

Audit Summary Report

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Details	
Number IQA-93	Title IQA-93 Publication process
Status Closed	Audit Type Internal Audit
Lead Auditor Cowie, Richard	Scope Principles of GCP

Dates		
Scheduled Start Date 30/09/2019	Scheduled End Date 30/09/2019	Scheduled Duration 0 Day/s
Actual Start Date 05/08/2019	Actual End Date 29/10/2019	Actual Duration 0 Day/s
Closed By Cowie, Richard	Closed Date 05/11/2019	

Findings
<p>Overview</p> <p>This audit of the Results publication process was performed between August 5 and October 28, 2019. Initial data for the audit was collected by Marlena Pirie, QA Support Officer. Additional data was collected by Richard Cowie, QA Manager. This is an annual audit of the Results Publication Process; previously conducted audits are reported separately (see IQA-43 and IQA-73).</p> <p>It is a condition of a trial receiving a 'favourable opinion' from a research ethics committee that the trial must be registered, or a deferral for specific reasons requested, before participants are recruited. The requirement encompasses: clinical trials of an investigational medicinal product; clinical investigations or other study of a medical device; combined trial of an investigational medicinal product and an investigational medical device; and other clinical trials to study a novel intervention or randomised clinical trial to compare interventions in clinical practice.</p> <p>In order to prevent publication bias, aid transparency, and ensure results are available to the public, it is important to prospectively register clinical trials and post their results on public registries in a timely fashion. It is mandatory to register clinical trials before recruitment of the first participant and for any results to be posted within one year of study completion. A further requirement for Phase II-Phase IV Clinical Trials of an Investigational Medicinal Products (CTIMPs) is to post Clinical Trial summary results in the European Clinical Trials Database (EudraCT) within twelve months (six months for paediatric trials) of trial completion. It is also a requirement to upload results to any other public database on which a clinical trial has been registered.</p>

University of Aberdeen and NHS Grampian ensures that publication and dissemination of results is included in GCP training provided to researchers and that they are made aware of their responsibilities. It is a condition of sponsorship that a study is registered on a public register prior to first consent, and results reported within twelve months following study closure (six months for paediatric trials), unless agreed otherwise with the Sponsor and the REC which provided the initial favourable opinion. The Research Governance Team conduct regular checks on clinicaltrials.gov to review any problem records identified.

The scope of the audit encompassed clinical trial registration, results posting to a public register, journal article publication and time to results publication. In the case of Phase II to Phase IV CTIMPs, registration and publication of results to EudraCT was also reviewed.

In order to identify CTIMPs registered since 2004, where the Sponsor was the University of Aberdeen and/or NHS Grampian, database searches were performed using the Scottish Research management Database (SReDa), EudraCT, ISRCTN and clinicaltrials.gov. In addition, eu.trialstracker.net was used for cross-referencing and reports from previous audits were utilised to assess if any further studies had been missed.

For non-CTIMP studies, a list of studies was retrieved from the SReDa database where Sponsor was the University of Aberdeen and/or NHS Grampian and filters set to study type: 'Clinical investigation or other study of a medical device' and 'Other CT to study an intervention or randomised CT to compare interventions in clinical practice'. Approximately 10% of the studies were randomly selected for audit.

For both CTIMPs and non-CTIMPs, a search of published journal articles was performed using two databases, Pub Med and Google Scholar.

The results from the CTIMP audit are summarised below. A detailed spreadsheet is attached separately to this audit report (IQA-93 Publication Process Audit - CTIMP.xls).

Each CTIMP was checked to see that it was correctly registered on EudraCT and a protocol was available. It was noted that DAMSEL1 was a Phase I study and therefore should not be registered on EudraCT; as EudraCT only accept registration for Phase II-Phase IV studies. However this study had been allocated a EudraCT number (2012-001185-15) which has since been removed.

2013-001490-25 TWICS NHS Grampian/University of Aberdeen

Study completed and published, results were not uploaded to EudraCT within 12 months of study completion (end date on SReDa 20-11-17) however these were uploaded in August 2019, after protracted issues with regards access to the EudraCT database, but are still listed as 'no results'. Publications listed in ISRCTN. Study listed as outstanding in eu.trialstracker.net. Published article: Health Technol Assess. 2019 Jul; 23(37):1-146. doi: 10.3310/hta23370.

