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Date: 15th September 2020

IRAS Project ID: 277521

REC Ref Number: 20/SS/0080

Study: Spectrum 10K - Common Variant Genetics of Autism and Autistic Traits (GWAS) Consortium. Response to request for further information following ethical review.

Dear Research Ethics Committee,

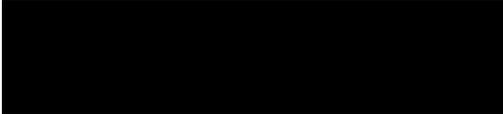
Following the request for further information, please find our response for the Spectrum 10K research study detailed below. Our responses to specific queries raised by the committee are outlined in Table 1. A summary of overall changes made have been outlined in Table 2, and a full list of updated documentation is presented in Table 3. Clean and tracked change versions of updated documentation is provided with changes highlighted.

Recommendations received from London Queens Square REC (IRAS Ref **266324**) has been included as part of our submission. In line with recommendations from both London Queens Square REC and Scotland A-REC additional documentation has been created and attached for consideration. Scotland A-REC specific additional documentation includes Participant Information Sheets and Consent forms for participants who regain capacity during the study and recruitment materials in the form of a poster for carers. **Additional documentation included within the London Queens Square response have been listed in Table 3 but as requested by Scotland A-REC committee has not been included in this submission.** Additional documentation for London Queens Square REC include Participant Information Sheets and Consent forms for participants who turn 16 during the study, age appropriate information sheets and assent form for children, & recruitment materials in the form of an infographic, a study animated video script and a genetics video animated script. Documents have been updated to incorporate recommendations from London Queens Square REC where appropriate to ensure consistency in documentation.



If you have any questions or require additional feedback, please don't hesitate to get in touch. Thank you for your time and consideration.

Yours sincerely,




Professor of Developmental Psychopathology
Director, Autism Research Centre.
University of Cambridge.

Table 1: Response to Scotland A-REC Queries.

<p>The Committee would like a written explanation (in a Cover Letter on headed paper) explaining how the online recruitment mechanism gives sufficient assurance that capacity is assessed correctly, in particular how the use of the BMA Assessing Mental Capacity tool will meet the requirements of the AWI (Scotland) Act 2000. The Cover Letter should also include the REC reference number, give a brief overview all changes made and why these have been done, as well as listing all documents being submitted.</p>	<p>Within the AWI Scotland Act 2000 “incapacity” is defined as a person being incapable of acting or making decisions or communicating decisions or understanding decisions or retaining the memory of decisions. However, a person should not fall within this definition by reason only of deficiency or issue of communication, if that deficiency can be made good by human or mechanical aid.</p> <p>To assist participants, the study provides easier read information sheets to facilitate understanding and comprehension. However, to assess whether a potential participant meets the definition of “incapacity” the BMA assessment tool is used. The tool allows users to address capacity assessment within a number of discreet, legally compliant steps.</p> <p>Within the preamble to the assessment, the welfare guardian/welfare attorney/nearest relative is provided with guidance, a clear definition of capacity and what is and is not acceptable within the act. For example, there is a starting presumption that all adults have capacity to make decisions unless proven otherwise. In addition there is guidance on acting in the “best interests” of the participant.</p> <p>To determine the 5 parameters of capacity, a series of questions are asked. These are composed of an initial pair of questions (which address presumption of capacity), followed by a two-step assessment and 4 step assessment which focus on the specific 5 points of capacity assessment within the AWI Scotland Act 2000. The questions are as follows:</p> <ul style="list-style-type: none"> - Are there reasonable grounds to suggest that the individual under your care lacks the capacity to make the decision to take part in this study? - Can the decision be put off until such time as the individual regains capacity? - Does the individual have a permanent or temporary impairment or disturbance of the mind or brain? - Might the impairment mean the individual is unable to make the decision? - Can this individual understand the information necessary to make the decision? - Can this individual retain the information for long enough to make the decision?
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	<ul style="list-style-type: none"> - Can this individual use or weigh the information in order to make the decision? - Can this individual communicate the decision by any means? <p>At each decision point, an applicant is required to provide specific reasoning for their answer, which is saved and stored. If an applicant chooses “yes” to the question “Are there reasonable grounds to suggest the individual under your care lacks the capacity to make the decision to take part in this study?” Then they must justify their decision.</p> <p>At each decision point, if the welfare guardian/relative indicates that a person under their care does not meet the definition of incapacity through any of their answers to the questions, they are instructed that the person in their care must sign up independently. If they indicate that the person under their care experiences fluctuating capacity, they are advised to wait until the individual regains capacity and can sign up independently. In line with recommendations from the committee, a Participant Information Sheet and Consent form is also provided for participants who regain capacity during the course of the study.</p> <p>Please be aware that the study will be recruiting Adults Without Capacity in England, Scotland, Wales and Northern Ireland. In addition to this application, a submission has been made to the London Queens Square Research Ethics Committee (REC Ref: 20/LO/0873), details of our response to queries raised by London Queens Square REC (IRAS Ref 266324) has been included here for reference.</p> <p>In addition, please also note that the use of the BMA tool has been assessed in line with the Mental Capacity Act (2005) of England and Wales by an independent expert and deemed suitable for the purpose of the study.</p>
<p>The Committee would like to see a copy of all of the researcher’s response to the London Queen’s REC PO requests.</p>	<p>This has been provided. We have endeavoured to make all the changes made in the London Queen’s REC to this application, and vice versa to keep it consistent.</p>

<p>The Committee would like to see a separate PIS and Consent Form for recovered capacity. A copy of Scotland A REC's Recovered Capacity PIS & Consent Form Templates will be sent with this response.</p>	<p>Thank you. We have now provided this.</p>
<p>The PIS for AWI Representatives (Welfare Attorney/Welfare Guardian/Nearest Relatives) does not use the correct terminology for use in Scotland. The WA/WG/NR-PIS should be amended to ensure that it uses the correct terminology for AWI Representatives in Scotland. Copies of Scotland A REC's WA/WG/NR-PIS template will be sent with this response.</p>	<p>We have amended this.</p>
<p>It is the opinion of the Committee that the AWI Representative's (WA/WG/NR) PIS does not make it clear enough at present to participants, that other than the baseline questionnaire, the other questionnaires are optional. The WA/WG/NR-PIS should be edited to make this clearer.</p>	<p>Thank you for pointing this out. We have now highlighted in several instances that these are optional.</p>
<p>The Committee noted that the WA/WG/NR-PIS does not have the name and contact details of a person who is independent from the study for participants to contact should they wish to talk to someone about the study An Independent Contact should be someone who has clinical knowledge of the study but who is independent from the study itself.</p>	<p>██████████ (Emeritus) has agreed to be the contact person independent of the study that participants can contact should they wish to. However, due to the sheer scale of the study, we are aware that many people may potentially contact ██████████ for other reasons (for example to clarify a point). To protect ██████████ time, we have requested participants to contact the study team first should they wish to get in touch with an independent reviewer. The study team will then review the request and pass the email onto ██████████. We assure the ethics committee that</p>

<p>The name and contact details of an Independent Contact are to be added to the WA/WG/NR-PIS.</p> <p>A tracked and clean copy of the WA/WG/NR-PIS with the changes requested at 4a-c should be submitted for review.</p> <p>The tracked copy should show at a glance all of the changes made, by including the old and new text, as well as the old and new version numbers and dates.</p>	<p>the study team will not in any way attempt to convince a potential participant to participate in the study in any form.</p>
<p>The Consent Form for AWI Representatives (Welfare Attorney/Welfare Guardian/Nearest Relatives) does not use the correct terminology for use in Scotland. The WA/WG/NR Consent Form should be amended to ensure that it uses the correct terminology for AWI Representatives in Scotland.</p> <p>A copy of Scotland A REC's WA/WG/NR Consent Form template will be sent with this response.</p>	<p>Thank you. We have now amended this.</p>
<p>It is the opinion of the Committee that the WA/WG/NR Consent Form should have Yes/No boxes added.</p> <p>There should be a tracked & clean copy of the WA/WG/NR Consent Form with changes requested at 5a-b submitted for review.</p> <p>The tracked copy should show at a glance all of the changes made, by including the old and new text, as well as the old and new version numbers and dates.</p>	<p>We have now included Yes/No boxes. However, please note, that with the exception of two items, all items in the consent form need to be indicated with a 'Yes' for the participant to participate in the study. We have clarified this within the protocol, participant information sheets and on the website registration pages.</p>

The Committee then discussed with the researcher the fact that in all of the recruitment material directed at relatives, carers and participants with capacity there did not appear to be a direct question asking, 'do you care for someone with autism' and asked the researcher if there would be one included.

The researcher suggested that although they had not produced explicit posters for that they could do so.

A copy of the poster is to be submitted for review.

A poster for carers is submitted for review.

Table 2: Summary of Changes

Description
Additional guidance for capacity assessment and use of BMA Assessing Mental Capacity Tool. This is in line with definition of capacity as defined by the AWI (Scotland) Act 2000, as requested by the committee.
Corrected terminology for AWI representatives on participant information sheets and consent forms as requested by ethics committee.
Clarification that additional questionnaires and COVID-19 questionnaires are optional, as requested by ethics committee.
Provision of Independent Contact as requested by ethics committee.
Addition of Yes/No boxes on consent forms as requested by ethics committee
Provision of Poster directed for carers as requested by ethics committee. Inclusion of recruitment materials comprised of animated video script, genetics animation and infographic wording provided by PR company.
Inclusion of Participant Information Sheet & Consent Form for participants who recover capacity as requested by the committee.
Description and detail of procedures in the event that a person regains capacity in WA/WG/NR information sheets.
Clarification and further detail of mandatory and optional consent points in participant information sheets
Provision of age appropriate Participant Information Sheets for children 6 years + and assent forms as requested by London Queens Square REC. (See Re-submission pack for London Queens Square REC)
Parents directed to age appropriate information sheets and assent forms for children younger than 16 years as requested by London Queens Square REC. (See Re-submission pack for London Queens Square REC)
Formatting changes and corrections including REC Reference number and IRAS ID as requested by ethics committee
Inclusion of GDPR HRA transparency wording following request from London Queens Square REC.
Inclusion of warning and guidance in Participant Information Sheets relating to presence of sensitive and personal questions in additional optional questionnaires following advice from London Queens Square REC.
Clarification of availability of additional support if required for participants completing sensitive questionnaires. (See Re-submission pack for London Queens Square REC)

Table 3: Documents Submitted

Document	Enclosed	File Name
Scotland-A REC Cover Letter_Response to Queries Version: 2.0 Date: 15092020 Clean & TC	yes	Spectrum 10K Scotland-A REC Cover Letter_Response to Queries V2.0 15092020
Spectrum 10K Scotland PIS (Welfare Attorney/Welfare Guardian/Nearest Relative) Version V2.0 Date: 04092020 TC & Clean	yes	Spectrum 10K Scotland PIS (WAWGNR) V2.0 04092020
Spectrum 10K Scotland Consent Form (Welfare Attorney/Welfare Guardian/Nearest Relative) Version V2.0 Date: 05092020 TC & Clean	yes	Spectrum 10K Scotland Consent Form (WAWGNR) V2.0 05092020
Spectrum 10K Scotland Participant Information Sheet (Recovered Capacity) Version: V1.0 Date: 04092020 Clean	yes	Spectrum 10K Scotland Participant Information Sheet (Recovered Capacity) V1.0 04092020
Spectrum 10K Scotland Consent Form (Recovered Capacity) Version: V1.0 Date: 05092020 Clean	yes	Spectrum 10K Scotland Consent Form (Recovered Capacity) V1.0 05092020
Recruitment Materials: Poster for Carers Version 1.0 Date: 27082020 Clean	yes	Spectrum 10K Poster_ Parents Carers V 1.0 27082020
Response to REC cover letter Version: 1.0 Date: 09092020	yes	Spectrum 10K Response to Queries REC Cover Letter V1.0 09092020
London Queens Square REC Submission		
Response to REC cover letter Version: 1.0 Date: 09092020	Yes	Spectrum 10K Response to Queries REC Cover Letter V1.0 09092020
External Reviewer Report Date: 15 th July 2020	Yes	External Review_ Queens Square REC 15072020
Spectrum 10K Protocol Version: V2.0 Date 10092020 TC & Clean	Yes	Spectrum 10K Protocol V2.0 10092020
Participant Information Sheet (Adult) Version: V2.0 Date 28082020 TC & Clean	Yes	Participant Information Sheet (Adult) V2.0 28082020

Participant Information Sheet (Parent for Child Participant) Version: V2.0 Date 05092020 TC & Clean	Yes	Participant Information Sheet (Parent for Child Participant) V2.0 05092020
Participant Information Sheet (Easier Read) Version: V2.0 Date 26072020 TC & Clean	Yes	Participant Information Sheet (Easier Read) V2.0 26072020
Spectrum 10K Participant Information Sheet (Recovered Capacity): V1.0 Date 05092020 Clean	Yes	Spectrum 10K Participant Information Sheet (Recovered Capacity): V1.0 05092020
Participant Information Sheet (Child 6 – 9 years) V1.0 Date 09092020 Clean	Yes	Spectrum 10K Participant Information Sheet (Child 6 – 9 years) V1.0 Date 09092020
Participant Information Sheet (Child 10 – 15 years) V1.0 Date 20072020 Clean	Yes	Spectrum 10K Participant Information Sheet (Child 10 – 15 years) V1.0 Date 20072020
Consultee Information Sheet Version : V2.0 Date 04092020 TC & Clean	Yes	Spectrum 10K Consultee Information Sheet V2.0 04092020
Participant Information Sheet (16 year old adult) Version 1.0 Date: 07092020 Clean	Yes	Spectrum 10K Participant Information Sheet (16 year old adult) V1.0 07092020
Consent Form (Adult) Version V2.0 Date 07092020 TC & Clean	Yes	Spectrum 10K Consent Form (Adult) V2.0 07092020
Consent Form (Parent for Child) Version V2.0 Date 07082020 TC & Clean	Yes	Spectrum 10K Consent Form (Parent for Child) V2.0 07082020
Consultee Declaration Form Version V2.0 Date 05092020 TC & Clean	Yes	Spectrum 10K Consultee Declaration Form V2.0 05092020
Child Assent Form V1.0 Date 07082020 Clean	Yes	Spectrum 10K Child Assent Form V1.0 07082020
Consent Form (Recovered capacity) Version 1.0 Date: 05092020 Clean	Yes	Spectrum 10K Consent Form (Recovered capacity) V1.0 05092020
Consent Form (16 year old adult) Version 1.0 Date: 09092020 Clean	Yes	Spectrum 10K consent Form (16 year old adult) V1.0 09092020
URL Invite Email for 16 year old adult Version 1.0 Date: 08092020 Clean	Yes	URL Link Invite Email for 16 year old adult participant V1.0 08092020
Warning Message for Optional Questionnaires V1.0 Date 08092020 Clean	Yes	Spectrum 10K Warning Message for Optional Questionnaires V1.0 08092020

Registration Landing Page (Primary Participants) (Un-versioned) TC & Clean	Yes	Spectrum 10K Registration Landing Page (Primary Participants) (Un-versioned)
Registration Landing Page (Secondary Participants) (Un-versioned) TC & Clean	Yes	Spectrum 10K Registration Landing Page (Secondary Participants) (Un-versioned) TC
IRAS Form 11092020	Yes	IRAS Form 11092020
Recruitment Materials: Spectrum 10K Infographic V1.0 10092020 Clean	Yes	Spectrum 10K Infographic V1.0 10092020
Recruitment Materials: Animation 1: Spectrum 10K Animation Script V1.0 10092020 Clean	Yes	Spectrum 10K Animation Script V1.0 10092020
Recruitment Materials: Animation 2: Spectrum 10K Genetics Animation Script V1.0 10092020 Clean	Yes	Spectrum 10K Genetics Animation Script V1.0 10092020