Standard Operating Procedures for Institutional Ethics Committee, Rajendra Institute of Medical Sciences, Ranchi

I. **Standard Operating Procedure (SOP)**
IEC, RIMS, RANCHI Version: 3.0 Date: 10.12.2020
Pages: 14

II. **SOPs prepared by:**

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Name and Designation	Signature with date
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IV. **SOPs accepted by:**

Name and Designation	Signature with date
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REVISION HISTORY

Serial No.	Current Version Number	Effective Date	Description (Changes from the previous)
1	1.0	22 January 2016	Not Applicable
2	2.0	20 September 2018	Change in SOP Sl. No. 13 Recordkeeping and archival, page No. 14, point No. 3 is changed from 3 years to 5 years
3	3.0	25th December 2020	i. Introduction of "Preparing SOPs" page No. 4-8 ii. Introduction of "General Principles for functioning" Page No.9-10 iii. Introduction of "Informed Consent" Page No. 11-12 iv. Introduction of "Special considerations/Protection of Vulnerable Population" Page No. 13-16 v. Change in Composition of IEC, RIMS, Ranchi Page 18 vi. Introduction of "Office bearers' and Member Specific Roles and Responsibilities" Page No. 19-23 vii. Change in EC Review Fees, Amendment Fees and Archival Fee, Revised Initial review fee. Page No.23-25 viii. Introduction of "Review of Serious Adverse Event Reports and Compensation issues" Page No. 27-29 ix. Introduction of "Review of the Study Completion Report" Page No. 29 x. Introduction of "Waiver of the Informed Consent" Page No. 31 xi. Accountability of researchers for the protection of the environment and resources. Point 6; Page No. 32 xii. Introduction of "Annexures 1 to 14" Page No 35-53

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IEC, RIMS, RANCHI

1. PREPARING STANDARD OPERATING PROCEDURES (SOPs): WRITING, REVIEWING, DISTRIBUTING & AMENDING SOPS FOR THE INSTITUTIONAL ETHICS COMMITTEE (IEC), RIMS, RANCHI.

Purpose: This SOP defines the process for writing, reviewing, distributing, and amending SOPs within the IEC, RIMS, Ranchi.

The SOPs will provide clear, unambiguous instructions to conduct activities of the IEC in accordance with the ICMR guidelines 2006, Schedule 'Y" (Drugs and Cosmetic Act 1940: Amendment 20th Jan 2005), WHO Operating Guidelines for Ethical Review Committee that Review Biomedical Research, and ICH (International Conference on Harmonization) Good Clinical Practice (GCP), Code Federal Regulations Title 21.

Scope: This SOP covers the procedures of writing, reviewing, distributing, and amending SOPs within the IEC, RIMS, Ranchi.

Roles and Responsibilities of the Members and the Secretariat: It is the responsibility of the chairperson of the IEC to appoint the SOP Team to formulate the SOPs. SOP team will prepare the draft SOPs. The draft SOPs will be reviewed and approved by the IEC members. The SOPs will then be signed by Director, RIMS, Ranchi. The SOP team will be responsible to amend the SOPs as and when required.

The SOP team will consist of Member Secretaries of IEC, administrative staff, and one or two other IEC members. The team will-

- Assess the request(s) for SOP revision in consultation with the Secretariat and Chairperson
- Propose a new, or modification in existing SOPs as needed
- Select the format and coding system for the SOPs
- Draft the SOP • Review the draft SOP
- Submit the draft for approval to Chairperson.

Chairperson of the IEC:
Will appoint SOP Team
Will review and approve the SOPs
Will sign the approved SOP

IEC members:
Will review and sign the SOPs
Will return all out of date SOPs to IEC office

Secretariat of IEC:

- Will co-ordinate activities of writing, reviewing, distributing, and amending SOPs.
- Maintain on file all current SOPs and the list of SOPs.
- Maintain a file of all SOP amendment requests
- Maintain an up-to-date distribution list of each SOP circulated to IEC members
- Maintain a record of the investigators to whom SOPs are distributed against a requisition if any
- Ensure that all IEC members and involved administrative staff have access to the SOPs
- Ensure that the IEC members and involved staff are working according to the current version of SOPs
- Maintain a file of all previous SOPs of the IEC
- Assist in the formulation of SOP procedure
- Ensure SOP revisions as and when required to comply with national regulations.

Detailed instructions

Identify the need for new or amendment to the SOP

Any member of the IEC, or administrative staff or investigators or administration can make a revision request or notices an inconsistency/ discrepancy / has any suggestions on how to improve the existing SOPs or requests to design an entirely new SOP, can put forth his / her request by using the Request Form for Formulation of new SOP/ Revision of an SOP Form. This Formulation of the new SOP/ Revision of an SOP Form is submitted to the Chairperson, IEC.

The Chairperson will inform all IEC members about this request in a regular full board meeting. If IEC members agree to the request, the Chairperson will appoint an appropriate SOP team comprising of Member Secretaries of both committees. The Chairperson may also appoint one or two committee members as members of the SOP team, if necessary. This designated team will proceed with the task of revision/formulation process of the SOP. If IEC members do not agree to the request, no further action will be taken. The Chairperson will inform the person/ IEC member who requested modification of the SOP in writing about the decision.

Appointment of the SOP team

The Chairperson will constitute an SOP team consisting of the Member-Secretaries administrative staff and one or two other IEC members who have a thorough understanding of the scientific and ethical review process. The SOP writing team will carry out the subsequent steps.

