Standard Operating Procedure

UHBW SPONSORED RESEARCH AMENDMENTS

SETTING Trust-wide

AUDIENCE Research staff submitting research study amendments for UHBW sponsored research and Research & Development (R&D) staff processing UHBW sponsored research amendments

ISSUE To describe the process of preparing, submitting, and implementing research study amendments for UHBW sponsored research

QUERIES Contact Research & Development department on 0117 34 20233 or research@uhbw.nhs.uk

Document History

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Effective Date	25/OCT/2024	**Review Date**	25/OCT/2026

Review date	Version number	Version date	Effective date	Author/ Reviewer	Authorised by
N/A	1.0	08/JAN/2018	14/FEB/2018	Jess Bisset	Diana Benton
SEP/2020	1.1	21/SEP/2020	08/OCT/2020	Sarah Bishop Katharine Wale	Jess Bisset
SEP/2022	2.0	03/OCT/2022	21/NOV/2022	Katharine Wale	Diana Benton on behalf of Trust Research Group
FEB/2023	2.1	20/FEB/2023	01/APR/2023	Lucy Riddolls	Nicola Manning
OCT/2024	2.2	18/OCT/2024	25/OCT/2024	Sandra Mulligan	Jess Bisset

Version Number	Reason for change
Original V1.0	N/A – original
V1.1	Minor updates as part of biennial review.
V2.0	Major updates to national requirements and minor clarifications of R&D internal processes.
V2.1	Departmental name change from Research & Innovation to Research & Development. Updated throughout SOP as a minor amendment.
V2.2	Minor updates as part of biennial review.

1. Introduction

During the course of a research study, it may become necessary to amend study specific documents and processes. Amendments can be classified as substantial/major or non-substantial/minor amendments. It is the responsibility of the sponsor to determine the classification of a proposed amendment.

The type of amendment, the type of study and where the study is being delivered will all determine which approvals are required and the processes to be followed before the amendment can be implemented.

All participating sites must be using the latest approved versions of study documents. Any amendments required due to urgent safety measures can be implemented immediately (prior to regulatory review) following the procedure described in *SOP_009 Research Safety Reporting*.

2. Purpose

This SOP is to describe the processes for both research staff and R&D staff in preparing, reviewing, submitting, and implementing amendments for UHBW sponsored research.

3. Scope

In Scope: Research staff preparing and submitting amendments for UHBW sponsored research. R&D staff reviewing, authorising, and facilitating amendment implementation for UHBW sponsored research.

Out of scope: Research staff preparing and submitting amendments for externally sponsored research (please refer to *SOP_020 UHBW hosted research amendments*).

4. Responsibilities

Research staff are responsible for preparing amended study documents and submitting them to R&DSponsorship@uhbw.nhs.uk for sponsor review and authorisation. Research staff are also responsible for submission of authorised amendments to required regulatory authorities and participating sites.

R&D staff are responsible for reviewing amended study documents received into R&DSponsorship@uhbw.nhs.uk and classifying amendments as substantial or non-substantial. R&D staff are responsible for authorising the amendment and facilitating the submission process by providing necessary guidance to research staff on required processes.

5. Abbreviations and Definitions

Abbreviations	
ARSAC	Administration of Radioactive Substances Advisory Committee
CWoW	Combined Ways of Working (a new part of IRAS)
CTIMP	Clinical Trial of an Investigational Medicinal Product
HRA	Health Research Authority
IRAS	Integrated Research Application System
MHRA	Medicines for Healthcare products Regulatory Agency
REC	Research Ethics Committee
R & D	Research and Development
RMF	Research Management Facilitator
RPM	Research Projects Manager (Sponsored Trials)
SMT	Senior Management Team
TMF	Trial Master File

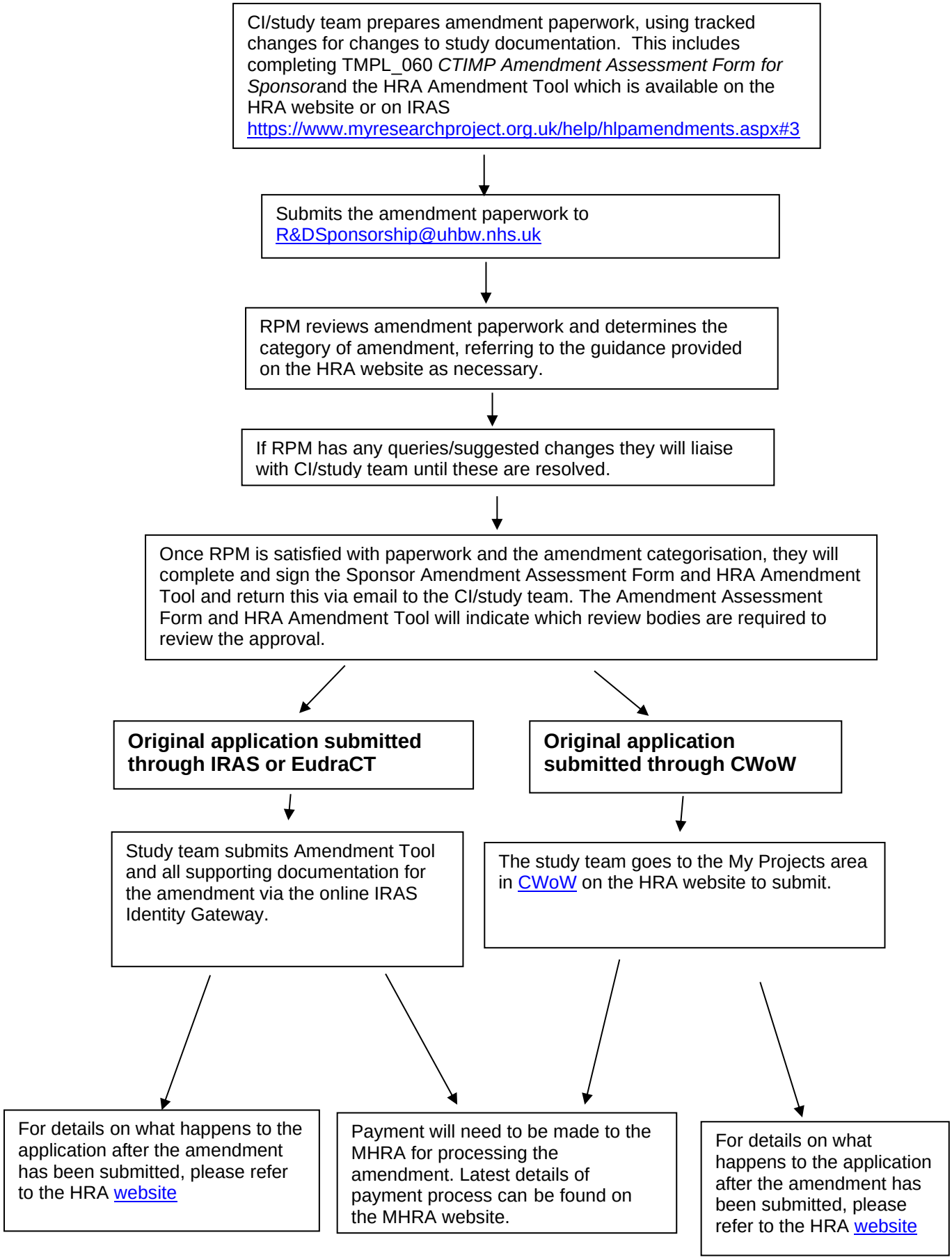
Definitions	
Amendment Category A	Implications for, or affects, all participating NHS/HSC organisations hosting the research project.
Amendment Category B	Implications for, or affects, specific participating NHS/HSC organisations hosting the research project.
Amendment Category C	No implications that require management or oversight by the participating NHS/HSC organisations hosting the research project. However, the amendment should still be submitted for information.
Substantial Amendment	A substantial amendment is a change to the terms of the request for clinical trial authorisation or the ethics committee favourable opinion, or to the accompanying particulars or documents, which significantly affects one of the following: • The safety or physical or mental integrity of study participants • The conduct or management of the study • The scientific value of the study • The quality or safety of any investigational medicinal product used in the study The addition of a new NHS site or a new PI is classified as a non-substantial amendment for both CTIMPs and non-CTIMPs.

6. Procedure

6.1 Submission of amendment to sponsor

- The following flowcharts (A & B) describe the procedure for submission of amendments to UHBW as sponsor, depending on study type (CTIMP or non-CTIMP). Please note sponsor assessment of the amendment must take place prior to submission of the amendment to regulatory authorities.
- The flowcharts below describe the most common amendment processes required. However, depending on study type, it may also be necessary to submit amendments to other regulatory bodies for approval, for example (not an exhaustive list):
    - MHRA Devices
    - Confidentiality Advisory Group
    - ARSAC
- During sponsor assessment of the amendment the applicable personnel in R&D will provide further guidance on amendment processes not described in this SOP.

Flowchart A – Submission process of Amendments for UHBW sponsored CTIMPs



Flowchart B – Submission process of Amendments for UHBW sponsored non-CTIMPs

CI/study team prepares substantial amendment paperwork using tracked changes. This includes completing the HRA Amendment Tool which is available on the HRA website or on IRAS https://www.myresearchproject.org.uk/help/hlpamendments.aspx#3

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CI/study team submits all amended paperwork to R&DSponsorship@uhbw.nhs.uk where it is picked up by the RPM or allocated RMF. The cover email should provide a brief summary of the reasons for the amendment and, where applicable, that staffing and financial resources are available to support the amendment.

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RPM/RMF reviews amendment paperwork and assesses whether the amendment is substantial using the guidance provided on the HRA website.

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If the RPM/RMF is unclear on whether the amendment is substantial, they will seek advice from a member of the Senior Management Team (SMT) in R&D

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If RPM/RMF has any queries/suggested changes they will liaise with CI/study team until these are resolved.

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When RPM/RMF is satisfied with the paperwork they will review and lock the HRA Amendment tool for submission, will email confirmation to the CI/study team that the sponsor authorises the amendment to be submitted and will confirm whether it is classified as substantial or non-substantial.

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CI/study team submit locked Amendment Tool and the amended documents via online amendment submission in IRAS.

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For details on the REC & HRA process once the amendment is received, please refer to the HRA website

Submission of amendment for HRA/ethics and regulatory approvals

- Submission of amendments is delegated by the sponsor to the trial management team. Further information on how the REC and HRA and regulatory authorities process amendments can be found on the HRA website: https://www.hra.nhs.uk/approvals-amendments/amending-approval/ Please refer to the website for latest guidance.
- For amendments requiring MHRA approval, the submission process will depend on the platform used for the initial clinical trial application. Please refer to the latest guidance on the IRAS help pages: https://www.myresearchproject.org.uk/help/hlpamendments.aspx#3.

6.2 Implementing amendments at participating sites

- UHBW as sponsor delegates the responsibility of co-ordinating amendment implementation at participating sites to the trial management team.
- The HRA Amendment Tool automatically categorises each amendment and (depending on the type of amendments selected from the template by the RPM/RMF, will categorise the amendment as follows:

Amendment Category A	Implications for, or affects, all participating NHS/HSC organisations hosting the research project.
Amendment Category B	Implications for, or affects, specific participating NHS/HSC organisations hosting the research project.
Amendment Category C	No implications that require management or oversight by the participating NHS/HSC organisations hosting the research project. However, the amendment should still be submitted for information.

- For all participating sites in England amendment paperwork should (depending on categorisation) be submitted for either (i) review of ongoing capacity and capability or (ii) notification only.
- This paperwork can be submitted to sites either whilst HRA approval of the amendment is pending or once it has been issued. Template emails are provided on the HRA website to use to send to sites.
- For sites outside of England current local R&D approval processes should be followed. As these are constantly being updated it is recommended to contact the R&D office at the participating site for guidance on the submission process.
- When confirmation of ongoing capacity and capability or no objection to the amendment is provided by the site(s) or the 35 days calendar time limit in which no objection can be raised has been exceeded the amendment can be implemented. All of the correspondence and associated paperwork must be filed in the Trial Master File (TMF).

6.2.1 Implementing amendments at UHBW sites

- Some studies sponsored by UHBW have a trial management team who are separate to the delivery team at UHBW site. In these instances, the processes described in 6.2 above will be followed to implement the amendment at UHBW site (i.e. it will be treated as any other participating site). The trial management team should copy in the R&D Department (ResearchAmendments@uhbw.nhs.uk) into the correspondence for UHBW sites.
- Where no separate trial management team is in place and the study delivery team at UHBW are also co-ordinating and managing the study then the amendment may be implemented immediately on receipt of all necessary approvals. This is a pragmatic approach to avoid unnecessary duplicate reviews of amendments which will have already been assessed by sponsor and the delivery team. Further advice can be provided by the RMF or RPM to the delivery team on amendment implementation as required.

7. Dissemination and training in the SOP

This SOP will be disseminated to applicable research staff (including R&D) and will be available on the R&D website.

Plan Elements	Plan Details
The Dissemination Lead is:	Research Operations Manager
Is this document: A – replacing the same titled, expired SOP, B – replacing an alternative SOP, C – a new SOP:	A – replacing the same titled, expired SOP
If answer above is B: Alternative documentation this SOP will replace (if applicable):	
This document is to be disseminated to:	All applicable research staff (including R&D)
Method of dissemination:	For major updates to the SOP dissemination will be: 1. To Chief Investigators of UHBW Sponsored CTIMPs 2. Research Unit leads across UHBW 3. Head of Research Governance at UoB (where SOP is applicable) All updates (major and minor to the SOP) will be: 1. Updated on the trust Document Management System 2. Updated on the R&D website 3. Cascaded in the R&D e-bulletin
Is Training required:	All staff whose activities are subject to this SOP should ensure that they read and understand the content of the SOP. The personal training log of the individual (and the Investigator Site File/Trial Master File if required) should be completed to document that the content of this SOP has been read and understood as described in *SOP_007 Research Training UHBW*

Table A

REFERENCES	N/A
RELATED DOCUMENTS AND PAGES	• SOP_002 Research Sponsorship at UHBW • SOP_007 Research Training UHBW • SOP_009 Research Safety Reporting UHBW • SOP_020 UHBW Hosted Research Amendments • TMPL_060 CTIMP Amendment Assessment Form for Sponsor Please refer to http://www.uhbristol.nhs.uk/research-innovation for latest versions

AUTHORISING BODY	Trust Research Group
SAFETY	None
QUERIES AND CONTACT	Contact Research & Development department on 0117 34 20233 or research@uhbw.nhs.uk
AUDIT REQUIREMENTS	R&D departmental Quality Management System audits are undertaken annually.