

### APPLICANT'S CHECKLIST

#### All studies except clinical trials of investigational medicinal products

REC Ref:	
Short Title of Study:	Treat NMD/JT UK National SMA Registry
CI Name:	Prof Hanns Lochmuller
Sponsor:	Newcastle upon Tyne Hospitals NHS Trust

**Please complete this checklist and send it with your application**

- ◆ Send ONE copy of each document (except where stated)
- ◆ ALL accompanying documents must bear version numbers and dates (except where stated)
- ◆ When collating please do NOT staple documents as they will need to be photocopied.

Document	Enclosed?	Date	Version	Office use
Covering letter on headed paper	<input type="radio"/> Yes <input type="radio"/> No			
NHS REC Application Form, Parts A&B	Mandatory			
Site-Specific Information Form (for SSA)	<input type="radio"/> Yes <input type="radio"/> No			
Research protocol or project proposal (6 copies)	Mandatory			
Summary C.V. for Chief Investigator (CI)	Mandatory			
Summary C.V. for supervisor (student research)	<input type="radio"/> Yes <input type="radio"/> No			
Research participant information sheet (PIS)	<input type="radio"/> Yes <input type="radio"/> No			
Research participant consent form	<input type="radio"/> Yes <input type="radio"/> No			
Letters of invitation to participants	<input type="radio"/> Yes <input type="radio"/> No			
GP/Consultant information sheets or letters	<input type="radio"/> Yes <input type="radio"/> No			
Statement of indemnity arrangements	<input type="radio"/> Yes <input type="radio"/> No			
Letter from sponsor	<input type="radio"/> Yes <input type="radio"/> No			
Letter from statistician	<input type="radio"/> Yes <input type="radio"/> No			
Letter from funder	<input type="radio"/> Yes <input type="radio"/> No			
Referees' or other scientific critique report	<input type="radio"/> Yes <input type="radio"/> No			
Summary, synopsis or diagram (flowchart) of protocol in non-technical language	<input type="radio"/> Yes <input type="radio"/> No			
Interview schedules or topic guides for participants	<input type="radio"/> Yes <input type="radio"/> No			
Validated questionnaire	<input type="radio"/> Yes <input type="radio"/> No			
Non-validated questionnaire	<input type="radio"/> Yes <input type="radio"/> No			
Copies of advertisement material for research participants, e.g. posters, newspaper adverts, website. For video or audio cassettes, please also provide the printed script.	<input type="radio"/> Yes <input type="radio"/> No			

**WELCOME TO THE NHS RESEARCH ETHICS COMMITTEE APPLICATION FORM**

An application form specific to your project will be created from the answers you give to the following questions.

**1. Is your project an audit or service evaluation?**

Yes  No

**2. Select one research category from the list below:**

- Clinical trials of investigational medicinal products  
 Clinical investigations or other studies of medical devices  
 Other clinical trial or clinical investigation  
 Research administering questionnaires/interviews for quantitative analysis, or using mixed quantitative/qualitative methodology  
 Research involving qualitative methods only  
 Research limited to working with human tissue samples and/or data  
 Research tissue bank

**If your work does not fit any of these categories, select the option below:**

Other research

**2a . Please answer the following questions:**

- a) Does the study involve the use of any ionising radiation?  Yes  No  
b) Will you be taking new human tissue samples?  Yes  No  
c) Will you be using existing human tissue samples?  Yes  No

**3. Is your research confined to one site?**

Yes  No

**4. Does your research involve work with prisoners?**

Yes  No

**5. Do you plan to include in this research adults unable to consent for themselves through physical or mental incapacity?**

Yes  No

**6. Is the study, or any part of the study, being undertaken as an educational project?**

Yes  No

**NHS Research Ethics Committee** **Application form for research administering questionnaires/interviews for quantitative analysis or mixed methodology study**

This form should be completed by the Chief Investigator, after reading the guidance notes. See glossary for clarification of different terms in the application form.

**Short title and version number:** (maximum 70 characters – this will be inserted as header on all forms)

Treat NMD/JT UK National SMA Registry

**Name of NHS Research Ethics Committee to which application for ethical review is being made:**

**Project reference number from above REC:**

**Submission date:** 26/10/2007

**PART A: Introduction****A1. Title of the research**

Full title: Treat NMD/Jennifer Trust United Kingdom Spinal Muscular Atrophy(SMA) Registry

Key words: SMA, Registry

**A2. Chief Investigator**

Title: Prof  
 Forename/Initials: Hanns  
 Surname: Lochmuller  
 Post: Chair of Experimental Myology  
 Qualifications: MD  
 Organisation: Newcastle University  
 Work Address: Institute of Human Genetics  
 International Centre for Life  
 Post Code: NE1 3BZ  
 E-mail: hanns.lochmuller@ncl.ac.uk  
 Telephone: 0191 241  
 Fax: 0191 241 8770  
 Mobile:

*A copy of a current CV (maximum 2 pages of A4) for the Chief Investigator must be submitted with the application*

**A3. Proposed study dates and duration**

Start date: 01/10/2007  
 End date: 31/12/2012  
 Duration: Years: 4 ; Months: 2

**A4. Primary purpose of the research:** *(Tick as appropriate)*

- Commercial product development and/or licensing
- Publicly funded trial or scientific investigation
- Educational qualification
- Establishing a database/data storage facility
- Other

*Question(s) 5 disabled.*

**A6. Does this research require site-specific assessment (SSA)?** *(Advice can be found in the guidance notes on this topic.)*

Yes  No

*If No, please justify:*

The research is based on collecting patient details/questionnaires and does not involve invasive procedures, the study therefore is exempt from SSA.

