

#### Overview

This guideline will provide the necessary information for researchers, coordinators and study personnel to submit their site specific assessments (SSA) via the Research GEMS Application. This guide is specifically for commercially sponsored clinical trials that have previous or currently in process of being approved by another ethics committee under the National Mutual Acceptance scheme.

#### Scope

This guideline will help to achieve the following:

- Register a project
- Submit an external ethics SSA application
- Understand the process of applications from start to authorisation

#### **Definitions & Acronyms**

- GEMS Governance and Ethics Management System
- SSA Site Specific Assessment known as Site Application
- Project Study
- PI Principal Investigator
- AI Associate Investigator

#### **Quick Links**

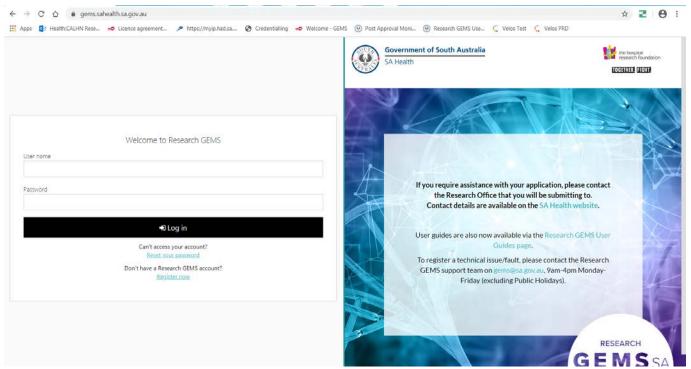
Procedures	
Registering a Project	2
Site Specific Assessment	11
Hints / Tips / Key Points	20
Approval / Authorisation Delegation	23
Correspondence	23
Links & Resources	23
Contact Datails	2.4



#### **Procedures**

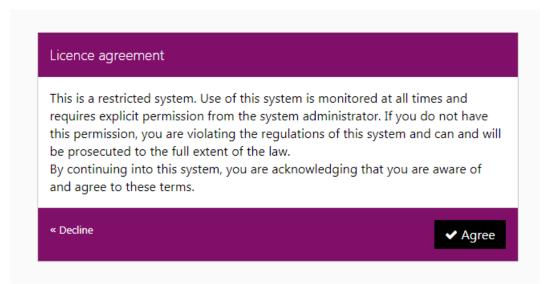
#### Registering a Project

- Go to the GEMS Website located <u>here</u> <a href="https://gems.sahealth.sa.gov.au/">https://gems.sahealth.sa.gov.au/</a>
- 2. Login/Register Account

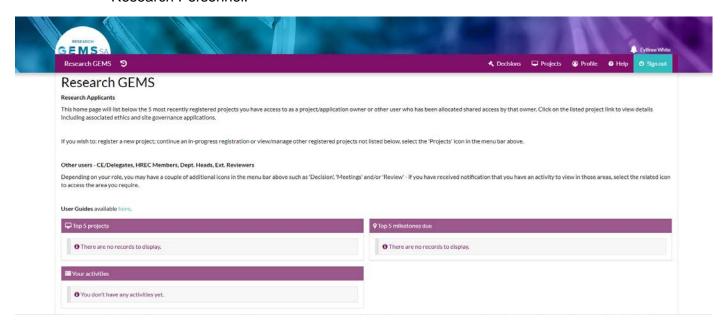


- a. If your account is set up, login with your username and password
  - i. If you have received an email but have not yet logged in before, click 'Reset your password' and enter the email address the original email went to
- b. If your account is not set up
  - i. Try logging in with your SA Health government email address (@sa.gov.au);
  - ii. If unsuccessful, then, click 'Register Now' and register your details using either your SA Health email or Institutional email (e.g. University email)
- c. Once you have successfully logged in, click 'Agree' to License Agreement Statement

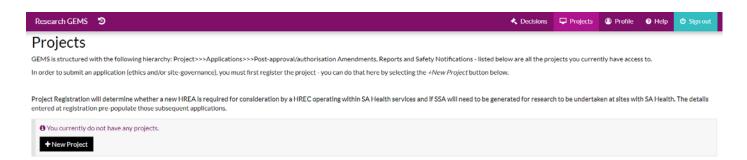




- 3. Registering your Project
  - a. You will now have been directed to the External Portal Homepage for Researchers / Research Personnel.

