Supply of Unapproved Therapeutic Goods under the Clinical Trial Exemption (CTX) Scheme

Therapeutic Goods Act 1989

PART 2 NOTIFICATION OF THE CONDUCT OF A TRIAL UNDER THE CTX SCHEME

To be used for CTX Scheme trials of medicines, biologicals and medical devices

For detailed information about the CTX Scheme, please see the document *Access to Unapproved Therapeutic Goods - Clinical Trials in Australia* available from the "Unapproved Therapeutic Goods" web page on the TGA Internet site <www.tga.gov.au>.

This form must be sent to the Therapeutic Goods Administration within 28 days of commencing supply of the goods:

The Medical Advisor
Experimental Drugs Section
Office of Scientific Evaluation
Therapeutic Goods Administration
PO Box 100
Woden ACT 2606
Australia

For Office Use Only – EDS/ODBT

Date Notification received / /

CTX Number / /

PLEASE READ THE FOLLOWING INSTRUCTIONS BEFORE COMPLETING PART 2

- A sponsor cannot commence a CTX trial until:
  - written approval has been received from the TGA regarding the CTX application (Part 1); and
  - approval for the conduct of the trial has been obtained from an ethics committee and the institution at which the trial will be conducted.

  There are two forms, each reflecting these separate processes (Parts), that must be submitted by the sponsor. Part 1 constitutes the formal CTX application. It must be completed by the sponsor and submitted to TGA with data for evaluation. Part 2 (this form) is used to notify the commencement of each new trial conducted under the CTX scheme as well as new sites in ongoing CTX trials. The notification, containing certifications of the sponsor, principal investigator, HREC and Approving Authority, is required to inform the TGA of the conduct of each specific trial and to demonstrate that all of the parties involved in the conduct of individual trials have complied with legislative and regulatory requirements and agree to release information to the TGA about the conduct of the trial in the event of an inquiry or audit of the trial by the TGA. There is no fee for notification of trials under the CTX scheme. Part 2 must be completed and submitted to TGA within 28 days of either the commencement of each new trial or the addition of a new site in an ongoing CTX trial.

- Under the *Therapeutic Goods Act 1989*, the Therapeutic Goods Administration (TGA) has the authority to inquire into and/or audit clinical trials, where necessary, on safety grounds and to investigate non-compliance with either Good Clinical Practice guidelines or legislative requirements. In addition, information concerning the supply and use of unregistered therapeutic goods may be released to State and Territory regulatory authorities under section 61 of the *Therapeutic Goods Act 1989*. Completion of this notification form requires the sponsor of the trial, principal investigator, Human Research Ethics Committee and the approving authority to agree, in writing, to make all records available to TGA on request and to cooperate with TGA investigations. The sponsor and principal investigator at each site are also required to acknowledge the potential for release of information about the supply and handling of unregistered therapeutic goods to State and Territory regulatory authorities.

- For the purpose of notifying a Clinical Trial of Medicines, Biologicals or Medical Devices, the **"sponsor of the trial"** is the company, organisation, institution, body or individual (enterprise) that initiates, organises and supports a clinical study of an investigational product on human subjects. As a result, the sponsor of the trial takes responsibility for the overall conduct of the trial. The **"approving authority"** is the body, organisation or institution that approves the conduct of the trial at the site. Thus, the Human Research Ethics Committee (HREC) can also be the Approving Authority for a particular trial site. The same person can sign on behalf of the HREC and the Approving Authority but they should indicate their position or capacity in relation to each. Also, the same person may sign on behalf of the sponsor of the trial and the Approving Authority. However, because of the potential for conflict of interest, the same person cannot sign on behalf of the sponsor of the trial and the HREC.

