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|  | **POLICY -**  **Non-interventional or retrospective clinical study protocol template** |
| N° : AAHRPP-DSQ-038 / REV002 | N° ENGLISH VERSION : 012 |

***"Please do take into account that this is a translation of the original French version validated in the Quality Management System (QMS) of Cliniques universitaires Saint-Luc through the SharePoint PaCo GED. Therefore in case of doubt, differences, inconsistency or discrepancy in this English version, the French version shall prevail"***

**DEFINITION**

A document that describes the objective(s), design, methodology, statistical considerations and organisation of a trial. The term protocol refers to the protocol, successive versions of the protocol and protocol amendments (Art 2, 22° Belgian Law 7 May 2004 on the human experiment)

**INSTRUCTIONS FOR USE**

* This document is a protocol template based on the Good Clinical Practice Guidelines for Research (ICH GCP E6 R2 ).
* It should be used to write the protocol for a prospective non-interventional study, or conducted by a student. It can also be used for a retrospective study. In this case, the parts mentioned should be removed.
* The parts proposed in this template can be adapted to your needs.
* Some information may also be provided in other documents that should be referenced in the protocol as appendices (e.g. informed consent).
* The text in red that corresponds to the instructions for use should be removed, as well as this first page.
* The black text should be retained.
* You can change the headings and layout styles. Do not forget to update the table of contents.
* Each version of the protocol should be numbered and dated in the footer.
* The protocol can be written in French, unless you want to publish the results of your study. This document therefore contains one version in French and one in English, to be used according to your choice.
* Final format: PDF

1. Title page

The title page should contain the following information:

* Protocol title
* Acronym
* Protocol identification (code or number)
* Sponsor
* If not apparent from the title, a brief (one to two sentences) description giving design, duration, procedures, and patient population
* Name and affiliation of principal investigator (address and phone number)
* Name and affiliation Sponsor
* Name and title of the person(s) authorized to sign the protocol and the protocol amendment(s) for the sponsor or Institution (principal Investigator, sub investigators)
* Version and date of protocol

Version History

| **Version** | **Approval Date** |  | **Changes** |
| --- | --- | --- | --- |
| 1 |  | Original |  |
| 2 |  | Amendment |  |
| 3 |  | Amendment |  |
| 4 |  | Amendment |  |

1. Signature page

**SPONSOR REPRESENTATIVE**

Name Signature Date

**INVESTIGATOR(S)**

I agree to conduct this study in accordance with the design and specific provisions of this protocol and will only make changes in the protocol after notifying the sponsor.

I understand that I may terminate or suspend enrolment of the study at any time if it becomes necessary to protect the best interests of the study subjects.

I agree to personally conduct or supervise this study and to ensure that all associates, colleagues, and employees assisting in the conduct of this study are informed about their obligations in meeting these commitments.

I will conduct the study in accordance with the protocol, Good Clinical Practice, the Declaration of Helsinki, and the moral, ethical and scientific principles that justify medical research. The study will be conducted in accordance with all relevant laws and regulations relating to clinical experimentation and the protection of patients. For retrospective study, replace with : The study will be conducted in accordance with all relevant laws and regulations relating to the protection of patients.

I will ensure that the requirements relating to Ethics Committee review and approval are met.

I agree to maintain adequate and accurate records and to make those records available for audit and inspection in accordance with relevant regulatory requirements including the provision of direct access to data and source documents. Delete this paragraph for retrospective study.

I agree to promptly report to the Ethics Committee any changes in the research activity and all unanticipated problems involving risks to human subjects or others. Additionally, I will not make any changes in the research without Ethics Committee approval, except where necessary to ensure the safety of study participants.

Name Signature Date

Name Signature Date

1. Protocol synopsis

|  |
| --- |
| Name of Sponsor |
| Title of Study |
| Service(s) in which the experimentation is taking place |
| Publication (reference) |
| Studied period :  (planned date of first enrolment)  (planned date of last completed) |
| Objectives:  - Primary  - Secondary |
| Hypotheses |
| Study Design |
| Number of planned patients |
| Endpoints |
| Main criteria for inclusion (inclusion/exclusion criteria) |
| Procedures : Schedule of assessments – Study Flowchart - Delete this item for retrospective study |
| Statistical Considerations |

1. Schedule of activities

Insert the study flowchart

Delete this paragraph for retrospective study

Table of contents to be updated

In order for your headings to be included in the table of contents, you must use the heading styles configured in the document. Use the headings provided in the Word document toolbar or create your own heading styles.

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1. List of abbreviations and definitions
2. Ethics

* *This protocol, any protocol amendments, informed consent form and other relevant documents (eg. recruitment advertisements) will be submitted to the Ethics Committee (EC) for formal approval to conduct the study. The decision of the EC concerning the conduct of the study will be made in writing to the sponsor. All correspondence with the Ethics Committee will be retained in the Investigator File.*
* *The study will be conducted in accordance with legal and regulatory requirements (Belgian law of 7 May 2004, Belgian law for Patient rights 22 August 2002, Private life GDPR 2018), as well as the Guidelines for Good Clinical Practice (International Conference on Harmonization 1996), and the last version of Declaration of Helsinki (World Medical Association).*
* *All subjects for this study will be provided a consent form describing this study and providing sufficient information for subjects to make an informed decision about their participation in this study. This consent form will be submitted with the protocol for review and approval by the EC. The formal consent of a subject, using the EC-approved consent form, will be obtained before that subject is submitted to any study procedure. This consent form must be signed by the subject or legally acceptable surrogate, and the investigator-designated research professional obtaining the consent. The written informed consent document should be prepared in the language of the potential patient population.*
* *The identity of the participant will remain kept confidential according to the General Data Protection Regulation of 27 April 2016 (in application on 25 May 2018), to the Belgian law of 30 July 2018 on the protection of natural persons with regard to the processing of personal data and the Belgian patient’s right law (22 August 2002). Personal data will be coded. Subjects will not be identified by name or in any other recognizable way in any of the records, results or publications related to the experiment.*

*Retrospective study, replace by :*

* *This protocol, any amendments to the protocol and any other relevant documents (e.g. recruitment posters) will be submitted to the Ethics Committee (EC) for formal approval to conduct the study. The decision of the EC regarding the conduct of the study will be communicated in writing to the sponsor.*
* *The study will be conducted in accordance with the Good Clinical Practice Guidelines (International Conference on Harmonisation 1996), and the latest version of the Declaration of Helsinki (World Medical Association).*
* *The identity of the participant will be kept confidential in accordance with the General Data Protection Regulation of 27 April 2016 (in application on 25 May 2018), the Belgian law of 30 July 2018 on the protection of natural persons with regard to the processing of personal data and the Belgian law on patient rights (22 August 2002). Personal data will be coded. Subjects will not be identified by name or in any other recognisable way in any records, results or publications related to the study.*

1. BIBLIOGRAPHIC REFERENCES

* Scientific explanation to define the question: discussion of the literature and important data relevant to the study and providing the context for the study.
* Justification of the study in the light of current knowledge: literature references and previously obtained results or data that are relevant to the study and serve as the basis for the study.

1. RATIONALE

* Description of the selected study population
* Statement of the hypothesis

1. OBJECTIVES AND GOALS OF THE STUDY

* Statement of the research question (+ definition of variables)
* Expected benefits of the research

1. STUDY DESIGN AND METHODOLOGY APPLIED
   1. Design

Definition of the characteristics of the research by standard terms:

* Type of study
* Study configuration
* Study design (procedures, steps, ...). The design should include clinical visits, all contacts (e.g. telephone contacts) and all study interventions and procedures to be carried out during the protocol. The protocol should specify the time that each phase of the project is likely to take, and a detailed month-by-month timetable for each activity to be undertaken.
* With or without direct individual benefit
* Approximate time to complete study recruitment
* Expected duration of subject participation
* Methods of data collection for the evaluation of the study objectives
* Interim analysis plans
  1. Description of the population
* Patient population to be studied. Characteristics of the subjects to be included: age, sex, weight, height, race, medical history, biological parameters, definition of pathology and listing of its characteristics.
* If indicated, describe the specific methods used to assign patients to intervention groups, to select and randomise eligible patients.
* Justification for the inclusion of participants unable to give informed consent or other special populations such as minors, if applicable.
* Number of patients expected.
  1. Strategies for recruiting participants

Consider where subjects will be recruited and how (consultation, advertising, etc.); detailed description of the recruitment and informed consent process

* 1. Inclusion criteria

Indicate that subjects must meet all inclusion criteria in order to participate in the study and list each criterion.

* 1. Exclusion criteria

Indicate that all subjects meeting any of the exclusion criteria at baseline will be excluded from participation in the study and list each criterion.

* 1. Withdrawal

Provide a list of reasons why subjects may be withdrawn from the study. Also note that subjects may voluntarily withdraw from the study at any time. Describe the steps taken to follow up subjects who withdraw from the study, if necessary.

* 1. Protocol Deviations

Any significant deviations from the study inclusion or exclusion criteria, study conduct, patient management or evaluation will be described and justified in the final report and communicated to the Ethics Committee, as appropriate.

* 1. Data Management Responsibilities

The protocol should provide information on how the data will be managed, including data handling and coding for computer analysis, monitoring and verification.

Instructions concerning the recording of study data:

* Name of used database – REDCap is required for studies sponsored by CUSL
* Describe how data will be collected

A description of the procedures for identifying data that are considered source data and are to be entered directly into the database

Procedures for collecting data on participants who have withdrawn from the study, and for replacing of these participants.

* 1. Data breach
* A description of the measures taken to comply with the rules in force relating to the protection of personal data, and in particular the technical and organizational arrangements that will be applied to prevent unauthorized access, disclosure, dissemination, modification or loss of the information and personal data processed
* A description of the measures that will be applied to guarantee the confidentiality of the information and personal data of the participants
* A description of the measures that will be applied in the event of a data security breach, in order to mitigate the possible adverse effects

The Sponsor or designee must report to ethics committee, serious data breaches : transgressions against the [study](https://www.ema.europa.eu/en/glossary/clinical-trial) protocol or the regulation that are likely to significantly affect the safety and rights of a subject or the reliability and robustness of the data generated in the study.

* 1. Statistical Analysis
* Reasons for the sample size selected, statistical power of the study, level of significance to be used
* Describe planned analyses, comparisons and statistical tests
* Reasons for excluding subject from an analysis
* Planned monitoring of the results
* Frequency and nature of interim analyses
  1. Protocol Amendements

If amendments to the protocol (modifying sense or objectives or modifying the study procedures) turn out to be necessary, they will be subjected at first opinion of the promoter of the study. After agreement by the promoter, these amendments will then be submitted to the opinion of the Ethic Committee having examined the initial protocol.

1. Finance and Insurance

Delete this paragraph for retrospective study

Describe financing and insurance arrangements:

* Insurance without fault (Law of 7 May 2004)
* Financial agreement between the Sponsor, the investigator and the Institution to which it belongs :
  + Specific information to trials without direct individual benefit
  + Data protection
  + Conflict of interests

Details of the funding of the study and any costs that will be incurred should be detailed in the financial statement document that will be referred in the annexes to this protocol.

The experimentation is covered under the Belgian Law of May 7, 2004 by a no-fault insurance (type of coverage: liability insurance).

Policy holder:

Cliniques universitaires Saint-Luc

Avenue Hippocrate, 10

1200 Brussels

Issuer of the certificate of insurance:

MS Amlin Insurance SE

Boulevard du Roi Albert II, 37

1030 Brussels

N° de police : LXX00259

1. End of study

The end date of the study is the date of the last visit of the last participant.

If this is not the date of the last visit of the last participant, indicate the estimated date of the end of the study and add a justification for this date.

Describe the criteria for stopping all or part of the study.

1. Dissemination of Results and Publication Policy

The protocol should specify not only dissemination of results in the scientific media, but also to the community and/ or the participants, and consider dissemination to the policy makers where relevant. Publication policy should be clearly discussed- for example who will take the lead in publication and who will be acknowledged in publications, etc.

This study is registered on Clinicaltrials.gov (<https://clinicaltrials.gov/> ) and is available to the public.

1. Archiving

Secure archiving of all documentation of the experiment (database, Informed Consent, Source document,…). Specify who archives, where and access conditions.

Data to be kept at least 20 years after the trial termination according to the Belgian legislation: RD 18 May 2006 art.24

1. Appendix

* Patient information and consent form
* Questionnaires, evaluation scales
* Other