

## K4.1 Instructions for completing form L1.1 for the establishment of sample collection for research

This is an instruction on how to complete the form to apply for the establishment of samples in a biobank.

L1.1 Establishment of sample collection for research	<p>Shall be used for the establishment of samples in a biobank</p> <ul style="list-style-type: none"> <li>• All samples that are to be used in research and that are covered by the Biobank Act must be established as a sample collection in a biobank in Sweden.</li> <li>• It is the biobank custodian who decides whether a sample collection is to be established in the biobank and for what purpose or purposes it may be used.</li> <li>• The application for establishment is made by the researcher applying via a so-called biobank application to the biobank custodian.</li> <li>• When the biobank application is approved and signed by the biobank custodian, it becomes an agreement/biobank agreement.</li> <li>• The purpose of the agreement on establishment is to meet legal requirements for research samples and regulate the researcher's (sample collection controller's) access to the sample collection for the purpose in question.</li> </ul> <p>The agreement may, if necessary, be supplemented with:</p> <ul style="list-style-type: none"> <li>• Form L1a, L1b, L1c if existing samples are to be established as a new sample collection.</li> <li>• Operational service agreements/equivalent that regulate how established samples are to be handled.</li> <li>• Form L2a1, L2a2 or L2a3 if established samples are to be sent for a specific action.</li> </ul>
L1.2 Agreement on the release of samples and personal data	See document K4.2.
L1.3 Request for amendment of previously approved biobank application	See document K4.3.

### L1.1. Establishment of sample collection for research

1. Research study	
1.1 Study title	State the same name as stated in the application of ethical approval.
1.2 Study working title and/or study ID	If applicable, state the same working title as stated in the application of ethical approval
1.3 EudraCT-no.	<p>To be stated in clinical trials of medicinal products with approval from the Swedish Medical Products Agency.</p> <p>In order to identify clinical trials of medicinal products in Europe, each trial has a unique EudraCT number. For more information about EudraCT numbers, go to the <a href="#">Medical Products Agency's website</a>. For clinical trials and performance studies governed by any of the EU Regulations (536/2014, 2017/745 and 2017/746) and with an EU Trial Number or CIV ID, form T1.1 is used instead.</p>

<b>1.4 Application for ethical approval, including amendments</b>	<p>An approved application for ethical review for the study is required to use identifiable human samples in a research study.</p> <p><b>Please note:</b> An ethical approval is valid until further notice provided that the research has begun within two years from the date on which the decision on approval gained legal force. An amendment application to the Ethical Review Authority is required if the study has been changed in a way that affects the safety of the research subjects, or if the change may otherwise affect the risk-benefit assessment made in the previous review of the application (e.g. if additional research subjects are to be included, if a larger amount of sample material is desired, or if new methods or new analyses are to be performed on already collected material).</p> <p><b>1.4.1</b> All registration numbers of the Swedish Ethical approval.</p> <p><b>Please note:</b> When processing the biobank application, the accordance between the biobank application, the application for ethical review, approval from the Swedish Ethical Review Authority (EPM) or the Ethics Review Appeals Board (Önep) and research subject information (if available) is reviewed. In order to avoid delays in processing, it is important that the biobank receives the latest version approved by EPM/Önep or the latest version sent to EPM for a decision.</p>
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## 2. Applicant/Research principal

<b>2.1 Responsible principal for research (research principal):</b>	<p>The research principal, the same as specified as the applying research principal in the application for ethical approval.</p> <p>The research principal is the organisation, authority, or company in whose activities the research takes place. The research principal has the overall responsibility for activities (legal and financial) in which the researcher in question is active and as stated in the application for ethical review. In the biobank application, the research principal can never be a natural person.</p> <p><b>Please note:</b> The premiss is that the applying research principal also is the responsible principal for the biobank, but it is also possible to establish samples in a sample collection at another principal. In a research project with several participating research principals, there are several alternatives, such as:</p> <ul style="list-style-type: none"> <li>– One of the research principals may be appointed as the applying biobank principal, for example the research principal named as the applying research principal in the application of ethical approval, or</li> <li>– All participating research principals become biobank principals for the samples that are collected and stored in a sample collection in the biobank at each participating research principal.</li> </ul>
<b>2.2 Principal investigator</b>	<p>The principal investigator for the project (the research study) stated in the application for ethical approval.</p> <p><b>Please note:</b> On their website, the Swedish Ethical Review Authority describes that the principal investigator has the overall responsibility for the research and is the contact person towards the Swedish Ethical Review Authority and should also be the contact person for the research participants. There is only one principal investigator for the entire study, even when several research principals participate.</p> <p><u>When applying for a sample collection to be established in a biobank at another principal:</u> Normally, the principal investigator must submit the application for establishment to the research principal's biobank, but in some studies the study design means that the sample collection must be established at one of the participating research principals other than the one where the principal investigator is located:</p> <ul style="list-style-type: none"> <li>○ If the principal investigator does not have the authority to sign an agreement with an external party, a representative who have the authority at the applying research principal also need to sign the agreement. In these cases, the application is signed by the principal investigator as the person who has read and understood the same. For this option section 9.2 is to be used for signature.</li> </ul>

	<ul style="list-style-type: none"> <li>○ If there is a local investigator (other than the principal investigator) at a participating research principal (other than the applying research principal) who will set up a sample collection and become the sample collection controller. See section 2.3.</li> </ul>
<b>2.3 Local investigator</b>	<p>The section is used in studies with several participating research principals with a study designed so that</p> <ul style="list-style-type: none"> <li>- samples must be established in a local biobank with a local researcher as sample collection controller.</li> <li>- the principal investigator is active at a research principal other than the participating research principal where the local investigator is active.</li> </ul> <p>If there is a local investigator at a participating research principal (other than the applying research principal) and the sample collection is to be established in the biobank of the participating research principal, this needs to be notified to the biobank where the sample collection is to be established by the principal investigator and verified by the participating research principal. Section 9.2 can be used for the signature of the participating research principal in this case.</p>
<b>2.4 Other contact persons</b>	<p>Provide contact information for additional persons, if applicable, e.g. contact persons for conducting the research study, study coordinator or research nurse.</p> <p>Contact information for several people can be entered in the same box.</p>

### 3. Responsible biobank (where sample collection is to be established)

<b>3.1 Principal of the biobank where the sample collection is to be established</b>	<p>Provide the name of the principal of the biobank that is going to be responsible for the samples.</p> <p><b>Please note:</b> The responsible principal should primarily be the legal entity that decided on the collection of samples (the research principal). A sample taken both for patient care and for research must initially be registered in a biobank with the healthcare principal. Also, see note in 2.1</p>
<b>3.2 Name of the biobank</b>	Provide the name of the biobank where the sample collection is to be established.
<b>3.3 Biobank registration number</b>	
<b>3.4 Biobank department</b>	
<b>3.5 Other information</b>	<b>To be completed by the biobank.</b>

### 4. The sample collection that is to be established

<b>4.1 The sample collection that is to be established contains</b>	<p>Check applicable boxes to state if the application regards to newly collected and/or existing samples (see information box below).</p> <p>If access to existing samples is requested, tick the relevant appendix for existing samples.</p>
<b>4.2 Samples shall be accessible to the study</b>	<p><b>4.2.1</b> and <b>4.2.2</b> Specify the same time period as stated in the section "For how long is the project to have access to the biological samples" in the application for ethical review.</p>
<b>4.3 Samples shall be kept after the study is completed</b>	<p>State the same time period as stated in the section "For how long are the biological samples to be accessible after the project has been completed" in the application for ethical approval, i.e. for future research after the current study has been completed.</p>
<b>4.4 Samples that will be included in the sample collection</b>	<p><b>4.4.1</b> Describe the content and number of newly collected samples. Specify the sample type collected from the sample donor (see example below).</p> <p><b>4.4.2</b> Describe the content and number of existing samples. Specify the sample type that requires the approval of the sample collection controller (L1a, L1b or L1c) (see example below).</p>

	<p>A. Specify sample type (blood, urine, cerebrospinal fluid, type of tissue, faeces etc.) for newly collected samples.</p> <p>B. Specify sample type (type of tissue, material from tumours, cells, blood, serum, plasma, DNA etc.) retrieved from or that first is to be registered in an existing sample collection.</p> <p>C. Specify number of individuals, including screened individuals, from whom samples will be included in sample collection.</p> <p>D. Specify number of samples per individual.</p> <p>E. Specify what applies to respective sample type (one mark per row).</p> <ol style="list-style-type: none"> <li>1. Destroyed within nine months after sampling but not immediately (i.e. samples are stored longer than 1–2 days after completed analysis).</li> <li>2. Stored no longer than until the date stated in 4.2.2, after which samples are destroyed.</li> <li>3. Stored after study is completed (stated in 4.3).</li> </ol> <p><b>Please note:</b> Specified sample types must be covered by what is stated in the application for ethical review and the research participant information. Only one checked box per line on how to handle samples (alt 1-3). The same sample type shall appear in several rows if the number (columns C and D) and/or handling (column E) varies. More rows can be added by placing the cursor in the table, then hovering over the left edge of the table and pressing the + sign.</p>
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**Example:** In case of 1 urine samples and 3+4 blood samples per patient in one study.

<b>4.4.1 Newly collected samples</b>			
A. Sample type	C. Number of individuals	D. Number of samples per individual	E. Samples shall: 1    2    3 (One mark/row)
Urine	150	1	<input checked="" type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/>
Blood	150	3	<input type="checkbox"/> <input checked="" type="checkbox"/> <input type="checkbox"/>
Blood	50	4	<input checked="" type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/>

**Example 1:** In case of request for diagnostic slides from the primary diagnosis and from the recurrence occasion, fresh frozen tissue from both occasions. The study includes 150 individuals/patients.

<b>4.4.2 Existing samples</b>			
B. Sample type	C. Number of individuals	D. Number of samples/PAD per individual	E. Samples shall: 1    2    3 (One mark/row)
Diagnostic slides	150	2	<input type="checkbox"/> <input type="checkbox"/> <input checked="" type="checkbox"/>
Paraffin blocks	150	2	<input type="checkbox"/> <input type="checkbox"/> <input checked="" type="checkbox"/>
Fresh frozen tissue (primary and recurrence occasion)	150	1–2	<input type="checkbox"/> <input checked="" type="checkbox"/> <input type="checkbox"/>
Liquid-based cytology	150	1	<input type="checkbox"/> <input checked="" type="checkbox"/> <input type="checkbox"/>

**Example 2:** In case of request for fluid-based cytology from the time of diagnosis. The study includes 350 individuals/patients.

#### 4.4.2 Existing samples

B. Sample type	C. Number of individuals	D. Number of samples/PAD per individual	E. Samples shall: 1    2    3 (One mark/row)
Liquid-based cytology	350	1	<input type="checkbox"/> <input checked="" type="checkbox"/> <input type="checkbox"/>

**Information box:**

##### Newly collected samples

- Samples that are taken for a specific research study.

##### Existing samples

When deciding on access to existing samples for new research, consideration shall be given, among other things, to matters necessary for the person responsible for the purpose for which the sample was collected and preserved to be able to fulfil his or her responsibilities.

- Samples stored in regional biobanks taken within healthcare for the sample donor's treatment, diagnosis and treatment.

These samples belong to the healthcare system's biobank. In order to gain access to these samples, a decision is required from the biobank custodian, who among other things has the task of ensuring that the sample collection controller for the sample collection with healthcare samples assesses that enough material remains for possible future care, diagnostics and treatment. Existing samples also include newly taken samples that are handled according to healthcare routines by a clinical laboratory, such as the pathology unit, as an assessment of which part/volume can be used for research without affecting diagnostics is required. Note: it is not permitted to request more material than the study requires.

or

- Samples taken for a specific research study or where consent to keeping them after study completion for future research exists.

Conditions for access to these samples are regulated in the existing biobank agreement between the sample collection controller and the biobank custodian. In order to gain access to these samples for a new research study, it should be taken into account that it does not interfere with ongoing research. It requires approval by the sample collection controller and then a formal decision by the biobank custodian and, if necessary, a new application for ethical review and a new biobank agreement.

## 5. Samples from the following principals are included in the sample collection that is being established

Specify the principal(s) from which new samples are collected and/or from whom existing samples are to be withdrawn from.

**Please note:** For traceability reasons, it is relevant for the biobank where samples are established to know if the sample collection to be established in the biobank has been collected/comes from other principals.

- Regarding newly collected samples: It is also relevant for the regions where samples are newly collected to be informed that they will not be the responsible principal, but that there is a biobank that has taken on the responsibility. Form L7 is used to notify the region where newly collected research samples are taken that they should not be the biobank responsible for these samples. The responsible researcher is responsible for ensuring that L7 is sent, but in cases where the responsible biobank is a region, the regions' biobanks have agreed (as a support to researchers) that they will send L7 to the regions where samples are newly collected. The information in paragraph 6 regarding the principals in which samples are newly collected is thus also a support for the responsible biobank and the responsible researcher to know which regions L7 should be sent to.
- Regarding existing samples: The information can also be used as a support to check that L1.2 has been signed for the release of samples.

More rows can be added by placing the cursor in the table, then hovering over the left edge of the table and pressing the + sign.

## 6. Other information

<b>6.1 Describe where (location/locations) samples will be physically stored</b>	Specify a plan for the physical storage of samples. This is important in order to know if additional agreements need to be drawn up.  For example, if samples are to be stored physically in the responsible biobank (service agreements may need to be drawn up) or if samples are to be stored physically elsewhere within or outside the principal of the responsible biobank. If samples are to be stored outside the principal, a material transfer agreement (MTA) regarding the action of storage must be drawn up between the responsible biobank and the business where samples are stored physically.
<b>6.2 Other information regarding the sample collection</b>	Specify whether there are other conditions regarding the handling of the sample collection. This can be, for example, whether a steering group decision is required for withdrawal/retrieval.

## 7. Invoice information (if applicable)

For example, handling of application, taking out samples, registration, or deposit of samples in a biobank might generate a cost price from the Healthcare Principal. If applicable, specify invoice address.

## 8. Terms for establishment

The pre-printed terms are always in force when establishing a sample collection for research.

## 9. Signatures

Contact the responsible biobank regarding the signing method (electronic or wet-ink)

<b>9.1 Principal investigator</b>	<p><i>To be used when</i></p> <ul style="list-style-type: none"> <li>• <i>the principal investigator applies for the establishment of a sample collection in a biobank at the research principal of the principal investigator.</i></li> <li>• <i>the principal investigator applies for the establishment of a sample collection in a biobank at another principal and the principal investigator has the authority to sign an agreement with an external party.</i></li> </ul> <p>The principal investigator (stated in 2.2) must sign the application.</p> <p>For further guidance on who shall sign, see document K4b (Swedish only).</p>
<b>9.2 For the research principal</b>	<p>If applicable. In cases where the principal investigator is not at the principal of the biobank.</p> <p><i>To be used when</i></p> <ul style="list-style-type: none"> <li>• <i>the principal investigator applies for the establishment of a sample collection in a biobank at another principal and the principal investigator is not authorized to sign an agreement with an external party.</i></li> </ul> <p>An authorised representative of the applying/responsible research principal (the applying/responsible research principal has been specified in 2.1) must sign the application (9.2.1–9.2.3).</p> <p>The principal investigator (specified in 2.2) must sign the application (9.2.4–9.2.6).</p> <ul style="list-style-type: none"> <li>• <i>local investigators at the participating research principal must be responsible for samples established in a local biobank.</i></li> </ul> <p>The principal investigator must notify (preferably via their work email) the biobank where samples are to be established (for current e-mail addresses, see biobanksverige.se) that a local investigator at the participating research principal will establish the sample collection. The participating research principal must be stated in the application of ethical approval.</p> <p>An authorised representative of the participating research principal where the local investigator is active must sign the application (9.2.1–9.2.3).</p> <p>The local investigator (specified in 2.3) must sign the application.</p> <p>For further guidance on who shall sign, see document K4b (Swedish only).</p>
<b>9.3 For responsible biobank</b>	<p>The biobank custodian or other authorised representative of the responsible biobank must sign the application.</p> <p>The biobank custodian (or other authorised representative) indicates by checking one of the boxes whether the application is approved or denied.</p> <ul style="list-style-type: none"> <li>• If the application is approved, specific conditions for the approving may be stated.</li> <li>• If the application is denied, this must be justified to the applicant. Reference to an appendix may be made.</li> </ul>