



# SOP 11: Confirmation of Capacity and Capability

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## Version History Log

This area will be updated with details of all changes made to the SOP whether due for full review or not.

Version	Details of Change	Date Implemented
1.0	Original SOP 13	
2.0	Reviewed and updated to show HRA processes, along with reorganisation into the Gloucestershire R&D Consortium suite of SOPs	01/02/2017
3.0	Rebranding to GHNHSFT and updating of contact details and reference documents	31/03/2018
4.0	Inclusion of Finance attributes	Not implemented
5.0	Correction of typographical errors, updating of website links, removing references to statement of activities, removing reference to the Gloucestershire Research Support Service as devolved to GHNHSFT R&D team, removed reference to Gloucestershire Research Consortium, Insertion of a glossary, Insertion of two appendices regarding set up activities, Removal of SOP categories and change of reference codes	30/10/2023
6.0	Departmental name change to R&I from R&D, internet links updated. Inclusion of template C&C email and letter	13/05/2024
7.0	Departmental name change from R&I to RIG, review schedule updated to three years. Clarification on greenlight process for GHNHSFT sponsored studies and process for PIC studies and service evaluations. Other minor amendments	01/09/2025
8.0	Removal of PI responsibilities letter and updates to other appendices. Inclusion of Network KPI details. Other minor amendments.	04/08/2026

This SOP will be reviewed every three years unless changes to any relevant legislation require otherwise

### Related Documents:

<b>SOPs</b>	SOP 10: Hosting CTIMPS and other clinical studies
	SOP 13: Monitoring & Oversight of Hosted Studies
	SOP 20: Adverse events and reaction safety reporting
	SOP 38: Monitoring and oversight of sponsored research studies (Non-CTIMPs)
<b>Guidelines</b>	Guidelines 12: Study Setup (Professional Services) Workflow
	Guidelines 03: EOI Process

## Glossary

<b>ARSAC</b>	Administration of Radioactive Substances Advisory Committee
<b>CPMS</b>	Central Portfolio Management System
<b>CTUM</b>	Commercial Trial Unit Manager
<b>C&amp;C</b>	Capacity and Capability
<b>Eoi</b>	Expression of Interest
<b>ETC</b>	Excess Treatment Cost
<b>GHNHSFT</b>	Gloucestershire Hospitals NHS Foundation Trust
<b>HRA</b>	Health Research Authority
<b>IMP</b>	Investigational Medicinal Product
<b>IRMER</b>	Ionising Radiation (Medical Exposure) Regulations
<b>KPI</b>	Key Performance Indicator
<b>LIP</b>	Local Information Pack
<b>MHRA</b>	Medicines and Healthcare Products Regulatory Agency
<b>NIHR</b>	National Institute for Health Research
<b>ODP</b>	Open Data Platform
<b>OID</b>	Organisation Information Document
<b>PI</b>	Principal Investigator
<b>RIG</b>	Research, Innovation & Genomics
<b>RPM</b>	Research Portfolio Manager
<b>SEV</b>	Site Evaluation Visit
<b>SIV</b>	Site Initiation Visit
<b>SoE</b>	Schedule of Events
<b>SoECAT</b>	Schedule of Events Cost Attribution Template
<b>SSV</b>	Site Selection Visit
<b>TU</b>	Trials Unit

## Contents

	<u>Page No</u>
<b>1. Introduction, Background and Purpose</b>	<b>5</b>
<b>2. Who Should Use This SOP</b>	<b>5</b>
<b>3. When this SOP Should be Used</b>	<b>6</b>
<b>4. Procedure(s)</b>	<b>6</b>
<b>5. Confirmation of Capacity and Capability</b>	<b>7</b>
<b>6. Process for GHNHSFT Sponsored Projects and Low-Risk Projects</b>	<b>11</b>
<b>7. References</b>	<b>11</b>
<b>Appendix 1: Local Information Package</b>	<b>12</b>
<b>Appendix 2: Study Set Up Activities Roles and Responsibilities</b>	<b>13</b>
<b>Appendix 3: Study Set Up Flow Chart</b>	<b>14</b>
<b>Appendix 4: Template Confirmation of C&amp;C email</b>	<b>15</b>
<b>Appendix 5: Signature Flow Chart</b>	<b>16</b>
<b>Appendix 6: LIP Decline email template</b>	<b>17</b>

## 1. Introduction, Background and Purpose

This SOP sets out to provide clarity about the process to be followed before Confirmation of Capacity and Capability (C&C) is given to deliver a research study in Gloucestershire Hospitals NHS Foundation Trust (GHNHSFT). Obtaining Confirmation of C&C is an essential precondition to the conduct and delivery of any portfolio or non-portfolio research study where it is noted on the Health Research Authority (HRA) Approval letter, and it is also a local requirement for any project taking place in the Trust e.g. Service Evaluations and Student projects.

HRA Approval is the process for the NHS in England that comprises a review by an NHS Research Ethics Committee (REC) (where required), MHRA (where required), as well as an assessment of regulatory compliance and related matters undertaken by dedicated HRA Staff. In England, it replaces the need for local checks of legal compliance and related matters previously known as local governance review. This allows NHS organisations to focus their resources on assessing, arranging and confirming their capacity and capability to deliver the study.

HRA Approval applies only to the NHS in England. The HRA has compatibility arrangements in place with the national NHS Permission coordinating function in Northern Ireland, Scotland and Wales that mean that the HRA will share information with those national coordinating functions to benefit study set up in participating NHS/HSC organisations across the UK where applicable. Further information about this can be found at: <https://www.hra.nhs.uk/approvals-amendments/>

## 2. Who Should Use This SOP

This SOP should be used by:

- Members of Gloucestershire Hospitals NHS Foundation Trust Research, Innovation and Genomics (RIG) Team
- Research study staff (those staff not directly managed by RIG)

### 3. When this SOP Should be Used

This SOP should be used when anyone applies for Confirmation of Capacity and Capability to undertake a research study in the Trust. This includes studies sponsored by the Trust as well as studies that are externally sponsored and hosted within the Trust. It also includes GHNHSFT service evaluations and student projects.

### 4. Procedure(s)

The HRA has defined the different stages that sponsors and participating organisations (the Trust) go through on the way to mutually agreeing that the study can open at that organisation (the Trust). These stages can be used to identify time points which the Trust may wish to measure in order to examine where barriers to study set up and delivery occur.

- a. **Assessing:** Assessing whether or not the Trust has the capacity and capability to participate in the study.

*NB This stage will not be required, or will be minimal, for some types of studies where it is automatically expected that the Trust will participate unless there is a significant reason why not. These study types include emergency public health research, studies involving minimal local activity such as distributing questionnaires, online surveys or supplying previously collected clinical data where consent is already in place, and studies where the clinical pathway has meant that a patient has been transferred for on-going clinical care but the responsibility for the research remains with the original Principal Investigator.*

- b. **Arranging:** Putting any practical arrangements in place to provide the capacity and capability to deliver the study.

- c. **Confirming:** Confirming that the Trust has the capacity and capability in place to deliver the study and will deliver the study. This confirmation is given through the mutual

agreement of the contents of the Organisation Information Document (OID) and/or sign-off of contract/agreement for non-commercial studies, or sign-off of contract/agreement for commercial studies.

## 5. Confirmation of Capacity and Capability

### 5.1 Assess:

- The sponsor/CI/study co-ordinator invites the Trust to assess their local capacity & capability to participate in a study. This invitation will come via the RIG Professional Services team in-box or directly from the PI/ research team and will usually consist of:
  - Commercial trial – protocol, industry costing tool and agreement.
  - Non-commercial – protocol, OID/trial agreement and Schedule of Events (SoE)/Schedule of Events Cost Attribution Template (SoECAT).
- If an EoI has been submitted, or feasibility process completed, through the RIG Professional Services team, particularly for commercial studies, much of the assessment will have occurred on submission of the feasibility questionnaire and at the subsequent site evaluation visit (SEV)/site selection visit (SSV).
- Feasibility must include a discussion and agreement with sponsor on a date on which study set-up will begin, being mindful of the NIHR KPI measure of 60 days for set-up (from receipt of Local Information Pack (LIP) to completed contract signatures).
- The review will only start once there is confirmation GHNHSFT has been accepted as a site and, if required, a modification has been submitted to the HRA for approval.
- Depending on the study, a Research Portfolio Manager (RPM), or member of the delivery team, will cascade the study documentation to the relevant research team and supporting department research contacts for them to assess, with the support of the RPM, whether the study is feasible. If the research team consider the study feasible to deliver, the RPM will confirm with the Sponsor and request the LIP (see Appendix 1). RPMs and research team must be aware of any NIHR KPIs or time targets around study set-up and consider these prior to requesting the LIP.

*NB.* The Sponsor/CI can send out a LIP once they have received the initial assessment letter from the HRA. It may be possible to decline the LIP if received before the RIG Professional Services team are in a position to begin the assessment of C&C, this should be discussed with the sponsor. See Appendix 6 for email template.

- Concurrently to the above, RPM will request the GHNHSFT's involvement in the study on EDGE, if this has not already occurred when the Expression of Interest (Eoi) was submitted. This will allow EDGE workflows to be created to collect the information required to perform Capacity and Capability checks.
- If the research team or supporting departments do not have capacity or capability to deliver the study, the RPM will email the sponsor to notify them.
- Establish if the study is included in the 30 calendar day-target for first participant consent and consider with the research team and PI when the first patient first visit (FPFV) will take place.
- Discuss and agree the recruitment target with the delivery team and PI, ensuring the KPI for recruitment-to-time-and-target can be met. This target should be agreed with the Sponsor/TU.
- All research studies must have at least one Sub-Investigator identified.
- Once confirmed the study is feasible, ensure PI has a signed CV within the last twelve months and a Good Clinical Practice Certificate dated within the last three years before proceeding.

**Actions:**

- Request involvement for GHNHSFT on EDGE for the study as well as create a new study folder on the RDSU drive. Move KanBan card from 'GHNHSFT EOIs' board to 'GHNHSFT Research Activity' board once selection has been confirmed.
- Obtain the LIP from the sponsor ensuring it is complete (see Appendix 1) which may include requesting the pharmacy and/or laboratory/ Radiology manual(s) as appropriate to the study. Date LIP received will be considered the 'date site selected' for the purposes of EDGE workflows.
- Undertake an assessment of the study agreement/OID and industry costing tool (iCT)/ SoECAT.

- Review NHS cost and resource implications. Excess Treatment Costs (ETCs) will be detailed in the SoECAT. The NIHR Open Data Platform (ODP) will specify the commissioners responsible for the ETCs for a study. Check for up to-date guidance for ETCs on the NIHR website.
- If the study agreement (if applicable) is acceptable, after discussion with PI and lead nurse/coordinator for the trial, localise and return to sponsor. Preferably the sponsor will be asked to sign once local signing has occurred. Where possible, signature by DocuSign or equivalent is requested. Signatures to be arranged as per Appendix 5, Signature Flowchart.
- If the OID (if applicable) is acceptable, request a review and signature and hold until issue of Confirmation of Capacity and Capability email. Signatures to be arranged as per Appendix 5.
- Request authorisation from the relevant support departments. Emails or meeting notes may be used as confirmation.
- A study sponsor must obtain an ARSAC certificate where the protocol requires administration of radioactive material (for medical purposes), also in cases where the protocol specifies the frequency, activity or processing for an administration that would otherwise be considered standard of care. The study sponsor is responsible for providing the licence to GHNHSFT. If requested by a Sponsor, details of individual licences for GHNHSFT staff can be obtained by contacting the Head of Nuclear Medicine.
- A check of IRMER status/requirements. If a participant is exposed to any ionising radiation after they have consented (even if it would be considered standard) then a Medical Physics expert (MPE) review is required for the overall study and for each individual site. The study details and documents should be sent to the Head of Nuclear Medicine for this review.
- Where staff not employed by GHNHSFT will have contact with patients or staff from GHNHSFT identify (check the Schedule of Events) honorary employment contract / letter of access requirements and ensure that all relevant research passports/honorary contract (or letter of access) application forms and/or copies of NHS substantive contracts are available (or are obtained) (See SOP 18). HRA approval letter will also detail requirements.

- Consider who will be responsible for uploading accruals to EDGE. If the study is being undertaken by one of the Trust's research study staff or delivery teams, it will be their responsibility. If the study is being undertaken by an external organisation and the Trust's research team are not involved then it will be the RPM responsibility, supported by the Project Support team, to negotiate how many accruals the Trust will receive, ensure they are notified of accruals and upload them to EDGE.

## **5.2 Arrange:**

### **Actions**

- Clarify with the sponsor and team if there is study specific training required.
- Confirm SIV date and those staff required to attend.
- Confirm IMP delivery date.
- Any other arrangements e.g., Service Level Agreements, freezer, drug cabinet etc
- RPM to localise study documents in collaboration with delivery team, if not provided by the Sponsor
- Ensure EDGE is updated through the workflows, project site status and date open to recruitment.
- Flag on EPR system to be prepared.

## **5.3 Confirm:**

### **Actions**

- Ensure HRA Approval has been received and upload latest versions of documents to the study folder onto the RDSU Drive and EDGE.
- Ensure study agreement is fully executed and/or OID is completed.
- Pharmacy confirmation of readiness has been received (IMP studies).
- Laboratory confirmation of readiness has been received (if relevant).
- Confirmation from any other relevant support departments has been received, if appropriate. All correspondence confirming readiness of support departments should be saved to the electronic R&D folder.
- All required honorary contracts/letter of access ready to issue.

- If the above are confirmed, agree a start date/drug delivery date with the sponsor and issue Confirmation of Capacity and Capability email (Appendix 4) to sponsor, PI, delivery team, research study staff and support departments involved.
- Contract/OID to be sent with Confirmation of C&C email.
- Confirmation of Site greenlight received.
- Lastly, ensure the route for uploading of accruals has been agreed (see last point in **Assess: Actions**).

## 6. Process for GHNHSFT Sponsored Projects and Low-Risk Projects

Student Projects which have been through the Project Review process (RIG SOP 24) and Service Evaluations which have been reviewed as per RIG SOP 26, will undergo a shortened C&C process using the low-risk review (based on the EDGE workflow), prior to Confirmation of C&C being given. PIC studies will also undergo a shortened low risk C&C review prior to Confirmation of C&C being given.

Research studies, sponsored by GHNHSFT will be reviewed through a combined C&C and sponsorship review based on the level of risk of the project.

## 7. References:

- HRA: [Approvals and modifications - Health Research Authority \(hra.nhs.uk\)](https://www.hra.nhs.uk/)
- NIHR : <https://www.nihr.ac.uk/>
- NIHR ETC information: [Excess treatment costs | NIHR](https://www.nihr.ac.uk/about/extra-treatment-costs/)
- ODP: <https://rdn.uk.qlikcloud.com>

## Appendix 1: Local Information Package

The sponsor should provide the following information to the site:

- Cover email identifying documentation being used as a LIP
- Copy of the HRA Initial Assessment letter or HRA/HCRW Approval letter
- Copy of IRAS application form
- Protocol
- Any modifications including the modification confirming that GHNHSFT is a site if not part of the original IRAS application (HRA approvals and modification tools)
- Participant Information, consent documents, GP letters
- Relevant model agreement (where applicable)
- Access to the NIHR Costing template – commercial studies
- SoECAT- non-commercial studies
- OID– non-commercial studies (where applicable)
- Delegation Log or clarification it will be shared later.
- Pharmacy Technical Review Form (if applicable)
- Research Exposure Form (if applicable)
- IRAS Part B Section 3 / ARSAC (if applicable)
- Patient Invitation letter (if applicable)
- Questionnaire(s) (if applicable)
- Interview Schedule (if applicable)

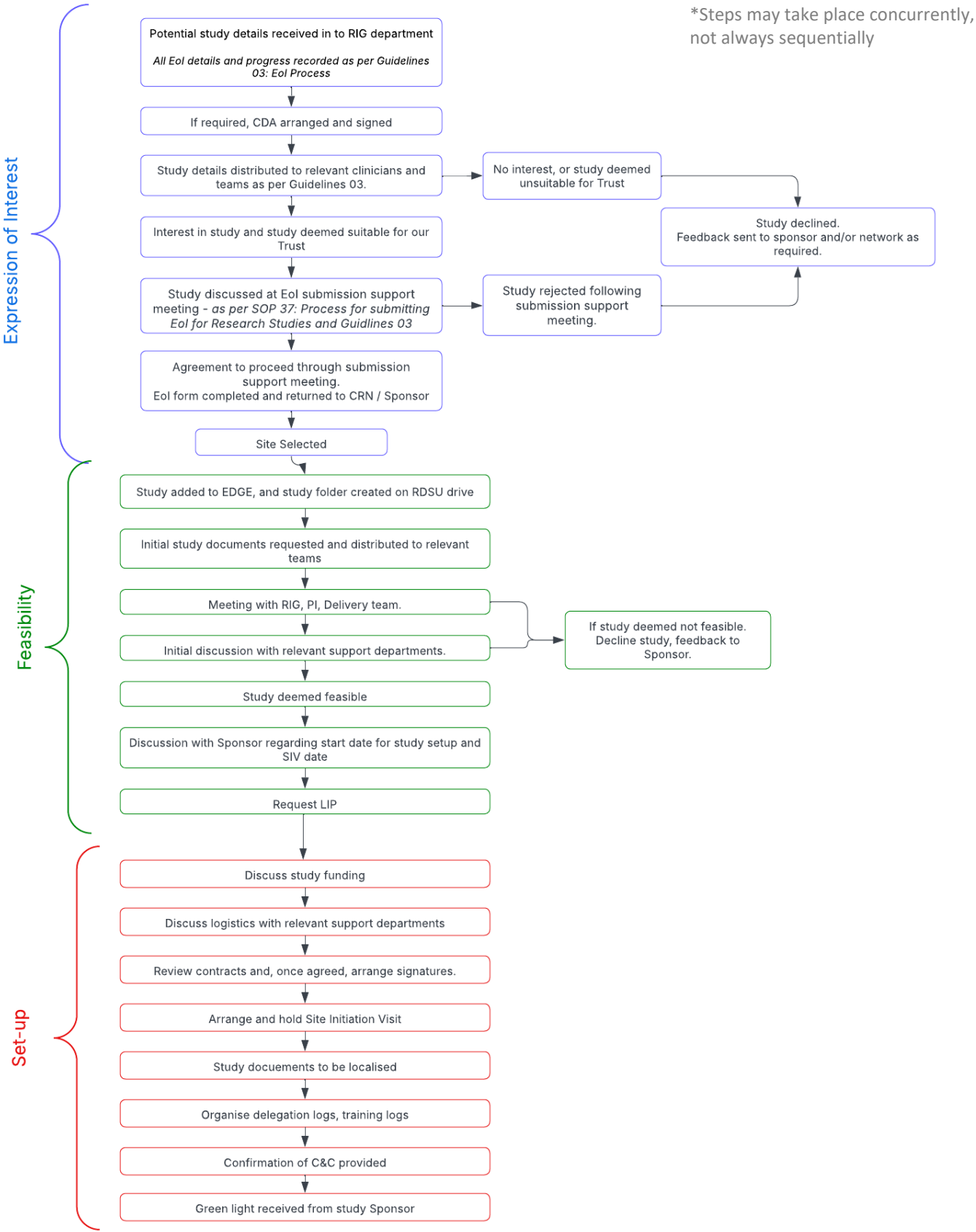
## Appendix 2: Study Set-up Activities – roles and responsibilities

Activity	Senior RPM/CTUM	RPM	Project Support Team	Delivery team	PI
Distribute Eol details			X		
Complete Eol form	X	X	X	X	X
Request access on EDGE	X	X	X		
Create study folder			X		
Check GHNFT on IRAS or modification	X	X			
Check correct PI listed on IRAS or modification	X	X			
Check relevant approvals (HRA/MHRA etc)	X	X	X		
Initial contact with PI	X	X		X	
Contact support departments with study details and request any relevant licenses	X	X		X	
Discuss support Department logistics	X	X		X	
Add and update study set-up workflow	x	X		X	
Organise SIV	X	X		X	
Prepare EPR Flag				X	
Funding review	X	X			
ETC check	X	X			
Negotiate Contracts	X	X			
Attend SIV	X	X		X	X
Localise documents	X	X		X	
Delegation log				X	
Check CVs and GCPs	X	X		X	
Request CVs and GCPs	X	X		X	
Add EDGE forms	x	X			
Add patients to EDGE*	X	X		X	
Close down activities				X	
Prepare documents for archiving			X	X	
Invoicing	X	X			
Patient Expenses invoicing			X		
Patient Expenses reimbursement				X	
Organising modifications and localising new documents		X			
Review modifications		X		X	X
Update EDGE status and dates (at both site levels if sponsor)	X	X	X		
Request analysis code	X	X			
SAE reporting				X	X

Those highlighted in green are part of the Assess stage of study C&C, the responsibility for these activities depends on the type of study and capacity within the teams. If the study does not need Delivery Team support, then a member of the Professional Services Team (RPM/senior RPM/CTUM) will complete these tasks. If the Delivery Team are involved a discussion between teams is required to discuss who has capacity to complete them.

\*Dependant on study. Delivery team will be responsible for studies delivered within their teams.

**Appendix 3: Setup flow chart\***



## Appendix 4: Template Confirmation of C&C email

**Enc:** Document Log and contract/OID

**To:** Sponsor/TU contact; PI

**CC:** Other Sponsor/TU contacts, Sub-Is, Research Matron, Delivery team, relevant support departments

**Subject:** IRAS: – - Confirmation of Capacity and Capability at Gloucestershire Hospitals NHS Foundation Trust

Dear xxxx,

**Local RIG Number:**

**Full Study Title:**

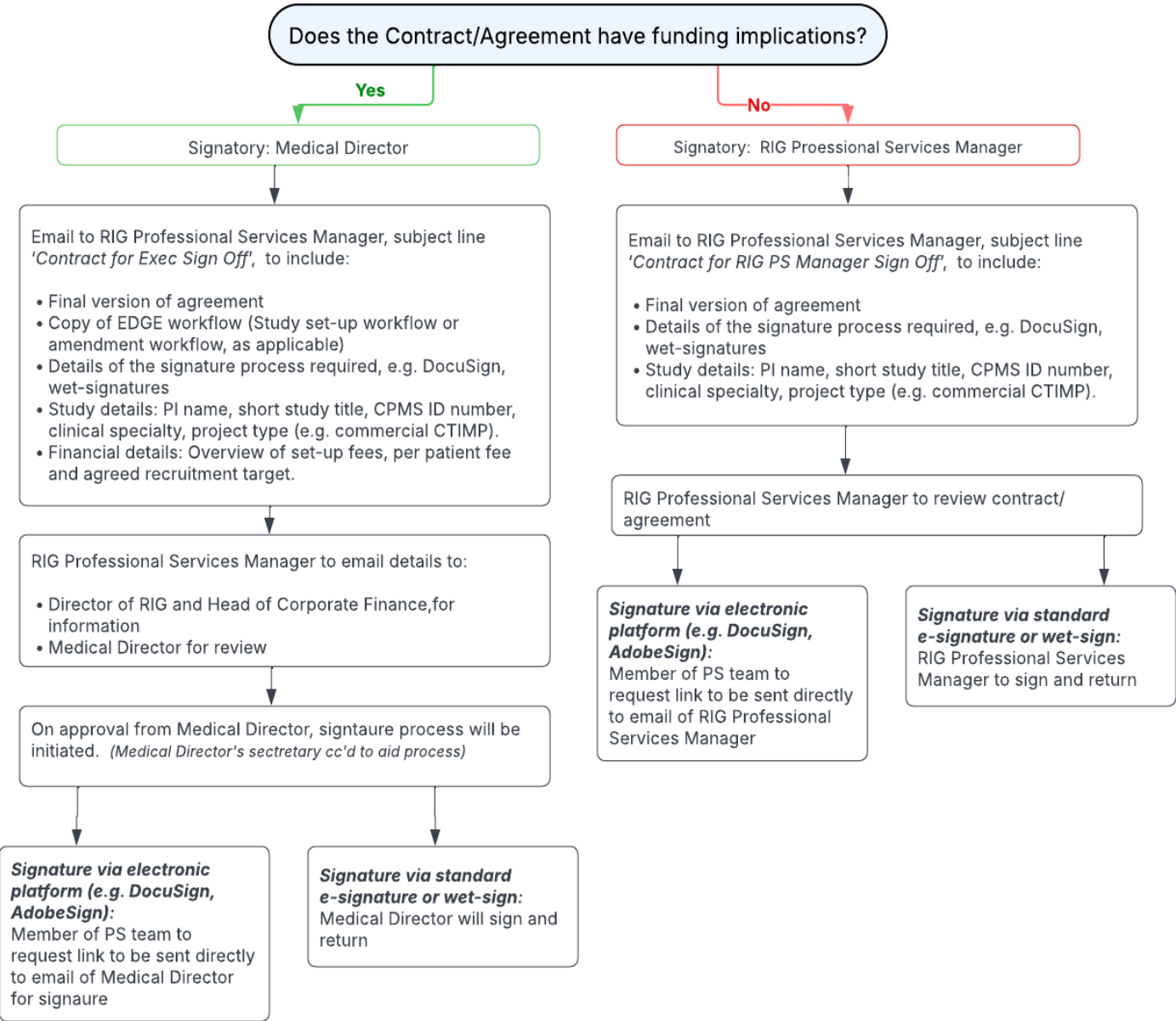
This email confirms that Gloucestershire Hospitals NHS Foundation Trust has the capacity and capability to deliver the above referenced study. Please see attached a current document log and the fully executed contract / OID and see below key study dates/targets.

Target date for first patient consented:	<i>30 calendar days from receipt of sponsor greenlight or Add date if known or state N/A, if study is not included in 30-day target</i>
Total recruitment target:	
Anticipated 'End of Recruitment' date:	

We agree to start this study on a date to be agreed when you as sponsor give the green light to begin approaching patients. Please can you ensure that the green light activation e-mail is sent to all staff copied into this e-mail.

If you have any queries, please do not hesitate to contact me.

## Appendix 5: Signature Flowchart



## Appendix 6: LIP Decline Email

To: Email LIP was received from  
Cc: PI and any other staff included in LIP email  
Subject: **Title** Acknowledgment

Dear **Sponsor**,

Thank you for sending through the documents for the **XXXXXX** study.

We are in the process of evaluating the feasibility and timeline of the study at our site with the teams involved, and are, therefore, not in the position to accept the LIP at this time.

We will keep you updated on our progress, and once we are ready to proceed, we will re-request the LIP accordingly.

Please don't hesitate to reach out if you have any questions or concerns.

Email Signature