

Substantial Amendment Notification Form (Cf. Section 3.7.b of the *Detailed guidance on the request to the competent authorities for authorisation of a clinical trial on a medicinal product for human use, the notification of substantial amendments and the declaration of the end of the trial*¹)

NOTIFICATION OF A SUBSTANTIAL AMENDMENT TO A CLINICAL TRIAL ON A MEDICINAL PRODUCT FOR HUMAN USE TO THE COMPETENT AUTHORITIES AND FOR OPINION OF THE ETHICS COMMITTEES IN THE EUROPEAN UNION

For official use:

Date of receiving the request :	Grounds for non acceptance/ negative opinion : <input type="checkbox"/> Date :
Date of start of procedure:	Authorisation/ positive opinion : <input type="checkbox"/> Date :
Competent authority registration number of the trial: Ethics committee registration number of the trial :	Withdrawal of amendment application <input type="checkbox"/> Date :

To be filled in by the applicant:

This form is to be used both for a request to the Competent Authority for authorisation of a **substantial** amendment and to an Ethics Committee for its opinion on a **substantial** amendment. Please indicate the relevant purpose in Section A.

A TYPE OF NOTIFICATION

A.1 Member State in which the substantial amendment is being submitted:	UK
A.2 Notification for authorisation to the competent authority:	X
A.3 Notification for an opinion to the ethics committee:	X

B TRIAL IDENTIFICATION (*When the amendment concerns more than one trial, repeat this form as necessary.*)

B.1 Does the substantial amendment concern several trials involving the same IMP?² yes ☐ no **X**

B.1.1 If yes repeat this section as necessary.

B.2 Eudract number: 2004-000991-15

B.3 Full title of the trial : ASCEND: A Study of Cardiovascular Events in Diabetes: A randomised 2x2 factorial study of aspirin versus placebo, and of omega-3 fatty acid supplementation versus placebo, for primary prevention of cardiovascular events in people with diabetes

Sponsor's protocol code number, version, and date: CTSUASCEND, version 9.0_2011-01-14

C IDENTIFICATION OF THE SPONSOR RESPONSIBLE FOR THE REQUEST

C.1 Sponsor
C.1.1 Organisation: University of Oxford
C.1.2 Name of person to contact: Prof Jane Armitage
C.1.3 Address : Clinical Trial Service Unit, Richard Doll Building, University of Oxford, Old Road Campus, Headington, Oxford, OX3 7LF
C.1.4 Telephone number : 01865743743
C.1.5 Fax number : 01865743981
C.1.6 e-mail: jane.armitage@cts.ox.ac.uk

C.2 Legal representative³ of the sponsor in the European Union for the purpose of this trial (if different from the sponsor)

C.2.1 Organisation:
C.2.2 Name of person to contact:
C.2.3 Address :
C.2.4 Telephone number :
C.2.5 Fax number :

¹ OJ, C82, 30.3.2010, p. 1; hereinafter referred to as 'detailed guidance CT-1'.

² Cf. Section 3.7. of the detailed guidance CT-1.

³ As stated in Article 19 of Directive 2001/20/EC.

C.2.6 e-mail:

D APPLICANT IDENTIFICATION (please tick the appropriate box)

D.1	Request for the competent authority	
D.1.1	Sponsor	<input type="checkbox"/>
D.1.2	Legal representative of the sponsor	<input type="checkbox"/>
D.1.3	Person or organisation authorised by the sponsor to make the application.	X
D.1.4	Complete below:	
D.1.4.1	Organisation :	Clinical Trial Service Unit (CTSU), University of Oxford
D.1.4.2	Name of person to contact :	Prof Jane Armitage
D.1.4.3	Address :	Clinical Trial Service Unit (CTSU), Richard Doll Building, Old Road Campus, Oxford, OX3 7LF
D.1.4.4	Telephone number :	01865743743
D.1.4.5	Fax number :	01865743981
D.1.4.6	E-mail	jane.armitage@ctsuo.ox.ac.uk

D.2	Request for the Ethics Committee	
D.2.1	Sponsor	<input type="checkbox"/>
D.2.2	Legal representative of the sponsor	<input type="checkbox"/>
D.2.3	Person or organisation authorised by the sponsor to make the application.	X
D.2.4	Investigator in charge of the application if applicable ⁴ :	
	• Co-ordinating investigator (for multicentre trial)	X
	• Principal investigator (for single centre trial):	<input type="checkbox"/>
D.2.5	Complete below	
D.2.5.1	Organisation :	Clinical Trial Service Unit (CTSU), University of Oxford
D.2.5.2	Name :	Prof Jane Armitage
D.2.5.3	Address :	Clinical Trial Service Unit (CTSU), Richard Doll Building, Old Road Campus, Oxford, OX3 7LF
D.2.5.4	Telephone number :	01865743743
D.2.5.5	Fax number :	01865743981
D.2.6	E-mail :	jane.armitage@ctsuo.ox.ac.uk

E SUBSTANTIAL AMENDMENT IDENTIFICATION

E.1 Sponsor's substantial amendment code number, version, date for the clinical trial concerned:
CTSUASCEND7, version 9.0_2011-01-14

E.2	Type of substantial amendment	
E.2.1	Amendment to information in the CT application form	yes <input type="checkbox"/> no X
E.2.2	Amendment to the protocol	yes <input type="checkbox"/> no X
E.2.3	Amendment to other documents appended to the initial application form	yes <input type="checkbox"/> no X
E.2.3.1	If yes specify:	
E.2.4	Amendment to other documents or information:	yes X no <input type="checkbox"/>
E.2.4.1	If yes specify: New documents to be used for collection of blood and urine samples.	
E.2.5	This amendment concerns mainly urgent safety measures already implemented⁵	yes <input type="checkbox"/> no X
E.2.6	This amendment is to notify a temporary halt of the trial⁶	yes <input type="checkbox"/> no X
E.2.7	This amendment is to request the restart of the trial⁷	yes <input type="checkbox"/> no X

⁴ According to national legislation.

⁵ Cf. Section 3.9. of the detailed guidance CT-1.

⁶ Cf. Section 3.10. of the detailed guidance CT-1.

⁷ Cf. Section 3.10. of the detailed guidance CT-1.

E.3	Reasons for the substantial amendment:	
E.3.1	Changes in safety or integrity of trial subjects	yes <input type="checkbox"/> no <input checked="" type="checkbox"/>
E.3.2	Changes in interpretation of scientific documents/value of the trial	yes <input type="checkbox"/> no <input checked="" type="checkbox"/>
E.3.3	Changes in quality of IMP(s)	yes <input type="checkbox"/> no <input checked="" type="checkbox"/>
E.3.4	Changes in conduct or management of the trial	yes <input type="checkbox"/> no <input checked="" type="checkbox"/>
E.3.5	Change or addition of principal investigator(s), co-ordinating investigator	yes <input type="checkbox"/> no <input checked="" type="checkbox"/>
E.3.6	Change/addition of site(s)	yes <input type="checkbox"/> no <input checked="" type="checkbox"/>
E.3.7	Other change	yes <input checked="" type="checkbox"/> no <input type="checkbox"/>
E.3.7.1	If yes, specify: New documents to be used for collection of blood and urine samples.	
E.3.8	Other case	yes <input type="checkbox"/> no <input checked="" type="checkbox"/>
E.3.8.1	If yes, specify	

E.4	Information on temporary halt of trial⁸	
E.4.1	Date of temporary halt (YYYY/MM/DD)	
E.4.2	Recruitment has been stopped	yes <input type="checkbox"/> no <input type="checkbox"/>
E.4.3	Treatment has been stopped	yes <input type="checkbox"/> no <input type="checkbox"/>
E.4.4	Number of patients still receiving treatment at time of the temporary halt in the MS concerned by the amendment ()	
E.4.5	Briefly describe (free text): <ul style="list-style-type: none"> Justification for a temporary halt of the trial The proposed management of patients receiving treatment at time of the halt (<i>free text</i>). The consequences of the temporary halt for the evaluation of the results and for overall risk benefit assessment of the investigational medicinal product (<i>free text</i>).	

F DESCRIPTION OF EACH SUBSTANTIAL AMENDMENT⁹ (*free text*):

Previous and new wording in track change modus	New wording	Comments/explanation/reasons for substantial amendment
New documents provided (see enclosed) and there were no previous version.	New documents provided (see enclosed) and there were no previous version.	See separate sheet.

