Health Research Authority
National Research Ethics Service

London - Central Research Ethics Committee
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Telephone: 0161 625 7820

02 October 2015

Professor Rupert Pearse, Professor of Intensive Care Medicine
Queen Mary University of London
Adult Critical Care Unit, Royal London Hospital
London
E1 1BB

Dear Professor Pearse

Study title:	**Prevention of Respiratory Insufficiency after Surgical Management (PRISM) Trial: A pragmatic randomised controlled trial of continuous positive airway pressure (CPAP) to prevent respiratory complications and improve survival following major abdominal surgery**
REC reference:	**15/LO/1595**
Protocol number:	**10443**
IRAS project ID:	**183040**

The Research Ethics Committee reviewed the above application at the meeting held on 30 September 2015. Thank you for attending to discuss the application.

We plan to publish your research summary wording for the above study on the HRA website, together with your contact details. Publication will be no earlier than three months from the date of this favourable opinion letter. The expectation is that this information will be published for all studies that receive an ethical opinion but should you wish to provide a substitute contact point, wish to make a request to defer, or require further information, please contact the REC Manager, Elaine Hutchings, NRESCommittee.London-Central@nhs.net. Under very limited circumstances (e.g. for student research which has received an unfavourable opinion), it may be possible to grant an exemption to the publication of the study.

Ethical opinion

The members of the Committee present gave a favourable ethical opinion of the above research on the basis described in the application form, protocol and supporting documentation, subject to the conditions specified below. .

Conditions of the favourable opinion

The favourable opinion is subject to the following conditions being met prior to the start of the study.

Management permission or approval must be obtained from each host organisation prior to the start of the study at the site concerned.

Management permission ("R&D approval") should be sought from all NHS organisations involved in the study in accordance with NHS research governance arrangements.

Guidance on applying for NHS permission for research is available in the Integrated Research Application System or at http://www.rdforum.nhs.uk.

Where a NHS organisation's role in the study is limited to identifying and referring potential participants to research sites ("participant identification centre"), guidance should be sought from the R&D office on the information it requires to give permission for this activity.

For non-NHS sites, site management permission should be obtained in accordance with the procedures of the relevant host organisation.

Additional condition

- The information sheet should say that the researchers may contact the participant's GP prior to the follow-up telephone calls.

You should notify the REC in writing once all conditions have been met (except for site approvals from host organisations) and provide copies of any revised documentation with updated version numbers. The REC will acknowledge receipt and provide a final list of the approved documentation for the study, which can be made available to host organisations to facilitate their permission for the study. Failure to provide the final versions to the REC may cause delay in obtaining permissions.

Sponsors are not required to notify the Committee of approvals from host organisations.

Registration of Clinical Trials

All clinical trials (defined as the first four categories on the IRAS filter page) must be registered on a publically accessible database. This should be before the first participant is recruited but no later than 6 weeks after recruitment of the first participant.

There is no requirement to separately notify the REC but you should do so at the earliest opportunity e.g. when submitting an amendment. We will audit the registration details as part of the annual progress reporting process.

To ensure transparency in research, we strongly recommend that all research is registered but for non-clinical trials this is not currently mandatory.

If a sponsor wishes to request a deferral for study registration within the required timeframe, they should contact hra.studyregistration@nhs.net. The expectation is that all clinical trials will be registered, however, in exceptional circumstances non registration may be permissible with prior agreement from the HRA. Guidance on where to register is provided on the HRA website.

It is the responsibility of the sponsor to ensure that all the conditions are complied with before the start of the study or its initiation at a particular site (as applicable).

Ethical review of research sites

NHS Sites

The favourable opinion applies to all NHS sites taking part in the study taking part in the study, subject to management permission being obtained from the NHS/HSC R&D office prior to the start of the study (see "Conditions of the favourable opinion" below).

Summary of discussion at the meeting

Recruitment arrangements and access to health information, and fair participant selection

You were asked whether patients undergoing laparoscopic surgery will be recruited into the study and you said that the focus is on patients having open surgery, though some patients having laparoscopic surgery could be included.

Relevant questions will be asked of potential participants pre-operatively. However, questions about HIV, smoking and drinking will not be raised and you were asked the reason for this. You said that patients who fall into these categories will not be excluded from the study since the intention is for the study to be as broad as possible. You confirmed that smoking will be included in the analysis but the inclusion of too large a number of data points would make the study unwieldy.

It was asked whether claustrophobic patients should be excluded from the study since participants in the CPAP arm will be required to wear a mask. You explained that a display kit will be shown to potential participants and the procedure will be fully explained. Patients can decide at any point whether or not they wish to take part/continue in the study.

Care and protection of research participants; respect for potential and enrolled participants' welfare and dignity

You were asked about the precautions which will be taken to check that patients are still alive prior to the 12 month follow-up. You confirmed that you will contact the patient's GP where appropriate and were asked to include this in the information sheet.

Suitability of the applicant and supporting staff

The training and experience of staff administering the CPAP were queried. You assured the Committee that, as CPAP is in common use, staff at all study sites will be well versed in the administration of the procedure. The Principal Investigator at each site will decide on the best environment for patients to receive the appropriate treatment.

Other ethical issues were raised and resolved in preliminary discussion before your attendance at the meeting.

Approved documents

The documents reviewed and approved at the meeting were:

Document	*Version*	*Date*
Covering letter on headed paper [PRISM REC Cover Letter]		20 August 2015
Evidence of Sponsor insurance or indemnity (non NHS Sponsors only) [QM Clinical Trials insurance]		16 July 2015
GP/consultant information sheets or letters [PRISM GP letter]	1.0	02 July 2015

Instructions for use of medical device [CPAP SOP]	1.0	22 June 2016
Letter from funder [AAGBI funding letter]		12 March 2015
Letter from sponsor [Provisional Sponsorship Letter 24-08-2015]		24 August 2015
Other [Additional information re. study sites and patient information sheet]		02 September 2015
Other [Email with details of questionnaire]		14 September 2015
Participant consent form [PRISM ICF]	1.2	19 August 2015
Participant information sheet (PIS) [PRISM Patient Information Sheet]	1.0	22 June 2015
Participant information sheet (PIS) [PRISM Patient Information Sheet (short)]	1.0	29 June 2015
REC Application Form [REC_Form_25082015]		25 August 2015
Referee's report or other scientific critique report [PRISM peer review form]		23 April 2015
Research protocol or project proposal [PRISM protocol]	1.4	18 August 2015
Summary CV for Chief Investigator (CI) [Professor Rupert Pearse]		10 January 2015
Validated questionnaire [EQ-5D-3L]		

Membership of the Committee

The members of the Ethics Committee who were present at the meeting are listed on the attached sheet.

The Committee is constituted in accordance with the Governance Arrangements for Research Ethics Committees and complies fully with the Standard Operating Procedures for Research Ethics Committees in the UK.

After ethical review

Reporting requirements

The attached document “After ethical review – guidance for researchers” gives detailed guidance on reporting requirements for studies with a favourable opinion, including:

- Notifying substantial amendments
- Adding new sites and investigators
- Notification of serious breaches of the protocol
- Progress and safety reports
- Notifying the end of the study

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

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 use the feedback form available on the HRA website: http://www.hra.nhs.uk/about-the-hra/governance/quality-assurance/

HRA Training

We are pleased to welcome researchers and R&D staff at our training days – see details at http://www.hra.nhs.uk/hra-training/

15/LO/1595	**Please quote this number on all correspondence**

With the Committee's best wishes for the success of this project.

Yours sincerely

pp
Dr Andrew Hilson
Chair

E-mail: NRESCommittee.London-Central@nhs.net

Enclosure:	*List of names and professions of members who were present at the meeting and those who submitted written comments*
	"After ethical review – guidance for researchers" [
Copy to:	*Mr Richard Haslop, Queen Mary University of London*
	Dr Sally Burtles, Queen Mary University

London - Central Research Ethics Committee

Attendance at Committee meeting on 30 September 2015

Committee Members:

Name	*Profession*	*Present*	*Notes*
Dr Louise Abrams	Consultant Physician and Clinical Pharmacologist	Yes	
Mr Clive Carsley	Retired Lawyer	No	
Ms Sally Davis	Lawyer/PhD Student	No	
Dr Beverly Donaldson	Academic Research Midwife	Yes	
Dr Olivia Festy	Clinical Trials Administrator	Yes	
Mrs Sophie Forsyth	Lawyer	Yes	
Mr Stephen Gerry	Medical Statistician	Yes	
Dr Frances Goodhart	Consultant Clinical Psychologist	Yes	
Dr Andrew Hilson	Consultant in Nuclear Medicine	Yes	Chair
Professor Lewis Spitz	Emeritus Nuffield Professor of Paediatric Surgery	No	
Mr Benjamin Stanfield-Davies	University Lecturer	No	
Dr Gareth Tudor-Williams	Consultant in Paediatric Infectious Diseases	Yes	

Also in attendance:

Name	*Position (or reason for attending)*
Elaine Hutchings	REC Manager
Karen Rix	Observer