PROTOCOL DRAFTING GUIDE

LIST OF ITEMS TO BE INCLUDED IN A PROTOCL FOR RESEARCH GOVERNED BY HEALTH CANADA (ICH GCP, Ch 6)[1]

Please refer to the following list of items and use the ones relevant to your research project.

1. General Information

1.1. Protocol title, protocol identifying number and, if applicable, date and number of all protocol modifications (amendments) should also be indicated. Add development phase.

1.2. Name and address of Sponsor and monitor (if other than Sponsor, i.e. CRO).

1.3. Name and title of person authorized to sign the protocol and protocol modifications (amendments) in the name of the Sponsor.

1.4. Name, title, address and phone number of Sponsor's medical expert for the clinical study.

1.5. Name and title of PI responsible for conducting the clinical study.

1.6. Name, title, address and phone number (s) of the qualified physician who will be responsible for all study related medical decisions.

1.7. Name, address and phone number of clinical study site.

1.8. Name(s) and address(es) of clinical laboratory(ies) and other technical department (s) or institution (s) involved in the clinical study.

1.9. Table of contents.

1.10. Make sure that all protocol or modification pages are numbered and that each section information is properly indicated in the table of contents.

1.11. List of Abbreviations and Terminology.

1.12. Make sure that this list is complete by checking text versus list of abbreviations and list of abbreviations versus text.

1 Source: MUHC RI SOP SOP-CR003-EN04_Appendix 1 (version January 19, 2014)

2. Basic Information.
    2.1. Name and description of Investigational Products.
    2.2. Summary of non-clinical studies conclusions likely to be significant on a clinical plan and study-related clinical studies.
    2.3. Summary of known and potential risks and benefits if any for human subjects.
    2.4. Description and explanation of administration route, posology, dosage regimen and treatment period.
    2.5. Statement to the effect that the study will be conducted in compliance with protocol, GCP and applicable regulatory requirements.
    2.6. Description of target population.
    2.7. Documentation and data references related to study and used as study general information.
3. Study Objectives and Purpose.
    3.1. Detailed description of primary and secondary objectives along with the study purpose
4. Study Design.
    4.1. Precise statement of main and secondary results, if any, to assess in the course of the study.
    4.2. Description of study type to conduct (i.e. double-blind, controlled versus placebo, parallel design, etc.) and a schematic diagram, procedure and study stages diagram.
    4.3. Description of measures taken to reduce or avoid bias including:
        4.3.1. Randomization;
        4.3.2. Blind test.
    4.4. Description of treatment, posology and Investigational Product dosage regimen.
    4.5. Description of dosage form, Investigational Product packaging and labeling.
    4.6. Expected duration of subject participation and description of stages and duration of all study periods, especially the follow-up, if any.
    4.7. Description of “stopping rules” or “proceeding criteria” regarding the subjects partial or total participation to the study.
    4.8. Description of Investigational Product accountability procedures including placebos and comparators, if any.
    4.9. List of codes used for treatment randomization and code key retention.
    4.10. Description of code breaking procedures and name of person responsible.

4.11. All data identification to log directly in the CRF (data not recorded on hard or electronic copy) and regarded as basic data.

5. Selection and Withdrawal of Subjects.
   5.1. Subject inclusion criteria.
   5.2. Subject exclusion criteria.
   5.3. Subject withdrawal criteria (terminating Investigational Product treatment/study treatment) and withdrawal procedure specifications.
   5.4. When and how to withdraw subjects or cancel Investigational Product treatment.
   5.5. Type and timing of data to collect for withdrawn subjects.
   5.6. Way of replacing subjects, if required.
   5.7. Follow-up on subjects no longer treated with the Investigational Product or subjects withdrawn from the study,
6. Treatment of subjects
   6.1. Description of treatment to be administered.
   6.2. Name(s) of all products.
   6.3. Dosage(s) of all products.
   6.4. Dosing schedule(s).
   6.5. Administration route/mode(s).
   6.6. Treatment periods including follow-up of each subject part of a group or sub-group treated with the Investigational Product or participating in the study.
   6.7. Authorized and non-authorized medication/treatments before or during the study.
   6.8. Monitoring procedures regarding the study compliance.
7. Efficacy Assessment
   7.1. Description of efficacy parameters.
   7.2. Procedures and timing to assess, record and analyze efficacy parameters.
8. Safety Assessment
   8.1. Description of safety parameters.
   8.2. Procedures and timing to assess, record and analyze safety parameters.
   8.3. Procedures to obtain reports of and record and signal adverse events and intercurrent illnesses.
   8.4. Type and duration of follow-up of subjects after adverse events.