List of relevant SOPs

- Write down step by step all the procedures of the IEC
- Organize, devise and name each process
- Make a list of SOPs with coding format (ex- AX1-V3/SOP01/V3)

Design a format and layout

Each SOP should be given a number and a title that is self-explanatory and is easily understood A unique code number with the format SOP xx / Vy will be assigned to each SOP. xx is a two-digit number assigned to a specific SOP. "V" refers to the version of the SOP and "y" is a number identifying the version e.g.-SOP01/V4 is SOP number 01 with V=version no.04

Each Annexure (AX) is a unique code with format AXn–Vp/SOP xx/Vy. e.g. AX1–V4/SOP01/V4 indicates AX is Annexure, 4 is Annexure no., V4 is version 4, belonging to the SOP 01/V4 Each SOP will be prepared according to the template for Standard Operating Procedures (AX2 – V4/SOP01/V4). Each page of the SOP will bear a header with the effective date which is the date of approval of the SOPs by the Chairperson, IEC, and the Head of the Institution.
The SOP number will be on the left-hand corner of the header. The title of the SOP will be on the left-hand corner of the footer. The page number will be listed as Page—of---total pages on the right-hand- corner of the footer.
The first two pages of each SOP document will be signed and dated by the authors, the IEC members who have reviewed the SOPs, IEC Chairperson and Director, RIMS, Ranchi.

Preparation and submission of the final draft

- All the members of IEC may review the draft / revised SOP
- During respective IEC meetings, members can put forth their suggestions/comments on the draft / revised SOP
- The suggestions agreed upon unanimously by all IEC members will be incorporated and the final draft SOP will be formulated.
- The SOP team would stand automatically dissolved once the IEC takes the final decision regarding the SOP.

Final Approval of new/revised SOP

- The final version will be presented to the Chairperson of committee for review and approval. The Chairpersons will sign and date the SOP on the first page of the SOP document.
- This approved document will then be submitted to the Director, RIMS, Ranchi for acceptance. This date of approval is declared as the effective date for implementing the SOP.

Implementation, distribution, and filing of SOPs

- Approved SOPs will be implemented from the effective date.
- The Member Secretary will discuss the approved SOPs with the administrative staff and instruct them to implement the SOP accordingly.
- Approved SOPs will be distributed to IEC members and IEC staff according to the distribution list.
- When a revised version is distributed, the old version will no longer be effective. A copy of the old version will be archived in a master file.
- One complete original set of current SOPs will be archived in the SOP master file, by the IEC Secretariat and maintained in the IEC Office.

- A copy of the SOP master file will be maintained in the individual offices of IEC and DSMSC.
- Photocopies made from the paper versions of the SOP will be considered official only if stamped and signed by Member Secretary or authorized individual. A distribution log would be maintained.

Review and request for revision of an existing SOP

- Any member of the IEC or administrative staff or investigators or administration who notices that current SOPs have some lacunae or have any suggestions to improve a procedure should make a written request
- If IEC agrees with the request, the Chairperson will appoint an appropriate team for the revision process. If the committee does not agree, the Chairperson will inform the concerned individual who requested revision.
- The Member Secretary initializing the review and the Secretariat assists the Member Secretary of the SOP at least once every 2 years and records the dates of review in the SOP master file.

Manage and archive old SOPs

Old SOPs should be retained and marked "superseded" and archived in a file by the secretariat. The process of evolution of previous SOPs of the IEC will be documented in a defined format.

References

1. Schedule Y (Drugs and Cosmetic Act 1940; amendment 20th January 2005) Amendment 2013)
2. ICMR Ethical Guidelines for Biomedical Research on Human Participants, ICMR (2006)
3. WHO Operational Guidelines for Ethical Review Committee that Review Biomedical Research (Geneva 2000)
4. International Conference on Harmonization, Guidance on Good Clinical Practice (ICH GCP) (1996)
5. Code Federal Regulation Title 21
6. TMC IEC SOP 2016

Standard Operating Procedures for the Institutional ethics committee (IEC) of RIMS, Ranchi

Rajendra Institute of Medical Sciences, Ranchi hereinafter referred to as "RIMS, Ranchi" has adopted these written Standard Operating Procedures (SOP) to ensure the protection of the rights and welfare of human participants in biomedical, experimental, and behavioral research conducted at RIMS, Ranchi.

2. OBJECTIVE

The objective of SOP is to ensure quality and consistency in ethical review of Biomedical Research Proposal in accordance with ICMR Ethical guidelines for biomedical research on human subjects and drugs and cosmetics act rules, Govt. of India.

3. GENERAL PRINCIPLES FOR FUNCTIONING OF IEC, RIMS, RANCHI:

Principle of essentiality: IEC, RIMS, Ranchi will consider the necessity of the use of human participants for the research.

Principle of voluntariness: IEC will ensure that the rights of the participants are safeguarded, informed consent is taken from all the participants in local language and that respect is given to participants' willingness or non-willingness to participate in the study.

Principle of non-exploitation: IEC will ensure that there is an equitable selection of the participants and the benefits and burdens of the research are distributed fairly. Sufficient safeguards to protect the **vulnerable groups** would be ensured. The vulnerable populations include children, pregnant and lactating women, people with racial inequalities, economically or socially disadvantaged people, mentally challenged and mentally differently-abled persons, and persons with reduced autonomy (prisoners, students, subordinates, employees, defense service personnel).

Principle of social responsibility: The IEC will ensure that the research is being conducted in such a way that in any way social harmony in community relationships is not disturbed.

Principle of ensuring privacy and confidentiality: IEC will ensure the privacy of the potential participants. Their identity and records would be kept confidential by the researcher and access will be limited to only those authorized. In some special circumstances for a valid scientific or legal reason, IEC will have the right to breach the privacy of the information.

Principle of risk minimization: Due care will be taken by all stakeholders (including researchers, ECs, sponsors, and regulators) of RIMS, Ranchi at all stages of the research to ensure that the risks are minimal and appropriate care and compensation is given if any harm occurs.

Principle of professional competence: IEC will ensure that the research is planned, conducted, evaluated, and monitored throughout by competent persons with appropriate and relevant qualifications, experience, and/or training.

Principle of maximization of benefit: IEC will ensure that the research is designed and conducted in such a way that the benefits to the research participants and the society are maximized.

Principle of transparency and accountability: The research plans and outcomes emanating from the research being carried out at RIMS, Ranchi would be brought into the public domain through registries, reports, and scientific and other publications while safeguarding the right to privacy of the participants. Stakeholders involved in research would disclose any existing conflict of interest and manage it appropriately. The research would be conducted in a fair, honest, impartial, and transparent manner to guarantee accountability. Related records, data, and notes would be retained for the required period for possible external scrutiny/ audit.

