SOP TITLES

SOP 01/V1	Preparing Standard Operating Procedures (SOPs): Writing, Reviewing, Distributing & Amending SOPs for the Institutional Review Board (IRB), TMC
SOP 02/V1	Constitution of Institutional Review Board (IRB), TMC
SOP 03/V1	Management of Research Study Submissions
SOP 04a/ V1	Initial Review of Submitted Protocol
SOP 04b/ V1	Expedited Review of Submitted Protocol/Documents
SOP 04c/ V1	Exemption from the Review for Research Projects
SOP 05/V1	Agenda Preparation, Meeting Procedures and
	Recording of Minutes
SOP 06/V1	Review of Amended protocol/ Protocol related
	documents
SOP 07/V1	Continuing review of study Protocols
SOP 08/V1	Review of Protocol Deviation/Non-Compliance /
	Violation / Waiver
SOP 09/V1	Review of Serious Adverse Events (SAE) Reports
SOP 10/V1	Maintenance of Active Project Files, Archival / Disposal
	of closed files and Retrieval of documents
SOP 11/V1	Documentation of the IRB activities
SOP 12/V1	Review of study completion reports
SOP 13/V1	Management of Premature Termination / Suspension
	/Discontinuation of the study
SOP 14/V1	Review of Request for waiver of Written Informed
	Consent
SOP 15/V1	Site Monitoring
SOP 16/V1	Dealing with participants/patients requests and
	complaints

Table of contents

Chap	ter 1	Preparing Standard Operating Procedures (SOPs): Writing, Reviewing, Distributing & Amending SOPs for the Institutional Review Board (IRB), TMC	1-14
1.1	Purpos	e	2
1.2	Scope		2
1.3	Respor	nsibility	2-3
1.4	Detaile	d instructions	3-6
	1.4.1	Identify the need for new or amendment to SOP	3
	1.4.2	Appointing the SOP team	3
	1.4.3	List of relevant SOPs	4
	1.4.4	Design a format and layout	4
	1.4.5	Write, Review and Approve SOP	4
	1.4.6	Review by Consultation	4
	1.4.7	Preparation and submission of final draft	5
	1.4.8	Final Approval of new and revised SOP	5
	1.4.9	Implement, distribute and file all SOPs	5
	1.4.10	Review and request for a revision of an existing SOP	5-6
	1.4.11	Manage and archive superseded SOPs	6
	Referer	nces	6
	Glossa	ry	7
	List of	Annexure	8-13
	AX 1	V1/SOP01/V1 List of SOPs of Ethics Committee for Research on Human Subjects	8
	AX 2	V1/SOP01/V1 Template for SOP	9

AX 3	V1/SOP01/V1 Document History of the SOP	10
AX 4	V1/SOP01/V1 Log of the HEC members receiving SOPs	11
AX 5	V1/SOP01/V1 Request for Formulation of new SOP/ Revision of an SOP	12
AX 6	V1/SOP01/V1 Log of SOP Recipients	13
Flow c	hart	14

Ch	apter 2	Constituti	on of Institutional Review Board (IRB), TMC	1-21
	Introduc	tion		2-3
2.1	Purpose			3
2.2	Mandate	9		3-4
2.3	Scope			4
2.4	Respons	sibility		4
2.5	Scientific	c and Ethical	Basis	4-5
2.6	Compos	sition		5-9
	2.6.1	Member	rship	5
	2.6.2	Terms o	of Appointment	6-8
		2.6.2.a	Duration	6-7
		2.6.2.b	Renewal	7
		2.6.2.c	Resignation / Replacement procedure	7
		2.6.2.d	Termination / Disqualification procedure	8
	2.6.3	Conditio	ns of Appointment	8
	2.6.4	Indepen	dent Consultants	8-9
2.7	Office Bearers			9-11
	2.7.1	Chairpe	rson	9
	2.7.2	Member	Secretary	9