- **Key points for sponsors of the trial** to check before completing and submitting this notification to the Therapeutic Goods Administration (TGA) are:
  - You will need to obtain signatures from the relevant Human Research Ethics Committee, Approving Authority and Principal Investigator for **each** site at which the trial will be conducted. Only ORIGINAL signatures are acceptable.
  - Sites may be notified in any sequence. That is, all sites can be notified in the first instance; notified in groups; or notified singly. There is no fee associated with the notification of trials conducted under the CTX scheme.
  - You must assign a protocol number to each new trial. Take care not to assign to a new trial a protocol number used previously. Also, check that the protocol number notified to the TGA matches the version of the protocol approved by the Human Research Ethics Committee. When notifying additional sites, quote the protocol number exactly.
  - The TGA assigns a unique clinical trial number. The clinical trial number will appear on an acknowledgement letter from the TGA. Subsequent notifications to TGA of additional trial sites and other correspondence relating to the clinical trial post acknowledgement, such as reporting of adverse reactions, should include the protocol number and the clinical trial number as points of reference.

SECTION 1. TO BE COMPLETED BY THE SPONSOR OF THE TRIAL

1.1 Sponsor of the trial *Complete this section for all notifications. Use name stated in CTX application*

Sponsor name
(Enterprise Business Name)

Client ID Code

1.2 Investigational drug, biological or medical device *Use active name(medicines), biological name or device name. Details must be consistent with those contained in CTX application (Part 1 form).*

1.

2.

3.

CTX Number / / *Complete for all notifications. Use the number assigned by TGA to the CTX application*

Relevant TGA file number(s) from previous correspondence

1.3 Notification Type *Complete this section for all notifications. Select one box only. If multiple sites are being notified, complete a 'Trial Site Details' page for each site.*

Initial notification of a new CTX trial (single site) ☐ Subsequent notification of a single additional site ☐

Initial notification of a new CTX trial (multiple sites) ☐ Subsequent notification of multiple additional sites ☐

1.4 Trial details

Protocol Number
(Complete for all notifications; maximum of 20 characters)

Trial start date / /

Expected completion date / /

Title of study

Maximum of 255 characters. Title should indicate the aim of the trial and give a broad description of the trial. Include, for example: phase, indication(s) being treated, main medicines and comparators, use of placebo-control, focus of the study, patient population and any other significant or novel aspects. "A Trial of X" is not adequate. Similar detail is required for device trials.

Trial Type

Complete for trials involving the use of medicines only; tick relevant box(es) or otherwise describe.

Phase 1 ☐ Phase 2 ☐ Phase 3 ☐ Phase 4 ☐ Bioavailability/bioequivalence ☐

Describe if necessary	

This trial

Complete for initial notification of new trial only; tick only those boxes which are applicable.

is placebo controlled ☐ is a multicentre trial ☐

is also being conducted in other countries ☐ Is comparator controlled ☐

Comparators

1	Active name			
	Trade name		Dosage form	
	Route of administration		Strength	
2	Active name			
	Trade name		Dosage form	
	Route of administration		Strength	
3	Active name			
	Trade name		Dosage form	

Route of administration		Strength	

1.5 Trial site details

Complete for all notifications. Submit a Trial Site Details page for each site at which the trial will be conducted. Enter the name and location of the site (eg. name and address of hospital, institution, clinic or practice). For large institutions, the address need not include specific department details unless essential to identify the location or unless the unit /body/practice operates as a separate entity within the campus. In some rare circumstances, it will be appropriate to notify a trial as a composite site trial. For example, a GP-based trial conducted by a general practice network may need to be notified as a composite site trial. The site details should indicate clearly that there are multiple sites involved and include the name, address and contact numbers for the principal investigator. A list of all practices (sites) involved should be submitted as an attachment. The ethics committee and approving authority for such a trial must have appropriate authority for all sites operating. A sponsor intending to notify a composite site for the first time should contact the Experimental Drugs Section if they have any questions regarding the use of composite sites.

Site	
Site address	
	Post code

1.6 Sponsor certification

Complete this section last for all notifications. In the Name field, print the name of the person signing the form on behalf of the company, organisation, institution, body or individual sponsoring the trial. In the Position field, state the person's position within, or relationship to, the entity sponsoring the trial.