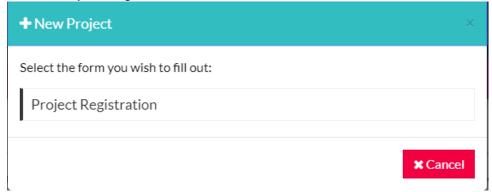


- b. To register a project, navigate to the 'Projects' tab on the right hand corner
- c. Click 'New Project'

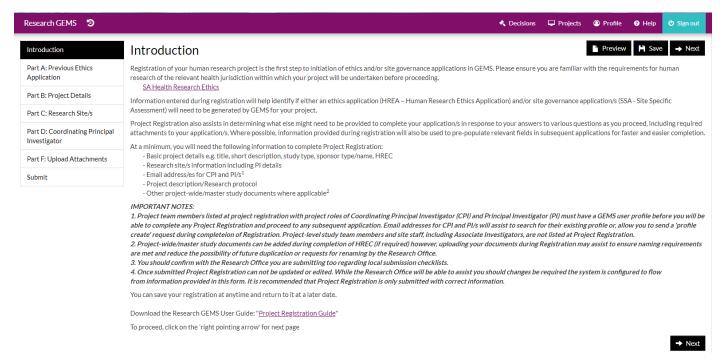




d. Select 'Project Registration'

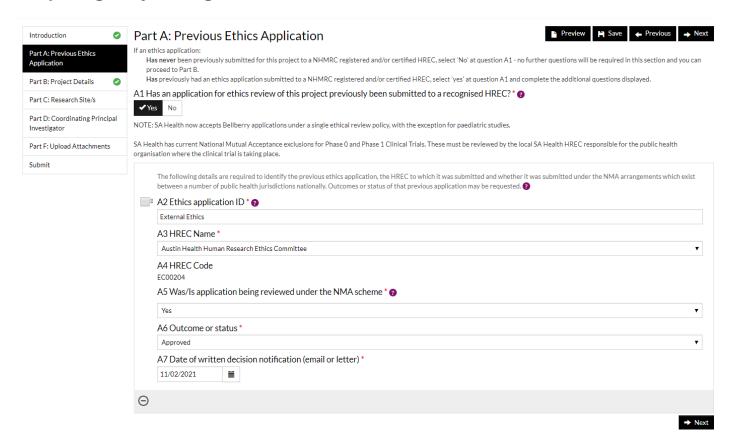


e. This will then navigate you to the 'New Project Registration' Page on the 'Introduction' tab. Read this information, then click next.



- f. This will navigate through Tabs A-F.
- g. Part A: Previous Ethics Application





- i. For Internal (CALHN) ethics > Select 'No'
- ii. For External ethics (under NMA) > Select 'Yes'
- iii. Fill in External HREC details using text and drop down selector(s)

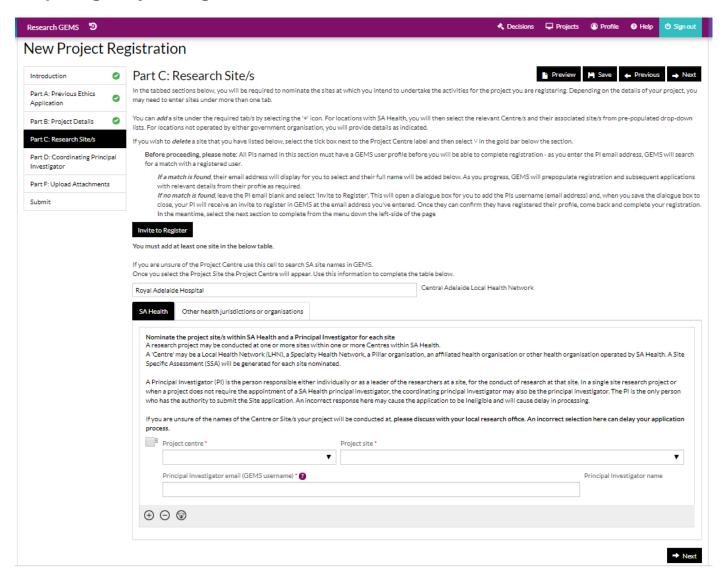
#### h. Part B: Project Details

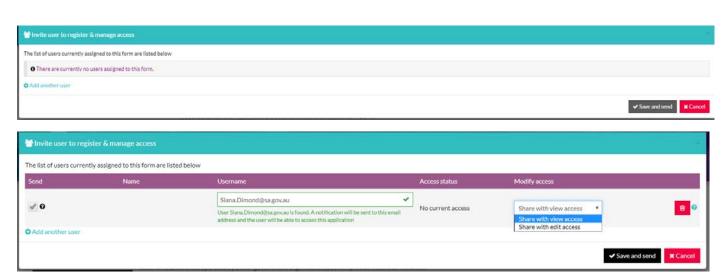
- i. Fill in details related to your project
- ii. Enter your Short Title or Protocol first how you want to view it later on
- iii. > click next

#### i. Part C: Research Site(s)

- i. This the step where you can invite other study personnel to register and have access to the project.
- ii. Click 'Invite to register'
- iii. Add another user
- iv. Enter email address (SA government or institutional email addresses)
- v. Select what access they should have
  - 1. Share with view access will allow the user to view but not edit the project
  - Share with edit access will allow the user to be able to make changes to the project
- vi. Then click save and send
- vii. **Note:** If you make a mistake of adding someone, you can click the red trash can on the right-hand side to delete the invited user



