Trent Multi-centre Research Ethics Committee

Derwent Shared Services
Laurie House
Colyear Street
Derby
DE1 1LJ

Telephone: 01332 868905
Fax: 01332 868930
Email: Jill.Marshall@derwentsharedservices.nhs.uk

Your Ref:

19 July 2004

Mrs Elizabeth Draper
Director, East Midlands and South Yorkshire Congenital
Anomalies Register (BINOCAR)
Department of Health Sciences
University of Leicester
22-28 Princess Road West
LEICESTER
LE1 6TP

Dear Mrs Draper

Full title of study: The regional and national registration of congenital anomalies in England, Scotland and Wales - the British Isles Network of Congenital Anomaly Registers (BINOCAR).
REC reference number: 04/MRE04/25
Protocol number: Designated 1

Thank you for your letter of 08 July 2004, responding to the Committee's request for further information on the above research.

The further information has been considered on behalf of the Committee by the Chairman.

Confirmation of ethical opinion

On behalf of the Committee, I am pleased to confirm a favourable ethical opinion for the above research on the basis described in the application form, protocol and supporting documentation.

Conditions of approval

The favourable opinion is given provided that you comply with the conditions set out in the attached document. You are advised to study the conditions carefully. **I confirm that this is a 'No Local Investigator' study, therefore no site specific assessment need be sought from LRECs.**

Approved documents

The final list of documents reviewed and approved by the Committee is as follows:

Document Type: Application
Version:
Dated: 02/04/2004
Date Received: 15/04/2004

Document Type: Investigator CV
Version:
Dated: 22/04/2004
Date Received: 06/04/2004

Document Type: Protocol
Version: Designated 1
Dated: 22/04/2004
Date Received: 15/04/2004

Document Type: Covering Letter
Version:
Dated: 02/04/2004
Date Received: 06/04/2004

Document Type: Participant Information Sheet
Version: 1.0 - Recording Information on Cases of Congenital
Dated: 01/08/2003
Date Received: 06/04/2004

Document Type: Response to Request for Further Information
Version:
Dated: 08/07/2004
Date Received: 12/07/2004

Document Type: Other
Version: PIAG approval letter
Dated: 19/07/2004
Date Received: 12/07/2004

Document Type: Other
Version: PIAG continuation of approval letter
Dated: 29/04/2004
Date Received: 12/07/2004

Document Type: Other
Version: Notification Form
Dated: 01/01/2003
Date Received: 06/04/2004

Document Type: Other
Version: Designated 1- BINOCAR Security Checklist
Dated: 22/04/2004
Date Received: 06/04/2004

Document Type: Other
Version: Flow Chart of Register
Dated: 22/04/2004
Date Received: 06/04/2004

Document Type: Other
Version: Letter from R&D Leicester General Hospital
Dated: 29/03/2004
Date Received: 06/04/2004

Management approval

You should arrange for all relevant host organisations to be notified that the research will be taking place, and provide a copy of the REC application, the protocol and this letter.

All researchers and research collaborators who will be participating in the research must obtain management approval from the relevant host organisation before commencing any research procedures. Where a substantive contract is not held with the host organisation, it may be necessary for an honorary contract to be issued before approval for the research can be given.

Notification of other bodies

We shall notify the research sponsor that the study has a favourable ethical opinion.

Statement of compliance *(from 1 May 2004)*

The Committee is constituted in accordance with the Governance Arrangements for Research Ethics Committees (July 2001) and complies fully with the Standard Operating Procedures for Research Ethics Committees in the UK.

REC reference number: **04/MRE04/25** Please quote this number on all correspondence

Yours sincerely

Dr Robert Bing
Chairman, Trent MREC

Enc: Standard approval conditions [SL-AC2]

NHS

Central Office for Research Ethics Committees (COREC)

RESEARCH IN HUMAN SUBJECTS OTHER THAN CLINICAL TRIALS OF INVESTIGATIONAL MEDICINAL PRODUCTS

Standard conditions of approval by Research Ethics Committees

1. Further communications with the Research Ethics Committee

1.1 Further communications during the trial with the Research Ethics Committee that gave the favourable ethical opinion (hereafter referred to in this document as "the Committee") are the personal responsibility of the Chief Investigator.

2. Commencement of the research

2.1 It is assumed that the research will commence within 12 months of the date of the favourable ethical opinion.

2.2 In the case of multi-site research requiring site-specific assessment, the research may not commence at any site until the Committee has notified the Chief Investigator that there is no objection from the relevant Local Research Ethics Committee or other approved local assessor.

2.3 The research may not commence at any site until the local Principal Investigator or research collaborator has obtained management approval from the relevant host organisation.

