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Purpose

This Procedure describes how clinical trials involving the University as sponsor or a participating site (or other types of involvement) are conducted including trial development and approvals; reporting and monitoring during the trial; and site and trial close out.

Applicable governance instruments

Instrument	Section	Principles
<i>National Statement on Ethical Conduct in Human Research</i>	All	N/A
<i>International Conference on Harmonisation of technical requirements for registration of pharmaceuticals for human use. Guideline for Good Clinical Practice E6(R2) (ICH-GCP)</i>	All	N/A
<i>Safety monitoring and reporting in clinical trials involving therapeutic goods (NHMRC 2016)</i>	All	N/A
<i>ISO 14155:2020 Clinical investigation of medical devices for human subjects – Good Clinical Practice</i>	All	N/A
<i>Therapeutic Goods Act 1989</i>	Section 18, 19, 31, 32, 41	N/A
<i>Therapeutic Goods Regulations 1990</i>	Regulation 12 Schedule 5A, 9, 9A	N/A
<i>Therapeutic Goods (Medical Devices) Regulations 2002</i>	Regulation 7.1, 7.3-7.5 Schedule 4, 5	N/A

Definitions and acronyms can be found at: <https://www.utas.edu.au/policy/policy-definitions>

Related policy and procedures can be found at: <https://www.utas.edu.au/policy>

<i>Research Policy</i>	Section 2: Responsible conduct of research	2.2
	Section 3: Research funding and costing	3.1
	Section 4: Research data and output	4.1, 4.2

Procedure

1. Background

The World Health Organization (WHO) has defined a clinical trial as: “any research study that prospectively assigns human participants or groups of humans to one or more health-related interventions to evaluate the effects on health outcomes”. An intervention may include experimental drugs, medical devices, health service changes, psychotherapeutic and behavioural therapies, treatments, or tests. In addition to the [National Statement on Ethical Conduct of Human Research](#), and the [International Conference on Harmonisation of technical requirements for registration of pharmaceuticals for human use Guideline for Good Clinical Practice](#) (ICH-GCP), trials that involve therapeutic goods are regulated by the Therapeutic Goods Association (TGA). This procedure is aligned with the requirements of these regulations, as well as University policies and procedures.

For guidance on whether your project would be classified as a clinical trial and other matters related to trial design and conduct visit the [Clinical Trial Governance](#) page.

The objectives of this procedure are to ensure that:

- a) clinical trials conducted by the University and involving University investigators meet the legislative and professional standards of conduct and quality
- b) University investigators and their Academic Unit understand the requirements for clinical trials and know how to seek specific advice
- c) there is a standardised clinical trials approach across the University.

2. University involvement in clinical trials

The University may participate in a clinical trial as the sponsor, a site, or both. The process of requesting the University to participate in a trial is managed through clinical trial governance authorisation.

Trial Sponsorship

- 2.1. All clinical trials must have an Australian entity which acts as a sponsor, which may be the University or other commercial or non-commercial entities.
- 2.2. If acting as sponsor, the University takes overall responsibility for the trial, including the initiation, management and/or financing of the trial. Unless otherwise approved by the DVCR, the University may act as the sponsor when:
 - a) The research has been initiated by a University staff member or adjunct or clinical title holder.
 - b) The protocol has been developed by the University staff member or adjunct or clinical title holder.
 - c) The University will own any resulting intellectual property.
 - d) The benefits to the University and community outweigh the risks (including legal, financial, and reputational).
 - e) The University will be able to discharge its responsibilities as sponsor, including adequately monitoring the trial.

- 2.3. When a University investigator initiates a trial, the investigator has specific sponsorship responsibilities, including the development of the protocol and the management of the trial. These responsibilities are detailed below.

Trial sites

- 2.4. All clinical trials take place at one or more sites, which may be at the University or other research institutions, in the public or private health sector, or in other settings.
- a) A site is where participants are recruited and/or receive the intervention.
 - b) Each site must have a principal investigator (PI) who oversees trial conduct at that site.
 - c) The site may be a facility, location, or institution (or group of institutions) that resource, conduct and manage the clinical trial that come under one final research governance sign off.

Other involvement

- 2.5. If the University will be involved in a clinical trial in another capacity (such as the supply of an investigational medical product or provision of professional services), the DVCR must approve this involvement prior to any commitment being made. In these instances, the investigator must consult with the Research Governance Office (RGO) as soon as possible, provide a copy of the protocol and any ancillary information for review and work together to develop a risk assessment regarding the University's involvement. The RGO will assist the investigator with this process by liaising with relevant areas of the University (for example the legal and insurance teams).

3. Trial development

Training and Qualifications

- 3.1. Clinical trials must be conducted by investigator teams that are sufficiently and appropriately trained and qualified as follows:
- a) All University investigators must have current Good Clinical Practice (GCP) training prior to participating in a clinical trial, which is to be kept current during the trial.
 - b) The investigator team must be made up of members that have the specific skills and training to complete the trial (such as relevant clinical expertise). The skills and training required will depend on the trial design. Curriculum Vitae showing relevant staff skills, experience and training are to be kept as part of trial documentation.
- 3.2. The University PI is responsible for selecting investigators for the investigator team, or PIs for external sites, and ensuring that those investigators have the required training, experience, and qualifications.
- 3.3. If the University is involved as a trial site, the University PI must maintain a list of the qualifications of investigators who are responsible for significant trial-related duties at the site.

Trial Protocol, Risk Assessment and HoAU preliminary review

- 3.4. Creating the protocol is a sponsor responsibility. Where the University is the sponsor, the investigator team must prepare a trial protocol describing how the clinical trial will be conducted, guided by the [SPIRIT checklist](#) and include the following:
- a) Details of the scientific justification for the intervention and all proposed trial methods.
 - b) Plans for maintaining University PI oversight of trial conduct and participant safety at all sites. This should include a steering committee with a member who has relevant clinical expertise nominated to assess adverse events.
 - c) Scope and procedures for independent safety oversight of trials involving unapproved therapeutic goods or otherwise determined to be higher risk, such as an independent safety

monitor, Clinical Event Committee, or a Data Safety Monitoring Board (DSMB). Further guidance in NHMRC's [Safety monitoring and reporting in clinical trials involving therapeutic goods](#)).

- d) Details of possible adverse events that may be expected during the trial, and plans for collecting, assessing, and managing adverse events that may occur.
- e) Reporting protocols between sites, the University PI, the RGO and any relevant HRECs. This includes the preparation and submission of Annual Safety Reports to the reviewing HREC. This may form part of a separate document.
- f) Triggers for when additional reporting to the University's Research Ethics Unit (REU) (and external HRECs as applicable), the RGO and the TGA (via the College of Health and Medicine (CHM)) Research Hub is required (see section 5) This may form part of a separate document.
- g) Plans for managing and storing trial data as per the [Research Data Management Procedure](#), with particular attention to the confidentiality of participant health information.
- h) If applicable, plans for labelling and storing therapeutic goods in line with the [Guide to Good Manufacturing Practice for Medicinal Products Part II](#).
- i) Other documentation required for ethical approval that should also be prepared includes the Participant Information and Consent Form, the Case Report Form, and the Investigator Brochure (if using therapeutic goods).

3.5. Where the University is either sponsor, site or both the investigator team must also prepare a risk assessment based on the protocol outlining the trial risks and mitigation plans, for example:

- a) risks due to the intervention, such as anticipated adverse events
- b) risks due to the trial design, such as maintaining staffing and supplies at multiple sites.

3.6. The investigator team is responsible for preparing the trial protocol and risk assessment. The RGO should be contacted to provide advice and support.

3.7. The Head of Academic Unit (HoAU), or their delegate must review the trial protocol and risk assessment (see section 3.4 -5) prior to submission for clinical trial governance authorisation (see section 4) and confirm that:

- a) the project aligns with academic unit research priorities and has academic merit
- b) the risks posed by the trial have been adequately identified, will be appropriately mitigated and are within the institution's risk appetite
- c) the investigator team has the appropriate skills and training for the proposed trial
- d) any academic unit facilities and equipment are suitable and available for the length of the proposed trial
- e) the trial budget adequately covers the estimated costs of the trial (including any additional insurances that may be required), as per the [Research Funding Costing Procedure](#).

3.8. University investigators are encouraged to contact the RGO early in the trial development process for advice and guidance.

4. Trial approvals

4.1. All clinical trials involving the University as site or sponsor must not commence until the following approvals have been obtained:

- a) ethical approval from the University's Human Research Ethics Committee (HREC)
- b) University clinical trial governance authorisation.

- 4.2. Where the University is sponsor and the trial is being conducted at non-University sites (such as Tasmanian Department of Health sites), the University PI must also obtain relevant site-specific approvals (e.g., ethics and governance approval) from those sites prior to commencing the trial.

Ethical Approval

- 4.3. The PI must lodge an application for ethics approval with the University's HREC (through the University's Ethics Review Manager (ERM) online system) if the University is acting as either site or sponsor. The application must include the trial protocol and other relevant documentation such as written information for participants and consent forms. Further information is available from the [Research Ethics Unit](#).
- 4.4. If the project is sponsored by the University and is to be undertaken outside of Tasmania, the University PI must also:
- obtain approval from an NHMRC registered ethics committee(s) in the relevant state(s); or
 - obtain approval from the overseas ethics committee(s).

Clinical trial governance authorisation

- 4.5. All clinical trials involving the University as site or sponsor must be authorised by the Deputy Vice-Chancellor Research prior to commencing (clinical trial governance authorisation).
- 4.6. The University PI is responsible for applying for clinical trial governance authorisation by submitting the governance application, risk assessment and proof of HoAU preliminary review (see section 3) to the CHM Research Hub. The governance application includes details of the investigator team and their roles and activities, site contact details, and budget.
- 4.7. The CHM Research Hub will facilitate trial authorisation through the Governance Application Form (GAF) and ensure that the PI has liaised with the relevant teams (funding, legal, insurance and the RGO) regarding relevant trial requirements based on information contained in the GAF, including:
- any required contracts (such as Clinical Trial Research Agreements) have been executed by the appropriate delegate in accordance with the [Management of Research Funding Procedure](#) and the [General Delegations Ordinance](#)
 - funding team has facilitated review of contract risks by the legal team
 - Sponsor Audit Plan has been developed by the RGO for University sponsored trials (as detailed in section 4.8); and
 - purchase of additional insurances if required by the insurance team.
- 4.8. For University sponsored trials, the RGO will also prepare a Sponsor Audit Plan, detailing the scope and frequency of auditing required to manage the risks outlined in the risk assessment and ensure that risk mitigation measures are effective. The scope and frequency of auditing required will depend on the trial design. Standard items to be audited include:
- tasks are delegated to staff with appropriate to skills, experience, and training
 - consent from participants is obtained in accordance with current ethically approved documents
 - safety events are being recorded and assessed according to the approved protocol, with participant safety at the forefront of all decisions to amend or deviate from the protocol (see section 5.7)
 - records of shipping, dispensation, returns and destruction of therapeutic goods (if applicable).
- 4.9. Where the University is the sponsor, the University PI must also register the trial on a World Health Organization listed trial registry before clinical trial governance authorisation will be granted.
- 4.10. Once items 4.7 – 4.9 are complete and University ethical approval has been granted, the PI and the HoAU will sign the completed governance application and the CHM Research Hub will create a

record for the trial in the University's research management system and seek clinical trial governance authorisation from the DVCR.

- 4.11. Following clinical trial governance authorisation by the DVCR, the CHM Research Hub will notify the PI and enter the trial on the University's clinical trial insurance register.

Notification to the Therapeutic Goods Authority

- 4.12. For University sponsored trials involving unapproved therapeutic goods, once clinical trial governance authorisation has been obtained, the CHM Research Hub will submit a Clinical Trial Notification (CTN) application to the TGA. The University PI must arrange for payment of the TGA fees for CTN before starting trial recruitment.
- 4.13. If the UTAS sponsored trial involves high-risk or novel treatments (where there is no or limited knowledge of safety) the University HREC may direct that the trial be regulated under the Clinical Trial Approval Scheme (CTA), also run by the TGA. Additional consideration will be required for CTA trials; in these cases, the PI must contact the RGO to assist with CTA applications.

5. Trial conduct and reporting

- 5.1. It is a shared responsibility of the PI, the investigator team at each site and the sponsor overall to ensure that the ethically approved trial protocol is followed appropriately.
- 5.2. Investigators must also ensure the data management plan outlined in the trial protocol is followed, including the specified timeframes for the retention of data.
- 5.3. Where the University is the sponsor, the University PI must keep the trial registration current throughout the trial.

Reporting

- 5.4. Where the University is sponsor or site, the University PI must ensure that routine progress reports are submitted to the University's HREC in accordance with the ethics approval (normally annually).
- 5.5. If the University is the sponsor, the University PI must develop an Annual Safety Report, reviewed by the trial oversight structures (see 3.4 b and c) which includes a clear summary of the evolving safety profile of the trial. This is to be submitted to the University HREC and any other relevant HRECs.
- 5.6. For University sponsored trials, the University PI is responsible for ensuring that progress reports are also submitted in accordance with any contractual obligations (for example milestone reports to funders).

Amendments to the protocol

- 5.7. For clinical trials involving the University as sponsor or site, any amendments to the protocol, such as changes to trial sites, procedures or investigators must be approved by the University's HREC before being implemented. However, the protocol may need to be deviated from when a measure is required to be taken to eliminate an immediate hazard to a participant's health or safety. This can be instigated by either the investigator or sponsor and implemented before seeking approval from the HREC or University by following the process set out in the NHMRC's [Safety monitoring and reporting in clinical trials involving therapeutic goods](#).
- 5.8. The RGO will also consider the impact of the amendments on any contractual arrangements for the trial. If contract variations are required, these will be managed according to the [Management of Research Funding Procedure](#).
- 5.9. If the amendment will result in material changes to University workloads, budgets or facility use, or other items in section 3.7, the PI should discuss these with their HoAU to ensure the continued feasibility of the project and revise the risk assessment accordingly.

- 5.10. If the trial required ethics and/or governance approval from an external committee or body (for example where the trial is being conducted at a non-University site), prior approval of that external committee or body must also be obtained by the University PI before the amendment is implemented.
- 5.11. For University sponsored trials registered with the TGA, the University PI must advise the CHM Research Hub if there are amendments to the registered information. The CHM Research Hub will then coordinate approval of the amendment by the TGA. An additional fee may be charged by the TGA, which is payable by the PI from the trial budget.

Monitoring

- 5.12. During the trial, conduct is to be reviewed by:
- the internal review processes set up in the Protocol (section 3.4)
 - the Research Ethics Unit (REU), through review of progress reports, safety reports, amendments, and protocol deviations (sections 5.4, 5.5, 5.7, 5.18)
 - RGO monitoring of submissions to the REU (section 5.13) and auditing as per the Sponsor Audit Plan (sections 4.8 and 5.14)
 - additional monitoring may also be conducted by external sponsors or organisations such as the TGA (for CTN or CTA trials).
- 5.13. For all trials, the RGO will review submissions to the REU such as progress reports, safety reports, amendments, and protocol deviations to check for items that may trigger additional governance review.
- 5.14. For University sponsored trials, the RGO will audit trial conduct in accordance with the agreed Sponsor Audit Plan (see section 4.8). RGO may also conduct additional investigations if triggered by requests from HREC, colleagues, participants, or the outcome of routine monitoring.
- 5.15. Outcomes from RGO monitoring will be reported to the University PI. A summary of current activity and monitoring outcomes for each academic unit will also be provided periodically to the HoAU. Other parties such as the University HREC, DVCR and TGA may also be notified by the RGO when required.
- 5.16. If monitoring reveals a suspected integrity breach is identified during monitoring, this will be reported in accordance with the [Research Integrity Complaints Procedure](#).
- 5.17. If monitoring reveals sufficient concern for trial conduct, for example a series of serious breaches of the approved protocol, the RGO may recommend that the DVCR suspend or revoke clinical trial governance authorisation.

Safety issues and protocol deviations

- 5.18. In the event of a significant safety issue or a major protocol deviation, the University PI must notify the University REU and the CHM Research Hub in line with the guidance on the Human Research Ethics website. The PI should also notify the HoAU of significant safety issues and reassess relevant risk mitigation strategies.
- 5.19. For externally sponsored trials, if the significant safety issue, or protocol deviation occurs at a University site, it is the responsibility of the University PI to advise the trial sponsor immediately.
- 5.20. For University sponsored trials where the clinical trial involves a CTN or CTA, the CHM Research Hub must advise the TGA of safety events (section 5.18) within the required timeframes.

6. Trial completion, termination, or suspension

- 6.1. When the University is sponsor, once recruitment, treatment and follow-up are completed and no further data are to be entered into the source database for that site (site closeout), the University

PI is responsible for ensuring the following for any University sites and coordinating with any external site PIs for all external sites:

- a) equipment or supplies (including investigational products) are returned or destroyed in accordance with site agreements
 - b) biological samples are stored, analysed, or destroyed in accordance with the trial protocol
 - c) all documents and data are managed in accordance with the data management plan
 - d) any site specific close out requirements, such as notification to local ethics or governance offices
 - e) any financial reconciliation required between site and funder has been completed
 - f) notifying the CHM Research Hub and any University facility managers for University sites.
- 6.2. For externally sponsored clinical trials involving University sites, following site closeout the University PI is responsible for:
- a) notifying the CHM Research Hub and any University facility managers
 - b) working with the sponsor to ensure that all items in 6.1 are completed in a timely manner.
- 6.3. When all analyses have been completed for the trial (trial closeout), University PI must advise the RGO and submit the final report to University HREC, and any other agencies involved in the trial such as funders or external HRECs.
- 6.4. If a trial is terminated or suspended by an external sponsor, the University PI is responsible for ensuring the University HREC and RGO have been notified.
- 6.5. After trial closeout, the University PI is responsible for ensuring that physical and electronic copies of Trial and/or Site Master Files, including source materials and data are appropriately archived as per the data management plan and the ethically approved protocol as follows:
- a) any applicable destruction dates required by ethical approval must be clearly indicated
 - b) any biological specimens to be kept in long term storage must also be clearly labelled with contact information and destruction dates noted.
- 6.6. When notified that the trial closeout has occurred, the CHM Research Hub will update the insurance register.

Related procedures

Research Ethics Procedure

Research Data Management Procedure

Research Funding Costing Procedure

Management of Research Funding Procedure

General Delegations Ordinance

Versions

Version	Action	Approved by	Business Owner/s	Approval Date
1	Approved	Deputy Vice-Chancellor (Research)	Executive Director, Research Operations	3 November 2022