G CHANGE OF CLINICAL TRIAL SITE(S)/INVESTIGATOR(S) IN THE MEMBER STATE CONCERNED BY THIS AMENDMENT

G.1	Type of change
G.1.1	Addition of a new site
G.1.1.1	Principal investigator (provide details below)
G.1.1.1.1	Given name
G.1.1.1.2	Middle name (if applicable)
G.1.1.1.3	Family name
G.1.1.1.4	Qualifications (MD.....)
G.1.1.1.5	Professional address
G.1.2	Removal of an existing site
G.1.2.1	Principal investigator (provide details below)
G.1.2.1.1	Given name
G.1.2.1.2	Middle name (if applicable)
G.1.2.1.3	Family name
G.1.2.1.4	Qualifications (MD.....)
G.1.2.1.5	Professional address
G.1.3	Change of co-ordinating investigator (provide details below of the new coordinating investigator)
G.1.3.1	Given name
G.1.3.2	Middle name

⁸ Cf. Section 3.10. of the detailed guidance CT-1.

⁹ Cf. Section 3.7.c. of the detailed guidance CT-1. The sponsor may submit this documentation on a separate sheet.

G.1.3.3 Family name
 G.1.3.4 Qualification (MD.....)
 G.1.3.5 Professional address
 G.1.3.6 Indicate the name of the previous co-ordinating investigator:
 G.1.4 **Change of principal investigator at an existing site** (provide details below of the new principal investigator)
 G.1.4.1 Given name
 G.1.4.2 Middle name
 G.1.4.3 Family name
 G.1.4.4 Qualifications (MD.....)
 G.1.4.5 Professional address
 G.1.4.6 Indicate the name of the previous principal investigator:

H CHANGE OF INSTRUCTIONS TO CA FOR FEEDBACK TO SPONSOR

H.1 Change of e-mail contact for feedback on application*

H.2 Change to request to receive an .xml copy of CTA data ☐ yes ☐ no
 H.2.1 Do you want a .xml file copy of the CTA form data saved on EudraCT? ☐ yes ☐ no
 H.2.1.1 If yes provide the e-mail address(es) to which it should be sent (up to 5 addresses):
 H.2.2 Do you want to receive this via password protected link(s)¹⁰? ☐ yes ☐ no
 If you answer no to question H.2.2 the .xml file will be transmitted by less secure e-mail link(s)
 H.2.3 Do you want to stop messages to an email for which they were previously requested? ☐ yes ☐ no
 H.2.3.1 If yes provide the e-mail address(es) to which feedback should no longer be sent:

(*This will only come into effect from the time at which the request is processed in EudraCT).

I LIST OF THE DOCUMENTS APPENDED TO THE NOTIFICATION FORM (cf. Section 3.7 of detailed guidance CT-1)

Please submit only relevant documents and/or when applicable make clear references to the ones already submitted. Make clear references to any changes of separate pages and submit old and new texts. Tick the appropriate box(es).

I.1 Cover letter	X
I.2 Extract from the amended document in accordance with Section 3.7.c. of detailed guidance CT-1 (if not contained in Part F of this form)	<input type="checkbox"/>
I.3 Entire new version of the document ¹¹	X
I.4 Supporting information	<input type="checkbox"/>
I.5 Revised .xml file and copy of initial application form with amended data highlighted	<input type="checkbox"/>
I.6 Comments on any novel aspect of the amendment if any :	

J SIGNATURE OF THE APPLICANT IN THE MEMBER STATE

J.1 I hereby confirm that/ confirm on behalf of the sponsor that (delete which is not applicable)

- The above information given on this request is correct;
- The trial will be conducted according to the protocol, national regulation and the principles of good clinical practice; and
- It is reasonable for the proposed amendment to be undertaken.

J.2 **APPLICANT OF THE REQUEST FOR THE COMPETENT AUTHORITY**(as stated in section D.1):☐

¹⁰ This requires a EudraLink account. (See <https://eudract.ema.europa.eu/> for details)

¹¹ Cf. Section 3.7.c. of the detailed guidance CT-1.

J.2.1 Signature ¹²:

Jane Armitage.

J.2.2 Print name : Jane Armitage

J.2.3 Date : 01-12-2011

J.3 APPLICANT OF THE REQUEST FOR THE ETHICS COMMITTEE (as stated in section D.2): ☐

J.3.1 Signature ¹³:

Jane Armitage.

J.3.2 Print name: Jane Armitage

J.3.3 Date : 01-12-2011

¹² On an application to the Competent Authority only, the applicant to the Competent Authority needs to sign.

¹³ On an application to the Ethics Committee only, the applicant to the Ethics Committee needs to sign.