2.4 Should the research not commence within 12 months, the Chief Investigator should give a written explanation for the delay. It is open to the Committee to allow a further period of 12 months within which the research must commence.

2.5 Should the research not commence within 24 months, the favourable opinion will be suspended and the application would need to be re-submitted for ethical review.

3. Duration of ethical approval

3.1 The favourable ethical opinion for the research applies for the expected duration of the research as specified in the application form. If it is proposed to extend the duration of the study, this should be submitted for approval as a substantial amendment.

4. Progress reports

4.1 Research Ethics Committees are required to monitor research with a favourable opinion. The Chief Investigator should submit a progress report to the Committee 12 months after the date on which the favourable opinion was given. Annual progress reports should be submitted thereafter.

4.2 Progress reports should be in the format prescribed by COREC and published on the website (see www.corec.org.uk).

4.3 Progress reports should include an annual list of any Serious Adverse Events occurring to research subjects (see paragraph 8.3 below).

4.4 The Chief Investigator may be requested to attend a meeting of the Committee or Sub-Committee to discuss the progress of the research.

5. Amendments

5.1 If it is proposed to make a substantial amendment to the research, the Chief Investigator should submit a notice of amendment to the Committee.

5.2 A substantial amendment is any amendment to the terms of the application for ethical review, or to the protocol or other supporting documentation approved by the Committee, that is likely to affect to a significant degree:

(a) the safety or physical or mental integrity of the trial participants

(b) the scientific value of the trial

(c) the conduct or management of the trial.

5.3 Notices of amendment should be in the format prescribed by COREC and published on the website, and should be personally signed by the Chief Investigator.

5.4 A substantial amendment should not be implemented until a favourable ethical opinion has been given by the Committee, unless the changes to the trial are urgent safety measures (see section 7). The Committee is required to give an opinion within 35 days of the date of receiving a valid notice of amendment.

5.5 Amendments that are not substantial amendments ("minor amendments") may be made at any time and do not need to be notified to the Committee.

6. Changes to sites *(multi-site studies requiring site-specific assessment only)*

6.1 Where it is proposed to include a new site in the research, there is no requirement to submit a notice of amendment form to the Committee. Part C of the application form together with the Principal Investigator's CV should be submitted to the relevant LREC for site-specific assessment. If no objection is notified, the Committee will extend the favourable ethical opinion to the new site.

6.2 Similarly, where it is proposed to make important changes in the management of a site (in particular, the appointment of a new Principal Investigator), a notice of amendment form is not required. A revised Part C for the site (together with the CV

for the new Principal Investigator if applicable) should be submitted to the relevant LREC for site-specific assessment.

7. Urgent safety measures

7.1 The sponsor or the Chief Investigator, or the local Principal Investigator at a trial site, may take appropriate urgent safety measures in order to protect research participants against any immediate hazard to their health or safety.

7.2 The Committee must be notified within three days that such measures have been taken, the reasons why and the plan for further action. Notifications should be in the format prescribed by COREC and published on the website.

8. Serious Adverse Events

8.1 Any Serious Adverse Event (SAE) occurring to a research subject must be promptly notified to the Committee where it is considered possible that the event resulted from their participation in the research. An SAE is an untoward occurrence that:

(a) results in death
(b) is life-threatening
(c) requires hospitalisation or prolongation of existing hospitalisation
(d) results in persistent or significant disability or incapacity
(e) consists of a congenital anomaly or birth defect
(f) is otherwise considered medically significant by the investigator.

8.2 Reports of SAEs should be provided to the Committee within 15 days of the Chief Investigator becoming aware of the event, in the format prescribed by COREC and published on the website.

8.3 An annual list of SAEs occurring in the research should be provided to the Committee with the annual progress report.

8.4 The Chief Investigator may be requested to attend a meeting of the Committee or Sub-Committee to discuss any concerns about the health or safety of research subjects.

8.5 There is no requirement to provide reports to other RECs in the case of multi-site studies.

9. Conclusion or early termination of the trial

9.1 The Chief Investigator should notify the Committee in writing that the trial has ended, and provide a final report on the research, within 90 days of the conclusion of the research. The conclusion of the trial is defined as the final date or event specified in the protocol, not the completion of data analysis or publication of the results.

9.2 If the trial is terminated early, the Chief Investigator should notify the Committee within 30 days of the date of termination. An explanation of the reasons for early termination should be given.

9.3 Final reports, or reports of early termination, should be submitted in the form prescribed by COREC and published on the website.

10. Breach of approval conditions

10.1 Failure to comply with these conditions may lead to suspension or termination of the favourable ethical opinion by the Committee.