

DCGI Registration No.: ECR/1337/Inst/KA/2020 DHR registration No.: EC/NEW/INST/2020/1216

Initial full review of research study protocols YEC2/SOP07A/v2

Effective Date: 25.02.2023

Title: Initial full review of research study protocols

SOP Code: YEC2/SOP07A/V2_

Prepared by:

Dr. K. Leena Pramod

Convenor, YEC2 SOP committee

Signature with date

Reviewed by:

Dr. Vijaya Hegde

Member, YEC2 SOP committee

Signature with Date

At 25/02/23

Approved by:

Dr. Prasanna Keshava B

Chairperson, YEC2

Signature with Date

from burnes

Notified by:

Registrar, Yenepoya (Deemed to be university)

regional, renepoya (Beemed to be univer

Notification No:

Ref: No/YU/REG/ACA/YEC-2/SOP/2023

Date: 25.02.2023

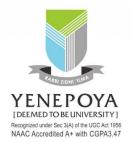
Signature with Date

Registrar YENEPOYA

(Deemed to be University)

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Details of superseded SOP 07A/v1

Subcommittee Convenor name	Version no	Effective date (dd/mm/yy)	Describe the main changes
Dr.H.Hari Kishore Bhat	v1	14.06.2018	Major revision in the SOP

Details of Current SOP 07A/v2

SOP subcommittee convenor name	Version no	Effective date (dd-mm-yyyy)	Describe the main changes
Dr. Vijaya Hegde	V2	25.02.2023	Major revision in the SOP

YEC2/SOP7A/v2



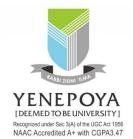
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1. Purpose

The purpose of this SOP is to describe in detail the method of "full review" of a research protocol submitted to the YEC2 for ethical clearance.

2. Scope:

This SOP applies to the initial review of all research protocols submitted to the YEC2 for ethical clearance categorized under "full review" as per the ICMR guidelines for research on human participants, fulfilling the criteria for "full review" as per YEC2/SOP07/v2, and/or as decided by the Member-Secretary or Reviewer 1/Reviewer 2, based on risk assessment.

3. **Definitions:**

Primary reviewer (Reviewer 1/Reviewer 2): A reviewer who is also assigned to take a lead in summarizing the protocol - in simple language - for the benefit of the non-scientific members, and presenting the review assessment in YEC2 meeting

Secondary Reviewer: For full review protocols, all the members of YEC2 who are not primary reviewers.

4. Responsibility:

YEC2 Chairperson will:

Oversee the timely review of submissions

Ensure that each member reviews the protocol from his/her role in YEC2 as has been defined in the terms of reference

Member-Secretary: will

4.2.1 Member-Secretary will do an initial screening of the protocol and categorize the protocols into "full review" as per the ICMR guidelines for research on human participants keeping the Chairperson informed as per YEC2/SOP07/v2

Member-Secretary/

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YENEPOYA ETHICSCOMMITTEE 2

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Secretary will assign two reviewers for each study protocol, based on matching expertise of the reviewers to the broad research area of the protocol. If needed, one or two additional reviewers may be assigned on the discretion of the Member-Secretary (including independent consultants).

- If any of the YEC2 members assigned to review the protocol declares a conflict of interest or declares inability to complete the assessment of the protocol within 2days. The Member-Secretary/ will assign an alternative member to review the protocol.
- If the Member-Secretary/ feels the additional need to refer the protocol to an independent consultant, expert in the area of the protocol research, he/she can do so with approval of the Chairperson. Alternately, a YEC2 member who is assigned the protocol may recommend for an additional review by independent consultant, in which case the Member-Secretary/ in consultation with the Chairperson can do so, as per the YEC2/SOP03/v2.
- 4.2.5 Member-Secretary/ will set up the agenda, date and venue of the YEC2 meeting as per YEC2/SOP08/v2.
- 4.2.6. The offline meet of YEC2 will be scheduled on Second Saturdays of every month. The online meet of YEC2 will be scheduled on 4 th Friday. If required based on the number of protocols pending for clearance or any other urgent matter to be discussed.

YEC2 Secretariat:

- YEC2 Secretariat will create a file for each research protocol as soon as the complete protocol submission is received and checked.
- YEC2 Secretariat will distribute the completed protocol submission to the reviewers assigned by the Member-Secretary/ via the email id of YEC2 yec2@yenepoya.edu.in or as a hard copy, as per the preference declared by the YEC2 members.
- YEC2 Secretariat will distribute the review assessment form along with the protocol toeach reviewer, as assigned by the Member-Secretary
- YEC2 Secretariat will list the "full review" protocols in the agenda for the next YEC2 meeting, if the protocol is received four weeks prior to the date of the meeting. If later, then in the agenda of the YEC2 meeting after the next.
- YEC2 Secretariat will inform the Member-Secretary/ of any communication from the assigned reviewer regarding the completed assessment form, inability to complete the

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YENEPOYA ETHICSCOMMITTEE 2

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review process in one week or issues of conflict of interest as communicated by the members.

If the reviewer does not return the assessment form within one week, the YEC2 Secretariat will send a reminder to the reviewer by mail/telephonic call.

The reviewer needs to respond within the 2 days of receiving email from the YEC2 Secretariat.

If the reviewer fails to respond to the reminder email and discontinues to review protocols sent to him/her repeatedly the Member secretary in consultation with the Chairperson can take a decision related to the reviewer.

YEC2 Secretariat will record and file the assessment forms and the decisions of the reviewers in the protocol file.

The YEC2 Secretariat will communicate the observations of the reviewers after masking the name of the reviewer to the principal investigator through an email with a request to respond within 2 weeks

YEC2 members:

The YEC2 member(s) will declare any conflict of interest with the protocol received for initial review, within 2 days after receiving the protocol for review.

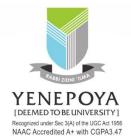
If the YEC2 member(s) is unable to do the initial review process, he/she will declare it within 2 days of receiving the protocol for review.

If the YEC2 member fails to review protocol sent to them repeatedly they need to give an explanation for not reviewing the protocols and not informing the YEC2 secretariat about their inability to review within the time frame allotted.

The YEC2 member(s) assigned to review a protocol will do the review as per the assessment form

The YEC2 member(s) will record their observations and comments in detail on the assessment forms

The YEC2 member(s) after reviewing the protocol will declare their initial review decision on the assessment form as one of the following:



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- ➤ Minor in nature
- Resubmission
- > Full Review)
- Disapproved
- Approved
- ➤ Approved with modifications:

The YEC2 members after reviewing the protocol will sign and date the assessment form.

The YEC2 members will return the completed assessment form as soft copy by email to vec2@venepova.edu.in or as hard copy to the YEC2 Secretariat, as the case may be.

If the YEC2 members submit soft copy of the assessment form the YEC2 secretariat will keep the hard copy ready for the signature of the reviewer during the next YEC2 meeting.

The YEC2 members will complete the review process within the time frame of one week from receiving the protocol. This deadline is extendable by one week, if on account of unforeseeable delay.

Independent Consultant:

An independent consultant(Internal) if called upon to do "full review", shall attend the YEC2 meeting as informed by the Secretary and give his/her opinion, as per the YEC2/SOP04/v2.

An independent consultant (External) if called upon to do "full review", shall follow the same timelines as YEC2 reviewer as per the YEC2/SOP04/v2.

An Independent Consultant(Internal/External) needs to sign a conflict of interest and give opinion on the protocol assigned to him/her .Independent consultant has no role in the decision making process related to the protocol.



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5. Detailed instructions:

Procedure for appointment of primary reviewers:

The Member-Secretary/ in consultation with chairperson will review protocol categorised as requiring "full review" and schedule it for discussion in YEC2 meet for opinion from the Secondary reviewers.

Protocol not categorised under Full review by Member Secretary and sent for review to Reviewer 1/Reviewer 2 can be scheduled for "Full review" by the Primary Reviewers

Protocol scheduled for full review by the Primary reviewers will be scheduled for Full board discussion in the YEC2 meet by the Member Secretary.

If necessary, the Member-Secretary/ will assign Independent Consultants, (Internal/External) depending on the merit and complexity of each protocol.

The Member-Secretary/ will communicate the names of the reviewers to the YEC2 Secretariat within four working days of protocol submission.

Distribution of protocols for review:

The YEC2 Secretariat will record the names of the reviewers for each protocol in the assessment forms and also in the database.

The YEC2 Secretariat will send the duly completed request letter to the reviewer(s) with details of the protocol and the time frame during which the review has to be completed.

The YEC2 Secretariat will send the complete submission to the reviewers along with the assessment forms

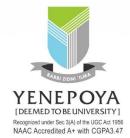
If the reviewers have opted for soft copies of the protocols, they will be emailed to them at their official email id from the official email id of YEC2 <u>vec2@venepova.edu.in</u>

If the reviewers have opted for hard copies of the protocols, then they will be reviewed by the reviewers in the YEC2 archive room, maintaining the strictest confidentiality.

The following documents will be sent to the reviewer

- ➤ The request letter for reviewing the protocol
- > The protocol submission form and related documents
- > The assessment form

Receiving the complete protocol submission for review



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The reviewer will receive the complete protocol submission and verify the contents

The reviewer will notify the YEC2 Secretariat, immediately, if any of the documents are found missing

Reviewing of the protocol:

The protocol will be reviewed as laid down in the ICMR guidelines.

The reviewer will consider the following criteria while reviewing the protocol and the submitted documents

- Scientific design and methodology with respect to ethical issues
- > Potential risks to participants
- > Potential benefits to participants
- > Selection of participants and method of recruitment especially for studies involving vulnerable population
- ➤ Justification for involving the vulnerable participants
- ➤ Inducements, financial benefits and compensation
- Protection of privacy of the participants and their data
- Methods of ensuring confidentiality of the data especially in case of genetic studies
- ➤ Disposal/storage/reuse of samples
- Community considerations
- Qualification of the investigators and adequacy of site facilities
- Disclosure of conflicts of interest from members of the research study team

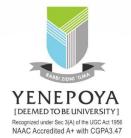
Reviewing of the informed consent form and participant information sheet:

The YEC2 member(s) while performing the initial review will look at the informed consent forms (ICF) and the participant information sheets (PIS) (submitted as separate documents) for the following items within them:

Procedure of informed consent process (ICF, PIS)

Translation of the informed consent and participant information sheet in the locallanguage (ICF, PIS)

Back translation to English (in case of regulatory clinical trials) (ICF, PIS).



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Content should include details of methodology and the risks and benefits associated. The language used in the participant information sheet should be simple, without jargon and should be written as if addressing a student of standard eight (PIS).

Statement confirming voluntariness, or freedom from coercion on the participant (ICF, PIS).

Statement of choice of refusal or withdrawal from study without prejudice to healthcare rights (ICF, PIS)

Statement of comprehension of the information provided and ample opportunity forclarification of doubts from the Principal Investigator (ICF, PIS)

Contact person(s) from the study team and their phone numbers (ICF, PIS)

Statement assuring maintenance of participant privacy (ICF, PIS)

Statement assuring participant data confidentiality (ICF, PIS)

Compensation for participation, whether there is a chance of undue inducement (PIS)

Provision of medical and psychosocial support (PIS)

Medical management of study related injuries, if any (PIS)

Compensation of study related injuries, if any (PIS)

Use of biological material, its use, its storage and possibility of future use (PIS)

Appropriate and responsible disposal of tissues/samples used in the study (PIS)

Possibility of deriving sensitive information from the biological samples, if any and the possible harm (PIS)

Provision of signatures of participants, investigator or the person conducting theinformed consent process, the independent witness with dates (ICF)

Provision for audio-visual recording of consent in case of clinical trials (ICF, PIS)

The non-medical person assigned as reviewer will specifically look at the informed consent form and participant information sheet.

Use of reviewer assessment forms:

The reviewer assessment form is designed to ensure a standard review process by each reviewer

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The assessment form will help in ensuring that all the elements of research protocol are reviewed and documented

Each reviewer will go through the protocol and make comments/suggestions and recommendations in the assessment form

The duly filled, signed and dated assessment forms will be returned to the YEC2 Secretariat along with the complete protocol submission

Provisional decision of the reviewers:

The YEC2 members after reviewing the protocol will declare their provision decision on the assessment form as

- Minor in nature
- Resubmission
- > Full Review
- Disapproved
- Approved

Compilation of the assessment reports:

The YEC2 Secretariat will collect the assessment forms from each of the reviewers (soft or hard copy forms) and file the copies in the respective file

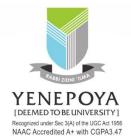
The file along with the reviewers" reports is used for deliberation during the YEC2 meeting

The YEC2 meeting:

The protocol listed under the "full review" category in the agenda of the YEC2 meeting will be taken up for discussion during the meeting.

The primary reviewer will brief the members, the summary of the study and read out the comments and recommendation from the assessment forms

The secondary reviewer and the other YEC2 members will deliberate on the comments and recommendation of the primary reviewer.



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If necessary, a Independent Consultant(Internal/External) can be invited to the meeting, by the Member-Secretary/ in advance (YEC2/SOP 6)

If necessary, a community representative can be invited to the meeting, by the Member-Secretary/, in advance (YEC2/SOP04)

If necessary, Clarifications/Presentation may be sought by inviting the principal investigator of the protocol.

The Member-Secretary assisted by another YEC2 member or the YEC2 Secretariat will minute the proceedings of the discussions of each protocol.

The making of the final decision:

The final decision on the ethical approval of the protocol is recorded as

- > Minor in nature
- Resubmission
- > Full Review
- Disapproved
- > Approved

The final decision is made by voting by each YEC2 member present in the meeting, except the subject expert, community representative, if any

The decision is made by the majority consensus, which is defined as two-third of the members present

In case of a tied vote among the members, the Chairperson has an additional vote tomake the final decision.

If any member has a vote against the majority, his **dissent** is recorded in the minutes of the meeting.

If the decision is "**Approved with suggestions**", the committee will also decide about the following:

- > The review process to be followed by YEC2 for resubmission of protocols: full review or expedited
- Need for frequent or annual continuing review

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➤ The principal investigator has to submit the modified protocol within 3 months failing which the protocol will be considered as cancelled.

If a protocol has been "**Rejected**" during the YEC2 meeting, the reasons for the same must be listed with justification and communicated as a letter of notification to the principal investigator.

If the protocol has been "Approved" during the YEC2 meeting, the committee will decide about the following depending on the risk assessment and on the research record of the principal investigator and this will be communicated to the principal investigator in the approval letter:

- ➤ If the protocol requires site monitoring(SOP)
- ➤ Need for frequent or annual continuing review (SOP)

The communication of the final decision:

The approval letter is sent to the principal investigator within seven days after the YEC2 meeting

The approval letter will contain the following matter

- > Study reference number
- > Study title
- A list of the versions of the protocol documents approved
- ➤ Validity of the approval
- List of participating members in the meeting
- Summary of the guidance, advice and decision that the YEC2 members have reached in the meeting
- > Site monitoring, its frequency and tentative dates.
- > Other expectations from the principal investigator, if any
- Need for submission of status report, closure report at the end of the period of validity
- ➤ Signature of the YEC2 Member-Secretary/ with date



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The YEC2 Secretariat will verify the correctness of the wordings and spelling. The letter will be communicated to the principal investigator within 7 days as a hard copy.

Storage of documents:

The YEC2 Secretariat will maintain all documents related to the protocol review (assessment forms by both reviewers, statements of the subject expert, decision form, and the copy of the Approval letter/Query letter/Disapproval letter in the study file along with all the reviewed protocol.)

The YEC2 Secretariat will store the file on an appropriate shelf in the designated cabinet.

6. Reference to other SOPs

YEC2/SOP06/v2: Management of Research Study Protocol and Study Related documents Submitted for Ethics Review

YEC2/SOP07/v2: Categorization of Submitted Protocols for Ethics Review

6.6.YEC2/SOP07B/v2: Expedited Review of Research Study Protocols

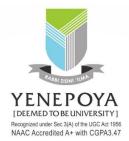
6.7.YEC2/SOP07C/v2: Exemption from Ethics Review of Research Study Protocols

6.8. YEC2/SOP08/v1: Agenda Preparation, Meeting Procedures and Recording of Minutes

6.9.YEC2/SOP09/v1: Review of Amended Protocol, Protocol-related Documents and Resubmitted protocol

7. Annexures

- 1. Annexure 1: YEC2/Ann01/SOP7A/v1: Letter to the YEC2 Members requesting initial review with study assessment form for full review
- 2. Annexure 2: YEC2/Ann02/SOP7A/v1: Study assessment form for primary reviewer
- 3. Annexure 3: YEC2/Ann03/SOP7A/v1: YEC2 decision form
- **4.** Annexure 4: YEC2/Ann04/SOP7A/v1: Format of study approval letter
- 5. Annexure 5: YEC2/Ann05/SOP7A/v1: Guidelines for reviewing a study protocol



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YEC2/Ann01/SOP7A/v1

Letter to YEC2 Members requesting Initial Review with study assessment form

To

Name of the Reviewer:

Dear Sir/Madam,

You are requested to review and return the protocol and related documents as per the guidelines attached (refer YEC2/Ann06/SOP7A/v2), and return the completed and signed assessment form (YEC2/Ann02/SOP7A/v2, to the YEC2 Secretariat, within 7 working days. This protocol is being kept for full review in the upcoming YEC2 meeting (details below)and you will be expected to make a brief presentation on this protocol before the members start the discussion. Thank you,

Signature of the YEC2 member reviewer (with date):

The next meeting of the YEC2 will be held on

Date: Time: Venue

Kindly confirm your availability for the YEC2 meeting.

Attending Yes / No

Details of the protocols for initial full review

Protocol No.

Title of the study:

Principal investigator:

Department:

two days.

Date of receipt of protocol for review:

Last date for submission of review report:

If you have any conflict of interest in reviewing the protocol, kindly inform within two days. If you are unable to complete the review process due to other engagements, kindly inform within

YEC2/Ann02/SOP7A/v2

Reviewer"s Assessment Form for Clinical trial protocol				
Protocol Number:				
Date:				
Protocol Title:				
Principal Investigator:				
Department:				



Institution:

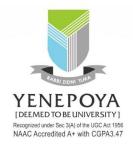
YENEPOYA ETHICSCOMMITTEE 2

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	Number of study sites:		
	Number of participants in the		
	site:		
	Name of the reviewer		
	Date assigned for review		
	aration of conflict of interest by reviewe		
	s, please specify and return document pack	age to YEC2 Secretariat within 2 a	ays of receipt.
Plea	se maintain confidentiality.		
Mar	k and comment on the following items as	s annlicable	
1	Objectives of the Study	What should be improved?	
	□ Clear □ Unclear	1	
2	Need for Human Participants	Comments:	
4	Yes No	Comments.	
3	Methodology:	What should be improved?	
	□ Clear □ Unclear	mproved	
4	Background Information and	Comments:	
	Data		
	□ Sufficient □ Insufficient		
1.	Risks and Benefits Assessment	Comments:	
	□ Acceptable □ Unacceptable		
2.	Inclusion Criteria	Comments:	
	☐ Appropriate ☐ Inappropriate		
3.	Exclusion Criteria	Comments:	
	□ Appropriate □ Inappropriate		
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4.	Discontinuation and Withdrawal Criteria	Comments:
	☐ Appropriate ☐ Inappropriate	
5.	Involvement of Vulnerable	Comments:
	Participants:	
6.	Voluntary, non-coercive	Comments:
	recruitment of participants	
	□ Yes □ No	
7.	Sufficient number of participants?	Comments:
	□ Yes □ No	
8.	Control Arms (placebo, if any)	Comments:
8.	Control Arms (placebo, if any) □ Yes □ No	Comments:
	□ Yes □ No	
9.	☐ Yes ☐ No Are qualifications and experience	Comments:
	☐ Yes ☐ No Are qualifications and experience of the investigators appropriate?	
	☐ Yes ☐ No Are qualifications and experience	
	☐ Yes ☐ No Are qualifications and experience of the investigators appropriate?	
	☐ Yes ☐ No Are qualifications and experience of the investigators appropriate?	
	☐ Yes ☐ No Are qualifications and experience of the investigators appropriate?	
	☐ Yes ☐ No Are qualifications and experience of the investigators appropriate?	
9.	 □ Yes □ No Are qualifications and experience of the investigators appropriate? □ Yes □ No 	Comments:
9.	 ☐ Yes ☐ No Are qualifications and experience of the investigators appropriate? ☐ Yes ☐ No Disclosure or Declaration of 	Comments:
9.	 ☐ Yes ☐ No Are qualifications and experience of the investigators appropriate? ☐ Yes ☐ No Disclosure or Declaration of Potential Conflicts of Interest ☐ Yes ☐ No 	Comments:
9.	 □ Yes □ No Are qualifications and experience of the investigators appropriate? □ Yes □ No Disclosure or Declaration of Potential Conflicts of Interest □ Yes □ No Facilities and infrastructure of 	Comments:
9.	☐ Yes ☐ No Are qualifications and experience of the investigators appropriate? ☐ Yes ☐ No Disclosure or Declaration of Potential Conflicts of Interest ☐ Yes ☐ No Facilities and infrastructure of participating Sites	Comments:
9.	 □ Yes □ No Are qualifications and experience of the investigators appropriate? □ Yes □ No Disclosure or Declaration of Potential Conflicts of Interest □ Yes □ No Facilities and infrastructure of 	Comments:

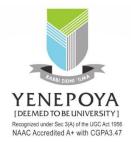


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12.	Community Consultation:	Comments:
	□ Yes □ No □ NA	
13.	Benefit to Local Communities	Comments:
13.		Comments.
	□ Yes □ No	
14.	Contribution to development of	Comments:
	local capacity for research and	
	treatment	
	□ Yes □ No	
15.	Availability of similar Study /	Comments:
	Results: Yes No	
16.	Are blood/tissue samples sent	Comments:
	abroad?	
	□ Yes □ No	
17.	A wa manaadamaa fa mahtainina	Comments
17.	Are procedures for obtaining	Comments:
	Informed Consent appropriate?	
	□ Yes □ No	
18.	Contents of the Informed Consent	Comments:
	Document:	
	□ Clear □ Unclear	
19.	Language of the informed consent	Comments:
17.	Document and participant	Comments.
	information sheet:	
	□ Clear □ Unclear	
I	1	I .



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20.	Contact persons for participants	Comments:
	□ Yes □ No	
24		
21.	Privacy & Confidentiality	Comments:
	adequately maintained	
	□ Yes □ No	
22.	Inducement for Participation	Comments:
	□ Unlikely □ Likely	
23.	Provision for Compensation for	Comments:
	Participation	
	☐ Appropriate ☐ Inappropriate	
24.	Provision for Treatment for	Comments:
	Study-Related Injuries	
	☐ Appropriate ☐ Inappropriate	
25.	Provision for Compensation for	Comments:
	Study Related Injuries	
	□ Appropriate □ Inappropriate	

Reviewer"s signature with date:



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YEC2/Ann03/SOP7A/v2

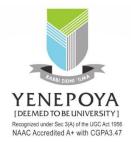
Decision Form Date of YEC2 meeting: Protocol number: Title: Principal investigator: Department: Type of review: Full review: Expedited review: Final decision at the YEC2 meeting: f Approved: f Approved with modifications: (modifications) f Resubmission (with reasons) f Disapproved (with reasons):

Continuing review:

Annual

Frequent (with frequency and dates of continuing review):

Comments:

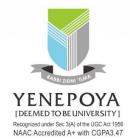


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Names of members and decision								
S.	Members present	Approved	Modification	Revision	Disapproved	Signature		
No.								
1								
2								
3								
4								
5								
6								
7								
8								
9								
Com	nments:							
No.	of members voting "F	OR" the deci	sion:					
No.	of members voting "A	GAINST" th	e decision:					
No.	No. of members abstaining from voting:							
Signa	ture of the Member-S	Secretary/Cha	irperson					
Date:								



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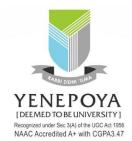
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YEC2/Ann04/SOP7A/v1

Approval letter format for regulated clinical trial (interventional)

1 1		0			,	
Date:						
To						
Dr.						
Depar	rtment:					
Ref:	The study pro	tocol no. YE	C2/ titled,	"".		
Sub:	Letter no.					
Dear	Dr./Mr./Ms.,					
The n	neeting of Yene	poya (Deeme	d to be Unive	ersity) Ethics Co	ommittee (YEC2)	was held on
at	, in the	. Dr.	Chaired	d the meeting.		
The	list of members	who attended	d the meeting	g is as follows.		
Sl	Name		Position	Designation	Qualification	Gender
No			in YEC2			



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It is hereby confirmed that neither you nor any of the study team members have participated in the voting/decision making procedures of the committee.

The YEC2 reviewed the above mentioned clinical study and approved the following documents submitted for this clinical study at the meeting.

- Xxxyyyzzz
- 2. Xxxyyyyzzzz
- 3. xxxyyyyyyzzzzz

The YEC2 hereby approves the proposal No. titled, "________.".

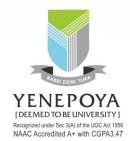
It is understood that the study will be conducted under your direction, on a total of research participants, at (*Insert name of centre here*) as per the submitted protocol.

This approval is valid for the entire duration of the study, or one calendar year from the date of this approval, whichever is earlier.

It is the policy of YEC2 that, it be informed about any onsite serious adverse event or the unexpected adverse event report within 24 hours as per the formats specified in YEC2/SOP09/v1 to the YEC2 Secretariat or by email if there is holiday, the detailed report can follow later. The report of SAE or death after due analysis shall be forwarded by the Investigator to the YEC2 Secretariat and the head of the institution where the trial is been conducted within 10 calendar days of SAE or death.

In case of injury, the sponsor (whether a pharmaceutical company or an institution) or their representative, whosoever had obtained permission from the Licensing Authority for conduct of the clinical trial shall make necessary arrangements or payments for medical management of the subject and also provide financial compensation for the clinical trial related injury or death.

No deviations from, or changes of the protocol and informed consent document should be initiated without prior written approval by YEC2 of an appropriate amendment. YEC2



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expects that the investigator should promptly report to YEC2 any deviations from, or changes of, the protocol to eliminate immediate hazards to the research participants and about any new information that may affect adversely the safety of the research participants or the conduct of the trial.

For studies which will continue for more than a year, a continuing review report needs to be submitted (within 1 month of the due date of approval expiry i.e. 11 months from the date of approval) on or before_.

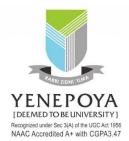
A copy of the final report should be submitted to the YEC2 for review.

YEC2 functions in accordance with ICH GCP, Schedule Y, ICMR guidelines and other applicable regulatory requirements and is registered with the DCGI (CDSCO) vide their letter No. *********************************, valid for three years.

Sincerely yours

Member-Secretary/Chairperson, YEC2

Date of approval of the study: XX/XX/20XX



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YEC2/Ann05/SOP7A/v1

2. Xxx

Approval letter format for any research study

Date			-		
To,					
Dr./Mr./Ms.					
Department:					
Ref: The study pro	otocol no.	YEC2/	entitled,	, "	·.
Sub: Letter no.					
Dear Dr./Mr./Ms.					
YEC2 meeting nu	mber:				
Date:					
Venue:					
Chairperson:					
Number of members	ers present:				
Members present:					
Name	Position	in Designat	ion	Qualification	Gender
	YEC2				
It is hereby confir	med that neithe	r you nor any	of the st	tudy team members	s have participated
in the voting/decis	sion making pro	cedures of the	e commit	tee.	
The YEC2 has re	eviewed and ap	proved the f	ollowing	documents submit	tted for the above
mentioned clinica	l study.				
1. Xxx					

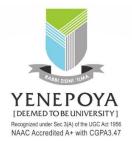


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3. xxx						
The	YEC2	hereby	approves	the	proposal	entitled,
· ·						
It is unde	erstood that tl	he study will be	e conducted und	er your dir	ection as per the	submitted
protocol.						
Number	of participants	3:				
Site:						
Period of	validity of et	hics approval:				
No devia	tions from, o	r changes of th	e protocol and I	nformed C	onsent Documen	it should be
initiated	without prior	written approva	al by the YEC2 o	f an approp	riate amendment	-
The YE	C2 expects t	hat the invest	igator should p	promptly r	report to the	YEC2 any
deviation	s from, or ch	anges of, the p	rotocol to elimin	nate immed	liate hazards to t	the research
participa	nts and abou	t any new info	ormation that m	ay affect	adversely the sa	afety of the
research	participants of	r the conduct of	f the trial.			
For studi	es which will	continue for m	nore than a year,	a continuin	g review report	needs to be
submitted	d (within 1 m	onth of the due	e date i.e. 11 mo	onths from	the date of appr	oval) on or
before		·				
A copy o	f the final rep	ort should be su	ibmitted to the Y	EC2 for rev	view.	
The YEC	22 functions in	n accordance w	ith ICH GCP, S	chedule Y,	ICMR guideline	es and other
applicabl	e regulatory r	equirements and	d is registered w	ith the DCC	GI (CDSCO) vide	e their letter
No. ****	******	:*****	*****8, valid fo	r three year	S	
Sincerely	yours					
Member-	Secretary/Cha	airperson, YEC	2			
(Signed a	and dated by the	he YEC2 Chair	person or Member	er-Secretar	y	
Date of a	pproval of the	e study:				



DCGI Registration No.: ECR/1337/Inst/KA/2020 DHR registration No.: EC/NEW/INST/2020/1216

Initial full review of research study protocols YEC2/SOP07A/v2

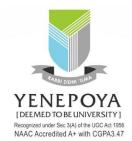
Effective Date: 25.02.2023

YEC2/Ann06/SOP7A/v1

Guidelines for reviewing a study protocol

Reviewers should make use of the following points while reviewing research studies which relate to scientific validity, informed consent documents, placebo justification, suitability and feasibility of the study, advertisements review.

- 1. How will the knowledge, result or outcome of the study contribute to human well-being?
- a. Knowledge from the basic research may possibly benefit.
- b. A new choice of method, drug or device that benefits the research participants during the study and others in the future.
- c. Provide safety data or more competitive choices.
- 2. Will the study design be able to give answers to the objectives? Whether the endpoints are appropriately selected?
- a. The participating duration of a study participant is adequate to allow sufficient change in the endpoints.
- b. The control arm is appropriately selected for best comparison.
- c. The placebo is justified.
- d. The number of study participants in non-treatment (or placebo) arm is minimized.
- e. Unbiased assignment (e.g. randomization, etc.) is in practice.
- f. Inclusion and exclusion criteria are carefully selected to eliminate confounding factors as much as possible.
- g. The sample group size appropriate with the given statistical assumptions.
- h. Predictable risks are minimized.
- i. The tests and procedures that are more than minimal risk are cautiously used.
- j. Research participants deception is avoid.
- k. Instruction and counselling for study participants are included (if needed) when deception is integral to the study design.
- 1. The study participants are adequately assessed and provided follow-up care, if needed.
- 3. Who will be the participants in the study? Whether the described population is appropriate for the study?



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- a. Predictable vulnerabilities are considered.
- b. It is completely necessary to conduct the study in a vulnerable population. If not, is there any other way to get the study answers?
- c. There will be secondary participants.

4. Do the inclusion and exclusion criteria:

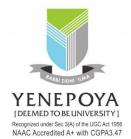
- a. Selectively include participants most likely to serve the objective of the study?
- b. Equitably include participants?
- c. Properly exclude participants who can predictably confound the results?
- d. Properly exclude participants who may predictably be at increased risk in the study due to coexisting conditions or circumstances?

5. Does the study design have adequate built-in safeguards for risks?

- a. Appropriate screening of potential participants?
- b. Use of a stepwise dose escalation with analysis of the results before proceeding?
- c. Does the frequency of visits and biological samplings reasonably monitor the expected effects?
- d. Are there defined stopping (discontinuation) / withdrawal criteria for participants with worsening condition?
- e. Is there minimized use of medication withdrawal and placebo whenever possible?
- f. Will rescue medications and procedures be allowed when appropriate?
- g. Is there a defined safety committee to perform interim assessments, when appropriate?
- h. Is appropriate follow-up designed into the study? For instance, gene transfer research may require following the participants for years or for their entire lifetime after they receive the gene transfer agent

6. Is pre-clinical and/or early clinical studies sufficiently performed before this study?

- a. The animal study and in vitro testing results?
- b. Previous clinical results, if done?
- c. Whether the proposed study is appropriately built on the pre-clinical and/or early clinical results.
- d. The selected dose based on adequate prior results?



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- e. Monitoring tests designed to detect expected possible risks and side effects?
- 7. Do the study and the informed consent process include issues of special concern, such as:
- a. Waiver or alteration of consent?
- b. Delayed consent (e.g., emergency treatment, etc.)?
- c. Deception?
- d. Sensitive information of participants that may require a confidentiality statement?

Guidelines to review Informed Consent Document/Patient Information Sheet

The actual process of informed consent should:

- a. Give the participants significant information about the study.
- b. Make sure the participants have enough time to carefully read and consider all options.
 - c. Answer all questions of the participants before making decision to participate.
 - d .Explain risks or concerns to the participants.
 - f. Make sure that all information is understood and satisfied by the participants.
 - g. Make sure the participants understand the study and the consent process.
 - h. Obtain voluntary informed consent to participate.
 - i. Make sure the participants can freely consent without coercion, pressure or other undue influences.
 - i. Consent should be informally verified on a continuing basis.
 - k. Continue to inform the participants throughout the study.

Continue to re-affirm the consent to participate throughout the study.

Guidelines to Placebo Justification

Background conditions, such as benefits of standard treatment, risk of using placebo, risk management and disclosure should be considered.

1. Benefits of standard treatment

- a. Is there a standard treatment?
- b. Is the standard treatment widely accepted?
- c. Has efficacy of the treatment been consistently proven?
- d. Are all newly diagnosed patients with this condition put in standard treatment (versus observed or other)?
- e. Does the treatment act on the basic mechanism of the disease (vs. symptoms)?
- f. Are most (More than 85%) of the patients with this condition responsive to standard treatment alternatives (vs. resistant or refractory)?

YENEPOYA [DEEMED TO BE UNIVERSITY] Recognized under Sec 3(A) of the UGC Act 1956 NAAC Accredited A+ with CGPA3.47

YENEPOYA ETHICSCOMMITTEE 2

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- g. If the answers of (1) to (6) are "yes", placebo is not recommended. If any one or more answers are "no", placebo may be possible.
- h. Are the side effects of the standard treatment severe?
- i. Does standard treatment have many uncomfortable side effects?
- j. Does standard treatment have contraindications that prevent some research participants from being treated?
- k. Is there substantial (less than 25%) placebo response in this disease or symptom?
- 1. If the answer of (g) to (h) are "no", placebo is not recommended. If any one or more answers are "yes", placebo may be possible.

2. Risks of placebo

- a. Is the risk of using placebo instead of treatment life threatening?
- b. If yes, placebo is not acceptable.
- c. Is the use of placebo instead of treatment likely to lead to permanent damage?

If yes, placebo is not acceptable.

d. Is the risk of using placebo instead of treatment likely to cause irreversible disease progression?

If yes, placebo is not acceptable.

- e. Can the use of placebo instead of treatment lead to an acute emergency?
- f. Is the risk of using placebo instead of treatment the persistence of distressing symptoms?
- g. Is the risk of using placebo instead of treatment severe physical discomfort or pain?
- h. If answers of (d) to (f) are "yes", placebo is not acceptable unless risk management is adequate.

3. Risk management

a. Is there benefit in the overall management of the research participants?

If Yes, consider placebo

If No, placebo not recommended.

b. Will the discontinuation of previous treatment put the participant in danger of acute relapse when transferred to placebo?

If No, consider placebo

If Yes, placebo not recommended.

c. Are research participants at high risk for the use of placebo excluded?



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Yes, consider placebo

No, placebo not recommended.

d. Is the duration of the study the minimum necessary in relation to the action of the drug?

Yes, consider placebo

No, placebo not recommended.

e. Are there clearly defined stopping rules to withdraw the research participants in case he/she does not improve?

Yes, consider placebo

No, placebo not recommended.

f. Is risk monitoring adequate to identify progression of the disease before the research participants experience severe consequences?

Not applicable.

Yes, consider placebo

No, placebo not recommended.

g. Are there clearly defined stopping rules to withdraw the research participants before the advent of severe disease progression?

Yes, consider placebo

No, placebo not recommended.

h. If the risk of placebo is an acute emergency, are rescue medication and emergency treatment available?

Not applicable.

Yes, consider placebo

No, placebo not recommended.

i. If the risk of placebo is the persistence of distressing symptoms, is concurrent medication to control them allowed?

Not applicable.

Yes, consider placebo.

No, placebo not recommended.

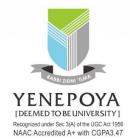
j. If the risk of placebo is severely physical discomfort or pain, is there rescue medication?

Not applicable.

Yes, consider placebo.

No, placebo not recommended.

5. Risk disclosure in the consent form



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- a. Are the risks of getting placebo instead of active treatment fully disclosed?
 - Yes, consider placebo.
- b. Are the risks of the test drug disclosed?
 - Yes, consider placebo.
- c. Are the advantages of alternative treatments explained?
 - Yes, consider placebo.

6. Conclusions:

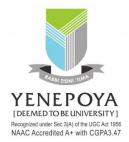
The use of placebo is ethically acceptable when

- The research participants are not exposed to severe or permanent harm by the use of placebo.
- ii. The research participants under placebo will benefit from the overall treatment of the disease.
- iii. The risks of the use of placebo are minimized.
- iv. The risks are adequately disclosed in the consent form.

7. Guidelines to review advertisements

Advertisements are limited to the information of prospective participants need to determine their eligibility and interest, such as:

- a. The name and address of the researcher or research facility.
- b. The purpose of the research or the condition under study.
- c. In summary form, the criteria that will be used to determine eligibility for the study.
- d. A brief list of benefits to participants, if any.
- e. The time or other commitment required of the participants.
- f. The location of the research and the person or office to contact for further information
- **8.** The IEC reviews advertising to ensure that advertisements DO NOT:
- a. State or imply a certainty of favourable outcome or other benefits beyond what is outlined in the consent document and the protocol.
- b. Include exculpatory language.
- c. Emphasize the payment or the amount to be paid, by such means as larger or bold type
- d. Promise "free treatment" when the intent is only to say participants will not be charged for taking part in the investigation.



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7. Flow chart:

Receive package or research proposal and research related documents package YEC2 Secretariat Verify contents and distribute YEC2 Secretariat Appointment of primary reviewers Member Secretary and Chairperson YEC2 board meeting, discussion and decision YEC2 Members/ Member Secretary / Chairperson YEC2 decision communicated to PI YEC2 Secretariat Storage of study related documents with relevant correspondence YEC2 Secretariat