Title: Amendment of Protocols and Protocol-related documents: Review

SOP Code: SOP9B/v3

Effective Date: 03/10/2019

Prepared by:

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Reviewed by:

Dr. Ravi Vaswani Member, YEC-1 SOP Subcommittee	Signature with date: 3 OCT 19

Approved by:

Dr. Vikram Shetty, Chairperson, YEC-1	Signature with date: 3/10/19

Notified by:

Registrar, Yenepoya deemed to be University	Signature with date: 3/10

Table of Contents:

1. **Purpose:** The purpose of this Standard Operating Procedure (SOP) is to describe how the YEC-1 manages the review of amended protocols and related documents
2. **Scope:** This SOP applies to the review of protocols and related documents that have been amended by the PI after initial approval from the YEC-1.
3. **Responsibility:**
   - 3.1. **YEC-1 Chairperson will**
     - 3.1.1. Ensure that all the amended protocol submissions are reviewed in a timely manner
   - **3.2. YEC-1 Member-Secretary will**
     - 3.2.1. Categorize the amended protocol as per the criteria laid down for initial review
     - 3.2.2. Communicate decision of YEC-1 to PI within 7 calendar days
   - **3.3. YEC-1 Secretarial staff will**
     - 3.3.1. Receive the amended protocol and check for completeness of the protocol and amendment related documents
   - **3.4. YEC-1 members will**
     - 3.4.1. Review the protocols and assess whether the amendments are acceptable with respect to the risk-benefit analysis
4. **Definitions**
   - **4.1. Amendment:** Any proposed change in the previously approved protocol which may include partial or complete, addition, deletion or modification in any one or more components of protocol including the title, research team, delegation log, study site, objectives, study design, methodology, intervention, sampling, sample size, inclusion-exclusion criteria, informed consent process, agreements, funding, or any other related document/procedure is referred to as an amendment before the changes are implemented.

5. **Detailed instructions for amendment of protocols:**
   - 5.1. **Receipt of application for amendment of protocols:**
     - 5.1.1. The secretarial staff will verify the completeness of the protocol amendment application form including signatures
     - 5.1.2. The Secretarial staff will also verify whether the amended protocol with an updated version has been submitted after highlighting the changes made in the protocol/related document
     - 5.1.3. The Secretarial staff will also verify whether the application for amendment is within the validity period of YEC-1 clearance
     - 5.1.4. The Secretariat will forward the following to the Member-Secretary
   - 5.2. **Categorization of the application for amendment of protocols:**
     - 5.2.1. The Member-Secretary will do an initial screening of the amendments in order to assess the change in the risk: benefit ratio to the participants
     - 5.2.2. Depending on the change in the risk to the participants, the amendments are categorized as given in SOP07/v3
       - 5.2.2.1. Full review if minimal or more than minimal risk to participants
       - 5.2.2.2. Expedited Review if less than minimal risk to the participant
     - 5.2.3. The categorization will be done within 2 calendar days of receiving the application for amendment of the protocol
   - 5.3. **Review process:**
     - 5.3.1. The Member-Secretary will assign reviewers based on the type of categorization of the protocol
     - 5.3.2. The Member-Secretary will assign the initial primary reviewers/lead discussants whenever possible.
     - 5.3.3. For full review of amended protocols, two reviewers are assigned depending

on the expertise and the type of protocol

5.3.4. For expedited review: One reviewer is assigned depending on the type of protocol and protocol amendment

5.3.5. The review of the amended protocols will focus on change on risk:benefit ratio to the participants owing to the amendment, if approved. The risk: benefit analysis will be done as per SOP7A/v3.

5.3.6. The review of the amended protocols will also include an assessment of how the samples/data already collected will be treated. (excluded from the study, included in the study). If included, how it would affect the scientific integrity and how it would impact the informed consent and the need for re-consent)

5.3.7. The reviewers will assess the protocol amendment within 7 calendar days.

5.3.8. The reviewers will return the completed and signed assessment form *(Ann01/SOP9B/v2)* with the provisional decision to the YEC-1

5.4. **The provisional decision made by the reviewers:**

5.4.1. May be approved

5.4.2. Clarification needed

5.4.3. Recommendation suggested

5.4.4. Requires discussion in the YEC-1 meeting

5.5. **The final decision on the amendment of protocols:**

5.5.1. For expedited review, the Member-Secretary will make the final decision based on the decision of the reviewers as detailed in SOP7B/v3. The final decision of approval is ratified in the subsequent YEC-1 meeting

5.5.2. For full review, the protocol amendment is included in the agenda of the subsequent YEC-1 meeting under the item of 'amended protocols.

5.5.3. The Member-Secretary or one of the reviewers will summarise the amendment of the protocol along with the risk:benefit assessment. The final decision is made as in SOP7A/v3.

