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HEALTH+MEDICAL RESEARCH

Glossary of terms



NSW Health

100 Christie Street

St Leonards NSW 2065

(02) 9391 9228

www.health.nsw.gov.au

www.medicalresearch.nsw.gov.au

The NSW Ministry of Health has developed these resources as a guide to support public health organisations in developing local governance around clinical trials. The resources should not be relied upon as a complete summary of obligations on public health organisations in relation to clinical trials and are not intended to circumvent clinical judgment or replace locally developed clinical trials policies. Public health organisations are encouraged to seek legal or other advice if there is any uncertainty around compliance with clinical trials requirements.

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Adverse device effect (ADE) – medical device

Adverse event related to the use of an investigational medical device.

Note: This definition includes adverse events resulting from insufficient or inadequate instructions for use, deployment, implantation, installation, or operation, or any malfunction of the investigational medical device. This definition includes any event resulting from use error or from intentional misuse of the investigational medical device.

Adverse event (AE) – medical device

Any untoward medical occurrence, unintended disease or injury, or untoward clinical signs (including abnormal laboratory findings) in participants, users or other persons, whether or not related to the investigational medical device.

Adverse event (AE) – medical product/biological

Any untoward medical occurrence in a participant administered an investigational medicinal product and which does not necessarily have a causal relationship with this treatment.

Adverse reaction (AR) – medical product/biological

Any untoward and unintended response to an investigational medicinal product related to any dose administered.

Audit (clinical trials)

A systematic and independent examination of trial-related activities and documents to determine whether the evaluated trial-related activities were conducted, and the data were recorded, analysed and accurately reported according to the protocol, sponsor's standard operating procedures (SOPs), Good Clinical Practice (GCP), and the applicable regulatory requirement/s.

Audit trail

Documentation that allows reconstruction of the course of events.

Australian Health Practitioner Regulation Agency (AHPRA)

The Australian Health Practitioner Regulation Agency (AHPRA) is the organisation responsible for the registration and accreditation of ten health professions across Australia.

Australian Radiation Protection and Nuclear Safety Agency (ARPANSA)

The Australian Radiation Protection and Nuclear Safety Agency (ARPANSA) is the Australian Government's primary authority on radiation protection and nuclear safety. ARPANSA regulates Commonwealth entities using radiation to protect people and the environment from the harmful effect of radiation.

Blinding/masking

A procedure in which one or more parties to the trial are kept unaware of the treatment assignment(s).

Case report form (CRF)

A printed, optical, or electronic document designed to record all of the protocol required information to be reported to the sponsor on each trial participant.

Council for International Organizations of Medical Sciences (CIOMS) form

A form used to report serious adverse reaction reports that occur in Australia and sent to the TGA.

Civil Aviation Safety Authority (CASA) training

Part 92 of the Civil Aviation Safety Regulation (CASR) prescribes the minimum safety requirements for the consignment and carriage of dangerous goods by air. It includes training, documentation, record keeping, and incident reporting as well as provisions for packaging, marking, labelling, loading of and stowage in aircraft. Staff involved in the preparation, safe handling and carriage of dangerous goods on aircraft, are required to undertake CASR Part 92 training.

Clinical incident

Any unplanned event resulting in, or with the potential for, injury, damage or other loss. This includes a near miss.

Clinical Research Associate (CRA)

An individual designated by a sponsor or contract research organisation to monitor the site's conduct in a clinical trial.

Clinical research coordinator (CRC)

A research worker who works at a clinical research site under the immediate direction of a principal investigator, whose research activities are conducted

in accordance with GCP guidelines. May also be called 'Clinical Study Coordinator', 'Trial Coordinator', 'Research Coordinator' or 'Research Nurse'.

Where teletrials is engaged, the CRC at the primary site is the contact for coordinators at both primary and satellite sites. Their duties are extended to include satellite sites in all aspects of their role (these roles can be delegated to satellite site coordinators).

Clinical trial

Any research study that prospectively assigns human participants or groups of humans to one or more health-related interventions to evaluate the effects on health outcomes.

Clinical trial agreement (CTA)

A legally binding agreement that manages the relationship between sponsor and institution where the sponsor may be providing the study drug or device, the financial support and/or proprietary information and the institution may be providing data and/or results, publication, input into further intellectual property. The agreement covers matters such as confidentiality, intellectual property, ownership of data, insurance and indemnity.