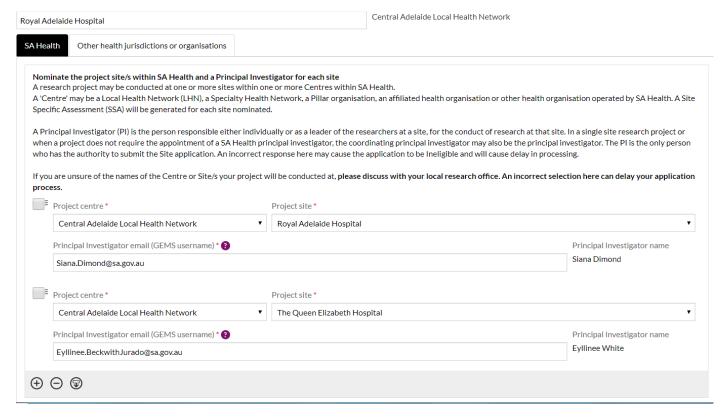




viii. Select the site you will be conducting the research at, when you begin to type the site should appear in the drop down selector box. This will then pre-fill the local health network next to the site name,

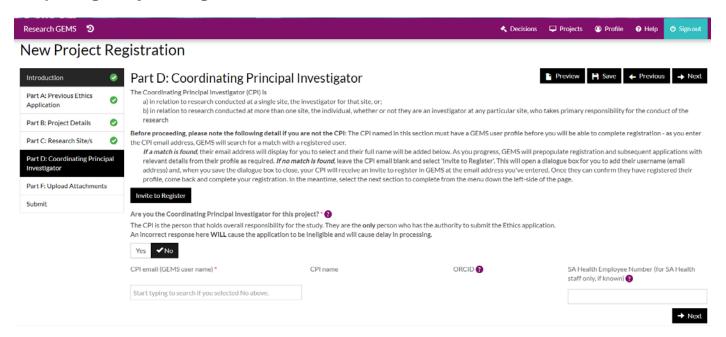


ix. Then fill in the 'Nominate the project site/s within SA Health and a PI for each site' section



- x. To add multiple sites, select the "+" button in the bottom left-hand corner
- xi. You must always add your site and the PI in this section to be able to create an SSA
- xii. Then click next once you have finalised your sites and PI's
- j. Part D Coordinating Principal Investigator
  - i. Click 'yes' if you are the CPI or 'no' if not the CPI
    - 1. If you selected 'no' enter the email address of the CPI
    - 2. <u>If it is external ethics, then enter the site PI's email address</u>. Do not enter the CPI for all sites otherwise, they will have to make an account and sign off.
    - 3. If you selected 'yes' this prepopulates to the account holder who is currently logged in and filling out the registration

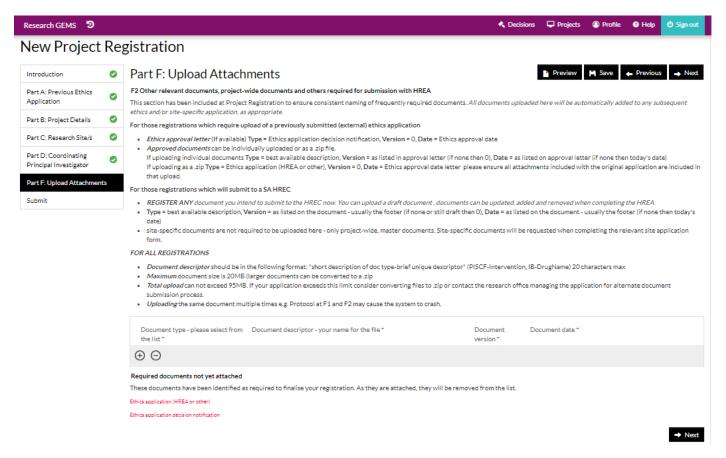




#### k. Part F - Upload Attachments

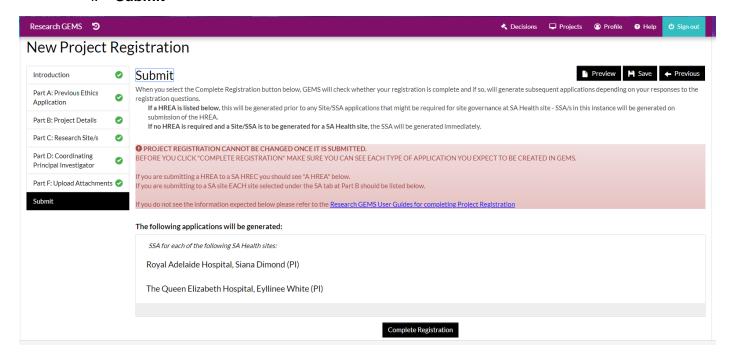
- i. If the reviewing HREC is an external HREC please only upload these documents:
  - 1. HREA
  - 2. HREC Approval Letter
  - 3. Protocol
- ii. All other supporting documentation should be uploaded to the Clinical Trials Share Drive to your specific clinical trial unit folder.
- iii. To upload documents, select the "+" button in the bottom left-hand corner
- iv. Select what document type it is from the drop down selector
- v. In 'Document Descriptor' please insert the naming convention you prefer your document to be labelled as
- vi. Fill in, 'Version Number' (please put N/A if there is none) and then the date of the document (please do not enter a random date as this will follow through your application)
- vii. Please note: there is a maximum file size of 20.00MB per file