Previous audit notes – closed 2017, awaiting results.

2006-001559-37 Asthmavit1 University of Aberdeen

Trial status listed as completed with no results available on EudraCT. Study is listed as outstanding on eu.trialstracker.net. As this study did not recruit and no results are available the competent authority have been informed but this is not reflected in EudraCT.

Previous audit notes – no results in EudraCT. Not published as poor recruitment, CI to update results.

2006-002731-24 ACL University of Aberdeen

Trial status listed as completed on EudraCT with no results available. Not registered on any other public registries and no published results. Outstanding on eu.trialstracker.net.

At the previous working party meeting Prof Marion Campbell, Vice Principal - Research, agreed to identify a suitable person to upload results from the CI; who has since left the University. This is still in progress.

Previous audit notes – no results in EudraCT, published on PubMed, status to be updated on EudraCT, CI to

upload results.

2006-001125-26 L-Arginine in PAD University of Aberdeen

Trial status listed as ongoing on EudraCT with no results. Not registered on any other public registries and no published results. Outstanding on eu.trialstracker.net (not reported) and listed as terminated.

Previous audit notes – no results in EudraCT. CI/Cardiology team to update results in EudraCT.

The CI has confirmed that this study did not proceed and the competent authority have been informed.

2009-012512-41 Pharmacokinetics of IV Ketorolac in Children NHS Grampian

Trial status listed as complete on EudraCT with no results. Not registered on any other public registries and no published results. Not listed on eu.trialstracker.net.

Previous audit – not listed in previous audits.

The Sponsor has entered results but the EudraCT database is unable to display these as the study is single armed. The EMA have advised that the competent authority change the status to 'no results available' and the EMA shall update EudraCT.

2009-012585-30 Pharmacokinetics of I.V paracetamol in children NHS Grampian

Trial status listed as complete on EudraCT with no results. Not registered on any other public registries and no published results. Not listed on eu.trialstracker.net.

Previous audit – not listed on previous audits.

The Sponsor has entered results but the EudraCT database is unable to display these as the study is single armed. The EMA have advised that the competent authority change the status to 'no results available' and the EMA shall update EudraCT.

2012-000201-72 Effects of Inorganic Nitrite on skeletal muscle: PAD NHS Grampian/University of Aberdeen

Listed on EudraCT as prematurely ended, no results available.

Previous audit – listed as prematurely ended, CI to update on EudraCT.

2004-001633-42 H.pylori eradication in laryngopharyngeal reflux. NHS Grampian

Trial status listed as prematurely ended on EudraCT with no results available. Listed as terminated and not reported on eu.trialstracker.net.

Previous audit – not listed on previous audits.

This study did not proceed and the competent authority have been informed. The EMA shall update EudraCT.

2012-000788-26 Effects of Inorganic Nitrite on cardiac and skeletal muscle: CHF NHS Grampian

Trial status listed as ongoing on EudraCT, no results available.

Previous audit – transferred to the University of East Anglia, results not uploaded. UEA have raised a substantial amendment with MHRA to change Sponsor and have confirmed this with NHS Grampian (14-08-18).

A recent check of the eu.trialstracker.net identified a study which Sponsor had no record (2004-005174-23 CAVA2). This study was sponsored by NHS Grampian and formed a thesis project. The student has been contacted and, as the study completed in 2005, results may be uploaded as a PDF. This shall be addressed by Sponsor when the results have been provided in the appropriate format.

The currently active CTIMPs were all registered on EudraCT:

2013-001984-21 PRE-EMPT (ongoing)

2014-002840-42 DAMSEL2 (ongoing)

2017-002779-24 BICS (ongoing)

2018-004048-50 DREAM-CP (ongoing)

The audit was broken up into two parts; CTIMP and non-CTIMP. The registration of 24 randomly selected non-

CTIMP trials was investigated (see spreadsheet IQA-93 Publication Process Audit- Non-CTIMP.xls). Of the 24 selected audits, 7 were not registered on a publically accessible database. However, two of the studies had published articles available in PubMed.

The studies not registered on a publically accessible database are listed below:

90403 CATHETER - Short-term urethral catheters for reducing UTIs: Types of urethral catheter for reducing symptomatic urinary tract infections in hospitalised adults requiring short-term catheterisation: multicentre randomised controlled trial of antibiotic and antiseptic impregnated urethral catheters - J N'Dow -Published article: Health Technol Assess. 2012 Nov; 16(47):1-197. doi: 10.3310/hta16470.

141065 A randomised controlled trial of intubation during rapid sequence induction by inexperienced anaesthetists, comparing The Pentax Airway Scope AWS-S100 Rigid Video Laryngoscope (Pentax AWS) and the MacIntosh Laryngoscope – L Walker

141969 Heart Health: Epidemiology, prevalence and characteristics of heart failure with preserved left ventricular ejection fraction – M Frenneaux

147099 The effects of Inorganic Nitrite on cardiac muscle in patients undergoing CABG surgery - M Frenneaux

149955 SATIN: Satiety Innovation. Study 2 – A Omerod

151217 Studying the Effects of narrow band ultraviolet B photography on skin dendritic (DC) cells in psoriasis patients – A Omerod

150195 Seeing your smoke - stopping for your baby. Addition of indoor air quality measurements to standard smoking cessation care for pregnant women - a pilot study – S Turner. Published article: BMC Pregnancy Childbirth. 2016 Oct; 16(1) 305. doi: 10.1186/s12884-016-1062-1. PMID: 27729030.

Several studies registered on either clinicaltrials.gov or ISRCTN and listed as completed with no results.

150279 HEALTH

150382 The SENATOR Clinical Trial – link to publication provided.

149586 BRIGHT

131777 EAGLE

155351 WISH – listed as withdrawn on SReDa and ongoing on ISRCTN.

All currently active studies were registered on a publically accessible database (either ISRCTN or clinicaltrials.gov.) Two studies were completed less than 12 months ago and results had not been posted.

This audit was based on random samples and therefore, issues may exist which have not been identified.

Number Of Non-Conformances	0
Number Of Outstanding Non-Conformances	0
Number Of Observations	8

Number	Details	Type	Status
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1	The TWICS study (2013-001490-25) has completed and been published. The results were not uploaded to EudraCT within 12 months of study completion, due to issues with access to the EudraCT database, but have now been published(August 2019) however these are still listed on EudraCT as 'no results'.	Observation	na
2	The Astmavit1 study (2006-001559-37) did not recruit and no results are available the competent authority have been informed but this is still not reflected in EudraCT.	Observation	na
3	L-Arginine in PAD (2006-001125-26) is listed as ongoing on EudraCT with no results, however the CI has confirmed that this study did not proceed and that the competent authority have been informed.	Observation	na
4	The Pharmacokinetics of IV Ketorolac in Children (2009-012512-41) is listed as complete on EudraCT with no results. The Sponsor has entered results but the EudraCT database is unable to display these as the study was single armed. The EMA have advised that the competent authority change the status to 'no results available' and the EMA shall update EudraCT.	Observation	na
5	Pharmacokinetics of I.V paracetamol in children (2009-012585-30) is listed as complete on EudraCT with no results.The Sponsor has entered results but the EudraCT database is unable to display these as the study was single armed. The EMA have advised that the competent authority change the status to 'no results available' and the EMA shall update EudraCT.	Observation	na
6	H.pylori eradication in laryngopharyngeal reflux (2004-001633-42) is listed as prematurely ended on EudraCT with no results available. This study did not proceed and the competent authority have been informed. The EMA shall update EudraCT.	Observation	na
7	Effects of Inorganic Nitrite on cardiac and skeletal muscle: CHF (2012-000788-26) is listed as ongoing on EudraCT with no results available.Sponsorship was transferred to the University of East Anglia. UEA have submitted a substantial amendment to MHRA to change the Sponsor to UEA and have confirmed this with NHS Grampian.	Observation	na

8	A recent check of the eu.trialstracker.net identified a study which Sponsor had no record (2004-005174-23 CAVA2). This study was sponsored by NHS Grampian and formed a thesis project in 2004. The student has been contacted and, as the study completed in 2005, results may be uploaded as a PDF. This shall be addressed by Sponsor when the results have been provided in the appropriate format.	Observation	na
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Accepted By	Accepted On
Cruickshank, Maggie	05/11/2019

Auditor	
Auditor Name	Note
Cowie, Richard	
Pirie, Marlena	

Auditee(s)	
Person Name	Note
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