Clinical Trials Ontario

Streamlined Research Ethics Review System

Post-Approval Submissions

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CLINICAL TRIALS ONTARIO

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Post-Approval Provincial Submissions

What is a Provincial Post-Approval Submission?

- Ethics submissions which occur after the project has received initial ethics approval, or after the Provincial application has been submitted
- These submissions are the responsibility of the Provincial Applicant (PA) team
- Once approved, the approval applies to all of the sites*
- Table 1 highlights examples of Provincial post-approval submissions

**Exception: Provincial Amendments involving change to provincial consent materials*

Provincial Information	TABLE 1	Centre Information
Initial Application (study-wide information)		**Initial Application** (centre-specific information)
Amendments: • Changes to protocol • Changes to consent/assent form(s) • Changes in other participant materials • Updated IB/PM • Translation of Provincial Materials • Other changes in previously submitted information		**Amendments:** • Changes to local consent/assent form(s) • Translation of centre-specific material • Changes in other centre-specific participant materials • Other changes in previously submitted centre-information
Continuing Review (study-wide information)		**Continuing Review** (centre-specific information)
Reportable Events • DSMB/C Report • Interim Analysis Results • Safety Notice/Update (e.g., Action Letter), Periodic External (non-local) AE/SUSAR Summary Report, Single External (non-local) Adverse Event meeting reporting definition		**Reportable Events** • Local (internal) Serious Adverse Event meeting reporting definition • Protocol Deviation/Violation • Privacy Breach • Audit/Inspection Report • Participant Complaint
Study Completion/Termination (all centres)		**Study Completion/Termination** (centre-specific information)

Post-Approval Provincial Submissions

Reminders

- Provincial Post-approval forms are *sub-forms* of the Provincial Initial Application (PIA)
- Provincial Applicant/lead PI, Provincial Co-Applicant, Provincial Study Staff and Sponsor/CRO-full access Roles are able to create these forms
- Post-approval application forms go directly to the REB of Record upon submission (no CTO screening)
- Provincial and Centre collaborators are notified at the time of submission and when the REB sends a letter (e.g. a review, acknowledgment or approval letter) for each provincial submission

Post-Approval Provincial Forms - Types

Provincial Amendment Form (PAM)

- Amendments submitted through PAM
- Only updated materials/documents should be included in the PAM form

Provincial Continuing Review (PCR)

- Provincial Applicant (PA) will submit PCR by submission deadline for the full board meeting occurring prior to expiry
- Centres can submit their Centre Continuing Review (CCR) forms even if the PCR form hasn't yet been submitted
- Lapse in provincial ethics approval will simultaneously result in a lapse at all participating sites

Post-Approval Provincial Forms – Types (continued)

Provincial Reportable Events (PRE)

- Include DSMB/C reports, Interim analysis results, safety notices/update and any external (non-local) adverse events **that meet the REB of Record's reporting requirements**

Provincial Study Closure Form (PSC)

- Once all participating sites have submitted their centre study closure forms, the study can be closed by the PA by submitting the PSC

Signature Requirements

- PA must sign each post-approval application when it is **first** submitted
  - A delegate may sign any re-submissions of the form

Post-Approval Centre Submissions

What is a Post-Approval Submission?

- Ethics submissions which occur after the project has received initial ethics approval, or after the centre application has been submitted
- Responsibility of the Centre Applicant team (local site PI team)
- Table 2 highlights examples of Centre post-approval submissions

Provincial Information	TABLE 2	Centre Information
Initial Application (study-wide information)		**Initial Application** (centre-specific information)
Amendments: • Changes to protocol • Changes to consent/assent form(s) • Changes in other participant materials • Updated IB/PM • Translation of Provincial Materials • Other changes in previously submitted information		**Amendments:** • Changes to local consent/assent form(s) • Translation of centre-specific material • Changes in other centre-specific participant materials • Other changes in previously submitted centre-information
Continuing Review (study-wide information)		**Continuing Review** (centre-specific information)
Reportable Events • DSMB/C Report • Interim Analysis Results • Safety Notice/Update (e.g., Action Letter), Periodic External (non-local) AE/SUSAR Summary Report, Single External (non-local) Adverse Event meeting reporting definition		**Reportable Events** • Local (internal) Serious Adverse Event meeting reporting definition • Protocol Deviation/Violation • Privacy Breach • Audit/Inspection Report • Participant Complaint
Study Completion/Termination (all centres)		**Study Completion/Termination** (centre-specific information)