	2.7.3	Secretariat	9-11
2.8	Roles and I	Responsibilities of the IRB members	11
2.9	Quorum Re	equirements	11-12
2.10	Decision m	aking	12
2.11	Education f	or IRB Members	12-13
2.12	Annual acti	vity report	13
2.13	Honararium	1	13
	References		
	Glossary		15
	List of Ann	nexure	
	AX1	V1/SOP02/V1 Confidentiality & Conflict of Interest Agreement Form for HEC Members	16-18
	AX2	V1/SOP02/V1 Confidentiality Agreement Form for Independent Consultants	19
	AX3	V1/SOP02/V1 Confidentiality Agreement Form for Observer Attendees to HEC, TMC Meetings	20
	Flow chart		21

Chapter 3		Management of Research Study Submissions	
3.1	Purpo	Purpose	
3.2	Scope		2
3.3	Responsibility		2
3.4	Detail	led process	2-3
	3.4.1	Receive submitted packages	2
	3.4.2	Verification of submission	2-3
3.5	Detail	ed description of Study Project Submission	3-4

3.6	Resub	mission of study with corrections as per IRB suggestions	4	
3.7	Resea	Research Protocol Amendments and other study related documents		
3.8	Annua	Continuing Reviews of Approved Research studies	5	
3.9	Resea	rch study completion / termination	5	
	Refere	nce	6	
	Glossa	iry	6	
	List of	Annexure		
	AX1	V1/SOP03/V1 Project Submission Application Form for Initial Review	7-24	
	AX2	V1/SOP03/V1 Checklist of Documents	25	
	AX3	V1/SOP03/V1 Document Receipt Form	26-27	
	AX4	V1/SOP03/V1 Guidelines for devising ICF and Sample format of an Informed Consent Document.	28-33	
	AX5	V1/SOP03/V1 Child Information Sheet and Assent Form	34-42	
	Flow c	hart	43	

Chapter 4a I		Initia	I Review of Submitted Protocol	1-20	
4a.1	Purp	ose		2	
4a.2	Scop	Scope			
4a.3	Cate	gorizat	ion of protocols	2	
4a.4	Initial Review		2-4		
4a.5	Elements of Review		4-8		
	4a.5.	1	Scientific Design and Conduct of the Study	4-5	
	4a.5.	2	Care and Protection of Research Participants	5	
	4a.5.	3	Protection of Research Participant Confidentiality	5-6	
	4a.5.	4	Informed Consent / Consent Process	6-7	
	4a.5.	5	Community Considerations	7	

	4a.5.6	Recruitment of Research Participants	7-8		
4a.6	Responsi	bility	8		
4a.7	Detailed i	etailed instructions			
4a.8	Review th	ne protocol	9		
4a.9	Use of stu	udy assessment forms and reviewer assessment form	9-10		
	4a.9.1	Collection of assessment reports	10		
4a.10	AT IRB meeting				
	References				
	Glossary				
	List of A	nnexure			
	AX1	V1SOP04a/V1 Study Assessment Form	13-17		
	AX2	V1SOP04a/V1 Reviewer's comment and score	18-19		
	Flow char	rt	20		

Chap	Chapter 4b Expedited Review of Submitted Protocol/Documents		1-6
4b.1	Purpo	se	2
4b.2	Categ	orization of protocols	2
4b.3	Exped	ited Review	2-3
4b.4	Scope		3-4
4b.5	Respo	onsibility	4
4b.6	Detail	ed Instructions	4-5
	4b.6.1	Receipt of protocols/documents	4
	4b.6.2	Expedited process	4
	4b.6.3	Communication between the HEC and the investigator	4-5

Refere	nce	5
Glossa	ary	5
Flow o	hart	6

Chapter 4c		Exemption from the Review for Research Projects	1-9
4c.1	Purpo	ose	2
4c.2	Categ	porization of protocols	2
4c.3	Exem	ption from review	2-3
4c.4	Scope	e	3-4
4c.5	Resp	onsibility	4
4c.6	Detai	led Instructions to the IRB Secretariat	4
	4c.6.	Receive the submitted documents	4
	4c.6.2	Determine protocols eligible for exemption from review	4
	4c.6.3	B Exemption Process	4
	4c.6.4	Communication between the HEC and the investigator	4
	Refer	ence	5
	Gloss	5	
	List		
	AX1	V1/SOP04c/V1 Review Exemption Application Form	6-8
	Flow	_ chart	9