Clinical trial sub-contract

A legally binding agreement that manages the relationship between the primary site and the satellite site where the satellite site is a separate legally entity to the primary site.

Clinical trial notification (CTN)

The CTN scheme is an online notification scheme run under the *Therapeutic Goods Act 1989* whereby information relating to a proposed clinical trial is submitted directly to the Therapeutic Goods Administration (TGA) by the sponsor. Once a trial is notified to the TGA and the relevant fee has been paid, the sponsor can supply the 'unapproved' therapeutic goods to be used in the trial. The institutions where the clinical trial will be undertaken are also documented on the CTN. As it is a notification scheme, the TGA does not review any data relating to the clinical trial.

CTN trials cannot commence until the trial has been notified to the TGA, the appropriate notification fee paid and acknowledgement is received.

Clinical trial exemption (CTX)

An approval process whereby a sponsor submits an application to the TGA for evaluation and comment requesting to administer an investigational agent to participants under specified conditions of a particular

research study in a clinical setting such as in clinical trials.

Cluster (sites)

A group of sites involved in undertaking a study, consisting of a primary site who assumes overall responsibility for the conduct of the study and one or more satellite sites, which conduct the study under the direction of the primary site using telehealth. A cluster can be made up of sites in the same local health district or across different local health districts.

Code of practice (ARPANSA Code)

Code of Practice for the Exposure of Humans to Ionizing Radiation for Research Purposes (2005) published by ARPANSA. This code of practice is designed to ensure that researchers proposing to expose research participants to ionising radiation provide the participants and the Human Research Ethics Committees (HRECs) with information that allows consent to be properly considered by the research participants and approval considered by the HREC.

Coordinating principal investigator (CPI)

In relation to research conducted at a single site, the investigator for that site; or in relation to research conducted at more than one site, the individual, whether or not he or she is an investigator at any particular site, who takes primary responsibility for the conduct of the research.

This includes coordination of the HREC approval and ongoing reporting to the HREC on behalf of the individual sites (including satellite sites).

Contract research organisation (CRO)

An organisation contracted by the sponsor to oversee the conduct of the clinical trial.

Curriculum vitae (CV)

A résumé of academic and professional training, work history and other qualifications.

Dangerous goods

Articles or substances which are capable of posing a risk to health, safety, property or the environment and which are shown in the list of dangerous goods in the International Air Transport Association (IATA) Regulations or which are classified according to the IATA Regulations as such.

Data and Safety Monitoring Board (DSMB) or Data Monitoring Committee

An independent and multidisciplinary group established by the trial sponsor to review, at intervals, accumulating trial data, to monitor the progress of a trial and to make recommendations on whether to continue, modify or stop the trial for safety or ethical reasons.

Delegation log

A list of appropriately qualified and trained persons to whom the principal investigator has delegated significant trial-related duties and which documents study-specific roles and responsibilities assigned to each staff member on the trial team. Each entry is signed and dated by the delegate and countersigned by the principal investigator.

Deviation

Any divergence or departure from the requirements of GCP or the clinical trial protocol.

Device deficiency

Inadequacy of a medical device with respect to its identity, quality, durability, reliability, safety or performance. Device deficiencies include malfunctions, use errors, and inadequacy in the information supplied by the manufacturer including labelling.

Electronic consent (e-consent)

Electronic consent refers to the use of electronic media (for example text, graphics, audio, video, podcasts or websites) to provide study information and to seek and/or document informed consent via an electronic device such as a smartphone, tablet or computer.

Essential documents

Documents which individually and collectively permit evaluation of the conduct of a study and the quality of the data produced. These documents serve to demonstrate the compliance of the investigator, sponsor and monitor with the standards of GCP and with all applicable regulatory requirements. They may be subject to, and should be available for, audit by the sponsor's auditor and inspection by the regulatory authority/ies.

Essential documents for the trial should be supplemented or may be reduced where justified (in advance of study initiation) based on the importance and relevance of the specific documents to the study.

FDA 1572

A form that must be completed by an investigator running a clinical trial to study a new drug or agent. The investigator agrees to follow the United States Food and Drug Administration (FDA) Code of Federal Regulations for the clinical trial and verifies they have experience and background needed to conduct the trial.

Financial disclosure form (FDF)

A statement form in compliance with the U.S FDA Code of Federal Regulations for which clinical investigators are required to disclose to the study sponsor their financial interests for the period of time they participated in the study and for one year following the end of the study.

Good Clinical Practice (GCP)

A standard for the design, conduct, performance, monitoring, auditing, recording, analyses, and reporting of clinical trials that provides assurance that the data and reported results are credible and accurate and that the rights, integrity, and confidentiality of trial subjects are protected.

ICH GCP E6 (R2) and ISO 14155 are internationally accepted standards for the designing, conducting, recording and reporting of clinical trials/clinical investigations.

Human Research Ethics Committee (HREC)

A committee constituted in accordance with the National Statement on Ethical Conduct in Human Research (2007) to review and where appropriate approve and monitor the ethical and scientific aspects of human research.

Independent third-party provider

An individual or group of individuals contracted by and external to a clinical trial site to provide a service related to a clinical trial, who is/are qualified to perform those trial-related duties and functions. The individual or group of individuals provide the service under the supervision of the principal investigator who ensures the integrity of the trial-related duties and functions performed and any data generated by them.

Informed consent

A process by which a participant voluntarily confirms their willingness to participate in a particular trial, after having been informed of all aspects of the trial that are relevant to the participant's decision to participate.

Informed consent is documented using a written, signed and dated informed consent form.

Inspection

The act by a regulatory authority/ies of conducting an official review of documents, facilities, records, and any other resources that are deemed by the authority/ies to be related to the clinical trial and that may be located at the site of the trial, at the sponsor's and/or contract research organisation's (CRO's) facilities, or at other establishments deemed appropriate by the regulatory authority/ies.

International Air Transport Association (IATA)

An international organisation that develops the commercial standards globally, for the air transport system.

Interactive voice response system (IVRS)

Interactive voice response system is an interactive technology that allows a computer to interact with a human to detect voice and keypad inputs.

Interactive web response system (IWRs)

Interactive web response system is an interactive technology that allows a computer to interact with a human through data input using a web browser.

International Council for Harmonisation (ICH)

The International Council for Harmonisation of Technical Requirements for Pharmaceuticals for Registration of Pharmaceuticals for Human Use is a joint initiative involving both regulatory authorities and pharmaceutical industry to discuss scientific and technical aspects of drug registration.

Conceived in 1990, ICH has gradually evolved, to respond to the increasingly global face of drug development. ICH's mission is to achieve greater harmonisation worldwide to ensure that safe, effective, and high-quality medicines are developed and registered in the most resource-efficient manner.

International Organisation for Standardisation (ISO) 14155:2011 Clinical Investigation of Medical Devices for Human Subjects

The international standard which addresses good clinical practice for the design, conduct, recording, and reporting of clinical investigations carried out in human

subjects to assess the safety or performance of medical devices for regulatory purposes.

Investigational biological (IB)

An investigational product that is a biological defined as – a thing made from, or that contains, human cells or human tissues, or live animal cells, tissues or organs and that is used to treat or prevent disease, ailment, defect or injury, diagnose a condition of a person, alter the physiological processes of a person, test the susceptibility of a person to disease or replace or modify a person's body parts.

Note: Some biologicals are regulated as medicinal products (for example vaccines that do not contain human cells and recombinant products and plasma-derived products).

Investigational medical device (IMD)

Medical device being assessed for clinical performance or effectiveness and safety in a clinical investigation.

Note: This includes medical devices already on the market that are being evaluated for new intended uses, new populations, new materials or design changes.

Investigational medicinal product (IMP)

A pharmaceutical form of an active ingredient or placebo being tested or used as a reference in a clinical trial, including a product with a marketing authorisation when used or assembled (formulated or packaged) in a way different from the approved form, or when used for an unapproved indication or a new patient group, or when used to gain further information about an approved use.

Investigational product

Any therapeutic good (including placebos) being tested or used as a reference in a clinical trial.

Investigator brochure (IB)

Medicine: A compilation of the clinical and non-clinical data on the investigational product that is relevant to the study of the product in human participants. For marketed products, it may be acceptable to use the product information.

Device: A compilation of the current clinical and non-clinical information on the investigational medical device relevant to the clinical investigation.

Monitoring plan

A document that describes the strategy, methods, responsibilities, and requirements for monitoring a trial.

National Health and Medical Research Council (NHMRC)

The council established to develop and maintain health standards and is responsible for implementing the *National Health and Medical Research Council Act 1992*.

National Mutual Acceptance (NMA)

A national system for single scientific and ethical review of multi-centre human research projects conducted in public health organisations across Australian jurisdictions.

Participant identification log

A list of all participants screened and/or recruited to a clinical trial which includes full name and contact details and hospital-specific medical record number.

Participant information and consent form (PICF)

The ethically approved document used for providing written patient information about a specific clinical trial and the documentation of informed consent in the form of the patient and the investigator signatures and date.

Primary site (Teletrials)

The primary site coordinates the trial across a cluster to enhance patient reach, recruitment and management. The principal investigator located in the primary site has full responsibility of conducting the clinical trial under ICH GCP.

Principal investigator

The person responsible, individually or a leader of the researchers at a site, for the conduct of a trial at that site.

Where the teletrial model is implemented, the principal investigator at the primary site assumes overall responsibility and provides oversight to satellite site/s within a cluster.

Protocol

A document that describes the objective/s, design, methodology, statistical considerations, and organisation of a trial. The protocol usually also gives the background and rationale for the trial, but these could be provided in other protocol referenced

documents. Throughout the ICH GCP guideline the term protocol refers to protocol and protocol amendments.

Note: Known as a clinical investigation plan for medical devices studies.

Research Governance Officer (RGO)

The RGO is the individual appointed within an organisation who is responsible for the management of applications for site authorisation and administrative oversight of authorised research projects.

Public Health Organisation (PHO)

Under the *NSW Health Services Act 1997* is a local health district, statutory health corporation or affiliated health organisation in respect of its recognised establishments and recognised services. The term Public Health Organisation includes the statewide Health Services, NSW Ambulance, and NSW Health Pathology.

Randomisation

The process of assigning trial subjects to treatment or control groups using an element of chance to determine the assignments in order to reduce bias.

Research Office

The office within an NSW PHO that is appointed within the PHO to oversee and support research.

Safety monitoring plan

A description of the methods, roles, and responsibilities and requirements for monitoring the safety data of the trial.

Satellite site

A satellite site is located in a geographically separate health facility and responsibility is delegated by the primary site (clinical trial site) to perform activities associated with the conduct of a clinical trial and to support trial accessibility of remote participants to a clinical trial.

Satellite sites can be located in metropolitan, regional or rural settings. Delegated activities to be performed by the satellite site are trial-specific and should be agreed and documented at the time of site selection via a delegation log and a supervision plan.

For each trial, infrastructure and training requirements for satellite sites are the same for both the primary and satellite sites.

A satellite site should have the following:

- Appropriately contracted qualified and trained investigator(s) and delegated staff to undertake trial-related activities including obtaining informed consent (if required). Study staff are trained in the protocol, IB, study procedures, AE/SSAE reporting. A system for safety reporting duties is in place for all study staff.
- Study-related documentation including a satellite site study file, procedures for managing the security of information and trial data and a process for managing data security or privacy breaches.
- An understanding of the process for securely and suitably storing and ensuring accountability for the investigational medicinal product (IMP).

Satellite site study file (SSSF)

The file used to store a trial's essential documents at a satellite site.

Serious adverse device effect (SADE) – medical device

An adverse device effect that has resulted in any of the consequences characteristic of a serious adverse event.

Serious adverse event (SAE) – medical product/biological

Any untoward medical occurrence that, at any dose:

- results in death
- is life-threatening
- requires inpatient hospitalisation or prolongation of existing hospitalisation
- results in persistent or significant disability/capacity
- is a congenital anomaly/birth defect.

Serious Adverse Event (SAE) – device

An adverse event that:

- led to death
- led to serious deterioration in the health of the participant, that either resulted in:
 - a life-threatening illness or injury, or
 - a permanent impairment of a body structure or a body function, or
 - in-patient or prolonged hospitalisation, or

- medical or surgical intervention to prevent life-threatening illness or injury or permanent impairment to a body structure of a body function

- led to foetal distress, foetal death or a congenital abnormality or birth defect.