5.5.4. For protocols classified under Full review, the discussion and decision is made as in SOP7A

5.5.5. For all applications for amendments, the decision should also be made on whether

5.5.5.1. The protocol requires audit/ site monitoring

5.5.5.2. The protocol requires increased frequency of continuing review

5.5.6. The final decision is recorded in the decision form

5.5.7. A copy of the approval letter is filed in the protocol file.

5.6. **Final Decision:** The final decision would include:

5.6.1. Approved

5.6.2. Resubmission with modification/clarification with reasons

5.6.3. Amendment not approved (with reasons) and the study allowed to continue without amendment

5.6.4. Amendment not approved (with reasons) and the study suspended

5.7. **Communication with the PI:**

5.7.1. The decision will be communicated with the PI within 7 calendar days of the final decision

5.7.2. If the decision of suspension of the study is made, the decision is communicated to the PI within 2 calendar days.

5.7.3. The approval letter must be as per the format Ann02/SOP9B/v3

5.7.4. The approval letter must state the versions of the documents approved and the study period approved

5.7.5. The approval letter must be stated to be read in conjunction with the initial EC approval

5.7.6. For protocol amendment requests which require modifications: Refer

Ann02/SOP9B/v3

6. Reference to other SOPs

6.1.1. SOP7A/v2 – Initial Full-Board Review of Research Study Protocols
6.1.2. SOP7B/v2 – Expedited Review of Research Study Protocol

7. Annexures

7.1. Ann01/SOP9B/v3 - Application for Protocol Amendment
7.2. Ann02/SOP9B/v3 - Categorisation, Assessment and Decision of Amended protocol
7.3. Ann03/SOP9B/v3 -Approval letter for Protocol Amendment

Ann01/SOP9B/v3: Application for Protocol Amendment

Principal Investigator (PI) please note: Submit a continuing review application form along with this application

Protocol Number (assigned by YEC-1):
Protocol title (as approved by YEC-1):
Name of the PI:
Department:
Names of all the research team members:

Issue and expiry dates of YEC-1 initial approval:
Issue and expiry date(s) of YEC-1 extensions of approval (list all):
Date(s) of previous amendment approvals, if any:

List of documents (with version numbers) previously approved (keep adding numbered rows):

1.
2.
3.

Overview of documents in which the amendment is proposed:

Protocol:	
Change in title:	Yes/No
Change in research team members (persons or order of investigators):	Yes/No
Change in guide (for postgraduate studies):	Yes/No
Change in sample size:	Yes/No
Change in sampling technique:	Yes/No
Change in inclusion/exclusion criteria:	Yes/No
Change in any other part of the methodology:	Yes/No
Case record form:	Yes/No
Participant Information Sheet:	Yes/No
Informed Consent Form:	Yes/No
Questionnaire (if any):	Yes/No
Any other (specify):	Yes/No

Detailed description of the amendment(s) (add rows as necessary):

S. No	Name/part of the document (Specify)	Original approved content	Amendment proposed	Justification	Reviewer's comment: Acceptable/ Not acceptable/ More information needed
1.					

Part B (Additional ethical considerations):

		Details/justification (Provide separate sheet if required)	Reviewers' assessment -each item
Will the amendment affect the scientific integrity of the study?	Yes/ No		
Will the amendment change the risk to the participants?	(Increase/ decrease/ no change)		
Will the amendment change the benefits to participants?	(Increase/ decrease/ no change)		
Will the amendment require change in the content of the participant information sheet and/or the informed consent form?	Yes/ No		
What does the PI propose to do with the the samples/data already collected?	Include/ exclude in data analysis		
If included, how would it impact the consent already provided	No impact/ re-consent will be taken		

Note to the PI and responsibility of the PI

1. *Any request for amendment of protocol will only be considered if applied for prospectively*
2. *Submit continuing review application form along with the application for protocol amendment (Ann04/SOP10/v3)*
3. *Include every change in the protocol/ related document clearly in the application form for amendment point by point*
4. *Submit the application for protocol amendment, at least one week before the YEC-1 meeting, so as to be included in that meeting.*
5. *Highlight all the changes made in the amended protocol documents (soft and hard copy), update the version number, insert page numbers and reflect these changes in the table given above.*
6. *Inform the other research team members (or guide where applicable) about all the changes made in the documents and seek their approval before submitting to YEC-1.*
7. *Implement the amended version of the protocol only after it is approved by YEC-1.*
8. *Any changes made in the protocol without prior YEC-1 approval will be considered as protocol deviation/violation and is therefore strongly discouraged.*
9. *PI should ensure concordance in the application form for amendment and the amended protocol version*

