UNIVERSITY OF LEICESTER, UNIVERSITY OF LOUGHBOROUGH
&
UNIVERSITY HOSPITALS OF LEICESTER NHS TRUST

JOINT RESEARCH SUPPORT OFFICE

STANDARD OPERATING PROCEDURES

University of Leicester (UoL) Research Governance Office SOP S-1014 UoL

Version 4, November 2016

Development Safety Update Report for Clinical Trials of Investigational Medicinal Product Studies Sponsored by University of Leicester

OFFICE BASE

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Effective Date: April 2017

1. Introduction

This Standard Operating Procedure (SOP) describes the procedures for the preparation and timely reporting of the Development Safety Update Report (DSUR) in order to discharge responsibility appropriately in line with regulatory requirements.

The DSUR is an annual review and evaluation of safety information to assure regulators that a Sponsor is adequately monitoring and evaluating the safety profile of an Investigational Medicinal Product (IMP).

The DSUR should be a vehicle to provide safety information from all ongoing clinical trials that are being conducted or completed during the review period.

The DSUR guidance describes in detail the requirements for reporting to both the Competent Authority (CA) and the Central Ethics Committees (CEC) in each member state.

With effect from 1st April 2012, all Sponsor reviews for studies using IMPs include a requirement to detail the responsibility for completion of the DSUR as part of the review and contract.

2. Scope

This SOP applies to all researchers conducting studies sponsored by UoL.

3. Procedure

The purpose of a DSUR (Appendix 1) is to present a single, comprehensive, scientific annual review and evaluation of pertinent safety information collected during the reporting period relating to a drug under investigation, whether or not it is marketed. The guidance suggests that the document should include:

- Safety information obtained during the current review period
- Analysis of the new information provided based on previous knowledge of the product safety
- New safety issues that may impact the overall programme or specific clinical trial
- Current understanding and management of known and potential safety risks to patients
- Changes in the product's safety profile
- Providing an update on the status of the clinical investigation/development programme and study results
- One DSUR is produced for each Investigational Medicinal Product

3.1 Development Safety Update Report - Reporting Period for University of Leicester.

Every attempt should be made to delegate responsibility for inclusion of all safety information from UoL trials from the DSUR produced by the manufacturer/supplier of the Investigational Medicinal Products.

Where this is not possible, a DSUR must be completed by the Chief Investigator (CI) for each IMP. Clearly, there will be a great deal of information unavailable to the CI or to UoL when acting as Sponsor. Where information is not available, it must be clearly noted 'information unavailable to author'.

Where it has not been possible to link with the holder of the DIBD for the sake of clarity, the Data Lock Point (DLP) will be taken as the anniversary of the Clinical Trials Authorisation.

One DSUR must be completed for each IMP. Where this involves several Chief Investigators, collaboration will be encouraged.

A copy of the completed DSUR must be retained in the Trial Master File (TMF).

The appropriate Investigator Brochure (IB) or Summary of Product Characteristics (SPC) in effect at the start of the reporting period must be used as the Reference Safety Information (RSI) for the DSUR. The version and/or date of this document must be stated in section 7.1 of the DSUR. However, if the IB or SPC has been revised during the reporting period and not previously submitted to the relevant Competent Authority, a copy of the revised RSI must be provided as an attachment to the DSUR, in addition to submission of a substantial amendment to update the documents.

It is recommended that the Investigator Brochure/Summary of Product Characteristics review is undertaken as the same time as the DSUR submission.

3.2 Review and Approval of Development Safety Update Reports

The Sponsor and CI will review the DSUR prior to final submission to the MHRA & REC /HRA. Once the DSUR has been completed it will undergo a quality control review – this review will be documented by the sponsor in the form of an email to appropriate parties which must be filed in the TMF.

In the case of blinded ongoing studies, blinded personnel may only review an initial draft of the DSUR, prior to the addition of any unblinded information. The final review of the DSUR, with unblinded information included, must only be made by unblinded personnel.

The final DSUR must be signed by the Chief Investigator and Sponsor prior to submission to the MHRA and REC.

Prior to submission to the REC /HRA the NRES CTIMP Safety Report to Research Ethics Committee must be completed by the CI / PI and returned to the Sponsor. The Sponsor will then submit this to the REC / HRA with the DSUR documentation.

3.3 Distribution and Filing

A signed paper copy of each DSUR must be filed in the TMF. If the TMF is held by personnel involved in the conduct of a blinded study, the signed paper copy of each DSUR will be retained by the Sponsor's Responsible Person for Pharmacovigilance until the end of the study when it will be inserted in the TMF.

Copies of the DSUR will be stored electronically by the Sponsor

3.4 Submission Timeframe Compliance

A DSUR Reporting timeframe working illustration gives details of the timeframes for reporting a DSUR (Appendix 2) and DSUR Reporting timeframe working instruction (Appendix 3) has also been produced to further clarify the requirements. In the event of the Investigator failing

to submit the DSUR within the specified timeframes, the Non-Compliance SOP S-1016 UoL will be implemented at a minimum of a major finding.

4. Responsibilities

	Responsibility	Undertaken by	Activity
1	Sponsor	Sponsor	Ensures that each DSUR meets the appropriate regulatory requirements and is submitted within the required timeline.
2	Sponsor	Sponsor	Ensures that each study remains unblinded to blinded operational and study site personnel
3	Sponsor	Sponsor	Ensures that the Sponsor has reviewed and approved all blinded DSURs before finalisation and submission
4	Sponsor	Sponsor	Ensures that all documentation is filed appropriately
5	Sponsor	Sponsor	Submits the DSUR to the MHRA and REC/HRA
6	Chief Investigator	Chief Investigator	Complete the DSUR
7	Chief Investigator	Chief Investigator	Review the completed DSUR with the Sponsor
8	Chief Investigator	Chief Investigator	Ensure the DSUR has been finalised within the required timeline

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This table is used to track the development and approval of the document and any changes made on revised / reviewed versions

5. Development and approval Record for this document

Author / Lead Officer:	Wendy Gamble
Job Title:	Research Governance Manager
Reviewed by:	UoL Research Management and Operations Group (RSMOG)
Approved by:	Professor Nigel Brunskill 
Date Approved	10/04/2017

6. Review Record

Date	Issue Number	Reviewed By	Description Of Changes (If Any)
Oct 2013	2	Wendy Gamble	Version 1 amended following review of Sponsor processes.
Jun 2015	3	Wendy Gamble	Version 2 amended to bring in line with UHL text.
Nov 2016	4	Diane Delahooke	Reference to HRA and RSI added. Logo changed.

7. Distribution Record

Date	Name	Department	Received

DISTRIBUTION RECORD:			
Date	**Name**	**Dept**	**Received**