



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 <i>Leena</i> 25/02/2023
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Reviewed by:

Dr. Vijaya Hegde Member, YEC2 SOP committee	Signature with Date <i>Vijaya</i> 25/02/23
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Approved by:

Dr. Prasanna Keshava B Chairperson, YEC2	Signature with Date <i>Prasanna Keshava B</i> 25/02/23
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Notified by:

Registrar, Yenepoya (Deemed to be university) Notification No: Ref: No/YU/REG/ACA/YEC-2/SOP/2023 Date: 25.02.2023	Signature with Date <i>ks Somayaj</i> 14/10/23 Registrar YENEPOYA (Deemed to be University)
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Initial full review of research study protocols

YEC2/SOP07A/v2

Effective Date: 25.02.2023

Details of superseded SOP 07A/v1

Subcommittee name	Convenor	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 name	convenor	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



Initial full review of research study protocols

YEC2/SOP07A/v2

Effective Date: 25.02.2023

Table of Contents:

No.	Contents	Page No.
1	Purpose	03
2	Scope	03
3	Responsibility	03
4	Detailed Instructions	07
5	Reference to other relevant SOPs	13
6	Annexure	13
7	Flowchart	32



Initial full review of research study protocols

YEC2/SOP07A/v2

Effective Date: 25.02.2023

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/



Initial full review of research study protocols

YEC2/SOP07A/v2

Effective Date: 25.02.2023

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 2 days. 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 4th 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 vec2@venepova.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 to each 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



Initial full review of research study protocols

YEC2/SOP07A/v2

Effective Date: 25.02.2023

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:



Initial full review of research study protocols

YEC2/SOP07A/v2

Effective Date: 25.02.2023

- 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 yec2@yenepoya.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.



Initial full review of research study protocols

YEC2/SOP07A/v2

Effective Date: 25.02.2023

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 yec2@yenepoya.edu.in

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



Initial full review of research study protocols

YEC2/SOP07A/v2

Effective Date: 25.02.2023

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 local language (ICF, PIS)

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



Initial full review of research study protocols

YEC2/SOP07A/v2

Effective Date: 25.02.2023

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 for clarification 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 the informed 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



Initial full review of research study protocols

YEC2/SOP07A/v2

Effective Date: 25.02.2023

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.



Initial full review of research study protocols

YEC2/SOP07A/v2

Effective Date: 25.02.2023

If necessary, an 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 to make 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



Initial full review of research study protocols

YEC2/SOP07A/v2

Effective Date: 25.02.2023

- 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



Initial full review of research study protocols

YEC2/SOP07A/v2

Effective Date: 25.02.2023

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



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

Effective Date: 25.02.2023

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:

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 two days.

YEC2/Ann02/SOP7A/v2

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



Initial full review of research study protocols

YEC2/SOP07A/v2

Effective Date: 25.02.2023

Institution:	
Number of study sites:	
Number of participants in the site:	
Name of the reviewer	
Date assigned for review	

Declaration of conflict of interest by reviewer: Yes / No

*If yes, please specify and return document package to YEC2 Secretariat within 2 days of receipt.
Please maintain confidentiality.*

Mark and comment on the following items as applicable

1	Objectives of the Study <input type="checkbox"/> Clear <input type="checkbox"/> Unclear	What should be improved?
2	Need for Human Participants <input type="checkbox"/> Yes <input type="checkbox"/> No	Comments:
3	Methodology: <input type="checkbox"/> Clear <input type="checkbox"/> Unclear	What should be improved?
4	Background Information and Data <input type="checkbox"/> Sufficient <input type="checkbox"/> Insufficient	Comments:
1.	Risks and Benefits Assessment <input type="checkbox"/> Acceptable <input type="checkbox"/> Unacceptable	Comments:
2.	Inclusion Criteria <input type="checkbox"/> Appropriate <input type="checkbox"/> Inappropriate	Comments:
3.	Exclusion Criteria <input type="checkbox"/> Appropriate <input type="checkbox"/> Inappropriate	Comments:



Initial full review of research study protocols

YEC2/SOP07A/v2

Effective Date: 25.02.2023

4.	Discontinuation and Withdrawal Criteria <input type="checkbox"/> Appropriate <input type="checkbox"/> Inappropriate	Comments:
5.	Involvement of Vulnerable Participants: <input type="checkbox"/> Yes <input type="checkbox"/> No	Comments:
6.	Voluntary, non-coercive recruitment of participants <input type="checkbox"/> Yes <input type="checkbox"/> No	Comments:
7.	Sufficient number of participants? <input type="checkbox"/> Yes <input type="checkbox"/> No	Comments:
8.	Control Arms (placebo, if any) <input type="checkbox"/> Yes <input type="checkbox"/> No	Comments:
9.	Are qualifications and experience of the investigators appropriate? <input type="checkbox"/> Yes <input type="checkbox"/> No	Comments:
10.	Disclosure or Declaration of Potential Conflicts of Interest <input type="checkbox"/> Yes <input type="checkbox"/> No	Comments:
11.	Facilities and infrastructure of participating Sites <input type="checkbox"/> Appropriate <input type="checkbox"/> Inappropriate	Comments:



Initial full review of research study protocols

YEC2/SOP07A/v2

Effective Date: 25.02.2023

12.	Community Consultation: <input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> NA	Comments:
13.	Benefit to Local Communities <input type="checkbox"/> Yes <input type="checkbox"/> No	Comments:
14.	Contribution to development of local capacity for research and treatment <input type="checkbox"/> Yes <input type="checkbox"/> No	Comments:
15.	Availability of similar Study / Results: <input type="checkbox"/> Yes <input type="checkbox"/> No	Comments:
16.	Are blood/tissue samples sent abroad? <input type="checkbox"/> Yes <input type="checkbox"/> No	Comments:
17.	Are procedures for obtaining Informed Consent appropriate? <input type="checkbox"/> Yes <input type="checkbox"/> No	Comments:
18.	Contents of the Informed Consent Document: <input type="checkbox"/> Clear <input type="checkbox"/> Unclear	Comments:
19.	Language of the informed consent Document and participant information sheet: <input type="checkbox"/> Clear <input type="checkbox"/> Unclear	Comments:



Initial full review of research study protocols

YEC2/SOP07A/v2

Effective Date: 25.02.2023

20.	Contact persons for participants <input type="checkbox"/> Yes <input type="checkbox"/> No	Comments:
21.	Privacy & Confidentiality adequately maintained <input type="checkbox"/> Yes <input type="checkbox"/> No	Comments:
22.	Inducement for Participation <input type="checkbox"/> Unlikely <input type="checkbox"/> Likely	Comments:
23.	Provision for Compensation for Participation <input type="checkbox"/> Appropriate <input type="checkbox"/> Inappropriate	Comments:
24.	Provision for Treatment for Study-Related Injuries <input type="checkbox"/> Appropriate <input type="checkbox"/> Inappropriate	Comments:
25.	Provision for Compensation for Study Related Injuries <input type="checkbox"/> Appropriate <input type="checkbox"/> Inappropriate	Comments:

Reviewer's signature with date:



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

Effective Date: 25.02.2023

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: <input type="checkbox"/> Approved: <input type="checkbox"/> Approved with modifications: (modifications) <input type="checkbox"/> Resubmission (with reasons) <input type="checkbox"/> Disapproved (with reasons):
Continuing review: Annual Frequent (with frequency and dates of continuing review):
Comments:



Initial full review of research study protocols

YEC2/SOP07A/v2

Effective Date: 25.02.2023

Names of members and decision						
S. No.	Members present	Approved	Modification	Revision	Disapproved	Signature
1						
2						
3						
4						
5						
6						
7						
8						
9						
Comments:						
No. of members voting „FOR“ the decision:						
No. of members voting „AGAINST“ the decision:						
No. of members abstaining from voting:						
Signature of the Member-Secretary/Chairperson						
Date:						



Initial full review of research study protocols

YEC2/SOP07A/v2

Effective Date: 25.02.2023

YEC2/Ann04/SOP7A/v1

Approval letter format for regulated clinical trial (interventional)

Date:

To

Dr.

Department:

Ref: The study protocol no. YEC2/ titled, “ ”.

Sub: Letter no.

Dear Dr./Mr./Ms.,

The meeting of Yenepoya (Deemed to be University) Ethics Committee (YEC2) was held on
at , in the . Dr. Chaired the meeting.

The list of members who attended the meeting is as follows.

Sl No	Name	Position in YEC2	Designation	Qualification	Gender



Initial full review of research study protocols

YEC2/SOP07A/v2

Effective Date: 25.02.2023

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.

1. 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



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

Effective Date: 25.02.2023

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



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

Effective Date: 25.02.2023

YEC2/Ann05/SOP7A/v1

Approval letter format for any research study

Date

To,

Dr./Mr./Ms.

Department:

Ref: The study protocol no. YEC2/ entitled, “_____”.

Sub: Letter no.

Dear Dr./Mr./Ms.

YEC2 meeting number:

Date:

Venue:

Chairperson:

Number of members present:

Members present:

Name	Position in YEC2	Designation	Qualification	Gender

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 has reviewed and approved the following documents submitted for the above mentioned clinical study.

1. Xxx
2. Xxx



Initial full review of research study protocols

YEC2/SOP07A/v2

Effective Date: 25.02.2023

3. xxx

The YEC2 hereby approves the proposal entitled,
“ _____ ”.

It is understood that the study will be conducted under your direction as per the submitted protocol.

Number of participants:

Site:

Period of validity of ethics approval:

No deviations from, or changes of the protocol and Informed Consent Document should be initiated without prior written approval by the YEC2 of an appropriate amendment.

The YEC2 expects that the investigator should promptly report to the 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 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.

The 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. *****8, valid for three years..

Sincerely yours

Member-Secretary/Chairperson, YEC2

(Signed and dated by the YEC2 Chairperson or Member-Secretary

Date of approval of the study:



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.
- l. 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?



Initial full review of research study protocols

YEC2/SOP07A/v2

Effective Date: 25.02.2023

- 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?



Initial full review of research study protocols

YEC2/SOP07A/v2

Effective Date: 25.02.2023

- 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.
 - j. 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)?



Initial full review of research study protocols

YEC2/SOP07A/v2

Effective Date: 25.02.2023

- 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?
- l. **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?



Initial full review of research study protocols

YEC2/SOP07A/v2

Effective Date: 25.02.2023

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



Initial full review of research study protocols

YEC2/SOP07A/v2

Effective Date: 25.02.2023

- 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

- i. 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.



Initial full review of research study protocols

YEC2/SOP07A/v2

Effective Date: 25.02.2023

7. Flow chart:

