The flowcharts contain a few timelines. These are put in place where teams/offices within the UoB are responsible for undertaking specific tasks in the procedure; the timeline will give the CI and their team clarity as to when they can expect results.

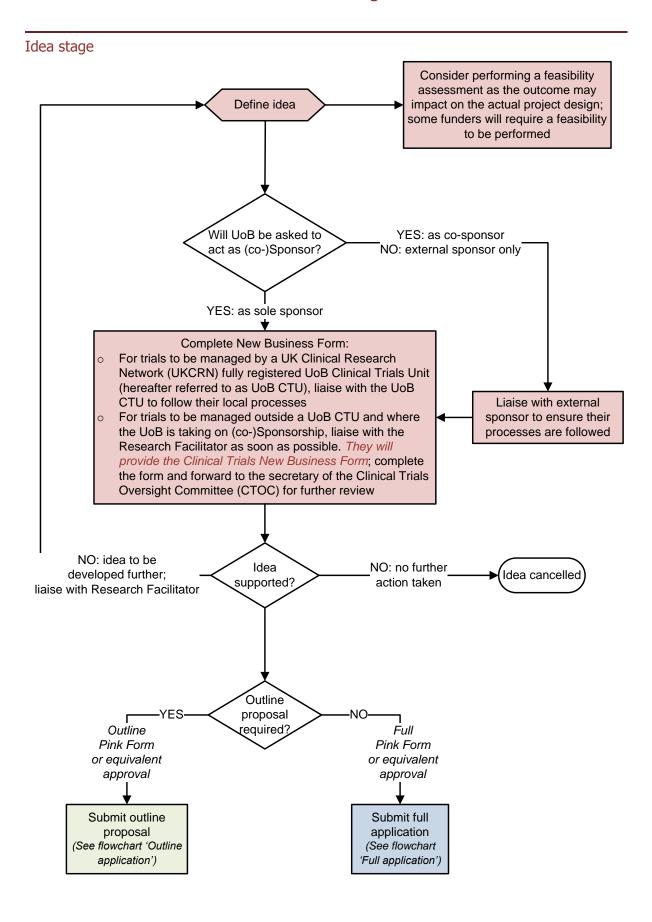
☐ Where (aspects of) this procedure are not followed, this has to be justified in writing and the justification kept in the Trial Master File.

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Procedure summary



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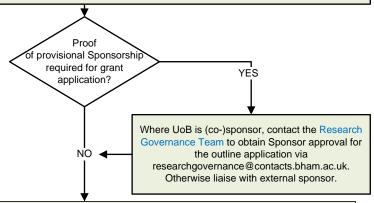


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Outline application



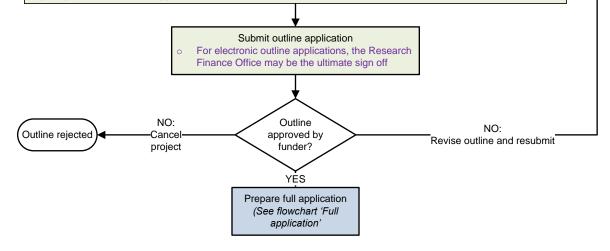
- Draft costing with Research Facilitator or UoB CTU and the Research Finance Office:
 - Include full Economic Costing if applicable
 - Use the costing template available from the Research Finance Office
 - For research involving the NHS, include service support costs and use the AcoRD costing guidelines; liaise with the local NHS Trust R&D department for cost calculations and allow for a 2 week review period
- Draft academic case for funding application; this may be part of the grant application form or pharmaceutical industry 'case for support form'
- Draft non-cost considerations with relevant Advisers; these are captured in the Pink Form or equivalent:
 - Research governance considerations
 - · Ethics considerations
 - Insurance/indemnity considerations
 - · Contracts considerations
 - · Facilities considerations
 - Shared equipment considerations
 - Infrastructure considerations
 - Laboratory aspects
- Complete outline Pink Form or equivalent, obtain local approvals and forward to the MDS R&KT Office or LES Research Support Partner for final College approval. The Pink Form or equivalent will prompt collection of local approvals.
- If applying to a different funder, inform the MDS Research Facilitator or LES Research Support Partner of any changes to the details as captured in the original Pink Form or equivalent; the MDS Research Facilitator/LES Research Support Partner will generate a copy of the form (which for the Pink Form will automatically be populated based on the original form) and will obtain any required local approvals.



Obtain local approvals; this may include:

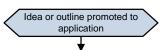
- o UoB Lead approval/signature
- Co-investigators approval/signatures
- Collaborators approval/signatures
- UoB CTU contact approval/signature
- o Head of School approval/signature
- College approval/signatures
- Research Finance Office approval/signature (mandatory for all applications)

The grant application form will prompt collection of relevant approvals, In addition, for Pink Form or equivalent will prompt collection of local approvals.

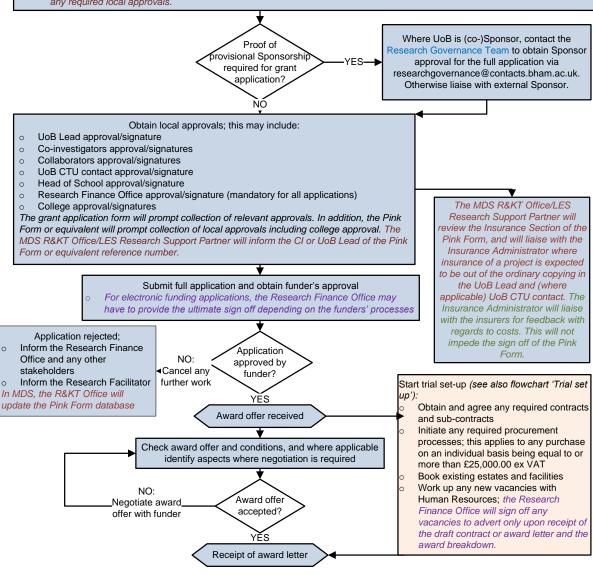


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Full application



- Finalise costing with Research Facilitator or UoB CTU and the Research Finance Office,
 - Include full Economic Costing if applicable
 - Use the costing template available from the Research Finance Office
 - For research involving the NHS, include service support costs and use the AcoRD costing guidelines; liaise with the local NHS
 Trust R&D department for cost calculations and allow for a 2 week review period
- Finalise academic case for funding application; this may be part of the grant application form or pharmaceutical industry 'case for support form'. Include assessment if trial is feasible/sites are interested
- Finalise non-cost considerations with relevant Advisers; the non-costing considerations are captured in the Pink Form or equivalent:
 - Research governance considerations
 - Ethics considerations
 - Insurance/indemnity considerations
 - Contracts considerations
 - Facilities considerations
 - Shared equipment considerations
 - Infrastructure considerations
 - Laboratory aspects
- Complete the full Pink Form or equivalent
 - If the full Pink Form follows on from an outline Pink Form, the information from the outline Pink Form will automatically transfer into the full Pink Form.
 - If applying to different funder, inform the MDS Research Facilitator or LES Research Support Partner of any changes to the
 details as captured in the original Pink Form or equivalent; the MDS Research Facilitator/LES Research Support Partner will
 generate a copy of the form (which for the Pink Form will automatically be populated based on the original form) and will obtain
 any required local approvals.



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UoB procedures – award receipt and distribution

Receipt of award letter by CI/UoB Lead with possibly a copy to Research Finance Office

- Forward the award letter to the Research Finance Office contact; note that in MDS the Research
 Facilitator will know the contact details. If possible, include the Pink Form or equivalent reference
 number.
- For LES trials, forward the award letter to the LES Research Support Partner
- Ensure the sections in Pink Form under headings 'Proposed Study Form', 'Clinical Trial Form' and 'Insurance Form' or equivalent are up to date, and inform MDS Research Officer/LES Research Support Partner accordingly
- For trials that are to be externally sponsored, confirm to the MDS Research Officer/LES Research Support Partner as to who will take on external sponsorship

For MDS trials only:

Upon receipt of the award letter, the Research Finance Office will send an E-mail to the MDS Research Officer within two working days with a copy to the CI (if UoB employee) or UoB Lead and the Research Facilitator:

- Informing of the grant being awarded
- Requesting if project is a clinical trial
- Requesting if sponsorship is required
- Reminding the CI/UoB Lead to complete the UoB SAF
- Including the Pink Form reference number

The Research Facilitator will check the 'Funding value awarded' on the Pink Form and update the Pink Form where required. The UoB CTU may also update the Pink Form; where this is the case, the UoB CTU will send a confirmation Email to the Research Facilitator.

Within 5 working days of receipt of the E-mail from the Cl/UoB Lead or delegate confirming the Pink Form or equivalent is up to date, and for MDS an E-mail receipt of the Research Finance Office and for LES receipt of the award letter, the MDS Research Officer/LES Research Support Partner will:

- For MDS trials to be (co-)Sponsored by the UoB, extract the Sponsorship Request Form from within the Pink Form
 or for trials to be sponsored externally, obtain confirmation from the UoB Lead which external institution will take on
 sponsorship
- Review the Insurance Questionnaire as captured in the Pink Form or equivalent and either confirm automatic insurance cover, or extract the Insurance Questionnaire
- Forward any relevant sections relating to translational research to the laboratory GCP advisor (if applicable)
- Send E-mail to the Research Finance Office, with copy to Cl, UoB Lead, Trial Coordinator, Research Facilitator and Research Governance Team (researchgovernance @contacts.bham.ac.uk)
 - Confirming it is a clinical trial
 - Confirming need for Sponsorship:
 - For UoB (co-)Sponsored trials, attaching the Sponsorship Application Form and the CI Declaration Form with instructions for the CI (if internally) or UoB Lead (if CI is external) to sign the CI Declaration Form, have the Head of School sign this form and forward this to the Research Governance Team
 - For externally sponsored trials, forwarding the confirmation from the UoB CTU/UoB Lead as to who will take on sponsorship
 - Either confirm automatic insurance cover, or explain need for referral to Insurance Administrator and forward the Insurance Questionnaire and outline proposal (e.g. grant application form) to the Insurance Administrator
 - For LES trials only, reminding the CI/UoB Lead to complete the SAF

See Flowchart 'UoB Procedures – towards account set up'

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UoB procedures – towards account set up Continue from previous flowchart **UoB Ethics review** Complete UoB SAF. Note that where CI does not have a UoB contract, the UoB Lead Continue project set up: completes the SAF, otherwise the CI completes the SAF. (Note extra administrative (see also flowchart 'Trial set up') contacts can be added in the E-mail box within the SAF using a semicolon between the Email addresses.) Consider arranging a meeting/meetings with key personnel within the UoB to The Research Ethics Team will create an Ethics Registration Number (ERN), and will discuss the project in more detail with the aim to create clarity for all parties of what inform the applicant (and any other contacts added in the E-mail box), the Research is expected of them. Examples include: Trials with complex 3rd party(ies) set Finance Office and Research Governance Team within 3 working days. Arrange for sponsorship up - liaise with representative of the Where working with an external (co-)Sponsor, follow their local procedures Research Contracts Team, the For UoB (co-)Sponsored trials this is done automatically via the Pink Form or Research Governance Team and (for equivalent. Note that where a PF2 or PF3 form is completed, the Research contracts/agreements with a financial Governance Team will forward the form to the MDS Research Officer/LES Research aspect) the Research Finance Office Support Partner who will combine the information with the Pink Form, and will forward Complex trials, e.g. international for processing as indicated in the previous flowchart. trials or trials where the Investigational Medicinal Product is manufactured locally - liaise with a The Research Governance Team will ascertain if provisional (co-)Sponsorship can be provided. If not, they will liaise with the CI/UoB Lead to resolve any issues. If provisional representative of the Research sponsorship can be provided, they will: Governance Team and the Clinical Assign a Research Governance (RG) number to the project Research Compliance Team or Send a provisional sponsorship letter quoting the RG number via E-mail to the CI, UoB Lead, Trial Coordinator, Research Officer, Research Finance Office, Research Facilitator and the Insurance Administrator within 3 working days Assess if insurance/indemnity cover can be obtained: This process has been started by the MDS Research Officer/LES Research Support Partner (see previous flowchart). Research Finance Office will set up an The Insurance Administrator will: Within 3 working days of receipt of the completed Insurance Questionnaire forward is no contract: this to the UoB insurers requesting availability of insurance Award letter Provide the CI and/or UoB Lead, Trial Coordinator, Research Officer, Research Award breakdown Finance Office, Research Facilitator and the Research Governance Team (typically RG number and/or confirmation of via reply to the original E-mail) within 10 working days of forwarding the Insurance Questionnaire to the insurers of an update, and at least monthly thereafter until clarity Notification of completed Self is given if insurance cover can be obtained Assessment Form and Ethics Confirm insurance cover can be obtained with the CI and/or UoB Lead, Trial Registration Number and Coordinator, Research Officer, Research Finance Office, Research Facilitator and the Confirmation that insurance can be Research Governance Team (typically via reply to the original E-mail) obtained

Arrange for funding related contracts/agreements to be put in place

Complete a 'Request for contract services' form as far as possible, including a template for Site Agreements, and for external Sponsors requesting a Delegation of Sponsor Duties Agreement and forward to the Research Contracts Team via newcontracts@contacts.bham.ac.uk; see also the Research and Commercial Services website. For funding related contracts/ agreements initiated by third parties, ensure to progress them until receipt, and upon receipt, forward these to the Research Contracts

The Research Contracts Team will develop the required contracts and agreements in consultation with the Research Governance Team where required; a first draft is sent vithin 12 working days of receiving the completed 'Request for contract services' form. Jpon agreement by the external party, the Research Contracts Team will forward the unding related contracts/agreements to the Research Finance Office. The Research Finance Office will arrange for sign off of the funding related contracts/agreements upon receipt of:

- RG number and/or confirmation of external Sponsor
- Notification of completed SAF and ERN
- Confirmation that insurance can be obtained

The Research Finance Office will forward the electronic version of the funding related contract within 2 working days of receipt to the CI and/or UoB lead, Trial Coordinator, Research Facilitator, Research Contracts Officer and Research Governance Team

account within 5 working days from receipt of a fully signed contract or in case there

They will send out a Research Activation (RA1) form to the CI and/or UoB Lead Trial Coordinator, MDS Research Officer or LES Research Support Partner, Research Contracts Office, Research Facilitator, Research Governance Team. Head of School and relevant administrative staff to inform them of the account number within 5 working days of account being set up.

Note that when other awards are received for the same project, the Research Finance Office can link these awards. In this case ensure to inform the Research Finance Office at the moment the grant is awarded as they need the 5 digit project number.

Continue the recruitment process of new staff as appropriate

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Trial set up

Receipt of award letter by CI/UoB Lead (continued)

Arrange for external peer review where this was not part of the review process of the funding body

Start risk assessment process

- For gene therapy trials ensure a gene therapy specific risk assessment is performed, including liaising with the Biological Safety Officer
- For Clinical Trials using Investigational Medicinal Products (CTIMPs), refer to the MHRA Risk-adapted Approaches to the Management of CTIMPS; see references

Develop documents required for approval/authorisation:

- For CTIMPS, obtain EudraCT number
- Register trial on public registry
- Documents to be handed out to subjects, e.g. Quality of Life questionnaires and
- Patient Information Sheet, Informed Consent Form, GP Letter

Apply for insurance

Forward any finalised Information Sheets/ Consent Forms and Protocols to the Insurance Administrator, together with the expected recruitment start date and trial completion date and a clarification as to whether or not the UoB only takes on a Coordinating Centre role, and if so, who is the Sponsor.

Within 3 working days following receipt of the above listed documents/info, the Insurance Administrator will liaise with the UoB Insurers to formalise insurance cover and will send updates to stakeholders listed below of any progress at least every 3 working days thereafter upon receipt of the insurance confirmation. The Insurance Administrator will forward the insurance confirmation within 3 working days of receipt to the CI and/or UoB Lead, Trial Coordinator, Research Officer, Research Facilitator and the Research Governance Team

Obtain approvals/authorisation:

- Apply for UK National Institute for Health Research (NIHR) portfolio adoption using the portfolio adoption form. If accepted apply for approvals using the Coordinated System for gaining NHS Permission (NIHR CSP)
- Clinical Trial Authorisation for CTIMPs
- Research Ethics Committee (REC) approval
- R&D approval; consider obtaining NHS permissions in a phased approach to facilitate the NIHR networks being able to obtain the set target of having the first patient in the trial 30 days after obtaining NHS permission
- Consider Administration of Radioactive Substances Advisory Committee (ARSAC) / The Ionising Radiation (Medical Exposure) Regulations 2000 (IRMER) requirements

When using the Integrated Research Application System (IRAS) for obtaining approvals/authorisations, submit the form for authorisation, and only following authorisation register the application with the ethics committee for review and add the ethics reference number to the application form. For UoB Sponsored trials, the Research Governance Team will perform an initial review of the project and sign or respond to the application forms as UoB Sponsor representatives within 10 working days of receiving the application via the Integrated Research Application System (IRAS); where further updates are required, these will be reviewed within 3 working days of receipt of the updates. For external (co-)Sponsors, UoB staff may be able to sign as Sponsor representative; this has to be formally documented e.g. in a Delegation of Sponsor Duties agreement

- Engage the NIHR Coordinated Network Support Service (see references for contact details); note this can be done prior to portfolio adoption
- Set up trial supplies and labelling procedures
- Set up human tissue collection procedures where applicable; see references for further guidance
- Where primary or secondary endpoints are to be assessed in research labs, consider the need for the research laboratory to work in line with the MHRA guidance for Good Clinical Practice in the laboratory; see references
- Set up a Data Monitoring Committee where appropriate
- Set up other committees as appropriate, e.g. Trial Steering Committee, Trial Management Group
- Set up a Trial Master File and Investigator Site Files, for CTIMPs referring to the EC Recommendation of the content of the Trial Master File and Archiving; see references
- Develop Case Report Forms
- Consider setting up databases and tracking
 - Ensure the following topics are covered either in SOPs, trial specific guidelines or in the protocol:
 - Plan for statistical analysis where applicable
 - Management of trial quality, including monitoring and quality checks
 - 24 hour emergency coverage procedures (site/coordinating centre)
 - **Unblinding procedures**
 - Registration/Randomisation procedures
 - Pharmacovigilance procedures
 - Finalise procurement processes as required
- Finalise booking of Estates and Facilities as
- Where UoB substantive post holders perform clinical management roles in a trust, ensure that appropriate trust honorary attachments are in
- Site selection and initial training

Ensure sponsorship has been confirmed

- For external Sponsor, follow their local processes
- Where an external organisation and UoB are co-sponsors, and for trials solely sponsored by the UoB, ensure REC approval and for CTIMPs Competent Authority authorisation are copied onto the Research Governance Team on receipt to enable them to confirm UoB sponsorship.

The Research Governance Team will send the Sponsorship confirmation letter (detailing the date the insurance is due to start) via E-mail to the CI, UoB Lead, Trial Coordinator, Research Officer, Research Finance Office, Research Facilitator and the Insurance Administrator within 3 working days of receipt of REC approval, fully signed CI declaration, insurance confirmation and for CTIMPs, Competent Authority authorisation

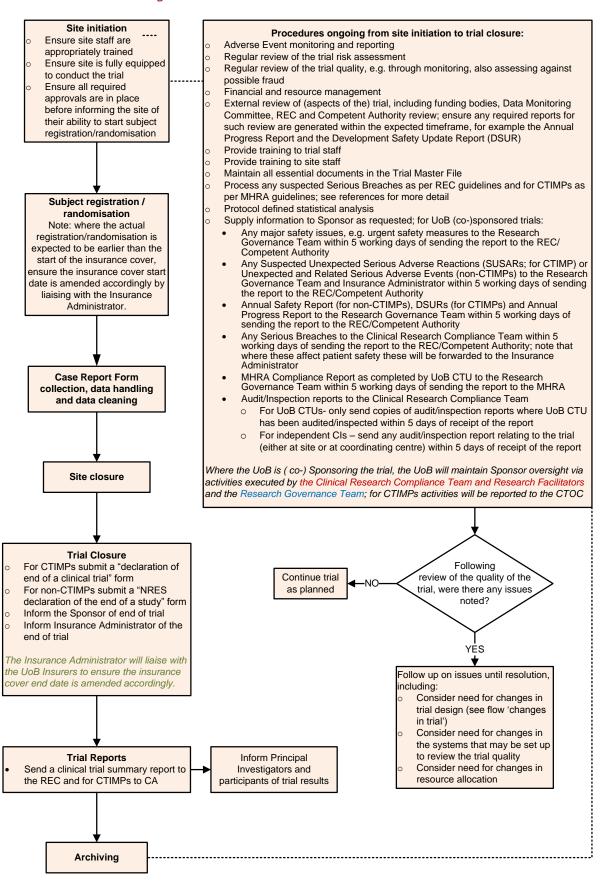
Site set up

- Including finalising the Clinical Trial Agreement(s), also known as 'Clinical Study Site Agreement' or 'Site PI Agreement'
- Provide training to site staff

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Site initiation to archiving



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Amendments Changes in the trial or its organisation Consider how the changes in the trial will impact on previously agreed resources, roles and procedures Review the Risk Sponsorship, e.g. change of external Sponsor or UK CI location Assessment and update Insurance and Indemnity cover 0 where required Contracts and agreements 0 Trial supplies and labelling procedures 0 Human tissue collection procedures Primary/secondary endpoint assessments performed in a research laboratory If required, update funding and finance: Perform Costing as covered in flowchart 'full application' Note that for additional funding requests in MDS a copy of the original Pink Form can be used Note that when other awards are received for the same project, the Research Finance Office can link these awards; 0 in this case inform the Research Finance Office accordingly. If required, update documents required for REC approval/Competent Authority authorisation and obtain approval/authorisation, e.g.: Protocol Information Sheet and Consent Form **GP** Letter 0 Documents handed out to patients, e.g. Quality of Life questionnaires and diaries If required, update information on the following topics either in trial specific guidelines or in the protocol: o Plan for statistical analysis Management of trial quality, including monitoring, quality checks, ... 24 hour emergency coverage procedures (site/coordinating centre) Unblinding procedures Registration/Randomisation procedures If required, update data collection tools: o Case Report Form Trial Master File and Investigator Site File Serious Adverse Event form Registration/Randomisation procedures If required, update/archive/add any contracts/agreements as appropriate, including the Clinical Trial Agreement (also known as 'Clinical Study Site Agreement' or 'Site PI Agreement'. Ensure relevant parties are informed as required, including but not limited o Sites, e.g. Following protocol amendment, amendment to Information Sheet

Ensure relevant parties are informed as required, including but not limited to: Sites, e.g. Following protocol amendment, amendment to Information Sheet and Consent Form, changes to the Case Report Form Sponsor, e.g. protocol amendment For UoB Sponsored trials, the Research Governance Team will perform a review of the project and sign or respond to any amendment forms as UoB Sponsor representatives within 3 working days

of receiving the application via IRAS.

UoB Insurance Administrator following:

- Change in number of patients to be recruited
- Changes to treatment and/or treatment schedule
- Expansion to other (newly identified) countries
- Expansion of the eligibility criteria now to include pregnant women
- Expansion of the eligibility criteria now to include under 5 year olds

Note that changes in the trial may impact the fees for the insurance cover. Obtain confirmation of the Insurance Administrator following any relevant changes as this will ensure appropriate cover is still in place.

Provide additional training:

Staff

Site staff

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Related documents: Links below were correct at time of writing: ☐ Clinical Trials New Business Form: available from the Research Facilitator or equivalent ☐ Costing template: available from the Research Finance Office ☐ College of Medical and Dental Sciences Application for Research Grants and Contracts Approval Form (Pink Form): http://intramed.bham.ac.uk/Login.aspx?ReturnUrl=%2fdefault.aspx ☐ Sponsorship Application Form (PF2 and PF3) and the CI Declaration Form: https://intranet.birmingham.ac.uk/finance/accounting/Research-Support-Group/Research-Governance/UoB-Sponsorship.aspx □ UoB SAF: https://intranet.birmingham.ac.uk/finance/accounting/Research-Support-Group/Research-Ethics/Ethical-Review-Forms.aspx ☐ Insurance Questionnaire: https://intranet.birmingham.ac.uk/finance/insurance/Clinical-Trials.aspx □ Request for Contract Services. https://intranet.birmingham.ac.uk/finance/accounting/Research-Support-Group/Contracts/Request-a-Contract.aspx ☐ MHRA Template for Serious Breaches http://www.mhra.gov.uk/Howweregulate/Medicines/Inspectionandstandards/GoodClinicalPract ice/News/CON084915 □ DSUR Template can be obtained from the Clinical Research Compliance Team and the Research Governance Team ☐ Annual Progress Report (of NRES). http://www.nres.nhs.uk/applications/after-ethicalreview/annual-progress-reports/ □ Declaration of end of a Clinical Trial Form. http://www.nres.nhs.uk/applications/after-ethical-right review/endofstudy/ □ NRES Declaration of the end of a Clinical Study Form. http://www.nres.nhs.uk/applications/after-ethical-review/endofstudy/ References: □ Department of Health. (2012, May 04). Attributing the costs of health and social care Research & Development (AcoRD). Retrieved October 15, 2012, from DoH Publications Policy and Guidance: http://www.dh.gov.uk/prod_consum_dh/groups/dh_digitalassets/@dh/@en/documents/digitala sset/dh 133883.pdf ☐ European Committee. (2006, July). Recommendation of the content of the Trial Master File and Archiving. Retrieved September 10, 2012, from http://ec.europa.eu/health/files/eudralex/vol-10/v10 chap5 en.pdf MHRA. (2009, July). Good Clinical Practice Guidance on the maintenance of regulatory compliance in laboratories that perform the analysis or evaluation of clinical trial samples. Retrieved September 13, 2012, from http://www.mhra.gov.uk/home/groups/isinsp/documents/websiteresources/con051910.pdf MHRA. (2011, October 10). Risk-adapted Approaches to the Management of Clinical Trials of Investigational Medicinal Products. Retrieved February 21, 2012, from http://www.mhra.gov.uk/home/groups/l-ctu/documents/websiteresources/con111784.pdf □ NIHR CRN CC. (2012). Coordinated Network Support Service (previously known as the Lead Network Service). Retrieved September 10, 2012, from http://www.crncc.nihr.ac.uk/about_us/ccrn/bbc/rmg/Coordinated+Network+Support+Service University of Birmingham. (2011-2012). Code of Practice for Research. Retrieved March 20, 2012, from http://www.birmingham.ac.uk/Documents/university/legal/research.pdf

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See also the Clinical Trials Quality Manual for references to the applicable regulations and (inter)national guidance relating to clinical trials.

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