*If Yes, an application for SSA should be made for each research site on the Site-Specific Information Form and submitted to the relevant local Research Ethics Committee. Do not apply for SSA at sites other than the lead site until the main application has been booked for review and validated by the main Research Ethics Committee.*

*Management approval to proceed with the research will be required from the R&D office for each NHS care organisation in which research procedures are undertaken. This applies whether or not the research is exempt from SSA. R&D applications in England, Wales and Scotland should be made using the Site-Specific Information Form.*

## PART A: Section 1

**A7. What is the principal research question/objective?** *(Must be in language comprehensible to a lay person.)*

To establish a national registry of patients with the condition Spinal Muscular Atrophy (SMA) in order to accelerate and facilitate clinical trials recruitment.

**A8. What are the secondary research questions/objectives?** *(If applicable, must be in language comprehensible to a lay person.)*

- i) To assist in planning of and recruitment to future clinical trials within the patient population.
- ii) Assist the neuromuscular community with the development and dissemination of recommendations and standards of care.
- iii) Characterise and describe the SMA population as a whole, enhancing the understanding of SMA prevalence across Europe.

**A9. What is the scientific justification for the research? What is the background? Why is this an area of importance?** *(Must be in language comprehensible to a lay person.)*

Recent advances in medicine mean that clinical trials are no longer in the realm of fantasy within the neuromuscular population. However, such advances are being delayed because of the fragmentation that currently exists in research and healthcare systems across Europe and indeed the globe. Innovative therapies for patients suffering from rare neuromuscular disorders are often highly specific and current approaches to SMA mean that the patients specific mutation will determine their eligibility to participate in a clinical trial for a particular therapeutic technique. Therefore, it is necessary that a European resource is created to identify these patients quickly and efficiently with respect to their genetic defect (gene, mutation) and clinical status. This will be achieved by feeding anonymised genetic data stored in a SMA National registries into a European Databases for SMA and other muscular dystrophies. This area is currently lacking and resulting in delay to the progress and development of new therapeutic treatments, the European Database will accelerate clinical trials and harmonise efforts across Europe.

**A10–1. Give a full summary of the purpose, design and methodology of the planned research, including a brief explanation of the theoretical framework that informs it. It should be clear exactly what will happen to the research participant, how many times and in what order.**

*This section must be completed in language comprehensible to the lay person. It must also be self-standing as it will be replicated in any applications for site-specific assessment on the Site-Specific Information Form. Do not simply reproduce or refer to the protocol. Further guidance is available in the guidance notes.*

The overall goal of the TREAT–NMD project is to find new ways of treating patients with diseases such as Spinal Muscular Atrophy. Although there is still no cure for these inherited neuromuscular diseases, major progress has been made in recent years towards new therapeutic strategies. Several of these strategies target specific genetic defects, some of which are so rare that only a few patients in Europe will have the right profile for a particular clinical trial. The aim of the patient registry is therefore to make sure that these patients can be found and invited to take part in clinical trials quickly and efficiently. Data collated in the registries will also help researchers answer other important questions about how common SMA is in countries across Europe, and will be a useful way of ensuring that patients can be kept informed about the latest information that might be relevant to their disease.

The Jennifer Trust holds diagnostic data on a large proportion of patients with an SMA diagnosis. It is proposed that patients will be contacted by the Jennifer Trust with an information sheet detailing the project as well as a questionnaire and consent form. If the patient decides to register, once they have considered the information sheet, they can either complete and return the questionnaire and consent form by post (in the return envelope provided) or complete the questionnaire online and post the signed consent form, which should take approximately 20 minutes. Completion of the consent form will be seen as study entry and the data provided via the questionnaire will be stored in a central UK registry on the TREAT–NMD secure server located at Newcastle University. Initial data collection will include nine 'mandatory questions' including demographic information, SMA diagnosis, genetic results and current condition. A further six 'highly encouraged questions' focus on family history, ventilation, other registries and more specific information on

their disease.

Once the patient's details have been registered and stored on the database, a unique password will be sent to them (either via e-mail or post) to enable them to view and amend their own data. As one of the purposes of the SMA national registry is to define the UK SMA population and since, at the time of enrolment, patients will be at various stages of their disease course and medical care patients will be invited to update their records on a yearly basis, using their unique password, via an online form. At this time they will also be given the opportunity to remove their data from the registry, any amendments should take less than 20 minutes to complete.

The data stored on the secure server will be accessible in full to the database curator and partially accessible to members of the TREAT-NMD Coordination Team. At this stage the data will be anonymised and used to match up against specific entry criteria for future clinical trials. If a patient is thought to be eligible, the curator will act as the contact point in identifying the patient, inviting them to participate in said trial, which will require its own assessments prior to commencing. Enrolment onto the SMA Registry does not guarantee enrolment into a clinical trial although patients are advised to inform their General Practitioner of their enrolment in the UK SMA registry and any subsequent clinical trials.

**A10-2. In which parts of the research have patients, members of the public or service users been involved?**

- As user-researchers  
 As members of a research project group  
 As advisor to a project  
 As members of a departmental or other wider research strategy group  
 None of the above

*Please provide brief details if applicable:*

A small number of patients (approx 100) took part in a pilot study to help design the study questionnaire.

