K4. Instruction for completion of form L1: "*Access to sample collection and personal data for research*"

This is an instruction to the national form that shall be used when applying for access to samples from healthcare for research. Form L1 "*Access to sample collection and personal data for research*" is used for biobank services in regions in Sweden; such as to establish a new sample collection, make a withdrawal from an existing sample collection as well as release a sample collection. To get access to use samples within a region in a research study, approval from a biobank custodian from the region in question is required. Please contact the biobank coordinators regarding where the application should be sent in each region (can be found at www.biobankssverige.se).

The form comprises two parts:	
Part I. Application for establishment of and access to sample collection	Must be completed for biobank services (establishment, withdrawal and release) Please note, 5A is to be completed by those who wish that responsibility of the sample collection *remains* in the Healthcare Principal's biobank. Mark 5B if the sample collection will be *released*.
Part II. Agreement on release of samples and personal data	Must be completed if the sample collection will be *released* from the Healthcare Principal's biobank to another Principal (another region, university or company/department).

I. Application for establishment of and access to sample collection

New application or a request for alteration of a previous application	Mark the box if the application relates to a new application *or* if it is an alteration of a previous application. The entire form does not have to be completed if the application relates to a request for alteration. Only complete the information that makes it possible to identify the previous approved application form, i.e.: • biobank's document-ID. See on top of page of approved application form. • study title • sample collection working title • study-ID • Registration number of the Swedish ethical approval • as well as data that have been changed from the approved application form.
More than one region is included in the study	Mark the box if more than one region is included in the study. If more than one region is included, complete and append template L1f "*Regions included in the study*".

1. Details of research study	
Study title	Descriptive title without using classified information. Must accord with the title indicated in the application for ethical vetting and the patient/research participant information.
Study working title	If the study has a working title it shall be mentioned here. Must accord with the title indicated in the application for ethical vetting and the patient/research participant information.

Study-ID	The Study-ID shall be stated for Clinical Trials. If study-IDs for other types of research studies are available, they should be mentioned here as well. Must accord with the title indicated in the application for ethical vetting and the patient/research participant information.
EudraCT-no	To be specified at clinical trials.

Decision of the Ethical Review Authority (before 1 January 2019 Ethical Review Authority)	To use samples in a research study, approval from the Ethical Review Authority (before 1 January 2019 Ethical Review Board) is required. **Please note:** The ethical approval is valid provided that the research has begun within two years from the date on which the decision on approval was made legal. An amendment of the ethical application is required if the alteration of the study affects the safety of the research participants or if the alteration can affect the risk-benefit assessment made in the previous review of the application (e.g. if more research participants or samples are to be included, or if new methods or analysis are to be conducted on collected samples). State in the biobank application: • the reference number from approved ethical vetting application. Shall be appended with the application: • Signed copy of the ethical vetting application together with any alterations. • patient/research participant information. • decision from the Ethical Review Authority (before 1 January 2019; Ethical Review Board), including any alterations. **Please note:** when processing the biobank application, compliance between the application and the ethical vetting application/ethical approval is examined, and when applicable, the research participant information. To prevent delays, it is important that the Biobank receives the latest version of the ethical vetting application, already approved by the Ethical Review Authority (before 1 January 2019; Ethical Review Board) or submitted to the Ethical Review Authority for decision. If the complete application for ethical vetting is not enclosed, decision and copies of at least the following headings must be submitted; *After 1 January 2019*: 1, 2, 3, 4:1, 4:2, 5, 6:2, 8:2, 9, 11, 14:1, 15:2, 15:3, 15:5, 15:5.1. *Before 1 January 2019*: 1:1-1:6 Information on Research Principal, 2:4 Give an overview of procedures for examination, data collection and nature of data, 2:5 Indicate whether biological material will be stored in a biobank, 2:6 Documentation, data protection and filing/archiving, 4:1-4:2 Information and consent, 8 Signature and 9 appendix 1.

2. Information about Applicant/Research Principal	
Specify the principal of the research project	Research principal is the organisation, authority or company/department with overall responsibility for the operation (legally and financially) where the researcher in question works. Please note, the research principal in the biobank application must be the same as specified in the application for ethical vetting (e.g. a region, Healthcare provider, Pharmaceutical company or Research Institution). A Research Principal can never be a person.
Principal investigator/researcher (Sample collection controller)	Specify the principal investigator for the study, same as stated in the application to the Ethical Review Authority.

	In certain cases, it could be a local investigator, listed in the ethical vetting application 1.4, who will sign the agreement with a local biobank. In such cases, the national principal investigator shall be listed under other contacts.
Other contacts	Specify contact details for other collaborators, e.g. investigator, coordinator or research nurse.

3. Healthcare principal (the site of sample collection) **– Biobank/biobank department in question**	
Specify the principal at the biobank/biobank department	If samples that are going to be used for research are taken for healthcare within a region's operation, the region's healthcare principal is responsible for the samples. This applies regardless if the samples are being released directly after the sampling or not. More than one healthcare principal can be included in a study. In such events, a separate application must be sent to every region in the study. For Information regarding which biobank/biobank department samples should be registered in (name of biobank and registration number according to the Health and Social Care Inspectorate), contact the biobank coordinator of the region in question (can be found at www.biobanksverige.se).

4. Describe sample collection	
Samples included in the study are	Mark the box if the application relates to newly collected samples or existing samples (see definitions 1). If the application refers to newly collected samples, a brief description of how the sampling is conducted as well as how the samples are handled must be stated. If the application refers to existing samples, a brief description of the research study must be stated.
Study period	Specify the dates when the study is scheduled to start and expected to finish.
Sampling period	Specify date of planned sampling (from first to last sample).
The sample collection will be	Please select how the sample collection should be handled during and after the study (trial). Specify if the samples should be destroyed or stored. It is possible to select more than one option if parts of the sample collection are handled differently. If samples will be stored after the study is completed, specify numbers of years. If samples will be stored indefinitely after the study is completed, write "until further notice" instead of specifying numbers of years. If the application relates to "existing samples", mark whether samples will be returned to the original sample collection or not. If the sample collection will be sent for analysis, append a Material Transfer Agreement (MTA), document L2a1, L2a2 or L2a3.
Samples in the study	Describe content and volume of the sample collection and which samples are to be released. Information about which samples are to be released is needed to report the release of samples to IVO (the Swedish Health and Social Care Inspectorate). Describe type of tissue, blood, urine, cells, etc. Specify total number of individuals in the study. Specify *sample type* and *number of samples* (do not specify the method of analysis). The information filled in here must

	correspond to that indicated in the ethical application and the patient/researcher information. Please note, the same sample type can be listed on several lines. Please only make one mark per line to show how the sample should be handled (alt. 1–3). See **Example 1** below. If the application pertains to **"existing samples"** a more detailed description is needed. Use **Appendix L1a** for existing clinical pathology and cytology samples or **Appendix L1b** for existing liquid-based samples. If the sample collection consists of more types of samples than eight use **Appendix L1g**.

Example 1: 4 urine samples and 2+4 blood samples and 2 tissue samples from tumour, per patient in a study.

Specify what applies to each type of sample in the sample collection

Instruction: the same sample type can be listed on several lines. Please only make one mark per line to show how the sample should be handled (alt. 1–3).

1. Analyzed within six months after sampling but are not immediately destroyed (1–2 days after completed analysis).
2. Stored until expected date of study end (stated above), after which the sample will be destroyed.
3. Saved after the study is completed up to and including (*year* or *until further notice*).

► If the application pertains to "Existing samples": will the samples be returned to the original sample collection

☐ Yes, (*year*) ☐ No

Study samples. Indicate with an X if the samples will be released (in case of more samples than eight append L1g)**:**

Describe content and extent, i.e. type of tissue, cells/cell lines, blood, blood serum, blood plasma, cerebrospinal fluid, prepared DNA, urine, etc.	No. of individuals	No. of samples	Samples shall: 1 2 3 (one mark/box)	Samples shall be released
Urine	150	150x4=600 samples	☒ ☐ ☐	☐
Blood	150	150x2=300 samples	☐ ☒ ☐	☐
Tissue sample, tumour	150	150x2=300 samples	☐ ☐ ☒	☐
Blood	50	50x4=200 samples	☐ ☒ ☐	☒

Definitions: 1

Existing samples

- Healthcare samples stored in a region's biobank for care, diagnostics and treatment. These samples belong to the healthcare's biobank and constitute a primary sample collection. To get access to these samples, a decision from the biobank custodian is required, who among other things review if enough material exists for the patient's own care, diagnostics and treatment. Newly collected samples handled by a local pathology lab within healthcare are classified as existing samples. That is due to the fact that the pathologist has to review which material could be released without affecting the patient's diagnostics.
- Samples from a previous completed research study where consent to continued saving exists, alternatively prospective collection of samples for research. Such samples can either be primary or secondary sample collections. Terms of release are regulated in the existing biobank agreement between the sample collection controller and the biobank custodian. To get access to these samples for a new research study, approval from the sample collection controller and a formal decision from the biobank custodian is required, and, when necessary, a new application for ethical vetting as well as a new biobank agreement.

Newly collected samples

Samples that are newly collected for a specific research project. Samples taken in the healthcare principal's operations and area of responsibility must always be established and registered in the healthcare principal's biobank in order to make tracing of samples in accordance with the Biobank Act. For information about which of the healthcare principal's biobanks the sample collection should be established/registered in, please contact the region's biobank coordinator. See www.biobankssverige.se.

5. Access to samples is requested by A: sample remains, B: samples are released	
A: Remains	**Mark A** if the sample collection remains in the healthcare principal's biobank. This applies even if the samples are being stored in the sample collection controller's operation. **State where the sample collection will be stored** and **if the sample collection will be sent for analysis.** If the sample collection will be sent for analysis, append a Material Transfer Agreement (MTA), document L2a1, L2a2 or L2a3. **Access to sample collection during study period:** The researcher usually has full right of disposal to the applied sample collection in approved application during the research study. If that is not the case, or if specific terms exist, the **biobank** can specify these in an appendix to document L1 under "Application approved", "Terms to receive access to sample collection, Other". **Access after completion of the applied study.** State if extended access to the sample collection is requested by marking Yes and specifying special requests. Mark No if extended access is not requested.
B: Released	**Mark B** if the sample collection will be released. Release of samples means that biobank samples, together with biobank responsibility and right of disposal, physically are transmitted to the new biobank principal. Recipient biobank must be registered in Sweden by a legal entity and be in the Health and Social Care Inspectorate biobank register. **Part II** of this form (last page of application) shall be completed
A and B	**Mark A and B** if a subset of the sample collection will remain and a subset will be released to another principal. If the samples are to be released, **Part II** of the form regarding the released samples shall be completed as well. It must be clear in the form or the ethical vetting application which samples are going to remain, and which samples are going to be released.

Definitions: 2

A. Samples remain

When samples remain as a primary sample collection at the Healthcare Principal, the responsibility of the samples remains as the Healthcare principals, and existing routines in the Healthcare principal's biobank are used for storage, withdrawals, safety, confidentiality, etc. Researchers' access to samples and personal data for a specific project is controlled through an application.

B. Samples are released

Responsibility for and the right to use to the samples in question is transferred from the Healthcare Principal to a new biobank Principal (often a Research Principal). Recipient biobank must be registered in Sweden by a legal entity and be in the Health and Social Care Inspectorate biobank register. The samples are then moved to a location outside the Healthcare Principal's operations and form a secondary sample collection. A secondary sample collection may not be released further. The Healthcare Principal continues to be responsible for saving documentation regarding samples and to whom samples are released to make tracing possible according to the Biobank Act. Samples that are sent for second opinion or analysis for healthcare purposes in or among Principals are not seen as released. Transfer of material between sample collections in the same Principal are not seen as released.

Send for analysis

Whether or not samples are released or remain, they may for some purposes be sent for analysis to another research department, within Pharmaceutical companies or to another third party within Sweden or abroad, without it being "release of samples". The samples are sent for a specific measure and are not made available for the disposal of the recipient operation. Terms:

1. Samples and personal data may not reveal a Donor's identity.

2. The Donor needs to have given his/her consent to the fact that samples may be sent to another unit, within the country or abroad.
3. When samples no longer are needed they shall be returned, alternatively be destroyed.
4. If samples are sent abroad, a Swedish recipient research principal and biobank custodian, is required.

Please note, a Material Transfer Agreement must be established with the analyzing laboratory if samples are sent for analysis outside the principal (for more information, see document K5).

6. Other	
Access to personal data	State if you want access to personal data in addition to code/pseudonym. If Yes – specify what information. See Definitions 3 regarding personal data. **Please note:** the biobank agreement only regulates access to personal data directly related to the sample. It does not regulate access to personal data from the patient's journal, such as data on diagnosis, results of analysis and received treatment. A decision of release of data from the patient's medical record for research purposes is taken according to local routine for confidentiality assessment.
Specify pseudonymisation	Specify pseudonymisation of samples and personal data, where code keys are stored and who has access to them.
Special requirements	Specify any special requirements, for instance regarding storage, temperature, safety and integrity.
Other conditions	Specify if other conditions exist regarding handling of the sample collection. For instance, if there is a steering committee connected to the sample collection.

Definitions: 3

Personal data is information that can be linked, directly or indirectly, to a physically living person. This means that information linked to name or social security number always are personal data. Indirect information that do not link directly to a person can also be personal data, if the information can be used to trace a specific individual. Detailed information that indirectly points out where a person lives, such as property designation or geographical coordinates, are examples of personal data. Another example is when much and/or detailed information in combination makes it possible to link information to a person (individual). Also, coded or encrypted information are personal data as long as someone can use it to identify individuals, that is as long the code or encryption key still is valid. The researcher/principal investigator does not need to have direct access to the key code in order for the information to be considered as personal data. Even if the key is stored at another authority and this authority have a non-disclosure agreement, the data are considered as personal data by the researcher." Every record of personal data shall be reported to the Personal Data Controller at the Principal.

7. Invoice address (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. *Signatures*	
Principal Investigator (sample collection controller)	Principal investigator/Primary investigator = researcher with primary responsibility for the research study in Sweden. Should be the same as in the application to/decision from the Swedish Ethical Review Authority. In certain cases, in studies that both have a local investigator and a national primary investigator, it could be the local investigator who will

	sign the agreement. Please note, in those cases, it must be the local investigator listed in the application for ethical vetting, item 1.4 Principal investigator/primary investigator, alternatively local investigator, must sign the application before it is submitted to the biobank.
Custodian of biobank department	Only applies to the Southern Healthcare Region. The custodian of the biobank department must sign the application before it is submitted to the biobank.
Authorised representative of the healthcare principal's biobank	Often a biobank custodian. Mark the box if the application is approved or not. • If the application is approved, specific terms for approval can be specified under 3. "Other". • If the application is not approved, the reasons should be explained to the applicant in an appendix.

II. Agreement on release of samples and personal data

This part of the application should be completed if samples will be *released* to another principal. Release of samples means that biobank samples physically are transmitted, together with biobank responsibility and right of disposal, to the new biobank principal. The biobank custodian in the involved region must approve the release.

1. Recipient biobank	
Recipient biobank	The recipient biobank is responsible for the sample collection after release. The recipient biobank must be registered in Sweden by a legal entity and must be in the Health and Social Care Inspectorate's biobank register. Specify the registration number from the Health and Social Care Inspectorate (IVO) and contact information to contact person and Biobank Custodian. The recipient biobank shall be specified the ethical vetting application.
Personal data (to be completed by the releasing biobank)	If personal data, except code/pseudonym, will be released. Describe how researchers will get access to the information. Personal data should be coded so that an individual sample donor cannot be identified. Coded data still is personal data as long as a code key exists, see Definitions 3.

2. Main agreement (for pharmaceutical trials)
Mark the box if this agreement constitutes an alteration agreement to the "Main Agreement" met between the region and the company with regards to clinical pharmaceutical trials.

3. Terms	
Transport of samples	Specify who is responsible for transporting the samples, and the transport cost.
Special terms	Special conditions may be specified here.

Terms of release:

1. Ethical approval from the Swedish Ethical Review Authority.
2. Samples may not be used for research other than specified in the ethical application.
3. If samples, included in the sample collection are required for the sample donor/patient's care, the samples shall primarily be used to meet this need.
4. If samples included in the sample collection advantageously can be used in other research, approved by the Swedish Ethical Review Authority, the principal for the secondary sample collection may issue approval for such a procedure.
5. After release, the biobank custodian upon the recipient biobank is responsible for the quality of the samples being secured and that the patient's identity is protected.
6. Upon release of samples and personal data, there are requirements of how the samples' and personal data's identity designation ("Sample ID" and "Personal data ID", respectively) shall be formulated. The code key linking "Sample ID" and "Personal data ID" with the patient's identity shall be stored at the region.
7. Released samples may not be released to third part.
8. Terms of consent on research studies with associated part-studies. If a Research Participant withdraws his/her consent from the principal study, the Responsible investigator shall ensure that the Research Participant also is asked about withdrawal of consent of other associated studies that the Research Participant may be part of.
9. Other:

4. Signatures	
Healthcare principal **Authorised representative of the releasing biobank**	The agreement is signed by an authorized representative of the releasing biobank in the healthcare principal (usually a biobank custodian).
Research principal/equivalent **Authorised representative of the recipient biobank**	The agreement is signed by authorized representative of the recipient biobank in the healthcare principal (usually a biobank custodian). Recipient biobank is found at the healthcare principal (according to application for ethical vetting) or at another principal with which the research principal has an agreement with.