I, the undersigned, certify:

- the TGA has approved the supply of the investigational product(s) listed in section 1.2 of this form;
- all details contained in this form are true and accurate and all required information and signatures have been included;
- the sponsor of the trial has met or agrees to meet all Human Research Ethics Committee conditions of approval;
- the sponsor of the trial named in section 1.1 of this form is taking overall responsibility for the conduct of the trial;
- the investigator(s) has/have training and experience relevant to the conduct of this trial;
- the participating institution has resources adequate for the proper conduct of the trial;
- the sponsor of the trial has received an undertaking from the investigator(s) to conduct the trial in accordance with the Guidelines for Good Clinical Practice, as described in regulation 12AB(2)(a) of the Therapeutic Goods Regulations, and the National Statement on Ethical Conduct in Research Involving Humans, as described in regulation 12AD(c) of the Therapeutic Goods Regulations or in regulation 7.3(2a) of the Therapeutic Goods (Medical Devices) Regulations 2002;
- the sponsor of the trial agrees to report all serious and/or unexpected adverse reactions to the Therapeutic Goods Administration;
- the sponsor of the trial agrees to conduct the trial in accordance with the Guidelines for Good Clinical Practice as described in regulation 12AB(2)(a) of the Therapeutic Goods Regulations and the National Statement on Ethical Conduct in Research Involving Humans as described in regulation 12AD(c) of the Therapeutic Goods Regulations or in regulation 7.3(2a) of the Therapeutic Goods (Medical Devices) Regulations 2002;
- the sponsor of the trial agrees to comply with requests by an authorised officer, whether made before or after the start of a clinical trial, to give information about the conduct of the clinical trial and allow an authorised officer (regulation 2A of the Therapeutic Goods Regulations or regulation 10.1 of the Therapeutic Goods (Medical Devices) Regulations 2002) to do the things mentioned in regulation 12AC and regulation 12AB of the Therapeutic Goods or in regulation 7.4 of the Therapeutic Goods (Medical Devices) Regulations 2002; and
- the sponsor accepts that information concerning the use of unregistered therapeutic goods may be released to State and Territory regulatory authorities.

Name (Print)		Position	
Signature	/ /	Phone	
		Fax	

SECTION 2. TO BE COMPLETED BY THE PRINCIPAL INVESTIGATOR

The principal investigator is the person responsible for the conduct of the clinical trial at a trial site. In the case of a trial being conducted by a team of individuals at the site, the principal investigator is the responsible leader of the team.

Principal investigator certification

I, the undersigned:

- am the principal investigator at the site shown in section 1.5 of this form;
- agree to personally supervise the clinical trial at this site in accordance with the relevant current protocol(s) and will only make changes in a protocol after approval by the sponsor;
- have received and read the trial protocol and other relevant information;
- have met or agree to meet all Human Research Ethics Committee conditions of approval for this trial:
- acknowledge my obligations with respect to monitoring patient safety, record management and reporting requirements for adverse events;
- agree to ensure that all associates, colleagues and employees assisting in the conduct of the trial are informed of their obligations in meeting the above requirements;
- agree to promptly report to the Human Research Ethics Committee all unanticipated problems and will not make any changes to the trial without Human Research Ethics Committee and sponsor approval, except where necessary to eliminate apparent immediate hazards to subject safety;
- agree to conduct the trial in accordance with the Guidelines for Good Clinical Practice, as described in regulation 12AB(2)(a) of the Therapeutic Goods Regulations, and the National Statement on Ethical Conduct in Research Involving Humans, as described in regulation 12AD(c) of the Therapeutic Goods Regulations or in regulation 7.3(2a) of the Therapeutic Goods (Medical Devices) Regulations 2002;
- agree to comply with requests by an authorised officer, whether made before or after the start of a clinical trial, to give information about the conduct of the clinical trial and allow an authorised officer (regulation 2A of the Therapeutic Goods Regulations or regulation 10.1 of the Therapeutic Goods (Medical Devices) Regulations 2002) to do the things mentioned in regulation 12AC and regulation 12AB of the Therapeutic Goods Regulations or in regulation 7.4 of the Therapeutic Goods (Medical Devices) Regulations 2002; and
- accept that information concerning the use of unregistered therapeutic goods may be released to State and Territory regulatory authorities.