Post-Approval Centre Submissions

Reminders

- Are sub-forms of the Centre Initial Application (CIA)
- Centre PI, Co-Investigator, Centre Study Staff and Sponsor/CRO-full access Roles are able to create these forms
- Post-approval applications go directly to the REB of Record upon submission
- Centre applicant team is notified at the time of submission and when the REB sends a letter (e.g., a review, acknowledgment or approval letter) for each centre submission

Post-Approval Centre Form - Types

Centre Amendment Form (CAM)

- Site-specific amendments submitted through CAM
- Only updated materials/documents should be included in the CAM form

Reminder:

Sites are not required to submit non-consent, participant facing materials when the only change to the provincially approved version is the insertion of site-specific contact information and/or letterhead

Post-Approval Centre Form – Types (continued)

Changes to Provincial Consent Template

- When a Provincial Amendment is approved that involves **a change to the consent materials,** sites must submit a Centre Amendment (CAM) form for their new ICF
  - Each site will create their new site-specific ICF **reflecting changes in the new Provincially approved ICF template** and submit for REB approval using the CAM form
- **OCREB Users – Please note this is not required for OCREB studies*

Post-Approval Centre Form – Types (continued)

Centre Continuing Review (CCR)

- Centre applicant (CA) will submit CCR form by submission deadline for full board meeting occurring prior to expiry date
- Centres can submit their CCR forms even if PCR form hasn't been submitted
- Provincial Applicant must also submit a CCR for their own site (in addition to the PCR form)

Centre Reportable Events (CRE)

- Centre reportable events include only local (internal) SAEs, protocol deviations, privacy breaches, audit/inspection reports and participant complaints occurring at the centre **that meet the REB of Record's reporting requirements**

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Post-Approval Centre Form – Types (continued)

Centre Study Closure (CSC)

- When study is completed at an individual research site (e.g., there is no further participant involvement, all new data collection is complete, and the sponsor close-out activities at the site have been completed, if applicable), each site will submit a CSC form
- Each participating site (including the PA's site) must submit a CSC form before study can be closed out overall (e.g., at the provincial level)

Signature Requirements

- PI must sign each post-approval application when it is **first** submitted
  - A delegate may sign any re-submissions of the form

Continuing Review Reminders

- Single ethics expiry date for the entire study and all participating sites
- Reminders are sent 45, 30 and 15 days prior to the expiry date – submit for the Full-Board meeting prior to your expiry date
- Provincial Continuing Review (PCR) form must be submitted by the Provincial Applicant (PA) team, and each research site (including the PA site) must submit a Centre Continuing Review (CCR) form
- A lapse in ethics approval occurs if the continuing review is not approved prior to the ethics approval expiry date
- If provincial ethics approval expires, ethics approval for all research sites is automatically considered to have expired as well.

Resources

- Applicant Tip Sheet - CTO Stream Application Forms
  - This tip sheet contains descriptions of the various application forms and information on when to use them

https://www.ctontario.ca/cto-programs/streamlined-research-ethics-review/webinars-and-training/

- Word versions of all CTO Stream application forms can be found in the Tools and Resources section of the CTO website

Questions?

We are here to help!

If you have questions about the Streamlined Research Ethics Review System or need technical support you can reach us through the CTO Online Helpdesk system

Submit your Helpdesk ticket at
support.ctostream.ca

CTO Stream Manuals, Quick Guides, Tip Sheets and training webinar information is available on the CTO Website
https://www.ctontario.ca/cto-programs/streamlined-research-ethics-review/webinars-and-training/

Word versions of CTO Stream application forms can be found at the following link
https://www.ctontario.ca/cto-programs/streamlined-research-ethics-review/tools-and-resources/