Principle of environmental protection: IEC will monitor (it may appoint a sub-committee to) monitor the researchers who will be accountable for ensuring the protection of the environment and resources at all stages of the research, in compliance with existing guidelines and regulations.

4. ROLES AND RESPONSIBILITIES OF IEC, RIMS, RANCHI

A. The **IEC, RIMS, Ranchi** will review all types of research proposals involving human participants to s**afeguard the dignity, rights, safety, and wellbeing of all actual and potential research participants** before approving the research proposals. The goals of research, however important, will never be permitted to override the health and wellbeing of the human participants.

B. The **IEC, RIMS, Ranchi** will ascertain whether all the cardinal principles of research ethics viz., **autonomy, beneficence, non – maleficence, respect for free and informed consent, respect for human dignity, respect for vulnerable persons, respect for privacy and confidentiality** as well as justice are taken care of in planning, conducting and reporting of the research.

C. The **IEC, RIMS, Ranchi** will look into the aspects of protocol review, selection of participants, voluntary participation of potential participants, informed consent process, risk-benefit ratio, distribution of burden and benefit, maintenance of privacy and confidentiality, and provisions for appropriate compensation. It will review the proposals before the commencement of the study as well as during the study period through appropriate, well-documented procedures. The review will be based on the periodic study progress reports furnished by the investigators and/or monitoring and internal audit reports furnished by the sponsor and/or by visiting the study sites.

D. It will review the proposals before the commencement of the study as well as review periodically until the completion of the study through appropriate, well documented procedures. such a review may be based on the periodic study progress reports furnished by the investigators and/or monitoring and internal audit reports furnished by the sponsor and/or by visiting the study sites.

E. The mandate of the **IEC** shall be to review all research projects to be conducted at the institution involving human beings directly or indirectly, irrespective of whether the research project is funded or non-funded, and if funded, then irrespective of the funding agency.

F. **IEC, RIMS, RANCHI** will provide advice to the researchers on all aspects of the welfare and safety of the research participants after ensuring the scientific soundness of the proposed research.

G. In case of **IEC, RIMS, RANCHI** revokes its approval according to a trial protocol, it will record the reasons for doing so and at once communicate such a decision to the investigator as well as to the licensing authority

H. In case of a **serious adverse event** or death occurring to the clinical trial participant, **IEC, RIMS, RANCHI** shall forward it's reporting on the serious adverse event or death, after due analysis, along with its opinion on the financial compensation, if any, to be paid by the sponsor or his representative, whosoever had obtained permission from the licensing authority as defined under rule 21(b) for conducting the clinical trial, to the chairman of the expert committee constituted by the licensing authority under appendix xii (gazette notification 30th January 2013) with a copy of the report to the licensing authority within twenty-one calendar days of the occurrence of the serious adverse event of death.

5. INFORMED CONSENT:

- The IEC will ensure that the participants have been given sufficient, accurate information about the study.
- The Informed Consent document should contain all of the information that the participant needs to make an informed decision about taking part in the study.
- The participant must sign and date the informed consent document before taking part in any study procedures.
- The consent form should be written in non-technical language that participants would understand. Also, it should be written in language consistent with the participants' educational level, cultural views, and familiarity with research.
- The participant may withdraw consent and decline to participate in the study at any time before or after signing the consent document until their participation in the study is completed.
- The informed consent should state those aspects of the study/trial that are experimental, the risk and the benefits of the study/trial, the number of participants involved as well as the expected duration of the participant's involvement in the study/ trial.
- IEC will ensure that adequate provision is made to protect subjects' privacy and maintain the confidentiality of data.
- It should state the compensation and/or treatment available to the participant in the event of trial-related injury.
- It should state the anticipated expenses, if any, to the participant for participating in the study and the anticipated prorated payment, if any, to the participant for participating in the study.

6. SPECIAL CONSIDERATIONS / PROTECTION OF VULNERABLE POPULATION:

Special Considerations / Protection of Vulnerable Population will be taken care of by the IEC as there are specific concerns about specialized areas of research that require additional safeguards and protection. Vulnerable persons are those who are relatively (or absolutely) incapable of protecting their interests. More formally, they may have insufficient power, intelligence, education, resources, strength, or other needed attributes to protect their own interests.

Efforts should be made to ensure that individuals or communities invited for research be selected in such a way that the burdens and benefits of the research are equally distributed.

1. Research on genetics should not lead to racial discriminate.
2. Persons who are economically or socially disadvantaged should not be used to benefit others who are better off.
3. Rights and welfare of mentally challenged and mentally differently able persons who are incapable of giving informed consent or those with behavioral disorders must be protected. Appropriate proxy consent from the legal guardian should be taken after the person is well informed about the study, needs for participation, risks, and benefits involved, and the privacy and confidentiality procedures.
4. Adequate justification is required for the involvement of participants such as prisoners, students, subordinates, and employees, service personnel, etc. who have reduced autonomy as research participants, since the consent provided may be under duress or various other compelling reasons.

Individuals whose willingness to volunteer in a research study may be unduly influenced by the expectation, whether justified or not, of benefits associated with participation or of a retaliatory response from senior members of a hierarchy in case of refusal to participate may also be considered vulnerable. Examples are members of a group with a hierarchical structure, such as medical, pharmacy, dental, and nursing students, subordinate hospital and laboratory personnel, employees of the pharmaceutical industry, members of the armed forces, and persons kept in detention.

"**Vulnerable" or "special" classes of subjects include as listed below**

This list may not be exhaustive as there may be circumstances in which other groups are considered vulnerable, women for example, in an orthodox patriarchal society, or terminally ill cancer patients.

- pregnant women, human fetuses and neonates,
- prisoners,
- children,
- cognitively impaired persons
- students and employees, sub-ordinates
- Minorities (as defined by national constitution and/or socio-economically backward, refugees, and such others.
- Economically and/or educationally disadvantaged AIDS/HIV+ subjects.
- Terminally ill Subjects
- Geriatric population

Special Requirements when Children are part of the Research

The following is required when children are enrolled in research:

- Children will not be involved in research that can be carried out equally well with adults.
- The purpose of the research is to obtain knowledge relevant to the health needs of children. For clinical evaluation of a new, drug the study in children should always be carried out after the phase III clinical trials in adults.
- For studies prior to phase III the drug has a therapeutic value in a primary disease of the children.
- The settings of the research should provide the child and the parents adequate medical and psychological support.
- Interventions intended to provide direct diagnostic, therapeutic, or preventive benefit for the individual child participants must be justified in relation to potential risks involved in the study and potential benefits to society.
- The risk presented by interventions not intended to benefit the individual child participant is low when compared to the importance of the knowledge that is to be gained.
- Interventions that are intended to provide therapeutic benefit are likely to be at least as advantageous to the individual child participant as any available alternative interventions.
- A parent or legal guardian of each child has given a proxy consent.
- The assent of the child should be obtained to the extent of the child's capabilities such as in the case of mature minors or adolescents, unless there is no medically acceptable alternative to the therapy provided or tested, and consent has been obtained from at least one parent or guardian.
- Such trials, unless an exception is justified, should be conducted in patients having a disease or condition for which the investigational product is intended. Participants in these trials should be particularly closely monitored and should be withdrawn if they appear to be unduly distressed.

Special Requirements when Adults can't give consent

A non-therapeutic clinical trial (i.e. a trial in which there is no anticipated direct clinical benefit to the participant) should be conducted in participants who personally give consent and who sign and date the written consent document.

Non-therapeutic clinical trials may be conducted in participants with consent of a legally acceptable representative (LAR) provided the following conditions are fulfilled:

- The objectives of the clinical trial cannot be met by means of a trial in participants who can give consent personally.
- The foreseeable risks to the participants are low.
- The negative impact on the participant's wellbeing is minimized and low.
- The clinical trial is not prohibited by law.
- The opinion of the CREC is expressly sought on the inclusion of such participants, and the
- written opinion covers this aspect.

- Such trials, unless an exception is justified, should be conducted in patients having a disease or
- condition for which the investigational product is intended. Participants in these trials should be particularly closely monitored and should be withdrawn if they appear to be unduly distressed.

Special Requirements when the research participants are Pregnant women or Nursing Mothers

The following is required when Pregnant or nursing women are enrolled in research:

- Pregnant or nursing women should under no circumstances be the participant of any research unless the research carries no more than minimal risk to the fetus or nursing infant and the object of the research is to obtain new knowledge about the fetus, pregnancy and lactation.
- As a general rule, pregnant or nursing women should not be participants of any clinical trial except such trials are designed to protect or advance the health of pregnant or nursing women or fetuses or nursing infants, and for which non-pregnant women or non-nursing mothers would not be suitable participants.
- The justification for participation of these women in clinical trials would be that they should not be deprived arbitrarily of the opportunity to benefit from investigations, drugs, vaccines or other agents that promise therapeutic or preventive benefits. Example of such trials are to test the efficacy and safety of a drug for reducing perinatal transmission of HIV infection from mother to child, trials for detecting fetal abnormalities and for conditions associated with or Aggravated by pregnancy etc.
- Women should not be encouraged to discontinue nursing for the sake of participation in research and in case she decides to do so, harm of cessation of breast- feeding to the nursing child should be properly assessed except in those studies where breast feeding is harmful to the infant. Compensation in terms of supplying supplementary food such as milk formula should be considered in such instances.
- Research related to termination of pregnancy: Pregnant women who desire to undergo Medical Termination of Pregnancy (MTP) could be made participant for such research as per The Medical Termination of Pregnancy Act, GOI, 1971.
- Research related to pre-natal diagnostic techniques: In pregnant women such research should be limited to detect the fetal abnormalities or genetic disorders as per the Prenatal Diagnostic Techniques (Regulation and Prevention of Misuse) Act, GOI, 1994 and not for sex determination of the fetus.

Special Requirements Concerning the Consent of Prisoners

- In case of prisoners as the research participants, the IEC, RIMS, Ranchi will approve the study as prisoner research.
- It will also include a prisoner advocate in its membership.
- The IEC members (exclusive of prisoner members) must have no association with the prisoner(s) involved in the research, apart from their membership with IEC.

7. AUTHORITY FOR CONSTITUTING THE IEC, RIMS, RANCHI

The Director, RIMS, Ranchi will appoint the Chairperson and all the committee members based on their competence, experience and integrity. Members will confirm their acceptance to the Dean by providing all the required information for membership. The Chairperson will furnish any information or report to the Dean of Faculty, RIMS, Ranchi when required.

8. COMPOSITION OF IEC RIMS, RANCHI

The EC shall be multidisciplinary and multi-sectorial in composition. The **Institution Rajendra Institute of Medical Sciences, Ranchi** shall constitute the EC. Independence and competence shall be the characteristics of EC. The minimum number of members in the committee shall be seven and maximum number will be 15. It shall be constituted keeping in mind the representation of gender, scientific and non-scientific disciplines, clinical and non-clinical disciplines, the lay community, legal expertise, social science and others to represent different points of view, and to safeguard the interests and welfare of all sections of the community / society. The Committee shall comprise of a Chairperson, a vice chairperson, a Member Secretary, a joint member secretary, and other members from the critical categories, complying with the provisions of New Drugs and Clinical Trials Rules, 2019, and/or the National Ethical Guidelines for Biomedical and Health Research involving Human Participants of ICMR, 2017.

The composition shall be as follows:

1. Chairperson (not affiliated to the Institute)
2. Vice chairperson (not affiliated to the Institute)
3. Member secretary (from the Institute)
4. Joint Member secretary (from the Institute)
5. Basic Medical Scientist
6. Clinician
7. Legal expert
8. Lay person from the community
9. Social Scientists / NGO Representatives / Philosophers / Ethicist / Theologians

Expert Member/ Independent Consultants- Subject experts shall be invited to offer their views on review of research protocols and causality assessment for SAE. Their inputs shall be maintained on record and considered when reaching a decision. An expert member means a member who is a 'health care professional' (as mentioned below and registered by their respective council) and has professional qualifications or experience relating to the conduct of, or use of statistics in clinical research, unless those professional qualifications or experience relate only to the ethics of clinical research or medical treatment.