Note: Planned hospitalisation for a pre-existing condition, or a procedure required by the clinical investigation plan, without serious deterioration in health, is not considered a serious adverse event.

Serious breach

A breach of GCP or the protocol that is likely to affect to a significant degree the safety or rights of a research participant or the reliability and robustness of the data generated in the research project.

Significant safety issue (SSI)

A safety issue that could adversely affect the safety of participants or materially impact on the continued ethical acceptability or conduct of the trial.

Site (research site)

A facility, location or service where the research is being conducted.

Site authorisation

The authorisation granted by the Chief Executive or delegate of the NSW PHO for the commencement of a research project.

Source documents

Original documents (where the data was first recorded), data, and records (for example medical/hospital records, clinical and office charts, laboratory notes, memoranda, subjects' diaries or evaluation checklists, pharmacy dispensing records, recorded data from automated instruments, copies or transcriptions certified after verification as being accurate copies, microfiches, photographic negatives, microfilm or magnetic media, x-rays, subject files, and records kept at the pharmacy, at the laboratories and at medico-technical departments involved in the clinical trial). The principles apply to all records referenced irrespective of the type of media used.

Sponsor

An individual, company, institution or organisation which takes on the responsibility for securing the arrangements, to initiate, manage and finance a study.

Study master file (SMF) or investigator site file (ISF)

A folder containing all the study related essential documentation /source documents as defined by study team and in accordance with ICH GCP E6 (R2), section 8.2, 8.3 and 8.4 that should be established at the beginning of a trial both at the investigator/institution's site and at the sponsor's office.

The SMF should also be prefaced with an index of contents as well as indicate the location(s) of all essential/source documents. The storage system used during the trial and for archiving (irrespective of the type of media used) should provide for document identification, version history, search and retrieval.

Where the teletrial model is implemented the primary site should have control of all essential documents and records generated by the investigator/institution before, during and after the trial.

Subject identification log

A list of all contact details included in clinical trials plus hospital-specific medical record number to be stored at the patient's site used for future reference.

Sub investigator (SI) or associate investigator (AI)

Any individual member of the clinical trial team designated and supervised by the principal investigator at a trial site to perform critical trial-related procedures and/or to make important trial-related decisions for example associates, residents, research fellows.

When located at the satellite site, a nominated SI is the local contact for study related matters at the satellite site.

Supervision plan

A plan that outlines processes for a principal investigator in the supervision of any individual or party to whom they delegates study-related duties and functions, which includes, details on joint consultations using telehealth, collation and monitoring of documents, frequency of joint trial meetings across a cluster (with minutes of these meetings) and clarification of activities performed by the PI and the sub-investigator, other study staff.

Suspected breach

A report that is judged by the reporter as a possible serious breach but has yet to be formally confirmed as a serious breach by the sponsor.

Suspected Unexpected Serious Adverse Reaction (SUSAR)

An adverse reaction that is both serious and unexpected.

Therapeutic Goods Administration (TGA)

Australia's regulatory agency for therapeutic goods.

Training log

A record of all training relating to a specific clinical trial undertaken by a trial staff member who has been delegated clinical trial-related duties. The record documents date, the training undertaken, who gave the training with a signature of both trainer and trainee and is kept current for the duration of the clinical trial.

Unanticipated serious adverse device effect (USADE)

Serious adverse device effect which by its nature, incidence, severity or outcome has not been identified in the current version of the risk analysis report.

Urgent safety measure (USM)

A measure required to be taken in order to eliminate an immediate hazard to a participant's health or safety.

Note: This type of significant safety issue can be instigated by either the investigator or sponsor and can be implemented before seeking approval from HRECs or institutions.

Unapproved therapeutic good

A product not entered on the Australian Register of Therapeutic Goods (ARTG), including:

- any new formulation of an existing product
- any new route of administration
- in the case of an existing medical device, any new technology, new material or a new treatment modality
- a product being used beyond the conditions of its marketing authorisation, including:
 - new indications extending the use of a medicine to a new population group
 - extension of doses or duration of treatments outside the approved range.