Ann02/SOP9B/v3:
Categorisation, Assessment and Decision of Amended protocol

Part A: Categorization
Type review: Expedited/Full review:
Names of the reviewers: 1. 2. **Signature of the Member-Secretary with date:**

B. Assessment and provisional decision of the Reviewer
Assessment of the resubmission based on the change in risk to participants and impact on scientific validity of the proposed amendment: 1. All the proposed amendments are acceptable: 2. The following amendments are not acceptable 3. Following are the additional queries/recommendations: a. b. 4. The justification/explanation is not acceptable:
Provisional decision by the reviewer: 1. May be approved 2. Clarification needed 3. Recommendation suggested 4. Requires discussion in the YEC-1 meeting
Signature of the Reviewer: **Date:**
Part C: Final Decision in the YEC-1
1. Approved 2. Resubmission with modification/clarification with reasons 3. Amendment not approved (with reasons) and the study allowed to continue without amendment 4. Amendment not approved (with reasons) and the study suspended
Signature of the Chairperson/ Member-Secretary

Ann 03/SOP9B/v3

Approval letter for Protocol Amendment

Subject: YEC-1 Protocol Amendment Approval Letter
Ref: Protocol no. YEC-1/ titled, " "
This approval letter is in continuation with and is applicable in conjunction with the YEC-1 Approval letter dated (DD/MM/YY) for the same protocol.
This approval is applicable to the protocol or protocol-related documents that have been amended and approved as listed below. Those protocol or protocol-related documents, not amended, will continue to be approved for this protocol as per the YEC-1 approval letter dated (DD/MM/YY).
Names of all research team members *(including Guides)*

No	Name	Role in the research team	Designation/ Affiliation
		Principal investigator	
		Guide/ Co-PI	

(Insert rows to add more names)
The YEC-1 reviewed the protocol and related documents submitted with amendments as listed below:

No	**Document name**	**Version**	**Date**

(Insert rows to add more documents)

YEC-1 hereby approves the amended protocol no. YEC-1/_____/20___ and the related documents as listed above and this approval valid from _____ to _____.

Any data collected beyond the validity period shall be considered as protocol deviation and liable to action.

It is the responsibility of the Principal Investigator to:

1. Provide correct, updated contact details and respond to YEC-1 communications without delay.
2. Adhere to the current regulatory guidelines
3. Adhere to the undertaking signed by the PI.
4. Adhere to the approved version of the protocol (and related documents)
5. Adhere to the compensation plan as per the approved protocol
6. Restrict recruitment to the approved sample size of _____*(approved sample size)*
7. Inform the YEC-1 at the time of recruitment of the first participant.
8. Obtain written approval of YEC-1 before any proposed change in the protocol (amendment) is implemented in the prescribed format **(Ann01/SOP9B/v3)**
9. Report to YEC-1 any deviation from the guidelines/approved version of the protocol without delay (including change in research team members) in the prescribed format **(Ann01/SOP11/v3** - Initial report and **Ann02/SOP11/v3 -** Detailed report**)**
10. As per the current regulatory guidelines, report to YEC-1 all serious adverse events in the prescribed format **(Ann01/SOP12 v3** - Onsite SAE and **Ann02/SOP12/v3** - Offsite SAE**)** and their follow-up actions.
11. Submit the periodic review as specified by YEC-1 in the prescribed format **(Ann04/SOP10/v3)**
12. Submit continuing review form one month before the end of validity of this approval **(Ann04/SOP10/v3)**
13. Report to YEC-1 any adverse event/change in risk to participants (excluding SAEs) that may occur during the study in the periodic review
14. Submit a completion report to YEC-1 when the data/sample collection is completed in the prescribed format **(Ann01/SOP13/v3)**
15. Submit a summary of the study when the data analysis is completed.
16. Maintain the privacy of the participants/ samples and confidentiality of data.
17. Securely retain the original of YEC-1 approval letter and the approval letter for the amendment, as issuing duplicate approval letter is liable to a fee
18. Respond to any communication from YEC-1 pertaining to the study/ auditing/ site monitoring/ others.

All communications with YEC-1 should be by email to ethcom@yenepoya.edu.in

YEC-1 functions in accordance with *(insert names of the current regulations and guidelines)*.

YEC-1 is registered with *(insert names of the currently approved regulatory authorities, letter number and validity)* and recognized by *(insert names of the recognizing bodies with validity)*.

Member-Secretary/Jt Secretary/Chairperson, YEC-1 Date:

Important Dates:
Date of YEC-1 approval: *XX/XX/20XX*
Date of YEC-1 amendment approval: *XX/XX/20XX*
Date of expiry of the validity of YEC-1 approval: *YY/YY/20YY*
Date for initiation of continuing review (if needed): *(write date a month prior to YY/YY/20YY)*

8. Flowchart: