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CENTRE FOR MENTAL HEALTH RESEARCH

Canberra ACT 0200 Australia
Telephone: [REDACTED]
Facsimile: [REDACTED]
Email: [REDACTED]
Web: www.anu.edu.au/cmhr

24 August 2005

Financial Services Group
Therapeutic Goods Administration
136 Narrabundah Lane
Symonston ACT 2609

2005/483

To Whom It May Concern:

The Centre for Mental Health Research at the Australian National University will be conducting a community based randomised controlled trial to help prevent depression among older adults. Please find enclosed our notification of intent to supply unapproved therapeutic goods under the clinical trial notification scheme as well as the corresponding client details form (to obtain our client ID).

Please note that the \$240 CTN fee was transmitted electronically into your account (ref # 723414) on 18 August 2005 from ANU finances.



1/1 Bank Statement
18/08/05 -

I look forward to hearing from you soon.

Yours truly,

[REDACTED]

Project Coordinator
Beyond Ageing Project
Centre for Mental Health Research
Australian National University

[REDACTED]



Received EDS

09 / 09 / 2005



Australian Government
Department of Health and Ageing
Therapeutic Goods Administration

CLINICAL TRIAL NOTIFICATION SCHEME

Notification of Intent to Supply Unapproved Therapeutic Goods under the Clinical Trial Notification (CTN) Scheme

Therapeutic Goods Act 1989

To be used for:

- initial notifications of clinical trials involving medicines and/or medical devices under the Clinical Trial Notification (CTN) Scheme; or
- notification of one or more additional sites for a Clinical Trial previously reported under the Clinical Trial Notification (CTN) Scheme

**THIS IS THE FORM APPROVED BY THE SECRETARY OF THE DEPARTMENT OF HEALTH
AND AGEING**

For detailed information about the CTN Scheme, please see the document *Access to Unapproved Therapeutic Goods - Clinical Trials in Australia* available from the "Unapproved Therapeutic Goods" web page on the TGA Internet site <www.tga.gov.au>.

On completion please send this form to the Therapeutic Goods Administration:

Courier address
Financial Services Group
Therapeutic Goods Administration
136 Narrabundah Lane
Symonston ACT 2609
Australia

or

Postal address
Financial Services Group
Therapeutic Goods Administration
PO Box 100
Woden ACT 2606
Australia

Cheques should be made payable to "Therapeutic Goods Administration"

RECEIVED TGA/FSG

Ent.....46165.....
25 AUG 2003 AM.
3443 P.M.
B/D.....3351.....
REC.....240.....
\$.....
CODE PR 7003

For office use only

Total Fee Paid	\$	Receipt Number	
Client ID Code		TGAIN Number	

SECTION 1. TO BE COMPLETED BY THE SPONSOR OF THE TRIAL

1.1 Notification Type

Complete this section for all notifications. Select one box only. If multiple sites are being notified, complete a 'Trial Site Details' page for each site.

Initial notification of a single CTN site (new trial)	<input checked="" type="checkbox"/>	Subsequent notification of a single additional CTN site	<input type="checkbox"/>
Initial notification of multiple CTN sites (new trial)	<input type="checkbox"/>	Subsequent notification of multiple additional CTN sites	<input type="checkbox"/>

1.2 Potential Use of Restricted Goods

Complete this section for all notifications of medicines only.

Does this trial involve the use of any medicine as an abortifacient or for "post-coital" or "emergency" contraception in women, or the use of a progesterone antagonist or a vaccine against human chorionic gonadotrophin for any purpose? Yes ☐ No ☒

1.3 Sponsor of the trial

Complete this section for all notifications. In cases where a trial is sponsored by an individual, that person's name may also be the enterprise business name. Business details can be provided to TGA via the Client Details Form. If in doubt, contact the Experimental Drugs Section.

Sponsor name (Enterprise Business Name)	Australian National University as represented by CMHR
Client ID Code (If known)	

1.4 Trial details

Protocol Number (Complete for all notifications; maximum of 20 characters)	2004/188 ANU/HREC	If adding a site, Clinical Trial Number (assigned by TGA; see acknowledgment letter for previously notified sites. Leave blank if unsure)	
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Title of study Complete for all notifications. Maximum of 255 characters. Title should indicate the aim of the trial and give a broad description of the trial. Include, for example: phase, indication(s) being treated, main medicines and comparators, use of placebo-control, focus of the study, patient population and any other significant or novel aspects. "A Trial of X" is not adequate. Similar detail is required for device trials.

