QuickSTART Ready Manual

Version 1- Pilot Phase

January 28, 2019

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1 - Introduction

Clinical Trials Ontario (CTO) is an independent, not-for-profit organization focused on improving the environment for clinical trials in Ontario. CTO works with the clinical trial community to streamline processes, to support the efficient conduct of clinical research, support patient and public engagement in clinical trials, and promote Ontario's clinical trial assets to companies looking to do research.

During a landscape assessment of the clinical trials environment in Ontario, study start-up timelines at public institutions was identified as an opportunity for improvement. The unique strengths of Ontario research sites were identified as being: 1) quality of data, 2) worldwide key opinion leaders, and 3) a diverse patient population. However, these strengths can only be leveraged when sites are activated and ready to enroll patients. As a result, CTO has developed the QuickSTART program with the aim of improving trial start-up timelines, thus facilitating maximize opportunity for patient enrollment at Ontario research institutions.

QuickSTART is a streamlined start-up process supported by CTO in which engaged parties (i.e., sponsor, investigator and institution) agree to work in a streamlined fashion toward a 90 day study start-up goal (Appendix A- *QuickSTART TIMELINES*). This is measured from the time a sponsor has selected the site AND has sent final study documents to the site (i.e. protocol, investigator brochure, budget, contract, etc.). The goal within QuickSTART is to have a site ready to be activated and enrollment ready within 90 days from this point.

By using the QuickSTART digital platform, study status will be transparent to all parties during the start-up phase. Additionally, the QuickSTART processes may serve to benefit other industry sponsored studies as they will be efficient, reproducible and mutually agreed upon in principle. Further, sites that are ***QuickSTART Ready*** will be identified by CTO to industry sponsors looking for a QuickSTART site.

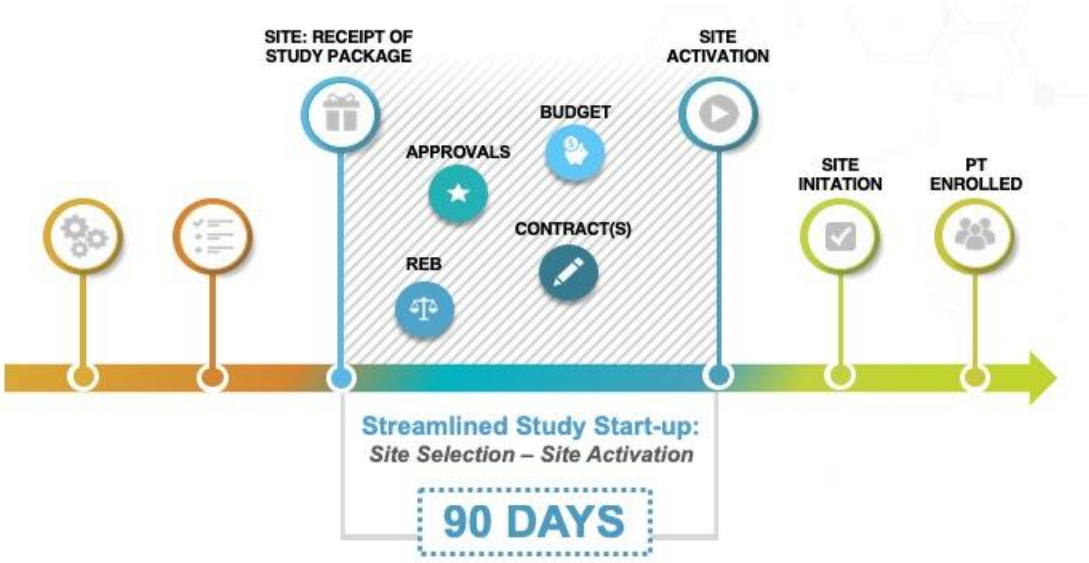
2 - Constructs of QuickSTART

The QuickSTART goal of 90 days will be possible based on the essential constructs of the QuickSTART program. These include:

A. Engaged parties: As part of a QuickSTART application- the stakeholders must be engaged toward a common goal. The sponsor, institution and investigator must be in agreement that the study is a priority and that each party will perform as required in order to meet that objective.

B. Transparency: As is observed with CTO Stream, efficiency and outcomes are improved with greater transparency between parties. This will be achieved in QuickSTART through a digital platform that will record and display status of start-up processes and collect metrics on timelines and performance. CTO will utilize the metrics within QuickSTART to report effectiveness as well as identify opportunities for improvement.

C. Use of Streamline processes: In order to meet the objective of 90 day start-up goal, streamlined processes will be utilized within QuickSTART. This includes streamlined approaches to contracts and budgets as well as efforts to streamline internal processes for all parties. QuickSTART will support this through QuickSTART tools, utilizing the digital platform and leveraging existing streamlined approaches.



3 - QuickSTART Ready Research Institutions

Research institutions that are interested in becoming ***QuickSTART Ready*** will be supported by CTO to this end. This involves a number of steps toward streamlined approaches with parties responsible for Research Ethics Board (REB) review, budget approvals, resource utilization reviews, contract negotiations and institutional approvals.

A. REB Review

In order to meet a goal of 90 days to study start-up, the REB review and approval will need to be completed within this timeframe. While the REB review is a separate and independent process, there are steps that can improve timelines.

i. The institutional representative for CTO Stream will be required to provide a signature. Completing this in a timely manner will help avoid unnecessary delays in the REB process.

B. Budget

Budget is a critical aspect of study start-up. In order to improve efficiencies in this process, CTO has created (in conjunction with industry and institutional personnel) a set of Budget Principles that outlines the common requirements to justify and recover costs in research. Steps to being ***QuickSTART Ready*** include the following:

i. The institution is requested to review the *QUICKSTART BUDGET PRINCIPLES* (Appendix B) and approach budget review using these principles.

ii. It is encouraged that the institution maintains a master price list of all typical assessments requested for research.

iii. Any policies with respect to fees in research should be readily available to research departments and sponsors.

iv. The site must supply CTO with a *FEE INFORMATION SHEET* (Appendix C) that documents fixed institutional research fees. This will be included in the *QuickSTART Playbook Terms Library* and will allow sponsors to be aware of specific fixed costs prior to engaging in a QuickSTART application.

C. Contracts

CTO recognizes that much time and effort has gone into creating contract templates toward the goal of streamlining review and reducing timelines for study contract execution. Any of these streamlined approaches will be eligible for use within QuickSTART. In order to become ***QuickSTART Ready***, the site will be asked to review their experience with streamlined approaches in industry sponsored studies and confirm their use. In addition, CTO will work with the institution to compile the mandatory terms for the various phases/study types of industry sponsored research (Appendix D- *SITE PLAYBOOK TERMS*). This will be included in the *QuickSTART Playbook Terms Library*.

Within QuickSTART, the parties must be able to use one of the following streamlined contract strategies:

i. mCTA (CCTCC): Institutions will be asked to consider the use of the mCTA in clinical trials. CTO will work with the site's contract department to document the scenarios in which the mCTA could be used without modification and (if necessary) the specific modifications that would be required by the site. These will be included into the *QuickSTART Playbook Library*.

ii. Sponsor Specific Master Agreements: any active, pre-established sponsor master agreements will be readily accepted within the QuickSTART program.

iii. Playbook Terms: CTO will work with the institution's contract department to document terms that are considered mandatory by the site. In addition, CTO will look to document the scenarios under which these terms may or may not be utilized (e.g., phase II studies will require the following statement). These will be available in the *QuickSTART Playbook Library* and will allow sponsors to be aware of specific contract requirements prior to engaging in a QuickSTART application.

D. Resource Utilization Approvals

The process and requirements for resource utilization approval varies dramatically between sites. CTO recognizes that these are important processes that facilitate good planning for research and evaluation of resource use within an institution. It is also recognized that many times this process must take place prior to the budget review/approval for an industry sponsored study. In order to meet the 90 day goal, the institution will be asked to assess how their process for this review can be optimized in order to meet the fixed review timelines for a QuickSTART study. The QuickSTART digital platform can be utilized to help facilitate this efficient review.

i. Timelines

- Commitment to pre-determined timeframes to review resource utilization as part of budget review or institutional approval (See Appendix A- *QuickSTART TIMELINES*)

ii. Budget Building Tool

- Commonly agreed upon budget justification process that meets the needs of the site to ensure costs are covered and meets the requirements of the sponsor to document and justify requests for changes to the budget.
- Approach budget review, assessment and justification in keeping with the QuickSTART BUDGET PRINCIPLES (Appendix B).

E. Institutional Approvals

QuickSTART is designed to work within the established institutional processes for research approval. It is recognized, however, that increased efficiency in processes and flow may be necessary in order to meet the 90 day start-up goal. A ***QuickSTART Ready*** institution will be asked to evaluate approval processes and identify efficiencies. The QuickSTART digital platform can be tailored to facilitate efficiencies in the approval process.

i. Timelines: Metrics are an important part of the QuickSTART program. As part of the institution's engagement in QuickSTART, the site will commit to pre-specified timelines for institutional approvals for QuickSTART studies (see Appendix A). Sites will agree to review QuickSTART metrics with CTO on a regular basis and look for ways to implement improved processes and review times when needed.

ii. Parallel processing: CTO will work with sites to identify areas where improvements in start-up timelines can be achieved by implementing parallel processes.

4 - QuickSTART Ready Research Teams and Investigators

Research departments and Investigators that are interested in becoming ***QuickSTART Ready*** will be supported by CTO to this end. This will involve a number of steps for the institution as well as the research department in order to facilitate efficiency in the start-up process.

A. REB Review

In order to meet a goal of 90 days for study start-up, the REB review and approval will need to be completed within this timeframe. It is encouraged that the research team works with the study sponsor, allowing the sponsor to take an active role in the preparation of an REB application when CTO Stream is utilized. This will reduce preparation time for the site and improve timelines to REB review.

To be considered ***QuickSTART Ready***, the following will be established:

i. Commitment to pre-determined timeframes to reply to REB questions (See Appendix A- *QuickSTART TIMELINES*). CTO Stream metrics reveal that 42% of the overall REB review time is the time it takes for sponsors/investigators to respond to REB questions and queries. Committing to high quality submissions, using the Informed Consent Template, and short turnaround times on REB questions will reduce overall review time significantly.

ii. For the Provincial Applicant, it is critical to have the REB submission completed in the early weeks of a QuickSTART application.

iii. Follow *CTO STREAM BEST PRACTICES FOR SITES* (Appendix E). These best practices will help decrease preparation and review time for REB approval.

B. Budget

Budget is a critical aspect of study start-up. In order to improve efficiencies in this process, CTO has created (in conjunction with industry and institutional personnel) a set of Budget Principles that outlines the common requirements to recover and justify costs in research. Steps to being ***QuickSTART Ready*** include:

i. The research team must be trained on the *BUDGET BUILDING TOOL* (Appendix F).

ii. It is encouraged that the research department build and maintain a master budget charter that includes all typical and regularly used assessments /tests for the specific therapeutic area.

iii. The research team is requested to review the *QUICKSTART BUDGET PRINCIPLES* (Appendix B) and approach the budget review using these principles.

C. Contracts

CTO will work with the institution to identify potential streamlined contract strategies for use in QuickSTART. The sponsor will identify a contract strategy to be used when a QuickSTART application is created. Research teams are asked to be familiar with the potential streamlined contract strategies as well as the playbook terms for the site (see *QuickSTART Playbook Library*)

Within QuickSTART, the parties must use one of the following streamlined contract strategies:

i. mCTA (CCTCC): Institutions will be asked to consider the use of the mCTA in clinical trials. CTO will work with the site's contract department to document the scenarios in which the mCTA could be used without modification and (if necessary) the specific modifications that would be required by the site. These will be included into the *QuickSTART Playbook Library*.

ii. Sponsor Specific Master Agreements: any active, pre-established sponsor master agreements will be readily accepted within the QuickSTART program.

iii. Playbook Terms: CTO will work with the institution's contract department to document terms that are considered mandatory by the site. In addition, CTO will look to document the scenarios under which these terms may or may not be utilized (e.g., phase II studies will require the following statement). These will be available in the *QuickSTART Playbook Library* and will allow sponsors to be aware of specific contract requirements prior to engaging in a QuickSTART application.

D. Resource Utilization Approvals

CTO will work with the institution toward QuickSTART readiness and will evaluate how any applicable resource utilization approval processes can be optimized to work within QuickSTART timelines for review and associated budget approval. It is important to be aware of any resulting differences that may exist for QuickSTART studies versus normal process of review. CTO will review this with the research team and investigators as part of the ***QuickSTART Ready*** process.

i. QuickSTART Digital Platform: The platform for QuickSTART will be customizable to best work within your institution's review process. CTO will work with the research team to identify best settings for this platform.

ii. Commitment to timelines: The research team is a critical party to ensure that timelines are being met for each step of the site review and approval process. The research team will be asked to ensure that all site parties stay committed to their timelines. The Resource utilization review process may impact the budget review timelines and is a key timeline to monitor (See Appendix A- *QuickSTART TIMELINES*).

E. Institutional Approvals

CTO will work with the institution toward QuickSTART readiness and will evaluate how any applicable institutional approval processes can be addressed to work within QuickSTART timelines. It is important to be aware of any resulting differences that may exist for QuickSTART studies versus normal process of review. CTO will review this with the research team and investigators as part of the ***QuickSTART Ready*** process.

i. QuickSTART Digital Platform: The platform for QuickSTART will be customizable to best work within your institution's approval process. CTO will work with the research team to identify best settings for this platform.

5 - QuickSTART Ready Sponsors

Industry sponsors that are interested in becoming ***QuickSTART Ready*** will be supported by CTO to this end. Sponsors are encouraged to share this program with any global departments that are also stakeholders in the approval processes for study start-up to ensure that timelines are adhered to and that QuickSTART processes are compatible with the company's process.

Further, sponsors are encouraged to discuss the potential for a QuickSTART application and potential sites with CTO as early as possible, to ensure all parties are ***QuickSTART Ready*** upon application submission. CTO will prioritize QuickSTART readiness activities with sites who are identified by sponsors.

A. CTO Stream

In order to meet the 90 days start-up goal, the REB review and approval will need to be completed within this timeframe. It is encouraged that study sponsors take an active role in the preparation of an REB application when CTO Stream is utilized. This will reduce preparation time for the site and improve timelines to REB review.

i. Commitment to pre-determined timeframes to reply to REB questions (See Appendix A- *QuickSTART TIMELINES*). CTO Stream metrics reveal that 42% of the overall REB review time is the time it takes for sponsors/investigators to respond to REB questions and queries. Committing to high quality submissions and short turnaround times on REB questions will reduce overall review time significantly.

ii. It is critical to have the REB submission completed within the first weeks of a QuickSTART application. Supporting the Provincial Applicant in the submission process will ensure this outcome.

iii. Follow *CTO STREAM BEST PRACTICES FOR SPONSORS* (Appendix G).

B. Budget

Budget is a critical aspect of study start-up processes. In order to improve efficiencies in this process, CTO has created (in conjunction with industry and institutional personnel) a set of Budget Principles that outlines the common requirements to justify and recover costs in research. Steps to being ***QuickSTART Ready*** include:

i. The Sponsor must obtain internal approvals (as required) for the acceptance of the budget justification process in QuickSTART. The Sponsor will have an opportunity to give feedback on the *BUDGET BUILDING TOOL*.

ii. Commitment to pre-determined timeframes to review and respond on the study budget (See Appendix A- *QuickSTART TIMELINES*).

iii. Approach budget proposal, review and assessment as outlined in the *QuickSTART BUDGET PRINCIPLES* (Appendix B).

C. Contracts

CTO recognizes that much time and effort has gone into creating contract templates toward the goal of streamlining review and reducing timelines for study contract execution. Any of these streamlined approaches will be eligible for use within QuickSTART. In order to become ***QuickSTART Ready***, the sponsor will be asked to review their experience with streamlined approaches with Ontario institutions and confirm their use.

Within QuickSTART, the parties must be able to use one of the following streamlined contract strategies:

i. mCTA (CCTCC): Institutions will be asked to consider the use of the mCTA in clinical trials. In QuickSTART, the mCTA may be used with or without modifications as required by the respective parties.

ii. Site Specific Master Agreements: any active, pre-established site specific master agreements will be readily accepted within the QuickSTART program.

iii. Playbook Terms: CTO will work with the institution's contract department to document terms that are considered mandatory by the site. In addition, CTO will look to document the scenarios under which these terms may or may not be utilized (e.g., phase II studies will require the following statement). These playbook terms will be made available to the sponsor to review and consider prior to initiating a QuickSTART application. When utilizing this approach, the sponsor will be asked to consider the mCTA as a starting template to which they can add mandatory sponsor terms as well as institutional Playbook terms. This ensures that CAHO principles are included in the contract to help facilitate a streamlined contract review.

D. Internal Company Approvals and Processes

CTO recognizes the importance of involving all sponsor stakeholders in the QuickSTART program to facilitate efficient reviews and approvals. Further, the QuickSTART program has been initiated to facilitate consistent and excellent start-up timelines in Ontario institutions. CTO will publish metrics to support the sponsor's review of performance in these sites and to support clinical trial activities at these sites.

i. CTO understands the importance of making Ontario sites an attractive and valuable option for industry sponsored studies. CTO will work with each sponsor to ensure that the processes within QuickSTART adequately meet the minimal needs of the sponsor's internal approval processes.

ii. CTO will also look to review QuickSTART performance metrics with active or potential sponsors in order to promote the value of the QuickSTART program to the sponsor company.

iii. CTO will review metrics for the sponsor's QuickSTART studies to identify opportunities for improvement.

E. Using a CRO in QuickSTART

CTO recognizes that CRO's are an important party in industry sponsored studies. Adding additional parties will result in increased complexity of review and the sponsor is encouraged to evaluate the responsibilities that it may retain in order to facilitate optimal start-up efficiencies. It is encouraged that the sponsor remains one of the engaged parties in QuickSTART regardless of CRO involvement. If the CRO will be a responsible party for the QuickSTART application, the sponsor should ensure that the CRO is also ***QuickSTART Ready***.

i. QuickSTART application: It is encouraged that the sponsor create and submit the QuickSTART application and add the CRO personnel as a party of the Sponsor. If the CRO is tasked with the responsibility of creating the QuickSTART application, a sponsor representative should be included as a party for the sponsor. This will ensure visibility by all parties which is key to effective start-up.

ii. Study documents: If the CRO is responsible for the contract negotiation but will not be a party to the contract, a Letter of Intent, agency agreement or representation letter from the Sponsor should be included in the documents for the contract.

iii. Contract: a streamlined strategy for the contract will remain a requirement for QuickSTART and will be of even greater importance when a CRO is involved. The

sponsor should retain visibility to the contract status within QuickSTART and be responsible for ensuring timelines are adhered to.

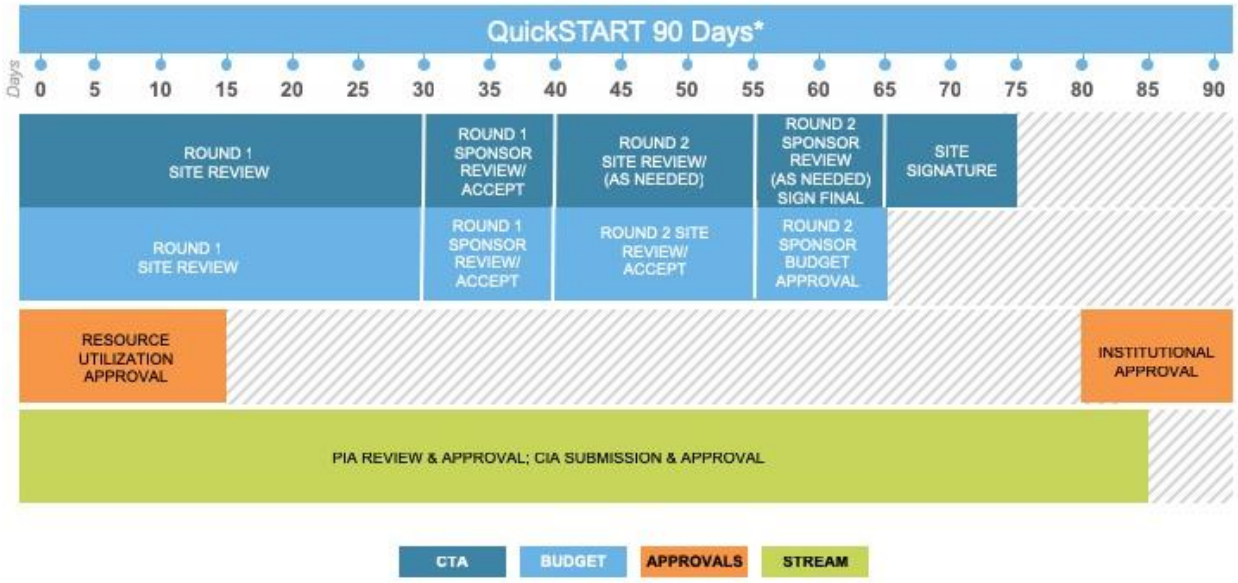
iv. Budget: the responsible party for the budget negotiations should be clearly defined prior to submitting a QuickSTART application. QuickSTART Budget Principles should be considered by all parties who are responsible for budget negotiations.

6 - QuickSTART Ready CRO's / ARO's

CTO recognizes that CRO's are an important party in industry sponsored studies. CTO will work with any interested CRO/ARO's to ensure they are ***QuickSTART Ready***.

All of the ***QuickSTART Ready*** Sponsor sections are applicable also to CRO/ARO's. Please refer to Section 5.

APPENDIX A – QuickSTART TIMELINES



*Sponsor application and pre-screen conducted prior to Day 0
Application package sent to site - Day 0

APPENDIX B– QuickSTART BUDGET PRINCIPLES

Background

Clinical Trials Ontario (CTO) will pilot a QuickSTART program aimed at a study start-up timeframe of 90 days. As part of this program, it is required that the study budget be negotiated within fixed timelines. In order to facilitate these timelines and outcomes, the following guidelines have been established with input from industry study sponsors and research staff at Ontario institutions. The purpose of these guidelines is to provide a framework for negotiating study budgets, and is based on the constructs of transparency, time and materials compensation, standardized approaches.

Standard of Care Tests and Visits for Research Patients:

- Standard of care visits for research patients should be covered by OHIP when the assessment, test, etc. is performed as per standard of care.
    - Standard of care varies from center to center and should be discussed early in the process for transparency.
    - Additional research documentation and/or data collection that may be required by a research protocol at a standard of care visit. The additional work of data collection and documentation should be compensated through a research budget payment schedule.
    - Additional testing beyond standard of care are considered research visits.
- Standard of care visit tests and assessments should not be double-billed to the study sponsor for work that is covered by OHIP. Sponsors may request invoices as required by their standard operating requirements.

Research Tests and Visits:

- OHIP prices are reflective of the price for a first-come- first-served testing schedule. These tests are often associated with longer wait times than what is required in research.
- Research tests are required at a stipulated, scheduled time and often booked within a shorter timeframe than typical waitlist durations. The premium pricing (higher than OHIP rates) for research tests (imaging, pharmacy, etc.) are reflective of the additional staffing required to meet scheduling and test specifications that are associated with research tests.

The difference between standard of care test pricing and research test pricing should be transparent and consistent from the institution.

- The following considerations are legitimate factors in determining research costing and budgeting for data collection in a healthcare setting:
    - Scheduling outside of normal hours
    - Priority test scheduling
    - Additional data collection (over and above typical tests reflected by OHIP prices)
    - Fees for data collection and protocol specific tests should be a product of work time and the staffing cost associated with that work

Research Activities:

- These are defined as work related to setting up and running a trial and may include activities such as: Amendment fees, Monitoring visits, Inspections/Audits (HC, FDA), review of protocols, REB submission work.
- This additional work should be compensated through a research budget payment schedule.

Start-up Fees:

- Start-up fees should be pre-determined and standardized for a given department whenever possible.
- Transparency in the breakdown of start-up fees is encouraged.
- Start-up fees should be justified as a product of time and the staffing cost associated with that time when required by the sponsor.

Training:

- Training for protocol specific testing and data collection should be captured outside of the per patient costs within a study budget and identified as staff training costs.

Overhead Fees:

- Institutional overhead fees should be applied as pre-specified by the institution and should not be considered in the budget justification so as to ensure they are not applied more than once.

Storage, Shipping, Archiving:

- Requirements for storage, shipping, etc. are both unique to a given protocol, as well as the specific research institution. These should be considered separately as a necessary cost of doing research.
- Costs for shipping and storage should be reflective of the costs incurred by the research institution/ department and be charged as an expense reimbursement item only to the sponsor.
- Wherever possible a sponsor should organize and pay for such service directly to the service provider.

APPENDIX C – FEE INFORMATION SHEET

Working document can be request from CTO.

QuickSTART Site Fee Information Sheet

Institution _____

Department _____

As part of the CTO QuickSTART readiness process, please complete and return to CTO. Include fixed/ non-negotiable fees that apply to most/all studies. This information will be available to industry sponsors in the QuickSTART Playbook Terms Library.

Item	Cost
Institutional Overhead	0%
Start-up Fee	$0.00
Pharmacy Set up Fee	$0.00
Archiving Fee	$0.00
other 1	$0.00
other 2	$0.00
other 3	$0.00

Notes:

Exempted from overhead:

List activities included

APPENDIX D – SITE PLAYBOOK TERMS

Working document can be request from CTO.

QuickSTART Site Mandatory Contract Terms Information Sheet

As part of the CTO QuickSTART readiness process, please complete and return to CTO. Include mandatory contract terms that apply to most/all studies. This information will be available to industry sponsors in the QuickSTART Playbook Terms Library.

Institution _____

Department _____

Is the mCTA accepted? _____

MANDATORY WORDING/TERM	CONDITION USED IN	REASON/ JUSTIFICATION	EXCEPTION?

Notes:

Ideally, mandatory terms would be no more than 5 per/ institution

Also note if your institution requires a tripartite agreement with Investigator as a separate party.

APPENDIX E – CTO STREAM BEST PRACTICES FOR SITES

Best preparation:

- Ensure all parties have attended full Stream training
- Ensure all required personnel have CTO Stream accounts set up with appropriate access rights
    - Note: Site PI (and Co-I if applicable) and Department Approver require CTO Stream accounts in order to sign-off on applications. Ensure they have accounts before application is ready to submit.

Provincial Initial Application:

- If the study is Industry sponsored, it is ideal for the Sponsor to create the application, have full access to the application.
- Answer all remaining questions on application (typically questions around standard of care will need to be completed by Provincial Applicant in an industry sponsored study even if the application is started by Sponsor)

Provincial ICF:

- Determine roles and responsibilities with sponsor (if applicable).
    - We will do: x / You do: y
    - Determine process to respond to REB questions
    - Who will complete changes to provincial ICF (e.g., sponsor changes; site checks)
    - Determine if the sponsor will require review of the provincial ICF before submission
- Use CTO ICF template and insert study-specific details where prompted. Do not make additional changes that aren't required by the template
- Follow the PIA Tip Sheet

Signatures:

- Must be signed electronically by provincial applicant to trigger submission

Submission of the Provincial Initial Application:

- CTO pre-screens prior to sending to REB of Record – ensure CTO ICF template is followed and that the correct Institutional Representative is listed in the form (contact CTO if you're not sure), otherwise application will be sent back by CTO for changes
- Continuously monitor status of submission, ensure timely response to REB questions and that responses are submitted correctly (See QuickGuide: How to Respond to Request for Modifications from the REB of Record).

**PI/ Sponsor response time is 42% of approval duration

Center Initial Applications:

- Once a site is approved, create center initial application for site (even if PIA isn't yet approved)

Preparation:

- Ensure site personnel are trained on CTO Stream
- Ensure site personnel have CTO Stream accounts and access to study (check with CTO) (see QuickGuide: Adding Study Team Members using Roles)
- Send DIER to sponsor (if applicable) - these are not negotiable

Center specific ICF:

- Site-specific ICF = the provincially approved ICF + local contact information + DIER (if applicable)
- Refer to the CIA Tip Sheet

Signatures:

- Signatures will be required by the Principal Investigator, CO-Investigator (if applicable), Department Head and Institutional Representative to trigger submission

Submission of the Centre Initial Application:

- CTO pre-screens centre applications prior to sending to REB of Record. Ensure that any DIER are reflected in application (i.e., site-specific ICF and any other sections as applicable), institution representatives are correctly identified, and that the individuals listed in section 1 of the application match the individuals that signed the application, otherwise application will be sent back by CTO for changes

- Continual monitoring of status of submission, ensure timely response to REB questions (if applicable) and that responses are submitted correctly (See QuickGuide: How to Respond to Request for Modifications from the REB of Record)

Translation:

- Translation of consent form (if required) is best completed after the Site Specific consent form is approved with the CIA (submit the translated consent form as a Centre Amendment)

Reminders:

- No ethics fees required in site budget for Stream sites (paid to CTO).
- Provincial Ethics Approval cannot lapse or all sites are immediately/ automatically suspended
- Other tips available in the Tips for Advanced Users guide

APPENDIX F - BUDGET BUILDING TOOL

QuickSTART Budget Building Tool v1

APPENDIX G - CTO STREAM BEST PRACTICES FOR SPONSORS

Best preparation:

- Full training and access in advance; ensure CTO Stream accounts set up
- Sponsor can create an application in CTO Stream with generic or common answers included. This application can be duplicated with each new study, with study-specific information added to the new application.
    - This application should be updated to reflect REB questions that are received from previous REB reviews.
- You can find these application questions on the CTO website anytime.

Best settings: Sponsor is Project owner (creates the application), gives full access to study teams, give read access to QA/RA team or others as needed for access (read only access will not generate notifications for the account holder).

- Protocol to Site feasibility – sponsor starts Provincial Initial Application (PIA) in Stream
    - Answer all questions for which information is available (typically questions around standard of care and provincial study team information will be completed later)
    - Use CTO ICF template and insert study-specific details where prompted. Do not make additional changes that aren't required by the template
    - Follow the PIA Tip Sheet
    - Have global review provincial ICF and approve if needed

- Site Feasibility – determine your Provincial Applicant (PA)
    - Discuss sponsor and site responsibilities regarding the provincial applications to ensure all are on the same page:
        - We will do: x / You do: y
        - Who will do this at the site
        - Determine process to respond to REB questions
        - Who will do changes to provincial ICF (sponsor changes; site checks)
        - Consider budget implications for PA site
        - Clearly outline plan for Stream and ICF process with Site
        - Sponsor may want to establish a target timeline for submission of PIA from time of PA site selection

- Work with PA site to complete Provincial Initial Application
  - Must be signed electronically by provincial applicant to trigger submission
  - CTO pre-screens prior to sending to REB of Record – ensure CTO ICF template is followed and that the correct Institutional Representative is listed in the form (contact CTO if you're not sure), otherwise application will be sent back by CTO for changes
  - Continuously monitor status of submission, ensure timely response to REB questions and that responses are submitted correctly (See QuickGuide: How to Respond to Request for Modifications from the REB of Record).

  **PI/ Sponsor response time is 42% of approval duration*

- After Site Selection
  - Once site is approved, create center initial application for site (even if PIA isn't yet approved)
    - Ensure site personnel are trained on CTO Stream
    - Ensure site personnel have CTO Stream accounts and access to study (check with CTO) (see QuickGuide: Adding Study Team Members using Roles)
      - Note: Site PI (and Co-I if applicable) and Department Approver require CTO Stream accounts in order to sign-off on applications. Ensure they have accounts before application is ready to submit.
    - Send site DIER to global sponsor if needed for review by sponsor (these are not negotiable)
    - If Sponsor review of site-specific ICF is required, timeline should be minimal and review prioritized
      - Site-specific ICF should = provincially approved ICF + local contact information + DIER (if applicable)
    - Sites should use Provincially approved ICF template(s) to create their site-specific ICFs to ensure all REB of Record revisions are included.
    - Refer to the CIA Tip Sheet
    - Centre applications do **not** require submission of provincially approved participant material templates (other than ICFs) if the site is only inserting local logo/letterhead/contact information (including recruitment posters, wallet cards, brochures, etc.)
  - CTO pre-screens centre applications prior to sending to REB of Record. Ensure that any DIER are reflected in application (i.e., site-specific ICF and any other

sections as applicable), institution representatives are correctly identified, and that the individuals listed in section 1 of the application match the individuals that signed the application, otherwise application will be sent back by CTO for changes
    - Sponsor may want to establish a target timeline for submission of CIA from provincial approval
    - Continual monitoring of status of submission, ensure timely response to REB questions (if applicable) and that responses are submitted correctly (See QuickGuide: How to Respond to Request for Modifications from the REB of Record)
- Site Initiation Visit: Schedule when you know REB approval is in place or will be by date

Reminders:

- No REBA's in CTO; attestation language is included in REB approval letters
- No ethics fees required in site budget for Stream sites (paid to CTO)
- If required by your company: have Master Service Agreement (MSA) in place asap
- Provincial Ethics Approval cannot lapse or all sites are immediately/ automatically suspended