EUROPEAN MEDICINES AGENCY
SCIENCE MEDICINES HEALTH

Instructor's Guide:

How to respond to RFIs received during the evaluation of a CTA

CTIS Training Programme – Module 11

Version 1.2 – September 2021

What you will find

- Overall guidelines on how to disseminate the knowledge
- Overview of the audiences targeted in Module 11
- Overview of the training materials prepared as part of Module 11
- Recommendations on how to prepare and deliver the training sessions

Table of Contents

01

Introduction

Scope and objectives

This instructor guide is designed to help you, as a trainer, to disseminate the knowledge and the training materials prepared as part of the Clinical Trials Information System (CTIS) Training Programme to your target audience.

More specifically, this guide is focused on the **eleventh Module of the CTIS Training Programme** (hereafter referred to as 'CTTM11'). The Module provides an overview of how to access and respond to Requests For Information (RFIs) received during the evaluation of a CTA. **This guide contains** an overview of the audiences targeted with CTTM11, the training materials available, and a suggested methodology for disseminating the materials.

The training activities proposed in this instructor guide are available in English. Please, feel free to enrich the course with your contributions and/or adapt it to your participants' needs, but always taking into account the learning objectives and key ideas presented.

For any questions regarding the materials, please contact the CTIS Training Programme team at CT.training@ema.europa.eu.

02

Course elements

Target audiences

CTTM11 targets **sponsor users**.

CTTM11 learning objectives

The learning objectives of CTTM11 are:

1. Remember the phases and associated timelines for the evaluation of a CTA.
2. Understand what an RFI is and the different types of RFIs that can be sent by MSC during the evaluation of a CTA.
3. Remember how to search and view an RFI received during the evaluation of a CTA.
4. Understand how to create and submit an RFI response, including changes to an existing application.
5. Understand the roles and permissions involved in the management of an RFI.

Materials available

- **CTTM11 eLearning:** Interactive presentation, used as the main reference material for the content covered in this Module, can be viewed and completed by users at their own pace, expanding on detailed information as needed.
- **CTTM20 Step-by-step guide:** Short step by step document of the basic processes described in the module.
- **CTTM11 video-clips:** Practical system demonstration on how RFIs are received in the sponsor workspace and the different ways to view and access them; how to change an application if required based on the information provided in the RFI; how to respond to RFI considerations (as part of the RFI response), and how to submit the RFI response.
    - **Clip 1:** Receive an RFI, view and access it (2 minutes 37 seconds).

- **Clip 2:** How to make changes to an application dossier in the context of an RFI response, how to view the changes made to the initially submitted application, and how to view the other drafts of the application (5 minutes 37 seconds).

- **Clip 3**: Respond to RFI considerations, submit an RFI response and versioning functionality (3 minutes 32 seconds).

- **CTTM11 FAQs:** List of Frequently Asked Questions regarding the evaluation process of an application, how to view and access RFIs; create an RFI response with or without changes to the CTA, and submit an RFI response.

03

Course preparation

To ensure that the learning objectives of CTTM11 are met and that the training materials are optimally disseminated and consumed, we suggest that you follow a **blended learning approach** combining an activity where participants interact with the content individually and at their own pace and preferred timing (**asynchronous** learning), with an activity bringing together all participants at the same time (**synchronous** learning). For more information on this approach to learning, please refer to our general dissemination guidelines.

- First, we suggest that you **share the CTTM11 eLearning** with the participants. This will allow them to understand the contents of the Module at their own pace and reflect on questions they may have.

- Second, we suggest that you organise **a webinar** around one week after having shared the eLearning with the participants. This will allow you to check participants' understanding of the processes explained, address any questions they may have, and collect input on the training materials and methodology.

As the instructor, you are the **sole responsible for organising and hosting the webinar** with the materials provided by the CTIS Training Programme team. You may, of course, prefer to arrange a face-to-face session if the resources and the availability allow you to do so.

Please note that this guide only provides recommendations and suggestions on how to convey the knowledge to the participants. Do not hesitate to adapt it to your needs and preferences, including the possibility to combine one or more modules in the same webinar.

Preparation of a webinar

This section summarises some useful tips to help you organise a webinar successfully.

- **Prepare an online quiz** to be launched during the webinar with some questions for the participants as an 'icebreaker' and to check whether the participants have understood the key concepts of the eLearning presentation. The purpose of this activity is to start the webinar in an interactive manner and see if participants have acquired some basic information beforehand. The feedback gathered in this exercise will help you to better adapt your speech and presentation to the participants' knowledge level. Make sure to include at least one test question to get participants

familiarised with your chosen tool.

- **Send the eLearning** to the training participants one week in advance.
- **Review relevant documentation in advance.** In addition to reviewing all the training materials of this Module, including the FAQs, we recommend you to familiarise yourself with the articles of the Clinical Trials Regulation[1] related to the evaluation process, which establishes that MSCs can consult with the sponsor for additional information during the validation and assessment phases. We recommend you to read at least the following articles, which are related to aspects covered in this Module:
    - *Chapter I: General provisions*
        - Article 5 – Submission of an application
        - Article 6 - Assessment report — Aspects covered by Part I
        - Article 7 - Assessment report — Aspects covered by Part II
        - Article 14 - Subsequent addition of a Member State concerned
    - *Chapter III: Authorisation procedure for a Substantial modification of a CT*
        - Article 18 - Assessment of a substantial modification of an aspect covered by Part I of the assessment report
        - Article 20 - Validation, assessment, and decision regarding a substantial modification of an aspect covered by Part II of the assessment report
        - Article 22 - Assessment of a substantial modification of aspects covered by Parts I and II of the assessment report — Assessment of the aspects covered by Part II of the assessment report
    - We also recommend you take a look at the latest version of the European Commission's Clinical Trials Regulation Q&A[2], concretely:
        - Section 2: Applications submitted limited to Part I (article 11 of the CT Regulation, Additional MSC CTAs, and other measures related to the application procedure). Specifically, take a look at the questions:
            - 2.7. *How will a request for information (RFI) during the initial assessment of a clinical trial application, the assessment of an application for substantial modification, and/or the assessment of an application for subsequent addition of a Member State concerned be managed?;*
            - 2.10. *How will missing or incomplete documents in an application for the subsequent addition of a Member State (article 14) be addressed?*

Review other relevant modules available in the CTIS Training Catalogue. In particular, we advise you to review Modules 4 (Support with workload management)

[1] Regulation (EU) No 536/2014 of the European Parliament and of the Council on clinical trials on medicinal products for human use, *EU Official Journal* L158. Available at: https://ec.europa.eu/health/sites/health/files/files/eudralex/vol-1/reg_2014_536/reg_2014_536_en.pdf

[2] European Commission, Clinical Trials Regulation (EU) No 536/2014 Questions & Answers DRAFT, Version 2.6, November 2020. Available at: https://ec.europa.eu/health/sites/health/files/files/eudralex/vol-10/regulation5362014_qa_en.pdf

and 6 (How to evaluate a Clinical Trial Application) where you can find information about documenting considerations, the evaluation phases of a CTA, and creating and responding to CT RFIs (in the context of ad hoc assessments, corrective measures, and Annual Safety Reporting).

  - Module 4: Support with workload management by workspace.
  - Module 6: How to evaluate a Clinical Trial application (Types of applications, evaluation phases, RMS selection, and Validation).

- **Choose the right platform** to host your webinar, and make sure the participants are aware of the connection requirements by sharing with them the instructions.

- **Limit participation** to a maximum of 20 participants and up to a maximum of three hours duration, to maintain optimal interaction and keep the participants focused. If you choose to go for a longer webinar, make sure to foresee a break at least every 60 minutes.

04

Course development

In this section, we describe the proposed timings for each activity, the material to be used, the objective of the activity, and the steps to be followed by you as a trainer:

Activity 1: Reviewing the eLearning individually

Time: One week before the webinar

Material: CTTM11 eLearning and Step-by-step guide

Objective: This activity consists in the individual review by participants of the CTTM11 eLearning presentation and the Step-by-step guide by themselves, so they can have an overview of the process and make a note of questions that are not clear to them.

Steps:

1. Send the eLearning and the Step-by-step guide to the participants and ask them to review them before the webinar day.

2. Send an email reminder one or two days before the webinar, asking them to write down any questions they may have ahead of the webinar.

Activity 2: Webinar

Time: Ca two hours and a half

Material: CTTM11 eLearning, CTTM11 video-clips, CTTM11 FAQs, CTTM11 Step-by-step guide and password-protected feedback form built by the CTIS Training Programme team with EU survey tool for participants to provide feedback anonymously.

Objective:

This proposed activity consists of the organisation of a webinar to:

- Assess if participants have gathered the knowledge presented in the CTTM11 eLearning.
- Present the additional materials for the CTTM11.
- Answer any questions regarding the content of the CTTM11.
- Receive feedback regarding the learning materials and the training delivery methodology.

We propose to structure this activity in seven parts, described below:

1. **Part 1:** Introduction to the webinar (*approximately 15 minutes*).
    a. Introduce yourself as a trainer and remind participants of the basic rules of the session, as well as any practicalities regarding the software used for the webinar, as applicable.
    b. Explain the aim of the webinar and describe briefly the materials that will be used for the session.
    c. Open a quick roundtable to allow participants to introduce themselves briefly.
2. **Part 2**: Questions on the material reviewed and interactive knowledge check (*approximately 25 minutes*).
    a. Ask if participants have any questions regarding the CTTM11 eLearning ans Step-by-step guide.
    b. Launch an online quiz to check if participants understood the key concepts from the CTTM11 eLearning and CTTM11 Step-by-step guide. Refer to the general dissemination guidelines for examples of tools that you can use for that purpose.
3. **Part 3:** Screening of CTTM11 video-clips (*approximately 20 minutes*).
    a. Make a brief introduction to the CTTM11 video-clips, so that participants have an understanding of the content they are about to watch. Explain that the video-clips aim to show them how the functionalities of Module 11 work in practice in the system.
    b. You may want to prepare a short slide deck with key concepts to display on the screen before playing the video-clips.
    c. After each video-clip, allow five minutes so that participants can ask questions. Be ready to have CTIS open to be able to show how something works on the system in practice, or show any particular aspect of the eLearning presentation. Be also ready to replay a video-clip if an aspect was

not clear enough.

Break: (10 minutes)

4. **Part 4**: "Case scenarios process puzzle" exercise (approximately 40 minutes).

    a. The process puzzle is an exercise in which participants will have to order the pieces of a puzzle to describe a logical sequence of a process. For this Module, we are proposing three case scenarios with different complexity levels. Participants will need to drag and drop puzzle pieces in a PPT file to have a sound sequence of steps/actions that can happen in each scenario.

    b. Send out the provided PPT file with the exercise to the participants. Share only slides 1 and 2 (containing the explanation of the exercise and an example), and the case scenario process puzzle according to their level of knowledge (slides 3, 4, or 5).

        i. *Depending on your audience knowledge, we propose that you send one of the three proposed puzzles according to their complexity:*

            - *if your audience has limited knowledge about the subject – share puzzle one;*
            - *if your audience has medium knowledge about the subject – share puzzle two; and*
            - *if your audience has high knowledge about the subject – share puzzle three.*

    c. Explain the exercise with the support of slide 1, and show what participants would need to do based on the example of slide 2.

    d. Give participants 20 minutes to organise the pieces with the tasks/actions of the requested exercise (*following the approach suggested in point 4.b, use breakout rooms within the webinar if allowed by the online tool chosen, or suggest that the group organises an internal chat among the sub-group members*).

    e. Use approximately 20 minutes to discuss the outcome of the exercise. This activity can be performed in different settings. Here are some tips on how to handle them:

        i. In a virtual meeting where participants cannot share their screen, you should share your screen and start organising the process puzzle exercise based on the participants' input.

        ii. In a virtual meeting where participants can share the screen, you can ask for volunteers to present their process puzzle. If nobody volunteers for it, you can pick one participant to do so or decide to share your screen and start organising the puzzle based on their input. You may choose to add complexity to the exercise with the

bonus activity suggestions provided in slide 5 of the PPT file.

iii. In a face-to-face session, you can organise participants in groups, have the figures printed and cropped, and request the groups to do the process puzzle together. You may decide to add complexity to the exercise with the bonus activity suggestions provided on slide 5. Give a couple of minutes to each group to present their exercise.

f. To engage with participants while they are presenting the outcome of the exercise, you can ask specific questions such as:

i. What other scenarios can be envisaged?

ii. What happens if a user receives an RFI concerning the same part?

iii. What other steps/actions do you consider important to be included?

iv. Do you find this exercise difficult?

5. **Part 5:** Questions and answers (*approximately 20 minutes*).

a. Present the CTTM11 FAQs document and explain what type of questions they will find there (*approximately 5 minutes*)

b. Give some time to the participants to think and ask the questions they have on the materials.

c. Prepare a blank slide as an empty whiteboard where participants can add relevant information, raise questions or pinpoint different logics on the ways to respond to an RFI received during the evaluation of a CTA.

d. Note the questions of the participants. Allow them to ask them orally or via chat. *We suggest gathering all questions at the beginning of this exercise to make sure that all questions are captured without time constraints.*

e. Answer the questions using the CTTM11 FAQs. *We suggest that you note the questions of the participants that you are not able to answer surely. After the training session, you are encouraged to send all your questions, including the ones you were unable to answer to the CTIS Training Programme Team (CT.Training@ema.europa.eu), who can support you with preparing the answers. You should disseminate the answers to all the participants of the webinar.*

6. **Part 6:** Gather feedback about the training materials and methodology (*approximately 15 minutes*).

a. Share the link of the feedback form on EU Survey and the credentials to access it with the participants.

b. Give them 15 minutes to complete it. *If time is not enough, you may decide to share the link to the survey with the participants via email and ask them*

to complete it after the webinar. However, it is recommended to do it at the session for a higher response rate and to spare the need for follow up.

7. **Part 7:** Wrap up the webinar (*approximately 5 minutes*).

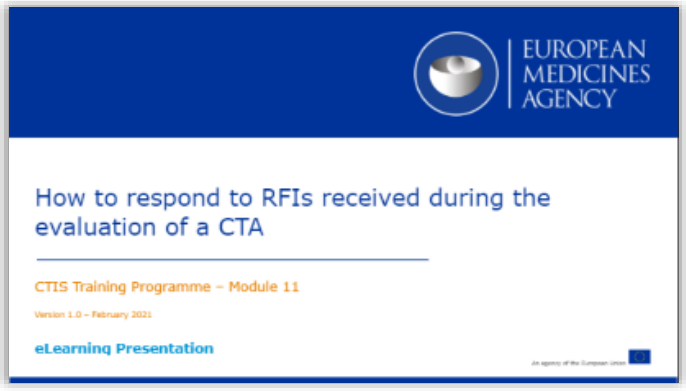
    a. Conclude the webinar and reference for future training modules and/or training sessions.

    b. Allow participants to ask final questions.

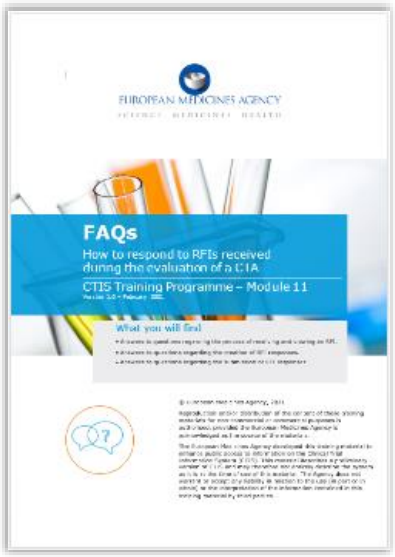
05

Annex

eLearning

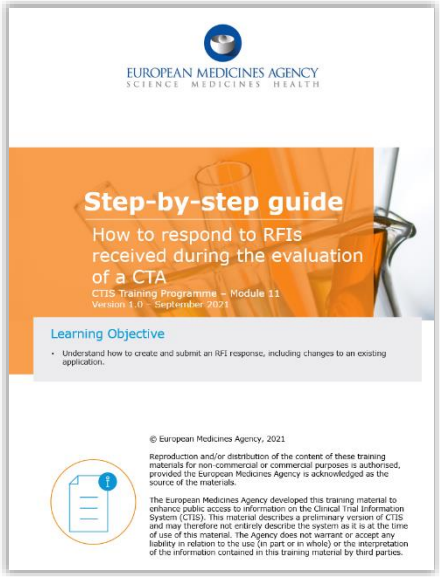


FAQs

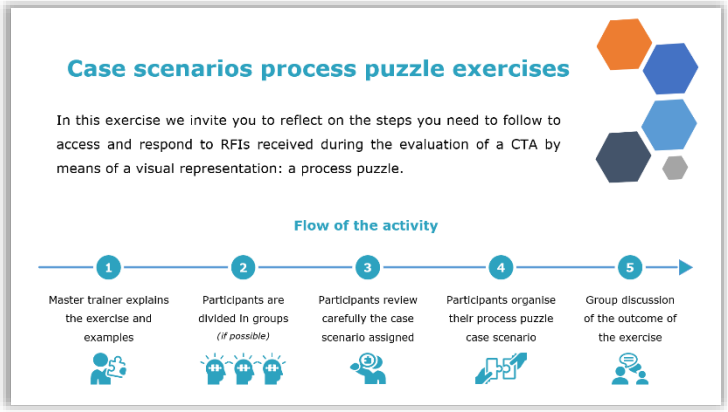


Video-clips

Step-by-step guide



Process puzzle



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Clinical trials information system (CTIS)

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