The Beyond Ageing Project.
The study will incorporate three interventions that may be useful in the treatment of depression. One intervention is a folate and B12 supplement. Participants will be randomly allocated to receive a folate and B12 supplement or, they will be given a placebo.

Trial Type Complete for initial notification only of trials involving the use of medicines; tick relevant box(es) or otherwise describe.

Phase 1	<input type="checkbox"/>	Phase 2	<input type="checkbox"/>	Phase 3	<input type="checkbox"/>	Phase 4	<input type="checkbox"/>	Bioavailability/bioequivalence	<input type="checkbox"/>
Describe if necessary	Community based randomised controlled trial								

Th⁰ial

Complete for initial notification only; tick only those boxes which are applicable. Note: For the purpose of this document, gene therapy includes related therapies that overlap with the traditional concept of gene therapy by virtue of the fact that they introduce DNA into somatic cells. For example, modifications to immunisation strategies in which DNA, rather than protein, is used to generate an immune response for the purposes of prevention or treatment of chronic viral infection or as part of cancer treatment, would be considered a related therapy.

involves the use of a medicine ☒ involves the use of a device ☐
is placebo controlled ☒ is comparator controlled ☐
is also being conducted in other countries ☐ involves gene therapy ☐

Expected trial start date
(Complete for initial notification)

1/8/05

Expected trial completion date
(Complete for all notifications)

31/12/08

Medicine details

Complete for all notifications of clinical trials involving medicines. Do not use for clinical trials involving the use of devices only. List the therapeutically active components in formulations being used in the trial. All medicines being trialed should be listed, including comparators. The form has space for four medicines. For more than four, attach details of additional medicines in the same format. For the Active Name, enter the active ingredient name using where possible, the Australian Approved Name (AAN). A list of such names (the Approved Terminology for Medicines) is available on the TGA Internet site <www.tga.gov.au> If no AAN, BAN or USAN has been assigned, a code name (see below) or chemical name must be given. For the Code Name, enter code name/s used currently or previously to identify the drug. For the Dosage Form, enter a primary descriptor for dosage form (eg. tablet, injection) and include a secondary descriptor (eg. sustained release, microsphere emulsion) where necessary, particularly if a new dosage form is the focus of the trial.

1	Active name	Folic acid and Vitamin B12		
	Trade name	NA	Code name	NA
	Dosage form	Tablet	Strength	Folic acid - 400mcg B12 - 100mcg
			Biological origin	No
2	Active name			
	Trade name		Code name	
	Dosage form		Strength	
			Biological origin	
3	Active name			
	Trade name		Code name	
	Dosage form		Strength	
			Biological origin	
4	Active name			
	Trade name		Code name	
	Dosage form		Strength	
			Biological origin	

Dev details

Complete for all notifications of clinical trials involving devices. Do not use for clinical trials involving the use of medicines only. Provide: name (trade name(s), if applicable); description of the device; details of design, composition, specification, mode of action and application; and method of use.

[illegible]

1.5 Trial site details

Complete for all notifications. Submit a Trial Site Details page for each site at which the trial will be conducted. Enter the name and location of the site (eg. name and address of hospital, institution, clinic or practice). For large institutions, the address need not include specific department details unless essential to identify the location or unless the unit/body/practice operates as a separate entity within the campus. In some rare circumstances, it will be appropriate to notify a trial as a composite site trial. For example, a GP-based trial conducted by a general practice network may need to be notified as a composite site trial. The site details should indicate clearly that there are multiple sites involved and include the name, address and contact numbers for the principal investigator. **A list of all practices (sites) involved should be submitted as an attachment. The ethics committee and approving authority for such a trial must have appropriate authority for all sites. A sponsor intending to notify a composite site for the first time should contact the Experimental Drugs Section if they have any questions regarding the use of composite sites.**

Site expected start

1/8/05

Site

Canberra

Site address

Centre for Mental Health Research, Building 63, Eggleston Rd

Australian National University ACTON, ACT

Post code 0200

Delivery details

Complete for all notifications of clinical trials involving devices. Do not use for clinical trials involving the use of medicines only. Provide: name (trade name(s), if applicable); description of the device; details of design, composition, specification, mode of action and application; and method of use.