9. Statistics
    9.1. Description of statistical methods to be used including any planned periodical analysis(es) schedule.
    9.2. Anticipated number of subjects for multicentre studies, the anticipated number of subjects for each site should be indicated.
    9.3. Reasons for choice of sample size including comments (or calculations) of the study power and clinical justification.
    9.4. Significance level to be used.
    9.5. Study termination criteria.
    9.6. Procedures for accounting missing, unused or erroneous data.
    9.7. Procedures for reporting any deviation (s) from the original statistical plan should be described and justified in the protocol or final report (if applicable).
    9.8. Selection of subjects to include in analysis (every randomized subject, subject having received one dose, all eligible and assessable subjects, etc.).
10. Direct Access to Source Data/Documents
    10.1. The Sponsor should ensure that it is specified in the protocol or any other written agreement that the PIs/institutions will allow study related monitoring, audit (internal and external), REB review and regulatory inspections, providing a source data/documents direct access.
11. Quality Control and Quality Assurance
    11.1. Details of monitoring, verifications and regulatory inspections.
12. Ethics
    12.1. Description of study related ethical and legal considerations.
13. Data Processing and Record Keeping (Retention Period)
    13.1. For study protocol, modifications, documentation and archiving procedures.
14. Financing and Insurance
    14.1. The financing and insurance may be included if not addressed or specified in a separate document.
15. Publication Policy
    15.1. Describe the study protocol and report publication policy if not included in a separate document.
    15.2. References: text consistency versus references and references versus text.

16. Signature

    16.1. Appendices: check text consistency versus appendices and appendices versus text.

    16.2. The complete protocol or protocol modification audit includes proof of reading and compliance to governing regulation and Good Clinical Practices. Protocol and protocol modification should include some space dedicated to the proof of reading by the PI (signature and date).

17. Other (Detail please)

    17.1. Optional: required procedures presentation for each visit in a tabular format. Suggested by most auditors/inspectors

PROTOCOL REQUIREMENTS FOR NON-INTERVENTIONAL RESEARCH[2]

Please refer to the following list of items and use the ones relevant to your research project.

Items	Description
Title of the Research and Protocol Number	Including date and version number. Any amendment(s) should also bear the amendment number and date
Investigator, Co-Investigator(s) in Charge of the Study	Names, addresses, institutional affiliations, qualifications and experience
Name of the Sponsor, Sponsor-Investigator or Granting Agency	Individual authorized to sign the protocol
Introduction	Summary of the proposed research
Justification	A clear statement of the justification for the study, and its significance and in meeting the needs of the population/country where the research will be conducted
Nature and Objective of the Study	The objectives of the study, its hypothesis(es) or research question(s), and/or its assumptions, and/or its variables
Ethics	The ethical issues and considerations raised by the study and, means to deal with them
Ethics in Developing Country	Indicate how Ethics review approval will be obtained in the developing country
Statement of Compliance	A statement that the study will be conducted in accordance with all appropriate ethical guidelines, standard operating procedures (RI-MUHC) and regulations (if applicable)

2 Source: MUHC RI SOP-CR024-EN02_Appendix 2 (version January 19, 2015)

Items	Description
Sites	A brief description of the site(s) where the research is to be conducted, including information about the adequacy of facilities, and relevant demographic and epidemiological information about the country or region concerned
Review of literature	Summary of all previous studies on the topic, including unpublished studies known to the investigators and sponsors (if applicable), and information on previously published research on the topic
Study Duration	The time schedule for the completion of the research
Number Participants	The number of research participants needed to achieve the study objective, if it is statistically determined, describe the process. Also include the number of research participants recruited at the institution if it is a multi-site study
Eligibility	The criteria for inclusion or exclusion of potential participants, and justification for the exclusion of any groups on the basis of age, social or economic factors, or for other reasons
Participants with limitation(s)	The justification for involving as participants any persons with limited capacity to consent or members of vulnerable social groups, and a description of special measures to determine capacity and minimize risks and discomfort
Recruitment	The process of recruitment, e.g. who will make initial contact, advertisements, materials given to participants, and the steps to be taken to protect privacy and confidentiality during recruitment
Study Design	A detailed description of the design of the study.
Study Procedures / Methodology	Description and explanation of all interventions and procedures. Include how the data/tissue will be collected
Tests	Indicate the clinical and laboratory tests and other tests to be conducted
Standard therapy	Include plans and justification for withdrawing or withholding standard therapies in the course of the research, including any resulting risks to participants
Data Recording	Explain how the data will be collected and methods used (e.g. audio-tapes, internet tools, etc.). If applicable, include samples of the standardized case report forms (CRF) to be used, the methods for recording response (description and evaluation methods and frequency), the follow-up procedures, and the measures proposed to determine the extent compliance will be required of participants
Termination / discontinuation	Rules or criteria according to which participants may be removed from the study, or (in a multi-centre study) a centre may be discontinued, or the study may be terminated

Items	Description
Research Risk / Adverse Events	The known or foreseen risks/adverse events.
Risk / Adverse Events Reporting	Methods of recording and reporting risks or adverse events and provisions for dealing with complication
Risk Associated with Pregnancy	For research with pregnant women, a plan, if appropriate, for monitoring the outcome of the pregnancy with to both the health of the woman and the short-term and long-term health of the child
Risk Management and referrals	Details of plan to provide the participants with treatment, support, counselling, and compensation for research-related injury or distress
Direct Access to Source Data / Documents Statement	The protocol should specify that the investigator(s) and/or institution(s) will permit monitoring, audits, and REB review, if applicable
Data Retention	The sponsor or other owners of the data must be kept for 7 years from the date of publication. You can also refer to SOP-CR002
Benefits Associated with the Research Study	The potential benefits of the research to participants and to others, if any. The expected benefits of the research to the population including new knowledge that the study might generate
Consent	Describe the process to communicate information to prospective participants and means to ensure informed consent is obtained. Indicate the name and position of the person responsible for obtaining consent and who will be training staff on consent procedures.
Participants that are incapable of giving consent	When prospective participants, whether adults or children are incapable of giving informed consent, indicate that it will be obtained from a duly authorized representative, (CCQ, Art. 21). Assent may also obtained from adults or minors incapable of giving consent to allow them to participate to the extent possible
Compensation	Indicate if participants will receive compensation for travel, parking, etc.
New Information	Provide plans and procedures, and indicate the persons responsible, for communicating information arising from the study, or from other research on the same topic, to participants that could affect participants' willingness to continue taking part in the research
Research Results	Plans to inform participants about the results of the research
Incidental Findings	Incidental finding management
Privacy and Confidentiality	The provisions for protecting the confidentiality of personal data, and respecting the privacy of participants Include whether consent documents will be retained in participants'

Items	Description
	medical records, if applicable
Research Identification Code	Information about how codes or pseudonyms, if used, are established, where they will be stored and who has access
Statistics	A description of statistical methods used for the analysis of the data, including plans for interim analyses, if any
Data Analysis	A description of the analytical methods used
Monitoring	Plans for monitoring the continuing safety of research
Ensuring data integrity / trustworthiness	Plans for ensuring data integrity/trustworthiness according to the type of research
Funding of the Research Study	The source and amount of research funding: the sponsor, if any, and a detailed account of the sponsor's financial commitments to the research institution, the investigators, the research participants, and when relevant, the community
Conflict of interest	The arrangements for dealing with financial or other conflicts of interest that might affect the judgment of investigators or other research personnel: informing the Research Ethics Board (REB) of an actual or the perception of a conflict of interest; and the information that will be transmitted to the research participants
Research Carried out in Developing Country / Community / Participatory Research	For research that is to be carried out in a developing country or community, the contribution that the sponsor will make to capacity-building for scientific and ethical review and for biomedical in the host country, and an assurance that the capacity-building objectives are in keeping with the values and expectations of the participants and their communities
Pharmaceutical Sponsorship	Particularly in the case of sponsorship by a pharmaceutical, a contract stipulating who possesses the right to publish the results of the research, and a mandatory obligation to prepare with, and submit to, the principal investigators the draft of the text reporting the results
Secondary use of data	Any foreseen further uses of personal data or biological materials
Clinical Trial Registration	In the case of a negative outcome, an assurance that the results will be made available, as appropriate, through publication or clinical trial registration, as applicable
Non publication	Circumstances in which it might be considered inappropriate to publish findings, such as when findings from an epidemiological, sociological or genetics research may presents risks to the individual and/or community or population or of a racially or ethnically defined group of people
Fraud and misconduct	A statement that any proven evidence of fraud or misconduct will

Items	Description
	be dealt with in accordance of the institution policies and procedures, and appropriate regulations
References	References cited in the protocol