Chapter 5		Agenda Preparation, Meeting Procedures and Recording of Minutes	
5.1	7.1 Purpose		2
5.2	Scope		2
5.3	Responsibility		2

5.4	Detailed instruction				
	5.4.1	Before fu	ull board IRB meeting	2	
	5.4.2	Distribut	ion of study/ Documents Packages to the IRB Members	2	
	5.4.3	Preparat	tion for the meeting	3	
	5.4.4	Conduct	of the Meeting	3-4	
	5.4.5	Decision	Making Process	4-5	
	5.4.6	After the	RB meeting	5	
		5.4.6 a	Preparing the minutes and the decision letters	5	
		5.4.6 b	Approval of the minutes and the decision	5	
		5.4.6 c	Filing of the minutes of the meeting	5	
	5.4.7	Commu	unicating Decision	5-6	
	Refere	ference			
	Glossa	7			
	List of Annexure				
	AX1	V1/	SOP05/V1 Agenda format	8	
	AX2	V1/	SOP05/V1 Approval letter format	9-11	
	AX3	V1/	SOP05/V1 Format for Conditional Approval	12	
	AX4	V1/	SOP05/V1 Format for approval for documents	13	
	AX5	V1/	SOP05/V1 Approval letter format – Expedited review	14-16	
	Flow chart				

Chapter 6		Review of Amended protocol/ Protocol related documents		
6.1	Purpo	se	2	
6.2	2 Scope		2	
6.3	Respo	onsibility	2	
6.4	Revie	w amended protocols/documents/letters:	2-3	
	6.4.1	Decision	2-3	
	6.4.2	Storage of Documents	3	
	6.4.3	Minor amendments and notifications	3	
	Refere	ence	3	
	Glossa	ary	3	
	List of	f Annexure		
	AX1	V1/SOP06/V1 Project Amendment/Document Amendment Approval letter	4	
	AX2	V1/SOP06/V1 Amendment Reporting Form	5-6	
	Flow chart			

Chapter 7		Continuing review of study Protocols	1-14
7.1	Purpos	se	2
7.2	Scope		2
7.3	7.3 Responsibility		2-3
7.4	Detailed Instructions		
	7.4.1	Determine the date of continuing review	3
	7.4.2	Notify the Principal Investigator or the study team	3
	7.4.3	Manage continuing review package upon receipt.	3
	7.4.4	Verify the contents of the package.	3

7.4	5 Review of continuing review package	3-4
7.4	6 Prepare meeting agenda	4
7.4	7 Protocol Review Process	4
7.4	8 Store original documents	4
7.4	9 Communicate the IRB Decision to the Principal Investigator	4
Re	erence	5
Lis	t of Annexure	
A	1 V1/SOP 07/V1 Continuing Review Application Form	6-11
AX	V1/SOP 07/V1 Reminder letter by the HEC to investigator	12
AX	V1/SOP 07/V1 HEC Decision on Continuing Review Report	13
Flo	w chart	14

Ch	apter 8	·		
8.1	Purpos			
8.2	Scope		2	
8.3	Respoi	nsibility	2	
8.4	Detaile	ed instructions	2-4	
	8.4.1	Detection of Protocol deviation/ non-compliance/ violation	4	
	8.4.2	Noting protocol deviation / non-compliance / violation by the Secretariat	4-5	
	8.4.3	Board discussion, Decision and Action	5	
	8.4.4	Notify the investigator	6	
	8.4.5	Records and follow up to be kept by IRB secretariat	6	
	References		7	
	Glossary		7	
	List of Annexure			

AX 1	V1/SOP08/V1 Deviation/ Violation / waiver Reporting form	8-9
Flow cha	art	10

Chap	oter 9 Review of Serious Adverse Events (SAE) Reports		
9. 1	·		2
9. 2	Scope	9	2
9. 3	Respo	onsibility	2
9. 4	Detail	led Instructions	2-6
4	On s	ite SAEs	
	9.4.1	Instruction for PI	2-3
	9.4.2	SAE related activities before IRB meeting	3
	9.4.3	Actions to be taken by Member Secretary, IRB	3-4
	9.4.4	After the DSMSC review of SAE	4
	9.4.5	During the IRB meeting	4-5
	9.4.6	Actions to be taken by Chairperson	5-6
	Off Site SAEs		6
9.5	Offsit	e SAEs	7
9. 6	DCG	I Query of Serious adverse event	8
	Refer	ences	9
	Gloss	ary	9
	List o	f Annexure	,
	AX1	V1SOP09/V1 Serious Adverse Event Report	10-1
	AX2	V1SOP09/V1 Off site Safety Reports Classification Form	14

	AX3	V1SOP09/V1 Off Site Safety Reports Log	15
	Flow	chart	16-17

Chapter 10		Maintenance of Active Project Files, Archival / Disposal of closed files and Retrieval of documents	1-7
10.1	Purpo	ose	2
10.2	2 Scope		2
10.3	Respo	onsibility	2
10.4	Active study files maintenance and archival of closed files		
10.5	Disposal of closed files and copies of protocols and documents submitted for IRB review.		
10.6	Acces	ssibility / Retrieval	3
10.7	Final Disposal of Master files		
	Gloss	ary	4
	AX1	V1/SOP10/V1- Document Request Form	5
	AX2	V1/SOP10/V1- Format of written off register	6
	Flowchart		7

Chapter	11 Documentation of the IRB activities		1-3
11.1	11.1 Purpose		
11.2	11.2 Scope		2
11.3 Responsibility		sibility	2
11.4	Detailed Instructions		1
	11.4.1	IRB records will include the following	2
	11.4.2	Access to HEC records	2
	Flow Ch	nart	3

Chapter '	12 Revi	Review of study completion reports	
12.1	Purpose	;	2
12.2	Scope		2
12.3	Respon	sibility	2
12.4	Detailed	d Instructions	
	12.4.1	Before each board meeting	2
	12.4.2	Before and during board meeting	2
	12.4.3	After the board meeting	2
	Referen	ces	3
	List of A	Annexure	I
	AX1	V1/SOP 12/V1 Study Completion Report Form	4-5
	Flow Ch	part	6

Chapte	Chapter 13 Management of Premature Termination / Suspension / Discontinuation of the study		1-6	
13.1	Pur	pose	2	
13.2	Sco	рре	2	
13.3	Res	sponsibility	2	
13.4	Detailed instructions			
	13.4	4.1 Receive recommendation for study termination/ suspension/discontinuation	2	
	13.4	4.2 Review and discuss the Termination / suspension/discontinuation report	3	
	13.4	4.3 Notify the PI	3	
	13.4	4.4 Store the report	3	
	Ref	erences	3	

List of	of Annexure	
AX 1	V1/SOP13/V1 Premature Termination/Suspension/Discontinuation Report	4-5
Flow o		6

Chapter 14		r 14 Review of Request for waiver of Written Informed Consent		
14.1	Purpose		2	
14.2	Scop	e	2	
14.3	Resp	Responsibility		
14.4	Detailed Instructions		2	
14.5	Type of research projects which may qualify for consent waiver			
	References			
	List of Annexure			
	AX 1	SOP14/V1 - Application form for requesting waiver of consent	6	
	Flow	Chart	7	

Chap	oter 15 Site Monitoring		1-9
15.1	Purpos	se	2
15.2	Scope		2
15.3	Responsibility		2
15.4	Detailed instructions		
	15.4.1	Selection of study sites	2
	15.4.2	Before the visit	2-3
	15.4.3	During the visit	3
	15.4.4	After the visit	3-4

Glossary		4
List of An	nexure	
AX1	V1/SOP15/V1 Site Monitoring Visit Report	5-8
Flow chart		9

Chapter 16		Dealing with participants/patients requests and complaints		
16.1	Purpos	Purpose		
16.2	Scope	Scope		
16.3	Responsibility		2	
16.4	Detailed instructions		2-3	
16.5	Filling the request document		3	
	References		3	
	List of Annexure			
	AX1	V1/SOP 16/V1 - Request Record Form	4	
	Flowchart		5	