[illegible]

1.5 Trial site details

*Complete for all notifications. Submit a Trial Site Details page for each site at which the trial will be conducted. Enter the name and location of the site (eg. name and address of hospital, institution, clinic or practice). For large institutions, the address need not include specific department details unless essential to identify the location or unless the unit/body/practice operates as a separate entity within the campus. In some rare circumstances, it will be appropriate to notify a trial as a composite site trial. For example, a GP-based trial conducted by a general practice network may need to be notified as a composite site trial. The site details should indicate clearly that there are multiple sites involved and include the name, address and contact numbers for the principal investigator. **A list of all practices (sites) involved should be submitted as an attachment. The ethics committee and approving authority for such a trial must have appropriate authority for all sites. A sponsor intending to notify a composite site for the first time should contact the Experimental Drugs Section if they have any questions regarding the use of composite sites.***

Site expected start

01/08/05

Site

Sydney

Site address

Brain and Mind Research Unit, University of Sydney, NSW

Post code 2006

Dev details

Complete for all notifications of clinical trials involving devices. Do not use for clinical trials involving the use of medicines only. Provide: name (trade name(s), if applicable); description of the device; details of design, composition, specification, mode of action and application; and method of use.

Not applicable.

1.5 Trial site details

Complete for all notifications. Submit a Trial Site Details page for each site at which the trial will be conducted. Enter the name and location of the site (eg. name and address of hospital, institution, clinic or practice). For large institutions, the address need not include specific department details unless essential to identify the location or unless the unit/body/practice operates as a separate entity within the campus. In some rare circumstances, it will be appropriate to notify a trial as a composite site trial. For example, a GP-based trial conducted by a general practice network may need to be notified as a composite site trial. The site details should indicate clearly that there are multiple sites involved and include the name, address and contact numbers for the principal investigator. **A list of all practices (sites) involved should be submitted as an attachment. The ethics committee and approving authority for such a trial must have appropriate authority for all sites. A sponsor intending to notify a composite site for the first time should contact the Experimental Drugs Section if they have any questions regarding the use of composite sites.**

Site expected start

1/8/05

Site

Wagga Wagga

Site address

Brain and Mind Research Institute, University of Sydney

Post code 2006

1.6 Sponsor certification

Complete this section last for all notifications. In the Name field, print the name of the person signing the form on behalf of the company, organisation, institution, body or individual sponsoring the trial. (Do not enter a company or organisation name here - the entity name appears in Section 1.3) In the Position field, state the person's position within, or relationship to, the entity sponsoring the trial.

I, the undersigned, certify:

- all details contained in this form are true and accurate, and all required information and signatures have been included;
- the sponsor of the trial named in section 1.3 of this form is taking overall responsibility for the conduct of the trial;
- the sponsor of the trial has met or agrees to meet all Human Research Ethics Committee conditions of approval;
- the investigator(s) has/have training and experience relevant to the conduct of this trial;
- the participating institution has resources adequate for the proper conduct of the trial;
- the sponsor of the trial has received an undertaking from the investigator(s) to conduct the trial in accordance with the Guidelines for Good Clinical Practice, as described in regulation 12AB(2)(a) of the Therapeutic Goods Regulations, and the National Statement on Ethical Conduct in Research Involving Humans, as described in regulation 12AD(c) of the Therapeutic Goods Regulations or in regulation 7.3(2a) of the Therapeutic Goods (Medical Devices) Regulations 2002;
- the sponsor of the trial agrees to report all serious and unexpected adverse reactions to the Therapeutic Goods Administration;
- the sponsor of the trial agrees to conduct the trial in accordance with the Guidelines for Good Clinical Practice as described in regulation 12AB(2)(a) of the Therapeutic Goods Regulations and the National Statement on Ethical Conduct in Research Involving Humans as described in regulation 12AD(c) of the Therapeutic Goods Regulations or in regulation 7.3(2a) of the Therapeutic Goods (Medical Devices) Regulations 2002;
- the sponsor of the trial agrees to comply with requests by an authorised officer, whether made before or after the start of a clinical trial, to give information about the conduct of the clinical trial and allow an authorised officer (regulation 2A of the Therapeutic Goods Regulations or regulation 10.1 of the Therapeutic Goods (Medical Devices) Regulations 2002) to do the things mentioned in regulation 12AC and regulation 12AB of the Therapeutic Goods Regulations or in regulation 7.4 of the Therapeutic Goods (Medical Devices) Regulations 2002; and
- the sponsor of the trial accepts that information concerning the use of unregistered therapeutic goods may be released to State and Territory regulatory authorities.

Name (Print) [REDACTED]

Position Director, CMHR

Signature [REDACTED] 714 05
/ /

Phone [REDACTED]

Fax [REDACTED]

SECTION 2. TO BE COMPLETED BY THE PRINCIPAL INVESTIGATOR

The principal investigator is the person responsible for the conduct of the clinical trial at a trial site. In the case of a trial being conducted by a team of individuals at the site, the principal investigator is the responsible leader of the team.

Principal investigator certification

I, the undersigned:

- am the principal investigator at the site shown in section 1.5 of this form;
- agree to personally supervise the clinical trial at this site in accordance with the relevant current protocol(s) and will only make changes in a protocol after approval by the sponsor;
- have received and read the trial protocol and other relevant information;
- have met or agree to meet all Human Research Ethics Committee conditions of approval for this trial;
- acknowledge my obligations with respect to monitoring patient safety, record management and reporting requirements for adverse events;
- agree to ensure that all associates, colleagues and employees assisting in the conduct of the trial are informed of their obligations in meeting the above requirements;
- agree to promptly report to the Human Research Ethics Committee all unanticipated problems and will not make any changes to the trial without Human Research Ethics Committee and sponsor approval, except where necessary to eliminate apparent immediate hazards to subject safety;
- agree to conduct the clinical trial(s) in accordance with the Guidelines for Good Clinical Practice as described in regulation 12AB(2)(a) of the Therapeutic Goods Regulations and the National Statement on Ethical Conduct in Research Involving Humans as described in regulation 12AD(c) of the Therapeutic Goods Regulations or in regulation 7.3(2a) of the Therapeutic Goods (Medical Devices) Regulations 2002;
- agree to comply with requests by an authorised officer, whether made before or after the start of a clinical trial, to give information about the conduct of the clinical trial and allow an authorised officer (regulation 2A of the Therapeutic Goods Regulations or regulation 10.1 of the Therapeutic Goods (Medical Devices) Regulations 2002) to do the things mentioned in regulation 12AC and regulation 12AB of the Therapeutic Goods Regulations or in regulation 7.4 of the Therapeutic Goods (Medical Devices) Regulations 2002; and
- accept that information concerning the use of unregistered therapeutic goods may be released to State and Territory regulatory authorities.

Name (Print)

Phone

Signature

1417105

Fax

SECTION 3. TO BE COMPLETED BY THE HUMAN RESEARCH ETHICS COMMITTEE RESPONSIBLE FOR MONITORING THE TRIAL

This section must be completed by a Human Research Ethics Committee (HREC) that satisfies the following definition of an ethics committee, as set out in the Therapeutic Goods Act 1989, otherwise the notification is invalid :

A committee constituted and operating in accordance with guidelines issued by the National Health and Medical Research Council as in force from time to time and which has notified its existence to the Australian Health Ethics Committee.

HREC certification should not be given until all conditions of approval of the protocol by that HREC have been met. Wherever possible, the certification should be completed by the Chair or Deputy Chair of the Human Research Ethics Committee. Guidelines for the approval of clinical trials by HRECs are located at Chapter 12, The National Statement on Ethical Conduct in Research Involving Humans, 1999 and in the TGA publication 'HRECs and the Therapeutic Goods Legislation'.

For trials of gene therapy and related therapies, the proposal must be approved by all relevant bodies as per the NHMRC Guidelines for Ethical Review of Research Proposals for Human Somatic Cell Gene Therapy and Related Therapies.