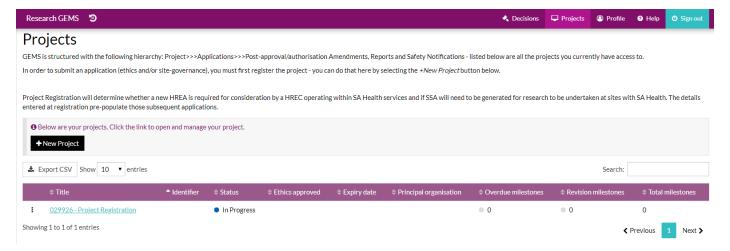
- viii. Then upload the document by selecting "Select upload new" > Choose the file > Select the file > Open > Start Upload
- ix. Then click the (+) button to add upload additional documents via the same method
- x. Click 'Next' once all the documents have been uploaded

#### I. Submit





- i. Please double check your project registration is correct before you submit it, as you can't make edits to it once it has been submitted
- ii. When satisfied the registration information entered is correct, click 'Complete Registration'
- iii. Following submission, you will be returned to the Projects page, and your project will be viewable in a list and the status will display as 'In Progress'

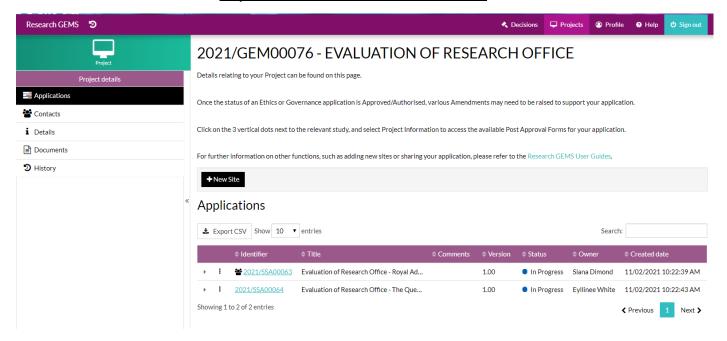


- iv. You are now able to create your SSA.
- v. Click on your project title which is in light blue and this will navigate you to your 'Applications' page for that project
- vi. **Please note:** All sites that you have added will be displayed and their progress status



#### **Site Specific Assessment**

- **A.** Once you have submitted the project registration, you can proceed to creating the SSA/filing in information
  - i. **Please note:** the coordinator/research personnel can add information to the SSA, however only the PI will be able to submit the SSA



- ii. Click on your identifier number (e.g. 2021/SSA000XX)
- iii. This will then prompt you to fill in the SSA

#### B. Part A - Project Wide Information

- i. Most of this section is pre-filled from the Project Registration
- ii. Please check the details to ensure they are correct
- iii. Please note: If this is a clinical trial, please use the items 'Clinical Trial Phase Phase X" do not use the class phases.
- iv. Then proceed to click "Next"

#### C. Part B - Site Team

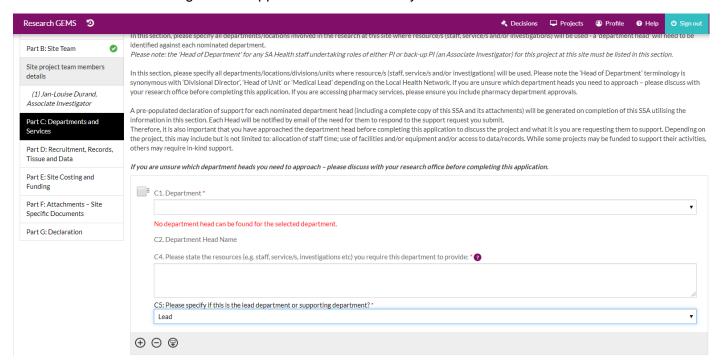
- i. This is where you will add in details about your Investigator(s)
- ii. Please ensure you enter the correct phone number (not the hospital switch board number), position, employer and department
- iii. Please Note: Employer must be CALHN and not RAH/TQEH
- iv. In B7 You can add 1 administrative staff to receive correspondence about the study (this should be the main study coordinator)
- v. In B8 Add site team members (associate investigators)
- vi. Provide the details requested then click 'Next'
- vii. The next tabs will be about the Investigators/Study Team you have added, please fill in these details and click "Next" once complete

#### D. Part C – Departments & Services

- i. This is where you will add the Medical Lead, Head of Department and any Supporting Departments for declarations/approvals.
- ii. You will need to add the Medical Lead first

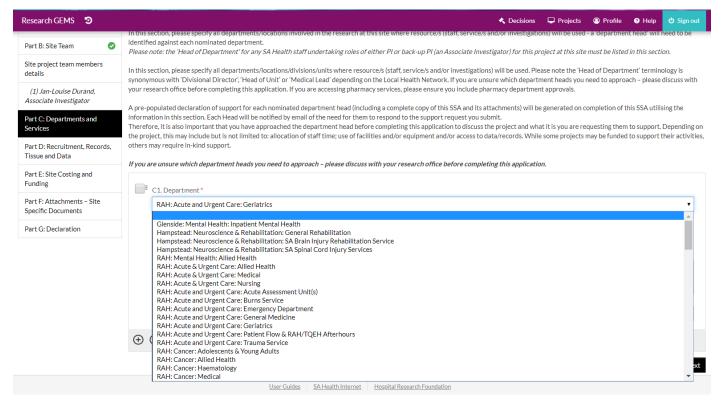


- Select the drop down list and click on the appropriate Medical Lead for your stream. Medical Leads are named in the following naming convention:
  - a. RAH: Surgery 2: Medical
  - b. RAH: Surgery 2: Allied Health
  - c. RAH: Surgery 2: Nursing
- 2. This will then pre-fill the name and email address of the Medical Lead.
- 3. You will then need to fill in sections C4&5
- 4. In section C5: select "Lead" for the Medical/Allied Health/Nursing Lead
- iii. Proceed to add the Head of Department
  - 1. Press the "+" button to add another department
  - Select the drop down list and click on the appropriate Head of Department for your stream. The naming conventions for Head of Departments are as follows:
    - a. RAH: Surgery 2: Ophthalmology
    - b. RAH: Surgery 2: Vascular Surgery
    - c. RAH: Surgery 2: Urology
  - 3. Please Note: the details of the Heads of Department were not migrated into the system as they are constantly being updated. Therefore you will need to provide the Head of Department with the declaration form and gain their approval via email or signature, then upload to the clinical trial share drive along with all other supporting documentation
  - 4. Then fill in section C4&5
  - 5. In section C5: select "Supporting" for the specific department the study will be run in.
- iv. Add any other Supporting Departments the same way as the Head of Department and gain their approval outside of the system.

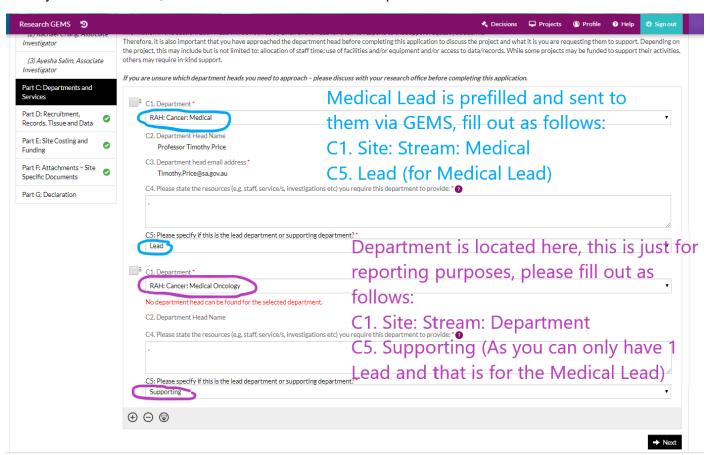


v. Naming conventions can be seen here:





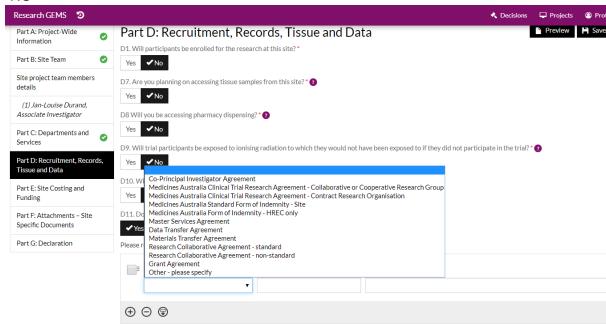
Once you have finished, it should look like this as an example:



E. Part D – Recruitment, Records, Tissue & Data

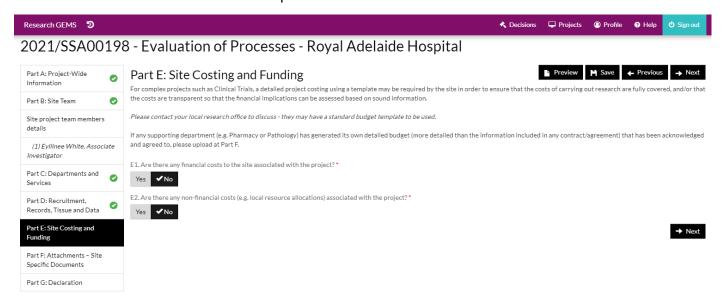


- i. Answer questions 'Yes' or 'No' from D1 to D11
- ii. For D11, "Do you have any agreements or contracts for this project?" please select "NO"



#### F. Part E – Site Costing and Funding

i. Click 'No' to both options.

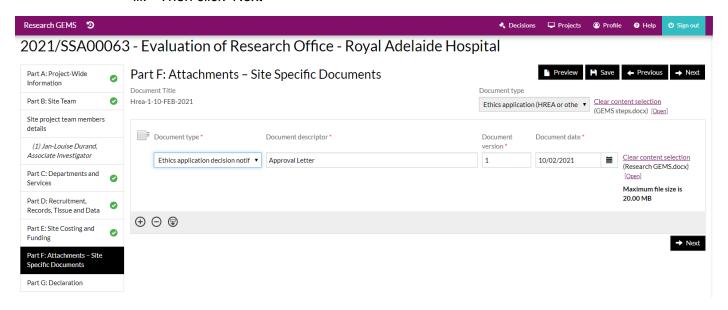


#### G. Part F – Attachments/Site Specific Documents

- i. As documents were previously uploaded to the project registration (e.g. HREA, HREC Approval and Protocol) you do not need to upload any further documents at this stage. However, you should at this stage create the study folder in the Clinical Trials Share Drive and save all supporting documentation in it (with declarations)
- ii. Check that the documents did come across from the project registration as it should appear as below



iii. Then click 'Next'



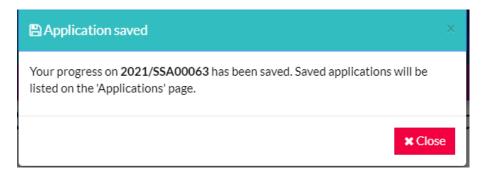
#### H. Part G - Declaration

i. As the PI has to submit the SSA, if you are not the PI completing the SSA you will need to save the application by clicking 'Save' in the top right-hand corner. You will then need to notify the PI that the SSA is ready to be submitted (the PI's email address is on the declaration page – please ensure this is the same email address for their GEMS login)

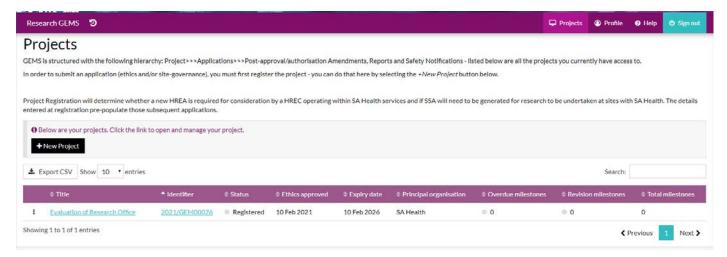


ii. Once you hit save, a pop up box will appear which states the below:



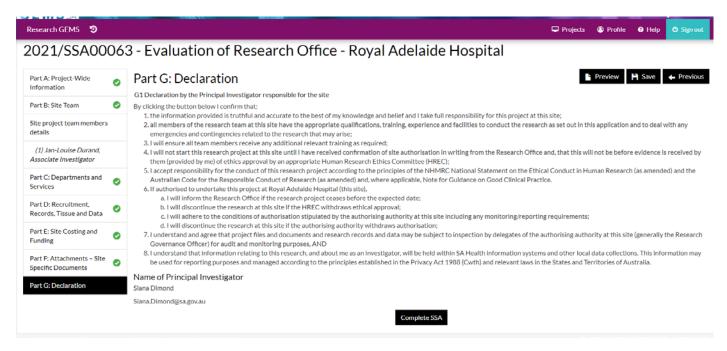


iii. The project should then appear in the PI's project list when they log in. To access the projects section, click 'Projects' on top right-hand corner

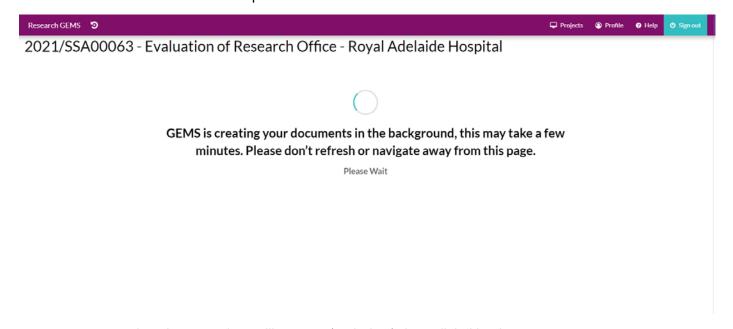


- iv. Once PI has logged in, they need click on the 'Title' (Project that is applicable for the submission)
- v. Then click SSA application that you are the PI for (your/their site)
- vi. Click the blue Identifier title of your application this will only let you choose your own site to submit. You will not be able to submit other PI's SSA's
- vii. This will then take the PI directly to Section G Declaration, where the PI needs to select 'Complete SSA'



