Title: Review of Protocol Amendments

SOP Code: SOP/12/V1.2

Effective date : 07/11/2017

Table of Contents

1. Purpose

The purpose of this procedure is to describe how protocol amendments are managed and reviewed by the IEC

2. Scope

This SOP applies to previously approved study protocols but later being amended and submitted for approval by the IEC. Amendments made to protocols may not be implemented until reviewed and approved by the IEC.

3. Responsibility

It is the responsibility of the IEC Secretariat to manage protocol amendments. Investigators may amend the contents of protocols from time to time. Amendments may be submitted for either "expedited" review by the same Primary reviewers or full IEC review.

4. Flow chart

5. Detailed instructions

No.	Activity	Responsibility
1	Receive the Amendment Package ↓	IEC Secretariat
2	Check for completeness ↓	IEC Secretariat
3	Determine whether Expedited or Full Review ↓	IEC Secretariat / Chairperson
4	Provide it to only assigned primary reviewers/full review ↓	IEC Secretariat
5	Amendment Review Process ↓	IEC Secretariat/EC Members /Chairperson
6	Inform the Principal Investigator ↓	IEC Secretariat
7	Store Documents	IEC Secretariat

5.1 Manage the Amendment Documents/ Package

- The amendment documents are prepared by the Principal Investigator.
- Upon receipt of the amendment documents, the Secretariat of the IEC should follow the receiving procedure in SOP/06/V1.5 (Management of Protocol Submission) and SOP/23/V1.1 (Maintaining Confidentiality of IEC Documents).

- Request for Amendment of the Protocol by the Principal Investigator on an existing and previously approved protocol should be made in the covering letter to the chairperson. The request should:
  - State/describe the list of amendments

- Provide the reason/justification for the amendment

- The Secretariat will ensure whether all the required documents are submitted.

5.2 **Determine whether expedited or full review.**

After review of the materials, the Member Secretary in consultation with Chairperson will determine whether the protocol requires expedited or full review.

- Refer to SOP/07/V3.2 for Expedited Review.
- Refer to SOP/08/V1.7 for Initial Review.
- Protocol amendments which increase risk to study participants, as judged by the Chairperson, such as a change in study design, which may include but is not limited to:
  - additional treatments or the deletion of treatments
  - any changes in inclusion/exclusion criteria
  - change in method of dosage formulation, such as, oral changed to intravenous
  - significant change in the number of subjects (Increase: if there are <20 subjects enrolled, change of 5 is significant; if there are >20 subjects enrolled, a change of 20% is significant – Decrease: if the decrease in the number of subjects alters the fundamental characteristics of the study, it is significant)
  - significant decrease or increase in dosage amount
    - If the Chairperson decides, the protocol requires full IEC approval, the Chairperson will indicate this decision on the Checklist, sign and date the form.
    - The Secretariat places the protocol amendment request on the agenda for the next convened meeting.

  The following documents are distributed:
  - The amendment's revision documents to clearly identify each change.
  - Requested changes to the consent form, if applicable

5.3 Send the documents to only assigned primary reviewers/full review and Chairperson of the IEC

- The Secretariat should send the documents to only assigned primary reviewers/full review of the IEC.
- Keep "Sent" and "Received" acknowledgement on hard copy (Signature for received) related to the notification of the Chairperson in the protocol file under the Correspondence section.
- Follow IEC SOP/23/V1.1 in preparing and distributing the documents.

5.4 Expedited Review

- Refer to SOP/07/V3.2 for expedited review procedure.

5.5 Full Review by the IEC

- Refer to SOP/08/V1.7 for Initial Review.
- See section 5.6

5.6 Protocol Amendment Review Process

5.6.1 Review amended protocols

- Use the process outlined in the Study Assessment Form (see SOP/06/V1.5) to review amended protocols and protocol-related documents.
- Note recommendations for changes to the protocol and/or informed consent requested by IEC Members in the minutes as "with modifications made by EC' and will be communicated to the investigator.

The Chairperson and the EC members can give the following decisions:

- Approve the protocol amendment as is with no modification in the Participant Information Sheet and Informed Consent Document.
- Require a modification to the proposed amendment or informed consent documents, stating the reason and action required to sustain the study with a follow-up full IEC review
- Request further information regarding the amendment and the effects of the amendments on the approved study
- Not approve the amendment request, stating the reason – but allow the study to continue as previously approved
  - If the IEC approves the protocol amendment, the Secretariat staff communicates this decision to the investigator.
  - If the IEC does not approve the protocol amendment, the Chairperson notifies the investigator in writing of the decision and the reason for not approving the amendment.
  - Keep the minutes of the meeting relevant to the discussion and the decision reached by the IEC as the official records of the amendment review process.

5.7 Notify the Principal Investigator.

- Send a signed and dated Minutes copy to the Principal Investigator for their records.
- The Principal Investigator should then provide a copy with bold and strikethrough which would be checked by Secretariat and assigned reviewers as mentioned in the Minutes. Further a "clean" copy (Without bold and strikethrough) of the protocol and related documents should be submitted by the Principal Investigator to the Secretariat of the IEC.

5.8 Store documents.

Place the original completed documents, the "clean" version of the protocol and related documents in the protocol file with the other documents pertaining to the amendment.

6. Glossary

Amendment protocol: A package of the amended parts and related documents of Package, the protocol, previously approved by the IEC. In the course of the study, the Principal Investigator may decide to make changes in the protocol.

Clinical trial office: An institute or an office where the study takes place and where the principal investigator and/or his/her staff may be reached.

Expedited approval: An IEC approval granted only by the Chairperson of the .... *INSTITUTE* …. IEC or a designated .... *INSTITUTE* …. IEC member (not the full IEC) for minor changes to current IEC approved research activities and for research which involves no more than minimal risk, as stated in the SOP/08/V1.7.

7. References

7.1 World Health Organization, Operational Guidelines for Ethics Committees that Review Biomedical Research, 2000.

7.2 International Conference on Harmonization, Guidance on Good Clinical Practice (ICH GCP) 1996.

7.3 Code of Federal Regulation (CFR), 21 §56.110, The United States of America, 1998

7.4 Forum for Ethical Review Committees in Asia and the Western Pacific SOPs 2006

8. ANNEX

ANNEX 1 Document History	AF/EC/01/12/V1.2
ANNEX2 Request for Amendment of Study Protocol	AF/EC/02/12/V1.2

ANNEX 1 **AF/EC/01/12/V1.2**

Document History

Author	Version	Date	Description of the Change
Dr. Ragini Kulkarni	Version 1.1	24th September 2014	• Correction in bullet 5.3 2nd line instead of full review written as initial Review • Bullet 5.5 instead of full review written as initial Review • SOP and Annexure nos. changed
Dr. Ragini Kulkarni	Version 1.2	7th November 2017	• Pg. 3, Responsibility 'same primary reviewers to be assigned for amendments • Pg. 5, 5.6.1, Decision: Deleted 3rd bullet 'suspend..…is obtained'. • Pg. 5, 5.6.1, Decision: Modified 3rd bullet 'Not suspend …'. • Annexure 2 added for protocol amendments. • Change in the flow chart and accordingly in the SOPs

ANNEX 2 **AF/EC/02/12/V1.2**

Amendment of Study Protocol

Project No: Principal Investigator:

Name of the project:

Name of the Co-Investigator:

Collaborators:

Duration of the study: Ratio of the risk /benefit analysis:

Presented to EC – date: Approval date:

Study initiation- date:

Previous Amendments: 1. No ☐ 2. Yes ☐

If yes, date/s of approval given for the Amendment/s: _____

State/ describe the type of amendment:

1. Change in Title: ☐
2. Change in the Collaborator: ☐
3. Change in the sample size: ☐
4. Change in the study protocol: ☐
5. Any other: (Please specify)_____

Impact of Amendment on study:

Does the amendment change in ratio of the risk /benefit analysis:

Financial Status:

Any protocol deviation and violations:

Signature of the Principal Investigator with date: