

UKCRC  
Registered  
Clinical  
Trials Units



# UKCRC Registration of Clinical Trials Units Information Pack and Guidance Notes – Registration Renewal



igniting our potential

# UK Clinical Research Collaboration (UKCRC) Registration of Clinical Trials Units

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Information Pack and Guidance Notes – Registration Renewal

Spring 2017

## Background

The UKCRC Registered Clinical Trials Units Network aims to develop and maintain high quality capacity for specialist trial design, conduct and analysis in the UK. It is widely acknowledged that expertise in clinical trials and other well-designed studies is vital to ensure high quality and successful, timely trial conduct and to meet regulatory and governance requirements. Such high quality expertise is therefore key to the development of research activity within the UK. The Registration Process and the UKCRC Registered CTU Network is operated on a self-funding basis. For this reason, there is a Registration application fee of £500 which covers the administration and International Review Panel costs. For unsuccessful applications there will be no refund. A subsequent annual registration maintenance fee of £3000 will be payable on designation as a successfully UKCRC Registered CTU. The annual registration maintenance fee will be payable for each year of registration to cover the delivery of the UKCRC Registered CTU Network Work Programme as agreed by the UKCRC Registered CTU Network Executive Group (For information about the Work Programme visit [www.ukcrc-ctu.org.uk](http://www.ukcrc-ctu.org.uk)).

## Eligibility

Applications can be made from any CTU in the UK **responsible for *leading* the design, the *central/national* coordination and the *overall* analysis of multi-centred randomised controlled trials (phase II-IV) or other well-designed studies\* using the application proforma**. CTUs with responsibility for only the local coordination of trial activity and supply of local data to a central coordinating CTU would **not** be eligible for registration. CTUs working in any disease/topic area are eligible to apply.

## Collaborative Groups

It is recognised that some clinical trials are managed by collaborative groups where all of the expertise required may not exist within the same research group. Applications from collaborative groups are eligible, and these include groupings within the same host organisation, as well as geographically distinct collaboratives. In all cases, there will need to be clear evidence of formal arrangements and assignments of responsibilities between the groups and clarity about the roles of each group. Sufficient detail should be provided in the proforma to enable the UKCRC CTU Registration Review Committee to be confident that formal arrangements are in place for collaboration, that all key competencies are met, and that the partnership would be capable of continued success in the face of changes in key personnel. If successful, the collaborative group will be Registered, not the individual components of the collaboration.

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\*One must be a randomised controlled trial (RCT)

## Merged CTUs

Host institutions with multiple registered clinical trials units or unregistered research groups within their organisation that have taken the decision to combine the expertise into one distinct CTU are eligible to apply.

The following scenarios provide an example of how you should apply if one or more of the units/groups merged hold registration status:

If an Existing Fully Registered CTU (lead CTU) within the host institution merges with an unregistered research group or provisional registered CTU and the new merger takes on the identity and processes of the existing Fully Registered CTU then you must complete the Renewals proforma and provide details and clear evidence of the merger in section 9 in order to satisfy the Review Committee that all key competencies are met and the new merger is capable of continued success. If the new merger does not take the identity and processes of the Fully Registered CTU then you must apply as a new applicant.

If two or more Fully Registered CTUs within the host institution merge and the new merger takes on the identity of one of the existing Fully Registered CTU (Lead CTU) then you must complete the Renewals proforma and provide details and clear evidence of the merger in section 9 in order to satisfy the Review Committee that all key competencies are met and the new merger is capable of continued success. If the new merger does not take the identity and processes of a Fully Registered CTU then you must apply as a new applicant using the standard form.

If the merger is between two provisional registered units you should apply as a new applicant using the standard form and provide further information in section 9.

Please note that in all instances if the units/groups merge under a new organisation name then you should apply as a new applicant.

## Provisional Registration

All provisional registered units must achieve Full registration within a 3 year timeframe. Failure to do so will result in the withdrawal of your registration status.

**Please note that all existing Fully Registered Units that the Committee recommends no longer meet the requirements for Full registration will be given a period of up to 12 months to rectify any issues identified at which point they will be subject to a further review by the Registration Review Committee, with one of the following outcomes: maintenance of full registration or loss of registration.**

## How will applications be assessed?

The Registration process is coordinated by the UKCRC Registered CTU Network Secretariat based at the University of Leeds. Applications will be reviewed with specific reference to the key competencies (Appendix 1) and evaluation criteria (Appendix 2) developed and approved by the UKCRC Registered CTU Network Executive Group and the International Registration Review Committee. The key competencies and evaluation criteria form the basis by which proposals will be assessed.

In addition to the key competencies and evaluation criteria the following rules apply:

- **We will use all publicly available information.**
- **We will consider information contained in any historical registration applications that you may have provided to us during previous registration calls to inform our decision.**
- **We will undertake a random audit of SOPs at short notice for close review. Failure to supply any of the listed SOPs within the timeframe could affect your registration application.**
- **We will continue to enforce the no right of appeal rule.**

A UKCRC International CTU Registration Review Committee comprising UK and international expert trialists has been established to review the submitted proposals. A triage system will be applied and managed by the Network Secretariat; any applications that are incomplete or submitted late will not be submitted to the Registration Review Committee.

The Registration Review Committee meeting will take place in July 2017. Decisions are ratified by the UKCRC Board and detailed feedback will be provided on all applications.

For a detailed list of Registration Review Committee members please visit our website: [www.ukcrc-ctu.org.uk](http://www.ukcrc-ctu.org.uk). Please note that Review Committee meetings will be observed by key partners, details are also listed on our website.

## Applying for Full Registration

It is essential that the CTUs that receive Full Registration have sufficient expertise and long-term viability to provide the UKCRC Partners with a national, stable critical mass of expert staff and the infrastructure to support successful, timely and high quality completion of clinical research studies. Registered CTUs must have sufficient capacity in terms of staffing, time and expertise to assure the successful management of clinical trials or other well designed studies\*, even in unexpected/unplanned circumstances (for example, personnel changes or trial problems). Only CTUs that can provide clear evidence of the essential competencies will be given Full Registration status. In order to obtain Full Registration status, CTUs **must** demonstrate:

- A track record and experience of coordinating multi-centre randomised controlled trials (phase II-IV) or other well-designed studies\*
- Presence of a core team of expert staff to develop studies
- Presence of robust quality assurance systems and processes to meet appropriate regulations and legislation (e.g. the principles of Good Clinical Practice, the NHS Research Governance Framework, the Data Protection Act and the UK regulations that implement the EU Directive for Clinical Trials).
- Evidence of longer-term viability of capacity for trials coordination and the development/maintenance of a trials portfolio, including core funding or evidence of a rolling programme of grants, with evidence of commitment from the host institution.

## General Notes

Please note that the standards set by the UKCRC CTU Registration Process are high, and demonstrable evidence that a CTU fulfils all of the criteria described above is considered essential. CTUs should **not** apply for Registration unless they are able to demonstrate all of the competencies using the evaluation criteria set. Any application that does not meet the essential criteria will not be forwarded to the UKCRC CTU Registration Committee for consideration.

**Applications must be submitted in full before the closing date. Late submissions will not be accepted under any circumstances. Please note that incomplete applications will be rejected and not reviewed.**

Note that the CTU Registration Process is **not** a research funding scheme. It will identify CTUs possessing core competencies that wish to join the network of UKCRC Registered CTUs and be involved in the UKCRC strategy towards trials.

## Guidance Notes for Completing the Proforma

One proforma should be completed for each CTU submitting a proposal.

Existing Registered units must complete the Renewals form. All new applicants should apply using the standard proforma. For new applicants the same proforma is to be completed regardless of whether Full or Provisional Registration is being applied for. Both

forms have been developed as a PDF form which can be downloaded from the UKCRC Registered CTU website at <http://www.ukcrc-ctu.org.uk> or requested from the Secretariat by emailing [regctus@leeds.ac.uk](mailto:regctus@leeds.ac.uk).

Applicants will require access to Adobe Reader software in order to complete their application. The PDF proforma is not compatible with some earlier versions of Adobe Reader and Adobe Acrobat Software. Functionality has been confirmed with Adobe Reader version 9.0 and above. It is strongly recommended that you download the latest version of Adobe Reader Software which can be downloaded without charge from Adobe at <http://getadobe.com/uk/reader>. Please note, depending on your permissions, this software may need to be installed by your IT Administrator.

Please contact the Secretariat on [regctus@leeds.ac.uk](mailto:regctus@leeds.ac.uk) or 0113 343 9132, if you experience any difficulties using the proforma. A Microsoft Word version of the form has been produced to help applicants collate information internally.

**Please note we can only accept application forms in the pdf format, application forms provided in other formats will be rejected and not considered.**

When completing the proforma, please type all responses, using the format and tables provided. Fields to be completed can be highlighted by selecting the "highlight fields" button located at the top right hand side above the page view. Highlighted areas on the electronic proforma require an answer – either free text or an answer from a drop down menu. Areas which require free text will expand to accommodate your answer. All relevant sections of the proforma must be completed before submission of the application.

### Cover page of the proforma

The cover page requests information about the CTU making the application, together with contact details and the year that the CTU opened (or collaborative/merger established for collaborative or merged group applications). The cover page should also be used to indicate whether a collaborative or merged group application is being made.

### Sections of the proforma

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**Section 1** requests information about your current and recent clinical research activity and related publications including:

- A summary of trials within your organisations portfolio.
- Details on how your organisation has responded to previous feedback received from the UKCRC International CTU Registration Review Committee, this includes applicants who have previously held UKCRC Registration or have previously applied but were unsuccessful in achieving registration. Feedback can be found on detailed letters from the Registration Committee. Please contact the Secretariat if you require copies of any correspondence. Please note it is the applicant's responsibility to ensure all feedback is addressed.
- Questions 1.3 – 1.5 focus on your organisational strategies. You must demonstrate you have a clear vision and operational plans in place to deal with future challenges.

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**Section 2** focuses on staff in the CTU, including details about staff funded to work on clinical trials and other well-designed studies through ‘core’ infrastructure grants, retained funds or overhead recovery and through specific research grants.

- Question 2.1 – 2.2: Applicants are required to demonstrate that they ‘employ’ or have access to (up to) two senior Statisticians (one with at least 5 years’ experience for Full registration), two Senior Trial Managers (one with at least 5 years’ relevant experience for Full Registration) and two IT/IS persons (with at least three years’ experience for Full Registration), funded independently of specific research grants.
- Question 2.1 If there have been changes to your key personnel you are required to submit one page CV of each member of staff that has changed within the specified roles i.e. your CTU Director (Or lead named Director in your collaborative or merged group) and submit these with your application as Appendix 1.
- Question 2.3 requires you to provide a detailed organisation chart of your CTU as Appendix 2. Organograms must be at trials unit level and no higher, do not include information of how the trials unit sits within your host institution and include all vacant posts. For collaborative groups and merged units see Section 9. For senior staff not located within the CTU indicate how they link into the CTU structure.

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**Section 3** focuses on CTU Infrastructure. This section requires all applicants to submit a statement of support, at the level of Dean or Pro-Vice Chancellor, from their host organisation and submit this as Appendix 3. Collaborative applications should include this statement from each host organisation which is involved. If your host organisation(s) already hosts a UKCRC Registered Clinical Trials Unit or are supporting another application, they should provide a clear rationale for supporting the registration application of additional Clinical Trials Units, and include details of processes already in place, or in planning, for the following:

- Optimising support and resources for multiple Registered Clinical Trials Units and sharing of best practice across the organisation (e.g. in relation to staff training and development, how resources will be shared)
- Strategic oversight of core infrastructure support (e.g. database system development; QA resources).

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**Section 4** focuses on your systems and processes in place to meet appropriate regulations and legislation.

- Please ensure that sufficient detail is provided to demonstrate that research governance standards are thorough and high. Evidence should be provided to satisfy the UKCRC CTU Registration Review Committee that the CTU has high quality systems and processes in place to meet appropriate regulations and legislation (e.g. the principles of Good Clinical Practice, the NHS Research Governance Framework, the Data Protection Act, the UK Regulations that implement the EU Directive for Clinical Trials (if applicable)).
- Please include details of your CTU's Standard Operating Procedures (SOPs), including version numbers (please indicate if in draft) and dates, in Table 4.1. It should be noted, that the core SOPs specified in the application are not intended as an exhaustive list,

but represent the essential areas in which CTUs are expected to have documented procedures in place as a minimum. It is acknowledged that some units may be in the process of improving their systems, Table 4.1 also asks you to demonstrate your unit's intention to upgrade systems by providing a brief description and revision date.

**Please note that we reserve the right to request copies of the SOPs listed below at short notice. Failure to supply the requested SOP(s) within the timeframe could affect your registration application.**

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**Section 5** requests details about changes to the CTU's information systems, in terms of data management systems, the systems in place to ensure robust and secure information systems, and access to a secure randomisation system (if applicable).

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**Section 6** requests details about your recent publications. As a separate appendix (Appendix 4) please provide the front pages of 3 significant peer-reviewed publications of recent existing/closed studies. Publications must fall within your most recent period of registration and must be from separate clinical trials or well-designed studies that best demonstrate your unit's activity. Please include a summary for EACH publication of name(s) of CTU staff on the publications listed and outline their role on the trial. The publications should be ordered chronologically with the most recent first. Published protocols from different studies do qualify for inclusion. One publication must be a final analysis of a randomised controlled trial (RCT).

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**Section 7** enquires about your units' contribution to Network activity in relation to achieving its work programme. Applicants are asked to describe their organisational contribution during their most recent period of registration including and not restricted to attendance at meetings/conferences and membership and contribution to sub group activity.

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**Section 8** requires the signature of the Director/Head of the CTU applying for CTU Registration. This page should be printed, signed, scanned, and submitted with your application as Appendix 5.

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**Section 9** is required **only for applications from collaborative groups, merged CTUs or CTUs with multiple units within their host institution for which it is mandatory.** This section should be used by CTUs comprised of collaborating groups, merged units or CTUs with multiple units within their host institution to provide information on the roles of each group and how the groups work together. Evidence should be provided to satisfy the UKCRC CTU Registration Review Committee that formal arrangements are in place for collaboration/merger, that all key competencies are met by the collaboration/merger, and that the partnership would be capable of continued success in the face of changes in key personnel. Further guidance can be found within individual sections of the proforma.

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## Appendices

All appendices should be submitted as separate documents.

| Appendix | Description   |
|----------|---|
| 1        | One page CVs of staff in key roles i.e. CTU Director, up to two Statisticians, up to two Trial Managers and up to two IS Leads. |
| 2        | Detailed organisation chart   |
| 3        | Statement of Support from Host Organisation(s)  |
| 4        | Please provide the front pages of up to 3 recent significant peer reviewed publications with details of author contributions.   |
| 5        | Signed, scanned copy of the signature page  |

## Confidentiality

All information provided to the UKCRC CTU Registration Review Committee will be treated as confidential. In the event that UKCRC Registration is awarded, some information provided may be made available in the public domain (e.g. via the UKCRC Registered CTU website: [www.ukcrc-ctu.org.uk](http://www.ukcrc-ctu.org.uk)). Registered CTUs will be contacted and asked to validate information prior to its release.

## Review of Registration Status

UKCRC Clinical Trials Unit Registration status will apply for five years for Fully Registered units and 3 years for those awarded provisional status. A review of all UKCRC Registered Clinical Trials Units will be carried out every five years, to ensure that Clinical Trials Units still possess the required competencies to allow them to retain their Registration status. Clinical Trials Units with Provisional Registration status must apply for Full Registration status at the 3 year review. There is an expectation that units granted provisional registration demonstrate that they have the capacity and ability to develop the full criteria within a 3 year timeframe.

**An annual registration update in the form of a self-assessment review will be expected for all Registered Units. The paperwork for the annual review will be kept to a minimum. This is mandatory to maintain your Registration, failure to do so could result in the withdrawal of your registration.**

## Fees

The Registration process and the UKCRC Registered CTU Network will be operated on a self-funding basis. For this reason, there will be a Registration application fee of £500 which covers the administration and International Review Panel costs. For unsuccessful applications there will be no refund.

Fees are payable online to make a payment please follow the instructions on the following link: <http://store.leeds.ac.uk/product-catalogue/faculty-of-medicine-health/faculty-of-medicine-health-fomh>

**Please note that applications which have been submitted without the correct fee will not be considered. Payment (in full) should be received before the application deadline of 17:00 Friday 07 April 2017.**

**A subsequent annual registration maintenance fee of £3000 will be payable on designation as a successfully UKCRC Registered CTU. The annual fee will be payable for each year of registration, the annual fee will cover the delivery of the UKCRC Registered CTU Work Programme.**

## Further information

For further information about the UKCRC CTU Registration Process, please contact Saeeda Bashir, Network Coordinator at [regctus@leeds.ac.uk](mailto:regctus@leeds.ac.uk) or 0113 343 9132.

## Submission of Proposals

**The deadline for submission of proposals is 17:00 on Friday 07 April 2017.**

**The completed application form and appendices, and scanned signature pages should be emailed to [regctus@leeds.ac.uk](mailto:regctus@leeds.ac.uk). Please mark the email: 'UKCRC CTU Registration Application' and include the name of your Clinical Trials Unit in the name of the form and email subject heading.**

**All application Forms must be saved in the same pdf format, any applications submitted in any other format will not be accepted. Hard copies are not required.**

**The UKCRC CTU Registration Committee meeting will take place in early July 2017.**