**A10-3. Could the research lead to the development of a new product/process or the generation of intellectual property?**

- Yes  No  Not sure

*Question(s) 11-12 disabled.*

**A13. Give details of any non-clinical research-related intervention(s) or procedure(s).** *(These include interviews, non-clinical observations and use of questionnaires.)*

Additional Intervention	Average number per participant	Average time taken (mins/hours/days)	Details of additional intervention or procedure, who will undertake it, and what training they have received.
Postal questionnaire to home	1	20	
Other Questionnaire	1	20	The participant will receive one questionnaire either electronically via e-mail or a hard copy in the post (whichever is preferable). They will be invited to update their details on a yearly basis.

**A14. Will individual or group interviews/questionnaires discuss any topics or issues that might be sensitive, embarrassing or upsetting, or is it possible that criminal or other disclosures requiring action could take place during the study (e.g. during interviews/group discussions, or use of screening tests for drugs)?**

- Yes  No

*The Information Sheet should make it clear under what circumstances action may be taken*

**A15. What is the expected total duration of participation in the study for each participant?**

20 minutes total to read the information sheet and complete the consent form and questionnaire at the outset of the study.

*Question(s) 16–17 disabled.*

**A18. What is the potential for benefit to research participants?**

The primary benefit for the research participant is that they will have their details registered onto a European database so that companies and researchers across Europe developing new therapeutic treatments will be able to contact them quickly and efficiently if they are eligible for inclusion into their clinical trial. This may in turn result in eligible patient receiving cutting edge treatments.

Secondly, patients registered on the UK SMA Registry will be kept informed of the latest developments and information, including Standards of Care, relevant to their disease.

*Question(s) 19 disabled.*

**A20. How will potential participants in the study be (i) identified, (ii) approached and (iii) recruited?**

*Give details for cases and controls separately if appropriate:*

Potential patients could be recruited from 3 main sources:–

- i) From the Jennifer Trust's records
- ii) At clinic visits
- iii) Via Treat NMD website

In the case of i) above, patients will be sent an information sheet with a covering letter explaining the aims of the registry and inviting them to participate. A consent form will also be included and the patient will be asked to return a signed copy of the consent form to indicate study entry (return envelope enclosed).

ii) Will be a more direct approach, for newly diagnosed patients seen in a clinic setting, the study will be discussed with an appropriately qualified medical professional, the information sheet will be given to the patient to read and consider (the patient can take away if required) If the patient is happy to consent in clinic, this can be carried out by medical professional. However, it is encouraged that the patient thinks about entry and in this case, returning the form as above would be acceptable.

iii) Recruitment via Treat NMD website

Information on the registry will be available on the central Treat NMD website, where the patient will be redirected to a link detailing the registry.

**A21. Where research participants will be recruited via advertisement, give specific details.**

Not Applicable

*If applicable, enclose a copy of the advertisement/radio script/website/video for television (with a version number and date).*

**A22. What are the principal inclusion criteria? (Please justify)**

All patients with a confirmed SMA diagnosis (or pending diagnosis) are eligible for inclusion. Diagnosis will be confirmed via genetic testing results.

**A23. What are the principal exclusion criteria? (Please justify)**

None within the patient population.

**A24. Will the participants be from any of the following groups?** *(Tick as appropriate)*

- Children under 16
- Adults with learning disabilities
- Adults who are unconscious or very severely ill
- Adults who have a terminal illness
- Adults in emergency situations
- Adults with mental illness (particularly if detained under Mental Health Legislation)
- Adults with dementia
- Prisoners
- Young Offenders
- Adults in Scotland who are unable to consent for themselves
- Healthy Volunteers
- Those who could be considered to have a particularly dependent relationship with the investigator, e.g. those in care homes, medical students
- Other vulnerable groups

*Justify their inclusion.*

As the condition is often diagnosed in the early stages of life, this patient age group would provide a large proportion of potential patients. Patients with the most severe forms of SMA (Type I) often do not survive into adulthood.

- No participants from any of the above groups

*Question(s) 24 1–5–25 disabled.*

**A26. Will informed consent be obtained from the research participants?**

- Yes     No

*If Yes, give details of who will take consent and how it will be done. Give details of any particular steps to provide information (in addition to a written information sheet) e.g. videos, interactive material.*

*If participants are to be recruited from any of the potentially vulnerable groups listed in A24, give details of extra steps taken to assure their protection. Describe any arrangements to be made for obtaining consent from a legal representative.*

*If consent is not to be obtained, please explain why not.*

Appropriate patient consent according to national regulations and other state and local laws relating to medical information will be obtained from every patient or their legal representative before their data is submitted to the UK SMA Registry. This authorisation will also enable the encrypted data to be transferred to the TREAT–NMD European Registry. This will be clearly explained to the patient in the patient information sheet which will be given to the patient to read and consider prior to enrolment. Patients/ legal representatives will be provided with a contact telephone number so they may speak to a member of the TREAT–NMD team before deciding whether or not to register their details.

*Copies of the written information and all other explanatory material should accompany this application.*

**A27. Will a signed record of consent be obtained?**

- Yes     No

*If Yes, attach a copy of the information sheet to be used, with a version number and date.*

**A28. How long will the participant have to decide whether to take part in the research?**

The patient can have their details included in the registry at any point and may remove them at any point.

**A29. What arrangements have been made for participants who might not adequately understand verbal explanations or written information given in English, or who have special communication needs? (e.g. translation, use of interpreters etc.)**

An Instruction sheet on how to complete the self report form will be provided with the form itself. Additionally a contact telephone number will be provided so that patients may talk to a dedicated member of the TREAT–NMD team to help explain the instructions further.

The central Treat–NMD project office has access to (via its network of partners) and could provide translations of the registry process and enrolment forms into most European languages if necessary.

*Question(s) 30 disabled.*

**A30–1. What steps would you take if a participant, who has given informed consent, loses capacity to consent during the study? Tick one option only.**

- The participant would be withdrawn from the study. Data or tissue which is not identifiable to the research team may be retained. Any identifiable data or tissue would be anonymised or disposed of.
- The participant would be withdrawn from the study. Identifiable data or tissue already collected with consent would be retained and used in the study.
- The participant would continue to be included in the study.
- Not applicable – informed consent will not be sought from any participants in this research.

*Further details:*

*Question(s) 31–32b disabled.*

**A33. Will individual research participants receive any payments for taking part in this research?**

- Yes     No

**A34. Will individual research participants receive *reimbursement of expenses* or any other *incentives or benefits* for taking part in this research?**

- Yes     No

**A35. Insurance/indemnity to meet potential legal liabilities**

*Note: References in this question to NHS indemnity schemes include equivalent schemes provided by Health and Personal Social Services (HPSS) in Northern Ireland.*

**A35–1. What arrangements will be made for insurance and/or indemnity to meet the potential legal liability of the sponsor(s) for harm to participants arising from the management of the research?**

*Note: Where a NHS organisation has agreed to act as the sponsor, indemnity is provided through NHS schemes. Indicate if this applies (there is no need to provide documentary evidence). For all other sponsors, describe the arrangements and provide evidence.*

- NHS indemnity scheme will apply  
 Other insurance or indemnity arrangements will apply (give details below)

Please enclose a copy of relevant documents.

**A35-2. What arrangements will be made for insurance and/or indemnity to meet the potential legal liability of the sponsor(s) or employer(s) for harm to participants arising from the design of the research?**

*Note: Where researchers with substantive NHS employment contracts have designed the research, indemnity is provided through NHS schemes. Indicate if this applies (there is no need to provide documentary evidence). For other protocol authors (e.g. company employees, university members), describe the arrangements and provide evidence.*

- NHS indemnity scheme will apply to all protocol authors  
 Other insurance or indemnity arrangements will apply (give details below)

Please enclose a copy of relevant documents.

**A35-3. What arrangements will be made for insurance and/or indemnity to meet the potential legal liability of investigators/collaborators and, where applicable, Site Management Organisations, arising from harm to participants in the conduct of the research?**

*Note: Where the participants are NHS patients, indemnity is provided through NHS schemes or through professional indemnity. Indicate if this applies to the whole of the study (there is no need to provide documentary evidence). Where non-NHS sites are to be included in the research, including private practices, describe the arrangements which will be made at these sites and provide evidence.*

- All participants will be recruited at NHS sites and NHS indemnity scheme or professional indemnity will apply  
 Research includes non-NHS sites (give details of insurance/indemnity arrangements for these sites below)

Please enclose a copy of relevant documents.

Question(s) 36 disabled.

**A37. How is it intended the results of the study will be reported and disseminated? (Tick as appropriate)**

- Peer reviewed scientific journals  
 Internal report  
 Conference presentation  
 Other publication  
 Submission to regulatory authorities  
 Access to raw data and right to publish freely by all investigators in study or by Independent Steering Committee on behalf of all investigators  
 Written feedback to research participants  
 Presentation to participants or relevant community groups  
 Other/none e.g. Cochrane Review, University Library

*If other/none of the above, give details and justify:*

**A38. How will the results of research be made available to research participants and communities from which they are drawn?**

The results of the registry will populate patients entry into future clinical trials, therefore the registry participants will be made aware of these studies.  
SMA patient communities will be informed of trial results via the TREAT-NMD network tools (i.e. newsletters and website)

**A39. Will the research involve any of the following activities at any stage (including identification of potential research participants)? (Tick as appropriate)**

- Examination of medical records by those outside the NHS, or within the NHS by those who would not normally have access
- Electronic transfer by magnetic or optical media, e-mail or computer networks
- Sharing of data with other organisations
- Export of data outside the European Union
- Use of personal addresses, postcodes, faxes, e-mails or telephone numbers
- Publication of direct quotations from respondents
- Publication of data that might allow identification of individuals
- Use of audio/visual recording devices
- Storage of personal data on any of the following:
  - Manual files including X-rays
  - NHS computers
  - Home or other personal computers
  - University computers
  - Private company computers
  - Laptop computers

*Further details:*

Patient data will be stored on a UK SMA Registry hosted on a dedicated secure server at the University of Newcastle. Anonymised data will be transferred into a European TREAT-NMD registry.

**A40. What measures have been put in place to ensure confidentiality of personal data? Give details of whether any encryption or other anonymisation procedures have been used and at what stage:**

Any patient data accesible to third parties via the project website(which will be password protected) will be annonomised and only identifiable by a unique patient identifier/registry number. All data will be encrypted and held on a secure server.

**A41. Where will the analysis of the data from the study take place and by whom will it be undertaken?**

Basic analysis carried out by Prof Lochmuller. A larger analysis of pan European data will take place by a group from Montpellier, France, headed by Prof Christophe Beroud.

**A42. Who will have control of and act as the custodian for the data generated by the study?**

The Newcastle upon Tyne Hospital NHS Trust Caldicott Guardian

**A43. Who will have access to research participants' or potential research participants' health records or other personal information?** *Where access is by individuals outside the normal clinical team, justify and say whether consent will be sought.*

The details from the UK SMA database, transferred onto the European database can be viewed by members of the TREAT-NMD network. However, this data will be anonymised. There will be a database curator who will manage the UK database and will have access to 'code break' the patients anonymised details, should they fulfill entry criteria into a potential clinical trial.

**A44. For how long will data from the study be stored?**

Years Months

*Give details of where they will be stored, who will have access and the custodial arrangements for the data:*

As there is no time limit on the registry, the data will be held on the secure server indefinitely or until the participant requests for it to be removed.

**A45-1. How has the scientific quality of the research been assessed?** *(Tick as appropriate)*

- Independent external review
- Review within a company
- Review within a multi-centre research group
- Review within the Chief Investigator's institution or host organisation
- Review within the research team
- Review by educational supervisor
- Other

*Justify and describe the review process and outcome. If the review has been undertaken but not seen by the researcher, give details of the body which has undertaken the review:*

The proposal for the SMA registry was reviewed as part of the 'Sixth Framework Programme – Priority 1– Life Sciences, Genomics and Biotechnology for Health' (Proposal No. 036825, reviewed by the European Commission)

**A45-2. How have the statistical aspects of the research been reviewed?** *(Tick as appropriate)*

- Review by independent statistician commissioned by funder or sponsor
- Other review by independent statistician
- Review by company statistician
- Review by a statistician within the Chief Investigator's institution
- Review by a statistician within the research team or multi-centre group
- Review by educational supervisor
- Other review by individual with relevant statistical expertise

*In all cases give details below of the individual responsible for reviewing the statistical aspects. If advice has been provided in confidence, give details of the department and institution concerned.*

Title: Forename/Initials: Surname:

Department: Industrial Statistics Research Unit (ISRU)  
 Institution: Newcastle University,  
 Work Address: Stephenson Building,

Newcastle-upon-Tyne, NE1 7RU

Postcode:

Telephone:

Fax:

Mobile:

E-mail:

Please enclose a copy of any available comments or reports from a statistician.

Question(s) 46–47 disabled.

**A48. What is the primary outcome measure for the study?**

Number of patients enrolled into the registry.

**A49. What are the secondary outcome measures? (if any)**

None

**A50. How many participants will be recruited?**

*If there is more than one group, state how many participants will be recruited in each group. For international studies, say how many participants will be recruited in the UK and in total.*

The aim of the registry is to enrol as many patients with SMA as possible in the UK. All forms of SMA have a combined incidence of about 1 in 6– 10,000 people. Initially we will approach 1,000 patients via the Jennifer Trust but subsequently hope to enrol more patients via the TREAT–NMD website and personal contact at clinics as and when they are diagnosed.

**A51. How was the number of participants decided upon?**

1,000 SMA patients are currently registered with the SMA patient organisation the Jennifer Trust therefore we will contact them initially. Current statistics indicate that there are approximately 1,200 patients with SMA in the UK and as the incidence of SMA is 1 in 6 –10,000 people we would expect there to be between 60 and 100 new cases each year which we will try to register via clinics and the TREAT–NMD website.

*If a formal sample size calculation was used, indicate how this was done, giving sufficient information to justify and reproduce the calculation.*

**A52. Will participants be allocated to groups at random?**

Yes  No

**A53. Describe the methods of analysis (statistical or other appropriate methods, e.g. for qualitative research) by which the data will be evaluated to meet the study objectives.**

Only basic statistical techniques will be used to describe the UK SMA population.

**A54. Where will the research take place?** *(Tick as appropriate)*

- UK  
 Other states in European Union  
 Other countries in European Economic Area  
 Other

*If Other, give details:*

**A55. Has this or a similar application been previously rejected by a Research Ethics Committee in the UK, the European Union or the European Economic Area?**

- Yes  No

**A56. In how many and what type of host organisations (NHS or other) in the UK is it intended the proposed study will take place?**

*Indicate the type of organisation by ticking the box and give approximate numbers if known:*

- |  | Number of<br>organisations |
|--|----------------------------|
| <input checked="" type="checkbox"/> Acute teaching NHS Trusts                    | 1                          |
| <input type="checkbox"/> Acute NHS Trusts  |                            |
| <input type="checkbox"/> NHS Primary Care Trusts or Local Health Boards in Wales |                            |
| <input type="checkbox"/> NHS Trusts providing mental healthcare                  |                            |
| <input type="checkbox"/> NHS Health Boards in Scotland                           |                            |
| <input type="checkbox"/> HPSS Trusts in Northern Ireland                         |                            |
| <input type="checkbox"/> GP Practices  |                            |
| <input type="checkbox"/> NHS Care Trusts   |                            |
| <input type="checkbox"/> Social care organisations                               |                            |
| <input type="checkbox"/> Prisons   |                            |
| <input type="checkbox"/> Independent hospitals                                   |                            |
| <input checked="" type="checkbox"/> Educational establishments                   | 1                          |
| <input type="checkbox"/> Independent research units                              |                            |
| <input type="checkbox"/> Other (give details)                                    |                            |

*Other:*

**A57. What arrangements are in place for monitoring and auditing the conduct of the research?**

The Newcastle upon Tyne Hospitals NHS Trust annually audits the conduct of its research studies. This study would fall into that category. Newcastle University also faces audit of its research work

*Question(s) 57a disabled.*

**A58. Has external funding for the research been secured?**

- Yes  No

**If Yes, give details of funding organisation(s) and amount secured and duration:**

Organisation: European Commission Framework 6  
 Address: DG RTD– F2, CDMA 2/26  
 Brussels  
 Post Code: B–1049  
 UK contact: Catherine Berens  
 Telephone: 32 2 295 09 40  
 Fax: 32 2 295 53 65  
 Mobile:  
 E–mail: Catherine.Berens@ec.europa.eu  
 Amount (£): 6900000 Duration: 60 Months

**A59. Has the funder of the research agreed to act as sponsor as set out in the Research Governance Framework?**

Yes  No

**Has the employer of the Chief Investigator agreed to act as sponsor of the research?**

Yes  No

**Lead sponsor** (*must be completed in all cases*)

Name of organisation which will act as the lead sponsor for the research:

Newcastle upon Tyne Hospitals NHS Trust

Status:

NHS or HPSS care organisation  Academic  Pharmaceutical industry  Medical device industry  Other

*If Other, please specify:*

Address: Queen Victoria Road, Newcastle upon Tyne

Post Code: NE1 4LP

Telephone: 0191 233 6161

Fax:

Mobile:

E–mail:

**Sponsor's UK contact point for correspondence with the main REC** (*must be completed in all cases*)

Title: Mrs

Forename/Initials: Amanada

Surname: Tortice

Work Address: Research and Development Department, 4th Floor, Leazes Wing, Royal Victoria Infirmary, Newcastle upon Tyne

Post Code: NE1 4LP

Telephone: 0191 233 6161

Fax:

Mobile:  
E-mail: Amanda.Tortice@nuth.nhs.uk

**Co-sponsors**

**Are there any co-sponsors for this research?**

Yes  No

**A60. Has any responsibility for the research been delegated to a subcontractor?**

Yes  No

**A61. Will individual *researchers* receive any personal payment over and above normal salary for undertaking this research?**

Yes  No

**A62. Will individual *researchers* receive any other benefits or incentives for taking part in this research?**

Yes  No

**A63. Will the host organisation or the researcher's department(s) or institution(s) receive any payment or benefits in excess of the costs of undertaking the research?**

Yes  No

**A64. Does the Chief Investigator or any other investigator/collaborator have any direct personal involvement (e.g. financial, share-holding, personal relationship etc.) in the organisations sponsoring or funding the research that may give rise to a possible conflict of interest?**

Yes  No

**A65. Research reference numbers:** *(give any relevant references for your study):*

Applicant's/organisation's own reference number, e.g. R&D (if available):

Sponsor's/protocol number:

Funder's reference number:

Project website: [www.treat-nmd.eu](http://www.treat-nmd.eu)



**PART B: Section 7 – Declarations****Declaration by Chief Investigator**

1. The information in this form is accurate to the best of my knowledge and belief and I take full responsibility for it.
2. I undertake to abide by the ethical principles underlying the Declaration of Helsinki and good practice guidelines on the proper conduct of research.
3. If the research is approved I undertake to adhere to the study protocol, the terms of the full application of which the main REC has given a favourable opinion and any conditions set out by the main REC in giving its favourable opinion.
4. I undertake to seek an ethical opinion from the main REC before implementing substantial amendments to the protocol or to the terms of the full application of which the main REC has given a favourable opinion.
5. I undertake to submit annual progress reports setting out the progress of the research.
6. I am aware of my responsibility to be up to date and comply with the requirements of the law and relevant guidelines relating to security and confidentiality of patient or other personal data, including the need to register when necessary with the appropriate Data Protection Officer.
7. I understand that research records/data may be subject to inspection for audit purposes if required in future.
8. I understand that personal data about me as a researcher in this application will be held by the relevant RECs and their operational managers and that this will be managed according to the principles established in the Data Protection Act.
9. I understand that the information contained in this application, any supporting documentation and all correspondence with NHS Research Ethics Committees or their operational managers relating to the application:
  - Will be held by the main REC until at least 3 years after the end of the study.
  - May be disclosed to the operational managers or the appointing body for the REC in order to check that the application has been processed correctly or to investigate any complaint.
  - May be seen by auditors appointed by the National Research Ethics Service to undertake accreditation of the REC.
  - Will be subject to the provisions of the Freedom of Information Acts and may be disclosed in response to requests made under the Acts except where statutory exemptions apply.

*Optional – please tick as appropriate:*

- I would be content for members of other RECs to have access to the information in the application in confidence for training purposes. All personal identifiers and references to sponsors, funders and research units would be removed.

Signature: .....

Print Name:

Date: (dd/mm/yyyy)

**Declaration by the sponsor's representative**

*If there is more than one sponsor, this declaration should be signed on behalf of the co-sponsors by a representative of the sponsor nominated to take the lead for the REC application.*

I confirm that: *(tick as appropriate)*

- This research proposal has been discussed with the Chief Investigator and agreement in principle to sponsor the research is in place.
- An appropriate process of scientific critique has demonstrated that this research proposal is worthwhile and of high scientific quality.\*
- Any necessary indemnity or insurance arrangements, as described in question A35, will be in place before this research starts.
- Arrangements will be in place before the study starts for the research team to access resources and support to deliver the research as proposed.
- Arrangements to allocate responsibilities for the management, monitoring and reporting of the research will be in place before the research starts.
- The duties of sponsors set out in the NHS Research Governance Framework for Health and Social Care will be undertaken in relation to this research.\*\*

\* Not applicable to student research (except doctoral research).

\*\* Not applicable to research outside the scope of the Research Governance Framework.

Signature: .....

Print Name:

Post:

Organisation:

Date: (dd/mm/yyyy)

### Site-Specific Information Form

**Does this application relate to a research site for which the NHS (or HPSS in Northern Ireland) is responsible or to a non-NHS research site?**

- NHS site  
 Non-NHS site

*For HPSS sites in Northern Ireland, separate arrangements are in place for R&D applications. There is no need to complete questions marked "R&D only" on this form.*

*This question must be completed before proceeding. The filter will customise the form, disabling questions which are not relevant to this application.*

**In which country is the research site located?**

- England  
 Wales  
 Scotland  
 Northern Ireland

*The data in this box is populated from Part A:*

Short title and version number:  
Treat NMD/JT UK National SMA Registry

Name of NHS Research Ethics Committee to which application for ethical review is being made:  
Newcastle and North Tyneside 1

Project reference number from above REC:

Name of NHS care organisation to which application is being made for permission to conduct the research:  
Newcastle upon Tyne Hospitals NHS Trust

NHS organisation reference (for R&D office use only):

**1. Title of the research** *(populated from A1)*

Full title: Treat NMD/Jennifer Trust United Kingdom Spinal Muscular Atrophy(SMA) Registry  
 Key words: SMA, Registry

**2. Name of Chief Investigator** *(populated from A2)*

Title: Forename/Initials: Surname:  
 Prof Hanns Lochmuller

**3. Name of organisation acting as lead sponsor for the study** (populated from A59)

Newcastle upon Tyne Hospitals NHS Trust

**4. Research reference numbers if known** (populated from A65)

Applicant's/organisation's own reference number, e.g. R&amp;D:

Sponsor's/protocol number:

Funder's reference number:

Project website: [www.treat-nmd.eu](http://www.treat-nmd.eu)**6. Give the name of the NHS site within or through which the research will take place under the responsibility of the PI or Local Collaborator.** Please give the name only. Further details of locations should be given in question 8. The name of the site is normally the name of the relevant NHS organisation. Each NHS general or dental practice is a separate site unless a formal consortium/network is in place.

International Centre for Life

Is this a primary care site?

 Yes  No

If Yes, give the name of the primary care organisation responsible for the site below:

**8. Specify all locations, departments, groups or units at which or through which research procedures will be conducted at this site and describe the activity that will take place.***List all locations/departments etc where research procedures will be conducted within the NHS organisation, describing the involvement in a few words. Where access to specific facilities will be required these should also be listed for each location.**Name the main location/department first. Include details of any centres at other NHS organisations where potential participants may be seen or referred for inclusion in the research at this site. Give details of any research procedures to be carried out off site, for example in participants' homes.*

	Location	Activity/facilities

**12. Who is the Principal Investigator or Local Collaborator for this research at this site?**

Title: Forename/Initials: Surname:

Post:

Qualifications:

Organisation:

Work Address:

Telephone:

Fax:

Postcode:

Mobile:

E-mail:

**R&D Only**

- a) Will this person interact with research participants, their organs, tissue or data in a way that has a direct bearing on the quality of care?  Yes  No
- b) Does this person hold a current substantive or honorary contract with the NHS organisation or accepted by the NHS organisation?  Yes  No

*Please provide a copy of the c.v. for the PI.*

*If an honorary contract is held, a copy of the contract should be submitted, unless previously provided to the R&D office.*

**14. Give details of all other members of the research team at this site, including academic supervisors and all people who will interact with research participants, their organs, tissue or data in a way that has a direct bearing on the quality of care.**

**15. Does the Principal Investigator or any other member of the site research team have any direct personal involvement (e.g. financial, share-holding, personal relationship etc) in the organisation sponsoring or funding the research that may give rise to a possible conflict of interest?**

Yes  No

*If Yes, give further details:*

**16. What is the proposed local start and end date for the research at this site?**

Start date: (dd/mm/yyyy)

Duration (Months):

End date: (dd/mm/yyyy)

**17. Summary of the research (populated from A10-1)**

The overall goal of the TREAT-NMD project is to find new ways of treating patients with diseases such as Spinal Muscular Atrophy. Although there is still no cure for these inherited neuromuscular diseases, major progress has been made in recent years towards new therapeutic strategies. Several of these strategies target specific genetic defects, some of which are so rare that only a few patients in Europe will have the right profile for a particular clinical trial. The aim of the patient registry is therefore to make sure that these patients can be found and invited to take part in clinical trials quickly and efficiently. Data collated in the registries will also help researchers answer other important questions about how common SMA is in countries across Europe, and will be a useful way of ensuring that patients can be kept informed about the latest information that might be relevant to their disease.

The Jennifer Trust holds diagnostic data on a large proportion of patients with an SMA diagnosis. It is proposed that patients will be contacted by the Jennifer Trust with an information sheet detailing the project as well as a questionnaire and consent form. If the patient decides to register, once they have considered the information sheet, they can either complete and return the questionnaire and consent form by post (in the return envelope provided) or complete the questionnaire online and post the signed consent form, which should take approximately 20 minutes. Completion of the consent form will be seen as study entry and the data provided via the questionnaire will be stored in a central UK registry on the TREAT-NMD secure server located at Newcastle University. Initial data collection will include nine 'mandatory questions' including demographic information, SMA diagnosis, genetic results and current condition. A further six 'highly encouraged questions' focus on family history, ventilation, other registries and more specific information on their disease.

Once the patient's details have been registered and stored on the database, a unique password will be sent to them (either via e-mail or post) to enable them to view and amend their own data. As one of the purposes of the SMA national registry is to define the UK SMA population and since, at the time of enrolment, patients will be at various stages of their disease course and medical care patients will be invited to update their records on a yearly basis, using their unique password, via an online form. At this time they will also be given the opportunity to remove their

data from the registry, any amendments should take less than 20 minutes to complete.

The data stored on the secure server will be accessible in full to the database curator and partially accessible to members of the TREAT–NMD Coordination Team. At this stage the data will be anonymised and used to match up against specific entry criteria for future clinical trials. If a patient is thought to be eligible, the curator will act as the contact point in identifying the patient, inviting them to participate in said trial, which will require its own assessments prior to commencing. Enrolment onto the SMA Registry does not guarantee enrolment into a clinical trial although patients are advised to inform their General Practitioner of their enrolment in the UK SMA registry and any subsequent clinical trials.

**19. Details of non-clinical interventions** (populated from A13 where enabled)

Additional Intervention	Average number per participant	Anticipated average time taken	Details of additional intervention or procedure, who will undertake it, and what training they have received.
Postal questionnaire to home	1	20	
Other Questionnaire	1	20	The participant will receive one questionnaire either electronically via e-mail or a hard copy in the post (whichever is preferable). They will be invited to update their details on a yearly basis.

**20. Will any aspects of the research at this site be conducted in a different way to that described in Parts A and B or the study protocol?**

Yes  No

*If Yes, explain and give reasons.*

**21. How many research participants/samples is it expected will be recruited/obtained from this site?**

**22. Give details of how potential participants will be identified locally and who will be making the first approach to them to take part in the study?**

**23. Who will be responsible for obtaining informed consent at this site? What expertise and training do these persons have in obtaining consent for research purposes?**

1

**27. Is there a contact point where potential participants can seek independent advice about participating in the study?**

R&D Only

**28. Please provide a copy on headed paper of the participant information sheet and consent form that will be used locally.** This must be the same generic version submitted to/approved by the main REC for the study while including relevant local information about the site, investigator and contact points for participants (see guidance notes).

*If you consider that changes should be made to the generic content of the information sheet to reflect site-specific issues in the conduct of the study (see 20), give details below. A substantial amendment may need to be discussed with the Chief Investigator and submitted to the main REC.*

**29. What arrangements have been made for participants who might not adequately understand verbal explanations or written information given in English, or who have special communication needs?** (e.g. translation, use of interpreters etc.) (Populated from A29)

An Instruction sheet on how to complete the self report form will be provided with the form itself. Additionally a contact telephone number will be provided so that patients may talk to a dedicated member of the TREAT-NMD team to help explain the instructions further.

The central Treat-NMD project office has access to (via its network of partners) and could provide translations of the registry process and enrolment forms into most European languages if necessary.

**What local arrangements have been made to meet these requirements (where applicable)?**

**30. What arrangements will be made to inform the GP or other health care professionals responsible for the care of the participants?**

**33. What arrangements (e.g. facilities, staffing, psychosocial support, emergency procedures) will be in place at the site, where appropriate, to minimise the risks to participants and staff and deal with the consequences of any harm?**

R&D Only

**37. Will any external funding be provided for the research at this site?**

Yes  No

*If Yes, indicate the source and details of the funding:*

R&D Only

**38. Which organisation will receive and manage this funding?**

R&D Only

**39. Authorisations required prior to R&D approval**

*This section deals with authorisations by managers within the NHS organisation. It should be signed in accordance with the guidance provided by the NHS organisation. This may include authorisation by line managers, service managers, support department managers, pharmacy, data protection officers or finance managers, depending on the nature of the research. Managers completing this section should confirm in the text what the authorisation means, in accordance with the guidance provided by the NHS organisation. This section may also be used by university employers or research staff to provide authorisation to NHS organisations, in accordance with guidance from the university.*

## Declarations

**Declaration by Principal Investigator or Local Collaborator**

1. The information in this form is accurate to the best of my knowledge and I take full responsibility for it.
2. I undertake to abide by the ethical principles underpinning the World Medical Association's Declaration of Helsinki and relevant good practice guidelines in the conduct of research.
3. If the research is approved by the main REC and NHS organisation, I undertake to adhere to the study protocol, the terms of the application of which the main REC has given a favourable opinion and the conditions requested by the NHS organisation, and to inform the NHS organisation within local timelines of any subsequent amendments to the protocol.
4. If the research is approved, I undertake to abide by the principles of the Research Governance Framework for Health and Social Care.
5. I am aware of my responsibility to be up to date and comply with the requirements of the law and relevant guidelines relating to the conduct of research.
6. I undertake to disclose any conflicts of interest that may arise during the course of this research, and take responsibility for ensuring that all staff involved in the research are aware of their responsibilities to disclose conflicts of interest.
7. I understand and agree that study files, documents, research records and data may be subject to inspection by the NHS organisation, the sponsor or an independent body for monitoring, audit and inspection purposes.
8. I take responsibility for ensuring that staff involved in the research at this site hold appropriate contracts for the duration of the research, are familiar with the Research Governance Framework, the NHS organisation's Data Protection Policy and all other relevant policies and guidelines, and are appropriately trained and experienced.
9. I undertake to complete any interim and/or final reports as requested by the NHS organisation and understand that continuation of permission to conduct research within the NHS organisation is dependent on satisfactory completion of such reports.
10. I undertake to maintain a project file for this research in accordance with the NHS organisation's policy.
11. I take responsibility for ensuring that all serious adverse events are handled within the NHS organisation's policy for reporting and handling of adverse events.
12. I understand that information relating to this research, and about me as a researcher, will be held by the R&D office and may be held on national research information systems, and that this will be managed according to the principles established in the Data Protection Act 1998.
13. I understand that the information contained in this application, any supporting documentation and all correspondence with the R&D office and/or the REC system relating to the application will be subject to the provisions of the Freedom of Information Acts and may be disclosed in response to requests made under the Acts except where statutory exemptions apply.
14. I understand that information relating to this research (including my contact details) may be publicly available through the National Research Register.

Signature of Principal Investigator .....  
or Local Collaborator:

Print Name:

Date: