SOP Number 011
SOP Title Applications, Amendments and Reporting

<table>
<thead>
<tr>
<th>Name</th>
<th>Title</th>
<th>Signature</th>
<th>Date</th>
</tr>
</thead>
<tbody>
<tr>
<td>Author</td>
<td>Clare Riddle Senior Quality Assurance and Compliance Manager, Clinical Trials and Research Governance</td>
<td></td>
<td>02-JUNE-2015</td>
</tr>
<tr>
<td>Reviewer</td>
<td>Elaine Chick Deputy Head of Clinical Trials and Research Governance</td>
<td></td>
<td>02-JUNE-2015</td>
</tr>
<tr>
<td>Authoriser</td>
<td>Heather House Head of Clinical Trials and Research Governance</td>
<td></td>
<td>02/06/2015</td>
</tr>
</tbody>
</table>

Effective Date 02-JULY-2015
Review Date 01-JULY-2018

NB If using a printed copy of this SOP, you must ensure that it is the latest approved version by checking it against the original available on the CTRG website (http://www.admin.ox.ac.uk/researchsupport/ctrgr/)
1. **PURPOSE**

The purpose of this SOP is to describe the procedures for the submission and maintaining of clinical research information to the Competent Authority (CA), Research Ethics Committee (REC), and relevant host organisation.

2. **INTRODUCTION**

Clinical research requires approval from organisations, depending on the nature of the research, location, personnel and resources involved:

- **Competent Authority** - Any clinical trial which falls within the scope of relevant national regulations usually requires authorisation from the Competent Authority or national equivalent.

- **Research Ethics Committee** – For most clinical studies in human participants, the approval of a Research Ethics Committee (REC) must be sought. In certain jurisdictions, Competent Authority approval may include ethical approval.

- **Host organisation** – Studies involving patients, data, staff or facilities may require local approval of the host organisation.

As the process and regulatory environment are variable across different geographies, this SOP aims to reflect considerations which are generally applicable. As the requirements of individual bodies are variable, it is essential to refer to their specific requirements.

3. **SCOPE**

The scope of this procedure is for all clinical research including CTIMPs and device trials conducted under the auspices of the University of Oxford, but may also be used for other research studies at the discretion of the unit and the Sponsor.

4. **DEFINITIONS**

**Competent Authority / National Equivalent**
National regulatory body responsible for review, comment and approval of clinical trials, where applicable.

**Research Ethics Committee (REC)**
Independent body responsible for ensuring the protection of the rights, safety and wellbeing of participants in clinical research, and for review, comment and approval of clinical research. The equivalent body in the United States of America would be referred to as the Institutional Review Board (IRB).

**Host Organisation**
The Organisation / Institution (eg hospital, clinic, general practice) responsible for the facility/site where the clinical research is to be conducted.

NB If using a printed copy of this SOP, you must ensure that it is the latest approved version by checking it against the original available on the CTRG website (http://www.admin.ox.ac.uk/researchsupport/ctr/)
EudraCT
Central database of clinical trials conducted in any European member state, hosted by the European Medicines Agency.

Substantial Amendment
An amendment to the terms of the application, or to the protocol or any other supporting documentation, that is likely to affect to a significant degree:
- the safety or physical or mental integrity of the participants of the study;
- the scientific value of the study;
- the conduct or management of the study; or
- the quality or safety of any IMP used.
Any amendment not falling within the definition will be considered to be non-substantial.

5. RESPONSIBILITIES

Chief Investigator or Delegate
Preparation, quality review and submission of the protocol and all required supporting documents and any subsequent amendments. Following Sponsor approval, submission of these documents to relevant bodies. Submission of Annual Progress Reports (APR) and Development Safety Update Reports (DSUR) to Sponsor and relevant bodies.

Sponsor
Review and approval of submitted documentation, together with continued oversight of progress.

6. SPECIFIC PROCEDURE

6.1 Applications
Applications should be in compliance with applicable local laws and regulations.
For EU trials, a EudraCT number must be obtained. This should then be used in applications. The REC application, Competent Authority and host organisation application and associated documents should be checked for consistency and coherence, and approved by the Sponsor before the applications and relevant associated documents are signed by the Chief Investigator.
All documents will be version controlled.

6.2 Submission package
The requirements of each relevant body with regard to submission package will vary, and each body should be consulted accordingly, both in terms of content and submission procedures.

The package will typically (but not exhaustively) include:-
Study-specific documentation, eg protocol.
Information relating to the IMP, eg IMPD, IB or SmPC
Patient-facing documents, eg Participant Information Sheet, Informed Consent Form

NB If using a printed copy of this SOP, you must ensure that it is the latest approved version by checking it against the original available on the CTRG website (http://www.admin.ox.ac.uk/researchsupport/ctrug/)
6.3 Response, Notifications and Approvals

Favourable opinions or approvals must be received in writing from all relevant bodies before study-related procedures may begin. Any queries or requirements by any appropriate body should be resolved to the satisfaction of the relevant body and the Sponsor. Such opinions and approvals must be filed appropriately in the Trial Master File, and maintained and updated in the event of subsequent amendments.

6.4 Amendments

Following review and approval by the Sponsor, submission of a notification of a substantial amendment must be made to the relevant bodies. Also required will be a description of, and reasons for, the amendment, and copies of the amended documents. Further information is available on the websites of relevant bodies.

Non-substantial amendments should be recorded and may be required to be notified to the host organisation and Sponsor, according to local requirements.

6.5 Reporting

The CI shall submit throughout the study, and on request, progress reports to the relevant bodies and the Sponsor according to their requirements. These may include Annual Progress Reports (APRs) and Developmental Safety Update Reports (DSURs).

6.6 At the end of the study

An End of Study notification or early termination report will be submitted to the relevant bodies including Sponsor in compliance with country-specific requirements and timelines.

A final report and/or publication will be submitted to relevant bodies including Sponsor according to their country-specific requirements and timelines.

7. RELATED DOCUMENTS

University of Oxford Core SOP 002 - Protocol Development

8. REFERENCES

EudraCT: https://www.eudract.ema.europa.eu/eudract-web/index.faces
ICH Tripartite Guideline For Good Clinical Practice, 1996
EU Clinical Trial Directive 2001/20/EC

9. CHANGE HISTORY

<table>
<thead>
<tr>
<th>Version No.</th>
<th>Effective Date</th>
<th>Significant Changes</th>
<th>Previous Version No.</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
</tbody>
</table>

NB If using a printed copy of this SOP, you must ensure that it is the latest approved version by checking it against the original available on the CTRG website (http://www.admin.ox.ac.uk/researchsupport/ctrgr/)