Name (Print)		Phone	
Signature	/ /	Fax	

SECTION 3. TO BE COMPLETED BY THE HUMAN RESEARCH ETHICS COMMITTEE RESPONSIBLE FOR MONITORING THE TRIAL

This section must be completed by a Human Research Ethics Committee (HREC) that satisfies the following definition of an ethics committee, as set out in the Therapeutic Goods Act 1989, otherwise the notification is invalid:

> *A committee constituted and operating in accordance with guidelines issued by the National Health and Medical Research Council as in force from time to time and which has notified its existence to the Australian Health Ethics Committee.*

HREC certification should not be given until all conditions of approval of the protocol by that HREC have been met. Wherever possible, the certification should be completed by the Chair or Deputy Chair of the Human Research Ethics Committee. Guidelines for the approval of clinical trials by HRECs are located at National Statement on Ethical Conduct in Human Research, NHMRC, 2007 and in the TGA publication 'HRECs and the Therapeutic Goods Legislation'.

For trials of gene therapy and related therapies, the proposal must be approved by all relevant bodies as per the NHMRC Guidelines for Ethical Review of Research Proposals for Human Somatic Cell Gene Therapy and Related Therapies.

HREC name	
HREC address	
	Postcode
Protocol Number approved by HREC	

Human Research Ethics Committee Certification

I, the undersigned, certify:

- I am a member of the above-named Human Research Ethics Committee;
- the above-named Human Research Ethics Committee is a properly constituted ethics committee and operates in accordance with the guidelines issued by the National Health and Medical Research Council and has notified its existence to the Australian Health Ethics Committee;
- the above-named Human Research Ethics Committee, having regard to the guidance provided by the *National Statement on Ethical Conduct in Human Research* and, where applicable, the *Guidelines for Ethical Review of Research Proposals for Human Somatic Cell Gene Therapy and Related Therapies*, has approved the clinical trial protocol identified above and has assumed responsibility for monitoring the conduct of the trial; and
- the above-named Human Research Ethics Committee agrees to comply with requests by an authorised officer, whether made before or after the start of a clinical trial, to give information about the conduct of the clinical trial and allow an authorised officer (regulation 2A of the Therapeutic Goods Regulations or regulation 10.1 of the Therapeutic Goods (Medical Devices) Regulations 2002) to do the things mentioned in regulation 12AC and regulation 12AB of the Therapeutic Goods Regulations or in regulation 7.4 of the Therapeutic Goods (Medical Devices) Regulations 2002.

Name (Print)		Position	
Signature	/ /	Phone	
		Fax	

SECTION 4. TO BE COMPLETED BY THE AUTHORITY APPROVING THE CONDUCT OF THE TRIAL

*Complete for all notifications. In cases where the Human Research Ethics Committee or Approving Authority for more than one site is the same, it is still necessary to submit a Trial Site Details Page for **each** site. The bodies approving the conduct of the trial at each site need to be declared individually. This requirement also still applies in cases where, for example, an Area Health Service or Hospitals Group may encompass several different institutions.*

The Approving Authority must appoint a person to be responsible for giving approval on its behalf. The terms of approval for the conduct of the trial must be consistent with the Human Research Ethics Committee's (HREC) recommendations and these terms must be no less restrictive than the HREC advice.

Approving Authority name	
Address	
	Postcode

Approving Authority Certification

I, the undersigned

- am authorised to represent the body, organisation or institution at which the above mentioned clinical trial will be conducted and, having regard to the advice and approval of the trial protocol by the Human Research Ethics Committee responsible for monitoring the trial at this site, give approval for this trial to proceed;
- undertake that the use of the drug will comply with all relevant Commonwealth and State or Territory legislation; and
- undertake to comply with requests by an authorised officer, whether made before or after the start of a clinical trial, to give information about the conduct of the clinical trial and allow an authorised officer (regulation 2A of the Therapeutic Goods Regulations or regulation 10.1 of the Therapeutic Goods (Medical Devices) Regulations 2002) to do the things mentioned in regulation 12AC and regulation 12AB of the Therapeutic Goods Regulations or in regulation 7.4 of the Therapeutic Goods (Medical Devices) Regulations 2002.

Name (Print)		Position	
Signature	/ /	Phone	
		Fax	