HREC name ANU Human Research Ethics Committee

HREC address Research Office, Chancelry 10B, Australian National University
ACTON ACT Postcode 0200

Protocol Number approved by HREC 2004/188

Does the trial for which approval is being given involve the use of gene therapy or a related therapy? (See NHMRC Guidelines for Ethical Review of Research Proposals for Human Somatic Cell Gene Therapy and Related Therapies)

Yes ☐ No ☒

If the trial involves gene therapy or a related therapy, has the Gene and Related Therapies Research Advisory Panel (GTRAP) agreed that the trial can be conducted under the CTN Scheme?

Yes ☐ No ☐

Human Research Ethics Committee Certification

I, the undersigned, certify:

- I am a member of the above-named Human Research Ethics Committee;
- the above-named Human Research Ethics Committee is a properly constituted ethics committee and operates in accordance with the guidelines issued by the National Health and Medical Research Council and has notified its existence to the Australian Health Ethics Committee;
- the above-named Human Research Ethics Committee, having regard to the guidance provided by the *National Statement on Ethical Conduct in Research Involving Humans* and, where applicable, the *Guidelines for Ethical Review of Research Proposals for Human Somatic Cell Gene Therapy and Related Therapies*, has approved the clinical trial protocol identified above and has assumed responsibility for monitoring the conduct of the trial; and
- the above-named Human Research Ethics Committee agrees to comply with requests by an authorised officer, whether made before or after the start of a clinical trial, to give information about the conduct of the clinical trial and allow an authorised officer (regulation 2A of the Therapeutic Goods Regulations or regulation 10.1 of the Therapeutic Goods (Medical Devices) Regulations 2002) to do the things mentioned in regulation 12AC and regulation 12AB of the Therapeutic Goods Regulations or in regulation 7.4 of the Therapeutic Goods (Medical Devices) Regulations 2002.

Name (Print)

[Redacted Name]

Position

Chair / DRC-R

Signature

[Redacted Signature]
22/7/05

Phone

[Redacted Phone]

Fax

[Redacted Fax]

SECTION 4. TO BE COMPLETED BY THE AUTHORITY APPROVING THE CONDUCT OF THE TRIAL

Complete for all notifications. In cases where the Human Research Ethics Committee or Approving Authority for more than one site is the same, it is still necessary to submit a Trial Site Details Page for **each** site. The bodies approving the conduct of the trial at each site need to be declared individually. This requirement also still applies in cases where, for example, an Area Health Service or Hospitals Group may encompass several different institutions.

The Approving Authority must appoint a person to be responsible for giving approval on its behalf. The terms of approval for the conduct of the trial must be consistent with the Human Research Ethics Committee's (HREC) recommendations and these terms must be no less restrictive than the HREC advice.

Approving Authority name	ANU Human Research Ethics Committee	
Address	Research Office, Chancery 10B, Australian National University	
	ACTON, ACT	Postcode

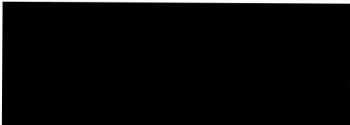
Approving Authority Certification

I, the undersigned

- am authorised to represent the body, organisation or institution at which the above mentioned clinical trial will be conducted and, having regard to the advice and approval of the trial protocol by the Human Research Ethics Committee responsible for monitoring the trial at this site, give approval for this trial to proceed;
- undertake that the use of the drug will comply with all relevant Commonwealth and State or Territory legislation; and
- undertake to comply with requests by an authorised officer, whether made before or after the start of a clinical trial, to give information about the conduct of the clinical trial and allow an authorised officer (regulation 2A of the Therapeutic Goods Regulations or regulation 10.1 of the Therapeutic Goods (Medical Devices) Regulations 2002) to do the things mentioned in regulation 12AC and regulation 12AB of the Therapeutic Goods Regulations or in regulation 7.4 of the Therapeutic Goods (Medical Devices) Regulations 2002.

Name (Print) [REDACTED]

Position CHAIR / DVC-R

Signature  21 7 05

Phone [REDACTED]
Fax [REDACTED]

PROFESSOR LAWRENCE CRAM
DEPUTY VICE-CHANCELLOR (RESEARCH)
AUSTRALIAN NATIONAL UNIVERSITY
CANBERRA, ACT 0200 AUSTRALIA