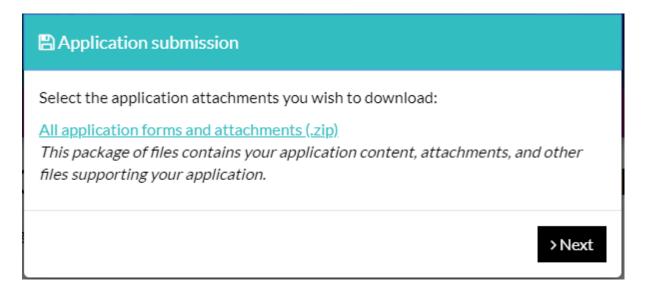


viii. This will then process

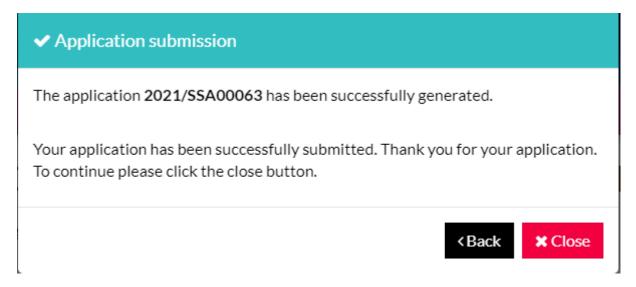


ix. A pop-up box will appear (as below) then click 'Next'





x. Another pop-up box will appear to let you know the project has successfully been submitted > click close



xi. The status of the project should then change from 'In Progress' to 'Submitted'





xii. Please email <u>Health.CALHNClinicalTrials@sa.gov.au</u> to notify CALHN Research Services that your application has been submitted and is ready for processing



# **Hints / Tips / Key Points**

Project Registration		
Project Registration	<ul> <li>Login/Register:         <ul> <li>https://gems.sahealth.sa.gov.au/</li> </ul> </li> <li>Projects Page:         <ul> <li>View all projects that you have created or are assigned to you</li> <li>Add new project</li> </ul> </li> <li>The first step in initiating your human research project in GEMS is to register it. By completing a project registration, GEMS will identify if a Human Research Ethics Application (HREA) or Site Application (SSA), or both, are required.</li> </ul> <li>Before you begin your application ensure that you have your project details, research site information, PI details and documentation ready.</li>	
Part A: Previous Ethics Applications	<ul> <li>External Ethics Approval</li> <li>Once submitted GEMs will create a SSA application for each SA Health site added</li> <li>Internal Ethics Approval (CALHN HREC)</li> <li>The project has not been previously submitted to a recognised HREC (in GEMS)</li> <li>Once submitted GEMs will create a HREA application and a SSA application for each SA Health site added</li> </ul>	
Part B: Project Details	Ensure everything is entered precisely. <u>After submission you will not be able to edit your project registration.</u>	
Part C: Research Site(s)	<ul> <li>The Owner/PI has the responsibility for the study at the site and is the only person who can submit the Site/SSA Application. This responsibility cannot be delegated to another role or user.</li> <li>The person who created Project Registration (if different to the PI) is allocated automatic shared – edit access to the site application and is also able to share the application with other users.</li> <li>Ability to share application, "Invite to Register"- Select the level of access you are requesting for the user. If the email address is recognised as a registered GEMS account a message will pop up and you will be guided to Share.</li> <li>Add all SA Health Sites for your project</li> <li>If you miss a site and submit the project registration, you must add it as a site amendment.</li> <li>Do not use the "New Site" button above "Applications". If you use this method, you will have to withdraw the SSA created and re-submit using the site amendment method</li> </ul>	

# Part D: Coordinating Principal Investigator

If you are the CPI, select 'yes'.

• If you are not the CPI, select 'no' and enter the email address of the CPI. If the CPI is listed in GEMS their email address will appear for selection. If the CPI is not listed in GEMS, you will need to invite them to register before you can complete registration.

Version 1.3 dated 11-05-2021 P a g e 20 | 24



	<ul> <li>If you do not assign the correct the CPI, this will have a flow on effect and will delay your application</li> </ul>
<ul> <li>For external ethics:         <ul> <li>Upload External HREC approval letter, HREA and protocol.</li> </ul> </li> <li>Please note: GEMs will not allow the project to be submitted if the documents have not been uploaded         <ul> <li>The supporting documentation is uploaded to the Clinical Trials Share Drive</li> </ul> </li> <li>Please note: there is a maximum file size of 20.00MB to upload per file</li> </ul>	
	<ul> <li>Before you "Complete Registration" ensure all documents have been uploaded and all sites have been added</li> <li>On this page you can see the applications that will be generated from your project registration</li> </ul>
	The following applications will be generated:  SSA for each of the following SA Health sites:  Royal Adelaide Hospital, Siana Dimond (PI)  The Queen Elizabeth Hospital, Eyllinee White (PI)



#### **SSA Application**

SSA Application	The coordinator/research personnel can add information to the SSA, however only the PI will be able to submit the SSA	
Part A: Project Wide Information	<ul> <li>This section will be prefilled- the information will be taken from your project registration</li> <li>Ensure all the details are correct</li> </ul>	
Part B: Site Team	<ul> <li>Add site team members and administrative staff. Please add staff in who will also be actioning post-approval monitoring</li> <li>For all clinical trials, please nominate one associate investigator (AI) who will act as a back-up/substitute for the site PI if they are not able to be contacted. You will not be able to proceed to the next step without adding an AI.</li> <li>Please note: You must add in an AI to progress forward with the site application. You can select the PI again if there is none.</li> </ul>	
Part C: Departments & Services	<ul> <li>This is where you will add the Medical Lead, Head of Department and any Supporting Departments for declarations/approvals.</li> <li>The details of the Heads of Department/Supporting Head of Departments were not migrated into the system as they are constantly being updated. Therefore you will need to provide the Head of Department with the declaration form and gain their approval via email or signature, then upload to the clinical trial share drive along with all other supporting documentation</li> </ul>	
Part D: Recruitment, Records, Tissue & Data	<ul> <li>Upload agreements to share drive.</li> <li>Under "Agreement Location" please select "No"</li> </ul>	
Part E: Site Costing & Funding	<ul> <li>Select No</li> <li>Select No</li> <li>Do not enter any details into this section</li> </ul>	
Part F: Attachments/Site Specific Documents	<ul> <li>The HREA, HREC Approval and Protocol should be automatically attached from the Project Registration. Check that the documents are attached.</li> <li>Create a study folder in the Clinical Trials Share Drive and save any supporting documents and declarations to folder</li> </ul>	
Part G: Declaration	<ul> <li>Only the PI will be able to submit the SSA</li> <li>PI's will not be able to submit SSA's assigned to another PI</li> </ul>	



# Approval / Authorisation Delegation

You will need to provide the Head of Department declaration in your supporting documents (uploaded to the share drive).

Medical Lead approval will come via Research GEMS.

# Correspondence

Email template to notify CALHN Research Services once completed application has been submitted via Research GEMS:

Dear CALHN Research Services,

Site Unit Name (e.g. RAH Medical Oncology) has now submitted a SSA for the below study:

Project Title:	XXX
Protocol:	XXXX
Principal Investigator:	XXX
Program Directory:	XXX
HREC Reference Number:	202X/HREXXXXX or External HREC Number
SSA Reference Number:	202X/SSAXXXXX
CALHN Reference Number:	MYIPXXXXX

You can find the supporting documentation located here: cprovide link to share drive>

#### **Links & Resources**

For more resources and general information about Research GEMS please visit the SA Health website where information is continually being updated:

https://www.sahealth.sa.gov.au/wps/wcm/connect/public+content/sa+health+internet/about+us/health+and+medical+research/research+gems/research+gems+user+guides

#### Resources include:

#### General User guides

- o Creating and managing a user account
- o Updating username and password
- Status definitions and glossary

#### Researcher User guides

- Project Registration
  - Project Registration guide
  - Sharing access to a project
  - Withdrawing an application
  - Guidance for COVID-19 data collection
- o Ethics Applications
  - Resubmitting an ineligible application
  - Downloading your ethics application

<sup>&</sup>lt;insert email signature>

<sup>\*</sup>ensure telephone number is on this email in case we need to call you



- Ethics Post Monitoring Approvals (Amendments, Safety and Progress Reports)
  - Completing and submitting an ethics amendment
  - Responding to an amendment information request
  - Submitting an annual progress or final report (milestone)
  - Submitting a clinical safety report
- o Governance Application
  - Resubmitting an ineligible application
  - Creating a new site application
  - Completing, requesting and submitting Head of Department Support
  - Head of Department Not supported
  - Completing the site application part C: department and services guide
- o Governance: Post-approval (amendments, local safety reports, progress reports)
  - Completing and submitting a site amendment
  - Responding to a site information request
  - Submitting a governance milestone
  - Submitting a clinical trial safety report

#### **Contact Details**

For all technical errors/issues and feedback, please contact the Research GEMS Project team at: <a href="mailto:gems@sa.gov.au">gems@sa.gov.au</a>

For all study related questions in regards, please contact CALHN Research Services: Health.CALHNClinicalTrials@sa.gov.au or Health.CALHNResearchGovernance@sa.gov.au