PREPARING AND SUBMITTING PROGRESS AND SAFETY REPORTS

DOCUMENT NO.:	**CR008 v4.0**
AUTHOR:	**Raymond French**
ISSUE DATE:	**26 April 2017**
EFFECTIVE DATE:	**10 May 2017**

1 INTRODUCTION

1.1 The Academic & Clinical Central Office for Research & Development (ACCORD) is a joint office comprising clinical research management staff from NHS Lothian (NHSL) and the University of Edinburgh (UoE).

1.2 It is a requirement of maintaining both Research Ethics Committee (REC) approval and a Clinical Trials Authorisation (CTA), that Annual Progress Reports (APRs) and Development Safety Update Reports (DSURs) are submitted annually. It is imperative that the Sponsor of a study is able to maintain oversight of these reports especially where their submission is the Sponsor's responsibility.

2 PURPOSE

2.1 To document the procedure for preparing and submitting APRs and DSURs. It also outlines in what instances they are applicable and who is responsible for their completion and dissemination to relevant parties.

3 SCOPE

3.1 This Standard Operating Procedure (SOP) applies to Chief Investigators (CIs), or designees, for all studies sponsored by NHSL and/or the UoE. The SOP also applies to the ACCORD Pharmacovigilance team.

4 RESPONSIBILITIES

4.1 It is the responsibility of the CI to ensure APRs are completed and submitted to relevant parties. For studies that require a CTA, it is also the responsibility of the CI to complete DSURs.

4.2 It is the responsibility of the Research Governance Coordinator, or designee, to identify and advise Investigators of annual due dates for DSURs and submit DSURs to the appropriate REC and to the Competent Authority (CA) and other third parties specified in agreements.

4.3 It is the responsibility of the Research Governance Manager, or designee, to review the DSUR prior to the submission to the CA and REC.

5 PROCEDURE

5.1 Annual Progress Reports (APRs; All Studies)

5.1.1 There are separate forms for submitting APRs, depending upon the type of research (e.g. CTIMPs, Research Databases). These can be found on the Health Research Authority (HRA) website: http://www.hra.nhs.uk

5.1.2 APRs must be submitted on the anniversary of receipt of a favourable ethical opinion from the main REC and then every year until completion of the study.

5.1.3 An APR must be submitted for all studies, even if they have not started before the first anniversary of approval. The report should clearly explain the reasons why the study has not started, if applicable.

5.1.4 Where the responsibility for preparing the APR has been delegated to another party by the CI, the CI must review and sign the report before submission to the main REC.

5.1.5 APRs for all research studies must be submitted to the Sponsor (safety@accord.scot) and the REC that approved the study.

5.1.6 The CI must ensure that a copy of the APR, acknowledgement from the REC, and any other relevant progress reports are sent to the Sponsor for filing in the TMF and/or Sponsor File.

5.2 Development Safety Update Reports (DSURs)

5.2.1 For all studies that require a CTA, a DSUR must be submitted. The Sponsor is responsible for submitting DSURs to the Competent Authority (CA) and the REC that approved the study, and any other third parties as per agreements.

5.2.2 The Research Governance Coordinator, or designee, will send DSUR reminders to the CIs by email approximately 1 month before the last day of the reporting period (the last day being the day before the Development International Birth Date (DIBD, the first date of Clinical Trial Authorisation).

5.2.3 Within 5 working days of the DIBD, the Research Governance Coordinator, or designee, will provide to the study team line listings of all Serious Adverse Events (SAEs) reported to the Sponsor. The listings will not include MedDRA coding at this stage. Where applicable, lines listings will remain blinded and will not include details of treatment allocation.

5.2.4 The report will be prepared by the CI using the DSUR template (CR008-T01), unless otherwise agreed. Additional gguidance on how to complete the DSUR can be found by visiting the European Medicines Agency website.

5.2.5 The draft DSUR should be forwarded to the Research Governance Manager, or designee, within 50 days after the DIBD for review. The Research Governance Manager, or designee, will review the DSUR and provide MedDRA coded SAE/SAR/SUSAR line listings and SAE summary tabulations from the ACCORD safety database, unless this task has been contracted to a third party.

5.2.6 For blinded studies, only a blinded DSUR should be sent to the CI or trial team for review. The Research Governance Manager, or designee, will ensure that any unblinded information is inserted into the report prior to the submission to the CA or REC.

5.2.7 Once final content has been agreed, the DSUR will be signed by the CI and returned to the Research Governance Manager, or designee. The Research Governance Manager, or designee, will then enter the unblinded information into the DSUR.

5.2.8 For NHSL and/or UoE sponsored studies, the DSUR is due on the anniversary of the DIBD being granted by the CA. Reports must be submitted every year until completion of the trial. If the study closes prior to the DSUR date and an end of trial notification has already been submitted, no DSUR need be submitted.

5.2.9 If a clinical trial has not started before the first anniversary of approval, a DSUR need not be submitted. However, a covering letter must be submitted to safety@accord.scot clearly explaining the reasons why the trial has not started.

5.2.10 For studies that require a CTA lasting less than a year, a DSUR must be submitted with a Declaration of the End of Trial Notification Form within 90 days of the trial ending or within 15 days if the trial is stopped early.

5.2.11 CIs conducting more than one trial with the same Investigational Medicinal Product (IMP) may submit one DSUR for all these trials. Such combined DSURs will be due for submission on the anniversary date of the CTA for the first study relevant study initiated.

5.2.12 Signed DSURs will be submitted to the CA, REC and other relevant parties, by the Research Governance Manager, or designee, as per PV002 (Sponsor Overview and Trend Analysis) and as per the study-specific requirements detailed in study protocols.

5.2.13 The Research Governance Coordinator, or designee, will ensure that a copy of the DSUR and acknowledgements of receipt from the REC and CA are filed in the TMF and/or Sponsor File. The Research Governance Coordinator, or designee, will follow up with the REC or CA if acknowledgement has not been received.

6 REFERENCES AND RELATED DOCUMENTS

- EMEA, "Note for Guidance on Good Clinical Practice" (E6) R1, CPMP/ICH/135/95.
- The Medicines for Human Use (clinical trials) Regulations 2004.
- CR008-T01 DSUR Template
- CR009 Study Closure and Archiving
- PV002 Sponsor Overview and Trend Analysis

7 DOCUMENT HISTORY

Version Number	Effective Date	Reason for Change
1.0	22 MAR 2011	DSUR requirements
2.0	14 SEPT 2011	Update of procedure
3.0	20 FEB 2014	Update of procedure
4.0	10 MAY 2017	Update of procedure to align with PV002. WI made obsolete. Creation of a DSUR template (CR008-T01) added.

8 APPROVALS

Sign	Date
SIGNATURE KEPT ON FILE AUTHOR: Raymond French, Research Governance Manager, UoE, ACCORD	
SIGNATURE KEPT ON FILE APPROVED: Gavin Robertson, QA Coordinator, NHSL, ACCORD	
SIGNATURE KEPT ON FILE AUTHORISED: Lorn Mackenzie, QA Manager, NHSL, ACCORD	