

Dr Carl Reynolds  
National Heart and Lung Institute  
Room 39, Emmanuel Kaye Building  
1b Manresa Road  
London  
SW3 6LR

Email: [hra.approval@nhs.net](mailto:hra.approval@nhs.net)

03 March 2017

Dear Dr Reynolds,

## Letter of HRA Approval

<b>Study title:</b>	<b>Idiopathic Pulmonary Fibrosis Job Exposures Study (IPF JES)</b>
<b>IRAS project ID:</b>	<b>203355</b>
<b>REC reference:</b>	<b>17/EM/0021</b>
<b>Sponsor:</b>	<b>Imperial College London</b>

I am pleased to confirm that HRA Approval has been given for the above referenced study, on the basis described in the application form, protocol, supporting documentation and any clarifications noted in this letter.

### Participation of NHS Organisations in England

The sponsor should now provide a copy of this letter to all participating NHS organisations in England.

*Appendix B* provides important information for sponsors and participating NHS organisations in England for arranging and confirming capacity and capability. **Please read *Appendix B* carefully**, in particular the following sections:

- *Participating NHS organisations in England* – this clarifies the types of participating organisations in the study and whether or not all organisations will be undertaking the same activities
- *Confirmation of capacity and capability* - this confirms whether or not each type of participating NHS organisation in England is expected to give formal confirmation of capacity and capability. Where formal confirmation is not expected, the section also provides details on the time limit given to participating organisations to opt out of the study, or request additional time, before their participation is assumed.
- *Allocation of responsibilities and rights are agreed and documented (4.1 of HRA assessment criteria)* - this provides detail on the form of agreement to be used in the study to confirm capacity and capability, where applicable.

Further information on funding, HR processes, and compliance with HRA criteria and standards is also provided.

It is critical that you involve both the research management function (e.g. R&D office) supporting each organisation and the local research team (where there is one) in setting up your study. Contact details and further information about working with the research management function for each organisation can be accessed from [www.hra.nhs.uk/hra-approval](http://www.hra.nhs.uk/hra-approval).

## Appendices

The HRA Approval letter contains the following appendices:

- A – List of documents reviewed during HRA assessment
- B – Summary of HRA assessment

## After HRA Approval

The document “*After Ethical Review – guidance for sponsors and investigators*”, issued with your REC favourable opinion, gives detailed guidance on reporting expectations for studies, including:

- Registration of research
- Notifying amendments
- Notifying the end of the study

The HRA website also provides guidance on these topics, and is updated in the light of changes in reporting expectations or procedures.

In addition to the guidance in the above, please note the following:

- HRA Approval applies for the duration of your REC favourable opinion, unless otherwise notified in writing by the HRA.
- Substantial amendments should be submitted directly to the Research Ethics Committee, as detailed in the *After Ethical Review* document. Non-substantial amendments should be submitted for review by the HRA using the form provided on the [HRA website](http://www.hra.nhs.uk), and emailed to [hra.amendments@nhs.net](mailto:hra.amendments@nhs.net).
- The HRA will categorise amendments (substantial and non-substantial) and issue confirmation of continued HRA Approval. Further details can be found on the [HRA website](http://www.hra.nhs.uk).

## Scope

HRA Approval provides an approval for research involving patients or staff in NHS organisations in England.

If your study involves NHS organisations in other countries in the UK, please contact the relevant national coordinating functions for support and advice. Further information can be found at <http://www.hra.nhs.uk/resources/applying-for-reviews/nhs-hsc-rd-review/>.

If there are participating non-NHS organisations, local agreement should be obtained in accordance with the procedures of the local participating non-NHS organisation.

## User Feedback

The Health Research Authority is continually striving to provide a high quality service to all applicants and sponsors. You are invited to give your view of the service you have received and the application procedure. If you wish to make your views known please email the HRA at [hra.approval@nhs.net](mailto:hra.approval@nhs.net). Additionally, one of our staff would be happy to call and discuss your experience of HRA Approval.

## HRA Training

We are pleased to welcome researchers and research management staff at our training days – see details at <http://www.hra.nhs.uk/hra-training/>

Your IRAS project ID is **203355**. Please quote this on all correspondence.

Yours sincerely,

Emma Stoica  
Senior Assessor

Email: [hra.approval@nhs.net](mailto:hra.approval@nhs.net)

*Copy to:*

*Mrs Ruth Nicholson, Imperial College London and Imperial College Healthcare  
NHS Trust [sponsor and NHS R&D contact]*

*NIHR CRN Portfolio Applications Team*

## Appendix A - List of Documents

The final document set assessed and approved by HRA Approval is listed below.

<i>Document</i>	<i>Version</i>	<i>Date</i>
Covering letter on headed paper [Provisional opinion response]		09 February 2017
Evidence of Sponsor insurance or indemnity (non NHS Sponsors only)		
GP/consultant information sheets or letters	0.4	09 February 2017
Interview schedules or topic guides for participants	0.4	09 February 2017
IRAS Application Form [IRAS_Form_20122016]		20 December 2016
Letter from funder		
Letter from sponsor		
Letters of invitation to participant	0.4	09 February 2017
Other [Statement of Activities]	2	01 March 2017
Other [Schedule of Events]	2	01 March 2017
Participant consent form	0.4	09 February 2017
Participant information sheet (PIS)	0.4	09 February 2017
Referee's report or other scientific critique report		
Research protocol or project proposal	0.4	09 February 2017
Summary CV for Chief Investigator (CI)		
Summary CV for student		
Summary, synopsis or diagram (flowchart) of protocol in non technical language	0.4	09 February 2017

## Appendix B - Summary of HRA Assessment

This appendix provides assurance to you, the sponsor and the NHS in England that the study, as reviewed for HRA Approval, is compliant with relevant standards. It also provides information and clarification, where appropriate, to participating NHS organisations in England to assist in assessing and arranging capacity and capability.

**For information on how the sponsor should be working with participating NHS organisations in England, please refer to the, *participating NHS organisations, capacity and capability and Allocation of responsibilities and rights are agreed and documented (4.1 of HRA assessment criteria)* sections in this appendix.**

The following person is the sponsor contact for the purpose of addressing participating organisation questions relating to the study:

Ms Ruth Nicholson

E-mail [r.nicholson@imperial.ac.uk](mailto:r.nicholson@imperial.ac.uk)

Telephone 02075941862

### HRA assessment criteria

Section	HRA Assessment Criteria	Compliant with Standards	Comments
1.1	IRAS application completed correctly	Yes	No comments
2.1	Participant information/consent documents and process	Yes	No comments
3.1	Protocol assessment	Yes	No comments
4.1	Allocation of responsibilities and rights are agreed and documented	Yes	A Statement of Activities and a Schedule of Events have been provided to aid the set-up of the study at the participating NHS sites in England. The Statement is intended to form the agreement of an NHS site in England to participate.
4.2	Insurance/indemnity arrangements assessed	Yes	Where applicable, independent contractors (e.g. General Practitioners) should ensure that the professional indemnity provided by their medical defence organisation covers the

Section	HRA Assessment Criteria	Compliant with Standards	Comments
			activities expected of them for this research study.
4.3	Financial arrangements assessed	Yes	Funding from the study has been secured through a grant from the Wellcome Trust.  Travel expenses for participants will be reimbursed to the sites incurring them, and the payment arrangements are detailed in the Statement of Activities.
5.1	Compliance with the Data Protection Act and data security issues assessed	Yes	No comments
5.2	CTIMPS – Arrangements for compliance with the Clinical Trials Regulations assessed	Not Applicable	No comments
5.3	Compliance with any applicable laws or regulations	Yes	No comments
6.1	NHS Research Ethics Committee favourable opinion received for applicable studies	Yes	No comments
6.2	CTIMPS – Clinical Trials Authorisation letter received	Not Applicable	No comments
6.3	Devices – MHRA notice of no objection received	Not Applicable	No comments
6.4	Other regulatory approvals and authorisations received	Not Applicable	No comments

## Participating NHS Organisations in England

*This provides detail on the types of participating NHS organisations in the study and a statement as to whether the activities at all organisations are the same or different.*

There is one site-type of participating organisations in England. All NHS organisations will be full research sites responsible for all local research activities as described in the application for HRA Approval, in the Statement of Activities and Schedule of Events.

The NHS organisations invited to participate so far are listed in Part C of IRAS form.

The Chief Investigator or sponsor should share relevant study documents with participating NHS organisations in England in order to put arrangements in place to deliver the study. The documents should be sent to both the local study team, where applicable, and the office providing the research management function at the participating organisation. For NIHR CRN Portfolio studies, the Local LCRN contact should also be copied into this correspondence. For further guidance on working with participating NHS organisations please see the HRA website.

If chief investigators, sponsors or principal investigators are asked to complete site level forms for participating NHS organisations in England which are not provided in IRAS or on the HRA website, the chief investigator, sponsor or principal investigator should notify the HRA immediately at [hra.approval@nhs.net](mailto:hra.approval@nhs.net). The HRA will work with these organisations to achieve a consistent approach to information provision.

## Confirmation of Capacity and Capability

*This describes whether formal confirmation of capacity and capability is expected from participating NHS organisations in England.*

Participating NHS organisations in England **will be expected to formally confirm their capacity and capability to host this research.**

- Following issue of this letter, participating NHS organisations in England may now confirm to the sponsor their capacity and capability to host this research, when ready to do so. How capacity and capability will be confirmed is detailed in the *Allocation of responsibilities and rights are agreed and documented (4.1 of HRA assessment criteria)* section of this appendix.
- The [Assessing, Arranging, and Confirming](#) document on the HRA website provides further information for the sponsor and NHS organisations on assessing, arranging and confirming capacity and capability.

## Principal Investigator Suitability

*This confirms whether the sponsor position on whether a PI, LC or neither should be in place is correct for each type of participating NHS organisation in England and the minimum expectations for education, training and experience that PIs should meet (where applicable).*

Principal Investigators should be in place at each participating NHS organisation in England. The PIs have been identified at the NHS sites and are listed in Part C of the IRAS form.

GCP training is not a generic training expectation, in line with the [HRA statement on training expectations](#).

## HR Good Practice Resource Pack Expectations

*This confirms the HR Good Practice Resource Pack expectations for the study and the pre-engagement checks that should and should not be undertaken*

The activities at the participating NHS organization will be undertaken by local staff therefore it is

expected that adequate contractual relationship with the host organization are already in place. Where contractual arrangements are not already in place, network staff (or similar) undertaking research activities would be expected to obtain Honorary Research Contracts on the basis of a Research Passport (if university employed) or a Letter of Access on the basis of an NHS to NHS confirmation of pre-engagement checks letter (if NHS employed).  
Standard DBS checks and occupational health clearance would be appropriate.

### Other Information to Aid Study Set-up

*This details any other information that may be helpful to sponsors and participating NHS organisations in England to aid study set-up.*

- The applicant has indicated that they intend to apply for inclusion on the NIHR CRN Portfolio.