9. APPOINTMENT/NOMINATION AND MEMBERSHIP REQUIRMENTS

a. The Head of the Institution of Rajendra Institute of Medical Sciences, Ranchi is responsible for making the appointment of committee members.
b. The member secretary shall be appointed from the institute.
c. All the members will serve for a period of 3 years. The membership will be renewed after the stated term of three years.
d. Members must accept the appointment in writing
e. Members will be selected in their personal capacities, based on their interest, ethical and/or scientific knowledge and expertise, as well as on their commitment and willingness to volunteer the necessary time and effort for the EC's work.
f. Members must disclose in writing any **conflict of interest**. The EC shall decide the extent to which members that might have a conflict of interest may participate in bringing out an advice/decision; refer to SOP- Confidentiality and Conflict of Interest Agreement. Members shall be required to sign a confidentiality agreement at the start of their term. [**Annexure 4, 5**]

9.1 EDUCATIONAL REQUIREMENTS FOR THE MEMBERS OF IEC, RIMS, RANCHI

a. IEC members have a need for initial and continued education regarding the ethics and science of biomedical research. All IEC members must be conversant with ICMR Guidelines for Research involving Human Subjects 2006, Schedule Y of Drugs and Cosmetics Act and ICH-GCP guidelines.
b. IEC members will receive introductory training material in research bioethics and functioning of IEC and will be exposed to ongoing opportunities for enhancing their capacity for ethical review.
c. Training of the IEC members in Research Bioethics A new member will be inducted 1 month prior and will be requested to be an 'observer' for the first board meeting.
d. An introductory training will be imparted by the Member Secretary.
e. The IEC members will be encouraged to receive ongoing training by attending workshops at least once every year.
f. The IEC will conduct workshops from time to time to impart training to the IEC members and Institutional faculty members. The training programs would be scheduled and spread over the year.

9.2 RENEWAL OF MEMBERSHIP

a. The membership will be renewed after the stated term of three years.
b. Selection of members shall be done at least one month in advance.
c. Designated members of the EC who wish to attend EC meetings as observers shall read, understand, accept and sign the agreement contained in the Confidentiality / Conflict of Interest form (Annexure) at the beginning of the EC meeting and/or before scientific and ethical review tasks of the EC commence.

9.3 RESIGNATION

a. If any member wishes to discontinue from the EC, he/she would be required to inform the Chairperson, in writing.
b. Members may voluntarily resign from the committee at a month's notice citing appropriate reasons and incase of internal members their membership would be considered withdrawn, if they resign from the Institute.

9.4 TERMINATION/ DISQUALIFICATION PROCEDURE

During the tenure, Chairperson shall have the authority to terminate/ disqualify any of the members in the event that the member has not complied with the conditions of appointment, is absent without prior information for three consecutive meetings or on an occurrence of any event that casts a serious doubt on the integrity or ethics of the member.

In all such situations/ circumstances, the Head of Institute shall be informed of such termination to the member prior or within 15 calendar days of termination. Documentation of the termination shall be recorded in the minutes of the next duly constituted EC meeting and the EC membership roster and circulars shall be revised.

10. OFFICE BEARERS AND MEMBER SPECIFIC ROLES AND RESPONSIBILITIES

The IEC will have the following office bearers who have the expertise and professional qualifications to review the proposals submitted.

i. Chairperson and Vice Chairperson

- The IEC, RIMS, Ranchi Chairperson should be a highly respected individual from outside RIMS, fully capable of managing the IEC and the matters brought before it, with fairness and impartiality.
- The task of making the IEC a respected part of the institutional community will fall primarily on the shoulders of this individual. The IEC must be perceived to be fair and impartial, immune from pressure either by RIMS administration, the investigators whose protocols are brought before it, or other professional and non-professional sources.
- The IEC Chairperson will respect the diverse backgrounds, perspectives, and sources of expertise of all IEC members, especially the contributions of the non-scientists, and must have the ability to foster such respect among the IEC members.
- The chairperson will ensure active participation of all members (particularly non-affiliated, non-medical/ non- technical) in all discussions and deliberations and ratify minutes of the previous meetings.

- In the absence of the chairperson of IEC for scheduled IEC meeting, Vice Chairperson will act as Chairperson. In case of anticipated absence of both Chairperson and Vice Chairperson at a planned meeting, the Chairperson should nominate a committee member as Acting Chairperson or the members present may elect an Acting Chairperson on the day of the meeting.
- The Acting Chairperson would be a non-affiliated person and will have all the powers of the Chairperson for that meeting.
- The chairperson will seek COI declaration from members and ensure quorum and fair decision making.
- He will also handle complaints against researchers, EC members, conflict of interest issues and requests for use of IEC data, etc.

ii. Member Secretary and Joint Member Secretary

- The Member Secretary will be a staff member of RIMS, committed to the task of coordinating and managing the activities of the committee.
- He/she will organize an effective and efficient procedure for receiving, preparing, circulating and maintaining each proposal for review
- He will schedule EC meetings, prepare the agenda and minutes
- The member secretary will be responsible for EC documentation, communication and archiving
- He/she will also ensure training of EC secretariat and EC members
- He/she will ensure SOPs are updated as and when required also ensure the adherence of EC functioning to the SOPs
- The member secretary will be responsible for the preparations for and audits and inspections He/she will also ensure completeness of documentation at the time of receipt and timely inclusion in agenda for EC review.
- Assess the need for expedited review/ exemption from review or full review.

iii. The Secretariat

The Secretariat will be composed of the Member Secretary, IEC, and the administrative supporting staffs. The supporting staff consists of staff members of RIMS, appointed by the Director, RIMS. The secretariat shall have the following functions:

- Organization of an effective and efficient tracking procedure for each proposal received.
- Preparation, maintenance and distribution of study files.
- Organization of regular IEC meetings.
- Preparation of the agenda and the minutes of the meetings,
- Maintenance of the IEC records and archives.
- Communication with IEC members and PIs.
- Arrangement of training for personnel and IEC members.
- Provision of the necessary administrative support for IEC related activities to the Member Secretary, IEC.
- Receipt of IEC processing fees for pharma-funded projects and the issue of official receipts for the same.

iv. The IEC Administrative Staffs

1. There will be administrative attendant/s /helper/s who will help the IEC Chairperson and Member Secretary in executing functions of the IEC. Additional staffs may be appointed and duties assigned as and when deemed necessary by the IEC. The eligibility criteria for new staff to be appointed will be laid down depending on the required job profile. The need for appointment of administrative staff, job profile and qualifications may be recommended by IEC members during regular IEC meeting and will be recorded in minutes. These will be forwarded to the Director, RIMS.
2. The administrative staff will be appointed by conducting formal interviews as per RIMS policy.

Duties of the Administrative staffs:

- Organizing an effective and efficient tracking procedure for each proposal received.
- Preparing, maintaining and distributing study files
- Organizing IEC meetings regularly
- Preparing the agenda and minutes of the meetings
- Constitution of Institutional Ethics Committee,
- Maintaining IEC records and archives.
- Communicating with IEC members and PIs.
- Arranging training for personnel and IEC members
- Providing necessary administrative support for IEC related activities to the Member Secretary, IEC.
- Receiving IEC processing fees and issuing official receipts for the same.
- Corresponding with the IEC members, external experts and investigators.
- Making the pre and post-arrangements of IEC meetings.
- Preparing the agenda and minutes of the IEC meetings.
- Answering queries of the investigators.
- Filing study related documents.
- Archiving and maintaining the study files.
- Preparation for accreditation, audits
- Training for investigators, key study personnel, IEC members, and IEC staff.
- Participate in the development and subsequent implementation of SOPs
- Developing an effective and efficient tracking procedure

Duties of the Attendant/s /Helper/s:

a. Assisting the secretariat in arranging the IEC meetings.
b. Dispatching sets of study documents to IEC members and external experts.
c. Receiving the study related documents from and dispatching the IEC letters to the investigators.
d. Filing study related documents.
e. Archiving and maintaining the study files
f. Corresponding with the IEC members and external experts. The IEC staff will report to the Member Secretary and/or Chairperson.
g. The office timings for the IEC staff will be as per RIMS rules and regulations. The staff will avail leave as per RIMS norms.

v. The IEC Members

The IEC members will have following responsibilities:

- Determining the scientific and ethical validity of the research as well as the protection of the safety, rights and confidentiality of the research participants.
- Scientific and ethical review with special emphasis on the intervention, benefit-risk analysis, research design, methodology and statistics, continuing review process, SAE, protocol deviation, progress and completion report
- For clinical trials, the pharmacologist member will review the drug safety and pharmacodynamics.
- The clinician member to review the protocol (SAE, protocol deviation or violation, progress and completion report), medical care, facility and appropriateness of the principal investigator, and provision for medical care, management and compensation.
- The legal expert member for ethical review of the proposal, ICD along with translations, MoU, Clinical Trial Agreement (CTA), regulatory approval, insurance document, other site approvals, researcher's undertaking, protocol specific other permissions, such as, stem cell committee for stem cell research, HMSC for international collaboration, genomic research, compliance with guidelines etc. and interpretation and information to EC members about new regulations if any.
- Review progress reports and monitor ongoing studies.
- Maintain confidentiality of the documents and deliberations of the IEC meetings.
- Declare conflict of interest, if any - IEC members shall disclose to the IEC all conflicts of the IEC member, their spouse/domestic partner, and their dependent children. Such disclosures shall be sufficiently detailed to allow the IEC Administration to transfer the project to another IEC member or allow time for an alternate member to attend the IEC meeting to meet quorum.
- Carry out work delegated by the Chairperson, Vice-Chairperson and/or Member Secretary.
- Participate in continuing education activities in biomedical ethics and biomedical research.
- Provide information and documents related to training obtained in biomedical ethics and biomedical research to the IEC secretariat.

Directors, Head of Institution, Superintendents, Administrative officers who are responsible for business development will not be involved in the review process. In the absence of the Chairperson, Vice Chairperson will chair the meeting. In the absence of both, a member who is independent of the institution will chair the meeting as the Acting Chairperson.

11. QUORUM REQUIREMENTS

Minimum of 50% of committee strength and not less than 7 members are required to constitute the quorum for the meeting of which at least one member has to be from outside the institution, and one member will be a non-scientific member & one from opposite gender. All decisions will be taken in meetings and not by circulation of project proposals.

Quorum will have besides the Chairperson and the Member secretary, 6 members with following representations:

a. Basic medical scientists (preferably one pharmacologist).
b. Two clinicians
c. Legal expert
d. Social scientist / representative of non-governmental voluntary agency / philosopher / ethicist / theologian or a similar person
e. Lay person from the community

12. HONORARIUM, FEES AND IEC OFFICE EXPENSES

The members of the IEC, Rajendra Institute of Medical Sciences, Ranchi shall be paid Rs 1000/- as honorarium for attending the IEC meetings and reviewing the proposals.

COMPENSATION AND REIMBURSEMENTS TO EXTERNAL MEMBERS

All external members, and experts invited (if any) will be paid an honorarium of Rs. 1000/- for each meeting attended and transport facilities would be either provided by the institution or reimbursement will be done for travel costs incurred towards contributing to the workings of the IEC according to the Institution ‘s norms. Appropriate bills shall have to be submitted together to the Member Secretary.

EC REVIEW AND ARCHIVAL FEE

The Ethics Committee (EC) shall charge an application fee for sponsored research projects. All research proposals/clinical trials funded/sponsored by Pharmaceutical companies, Agencies, Multinationals etc. will be charged an administrative fee/ processing fee.

Waiver of these fees is permissible for non-funded studies, departmental studies, and studies funded by organizations like ICMR, UGC, DBT, DST Government of India, State Science & Technology Department, UNICEF, WHO, USAID, Non profitable organizations etc.

All applications need to be mandatorily accompanied by application fee before it can be processed. The fee shall be paid by cheque or by demand draft drawn in favor of EC and accounts thus maintained.

INITIAL REVIEW FEE

The EC shall charge a non-refundable, initial one-time review fee as administrative charges given below:

Pharmaceutical Industry and Contract Research Organisation (CRO) Funded Clinical Trials … ……..… Rs. 50,000/- or 10% of the budget
Investigator Initiated Projects (Funded by Non-Govt. Funding Agency) ……... Rs. 40,000/-
Investigator Initiated Projects (From outside RIMS) ……... Rs. 25,000/-
Investigator Initiated Projects (Funded by Govt. Funding Agency) …… Rs. 5,000/-
Student research (thesis) …….. Rs. 500/-

STUDY RENEWAL FEE

The EC shall charge a yearly fee (Rs. 5000/) for ongoing review of the study from the second year. The study renewal review fee funds the costs of the Committee renewal review of the ongoing review of adverse events, protocol variances and site visits. The committee examines each Investigator's progress reports and activities for the previous year.

AMENDMENT FEE

The EC will charge an amendment fee of Rs 2000 for any amendment(s) in the ongoing study.

ARCHIVAL FEE

The EC will charge an amount of Rs 75,000 as archival fee for a tenure of 5 years.

All applications need to be mandatorily accompanied by the application fee before it can be processed. The fees shall be deposited by Demand Draft in favour of IEC, RIMS, payable at SBI, RMCC Branch, Ranchi or by NEFT in IEC current Account in SBI Account No. 39636660706 RMCC Branch, IFSC code no. SBIN000001672.

OFFICE EXPENSES

For the maintenance of the office, a sum of Rs 2000/- per month will be given to the secretariat.

13. APPLICATION PROCEDURE

1. All proposals should be submitted on any working day 1 month in advance of scheduled meeting in the prescribed Guidelines for submission of projects [**Annexure No. 12**]. The SOP is available on the RIMS website.
2. All relevant documents should be enclosed with the application form as provided in the check list [**Annexure no. 14**].
3. Required number of copies of the proposal along with the application and documents in prescribed format duly signed by the Principal Investigator (PI) and Co-investigators/ Collaborators / Research Scholars shall be guided to the Chairperson, RIMS, Ranchi, through member secretary. In his absence via any person nominated by Chairperson, receipt of the application will be acknowledged by the IEC office. The investigators submitting the projects to the IEC for the approval will submit the project according to the prescribed guidelines, summary proforma and the checklist for submission. [**Annexure 12, 13 & 14**] along with the subject information sheet and consent form **[Annexure 9**].

Every application will be allotted an IEC registration number to be used for all future correspondence and reference. The date of IEC meeting will be intimated to the PI to attend the meeting and to make a brief presentation of the proposal and to clarify the points raised by the members. The decision of the committee on the proposal will be communicated in writing. If revision is to be made, the revised document in required number of copies should be submitted within a stipulated period of time as specified in the communication or before the next meeting.

14. REVIEW PROCEDURES

1. The meetings of the IEC, RIMS, Ranchi will be held on periodic intervals, 2nd week of every alternate month unless otherwise specified by the member secretary. Additional review meetings can also be held with short notice as and when required.
2. Additional meetings will be planned in accordance with the need for the **Expedited IEC Approval**. An expedited review (which may involve less waiting time for IRB approval) may be carried out by the IRB chairperson or by one or more experienced IRB members designated by the chairperson. The reviewers may exercise all of the authorities of the IRB except that of disapproving the research. A proposal submitted for expedited review may be disapproved only by the full IRB.

The IECs Member Secretary or the Secretariat shall screen all the proposals for their completeness and depending on the risk involved, categorize them into three types: Exemption from Review, Expedited Review and Full Review.

Exemption from review:
The proposals which present less than minimal risk will be exempted from the review process as may be seen in the situations like –
Research conducted on data available in the public domain
Research on educational practices
Observation of public behavior when information is recorded without any linked identifiers and disclosures would not harm the interests of the observed person
Quality control and quality assurance audits in the institute etc.

Expedited Review:
Proposals which present no more than minimal risk to the research participants will be subjected to expedited review. The member secretary and the chairperson of the IEC or the designated member of the committee or sub-committee of the IEC will do expedited review if the proposals involve:
Minor deviations from originally approved research during the period of approval usually of one year duration
Revised proposal previously approved through full review by the IEC or continuing review of approved proposals where there is no additional risk or activity is limited to data analysis.
Research involving clinical materials like data, records, documents or specimens that have been collected for non-research or clinical purposes.
When in emergency situations like serious outbreaks or disaster the full review is not possible, prior written permission of IEC may be taken before use of the test intervention. However, such research will be approved only for pilot study or preliminary work.

Examples of the research that may be eligible for expedited review are:

- Collection of hair or baby teeth.
- Collection of external secretions, including sweat and saliva.
- Recording of data from adults using noninvasive procedures that are routinely employed in clinical practice (not including exposure to electromagnetic radiation outside the visible range, for example, x-rays or microwaves.)
- Collection of blood samples by venipuncture.
- Voice recordings made for research purposes, such as investigations of speech defects.
- Moderate exercise by healthy volunteers.
- Study of existing data, documents, records, pathological specimens, or diagnostic specimens etc.

Full Review:
All the research proposals presenting more than minimal risk that are not covered under exempt or expedited review will be subjected to full committee review.

3. The proposals should be sent to the IEC at least 1 month in advance of scheduled meeting.
4. Required number of copies of the proposal along with the application and documents in prescribed format duly signed by the Principal Investigator (PI) and Co-investigators/ Collaborators / Research Scholars shall be guided to the Chairperson, RIMS, Ranchi, through member secretary. Receipt of the application will be acknowledged by the IEC office.
5. The notice of each IEC meeting along with the agenda shall be sent to all the members at least one week before the meeting.
6. The IEC'S member-secretary shall screen the proposals for their completeness and depending on the risk involved categorize them into three types, namely, exemption from review, expedited review and full review.
7. Decisions will be taken by consensus after discussion, and whenever needed voting will be done. Decision of chairperson will be final.
8. Every application will be allotted an IEC registration number to be used for all future correspondence and reference. The date of IEC meeting will be intimated to the PI to be available and to clarify the points raised by the members if any.
9. The decision of the committee on the proposal will be communicated in writing. If revision is to be made, the revised document in required number of copies should be submitted within a stipulated period of time as specified in the communication or before the next meeting.
10. Researchers will be invited to offer clarifications if need be. The PI / research scholar will then present the proposal in person in the meeting. When the PI is not available due to unavoidable reasons the co-PI will present the proposal.

11. Independent consultants/experts will be invited to offer their opinion on specific research proposals if needed.
12. Minutes of the meeting will be written down and chairperson's approval will be taken in writing.

Points to Stress upon while reviewing Research Protocols

The protocol would be reviewed keeping in mind the following points:

i. Measures to protect autonomy,
ii. Risk/benefit determinations with respect to the vulnerability
iii. Whether vulnerable subjects are bearing unequal burden in research.
iv. Member of the IEC who would be reviewing such protocols should be well versed
v. With the potential harm or risk of such population participating in the study. Special justification is required for inviting vulnerable individuals to serve as research subjects and, if they are selected, the means of protecting their rights and welfare must be strictly adhered to.
vi. The extent of protection afforded should depend upon the risk of harm and the likelihood of benefit. The judgment that any individual lacks autonomy should be periodically re-evaluated and will vary in different situations. The central issue for the

IEC to consider is whether the potential subject's ability to exercise free choice is limited in some way.

15. REVIEW OF THE SERIOUS ADVERSE EVENTS (SAE) REPORTS AND COMPENSATION ISSUES:

- The primary responsibility of the IEC is to review and address SAE and unexpected events involving risks to research participants. In addition, the committee is authorized to offer mediation under appropriate circumstances.
- The IEC should also make sure that researchers/investigators are made aware of the policies and procedures concerning reporting and continuing review requirements.
- The complete SAE / unexpected events report for detailed review shall be submitted to IEC in detailed format. [**Annexure 8]**
- Notifying the IEC does not relieve the PI from his/her responsibility to notify the sponsor and regulatory authorities.

For on-site SAE
Instructions for PI:

All SAEs including Deaths should be reported within 24 hours of their occurrence to IEC, Sponsor or its representative and the Licensing authority.
After due analysis of the serious adverse event including Death, shall be forwarded by the Investigator to the Sponsor, the Chairperson of the IEC, Licensing authority and the Head of the Institution where the trial has been conducted.
The Chairperson of the Expert Committee constituted by the CDSCO (in case of death SAE) within fourteen calendar days of the occurrence of the serious adverse event of death.

SAE related activities before IEC meeting:

After SAEs is received the IEC, member secretary will verify that the reports are complete, signed and dated by the PI/Co-PI and are checked for dates and typographical errors in the SAE event description, SAE event term etc.

Actions to be taken by IEC
The Member Secretary will review the SAE Report, and an expedited meeting will be called to review and opine on the SAE. Any queries raised shall be communicated to the PI for action.
After analysis, SAE (other than death) report and opinion on financial compensation would be sent to the Licensing Authority within 30 calendar days.
In case of death SAEs, the analyzed report and opinion on financial compensation would be sent to the Chairperson of Expert Committee and Licensing Authority with 30 calendar days.

For off-site SAEs

It is the PI's responsibility to submit the offsite SAEs to IEC and one copy is acknowledged and returned back.
If any queries are raised by the IEC, Member Secretary will communicate to PI by email or letters as applicable; else the Offsite SAEs are filed in the respective project files.

Depending on the trend observed by the committee, if appropriate, specific action or combination of actions will be taken. Some of those are listed below:

1) Note the SAE report in the IEC records if information submitted is found to be adequate.
2) Direct the PI to inform participants already enrolled in the study about the SAE and request them to undertake additional visits, additional procedures, additional investigations, etc. as prescribed in the amendment.
3) Request further follow up information or Request additional details Recommend an amendment to the protocol, the ICD, Participant information sheet, investigator brochure and/ or any other document.
4) Suspend certain activities under the protocol (while going on with activities intended to protect the safety, well-being of participants who have already been enrolled);
5) Suspend enrolment of new research participants;
6) Suspend the study till amendments requested for by the IEC are accepted
7) Suspend the study for a fixed duration of time;
8) Suspend the study till additional information is obtained; or suspend the study till review is completed.
9) Terminate the study.

Relatedness Analysis & Compensation for non-death SAEs:

In case of Non-Death SAEs, the committee will follow the regulation and guidelines given by the DCGI, Govt. of India.

Relatedness Analysis & Compensation for Death SAEs

In case of Death SAEs, the committee will follow the regulation and guideline given by the DCGI, Govt. of India.

DCGI Query on Serious Adverse Events:

In potentially contentious issues, Member Secretary, IEC will inform Chairperson and Chairperson may use his/her discretion to bring it to the full board IEC meeting. The reply will be sent to DCGI with a copy of the same to Principal Investigator.

16. REVIEW OF THE STUDY COMPLETION REPORT

Before Each Board Meeting:

The Secretariat will receive 1 copy (soft and hard) of Study Completion Report from the Principal Investigator. The study completion report is expected from the investigator within 1 month of completion of the study at the site. A brief study report containing data analysis from all the centers can be submitted by the investigator once available from the sponsor. The Secretariat shall review the report for completeness before submission for the Board meeting. If necessary, the IEC secretariat will retrieve the master file from the archiving with permission of the Member Secretary. The Secretariat shall verify the submitted Study Completion Report along with Study Completion Report to the Chairperson. Prior to sending the Study Completion Report to the Chairperson, the Secretariat will prepare the Study Completion statement and attach this also to the packet sent to the Chairperson.

The Chairperson and the Member Secretary will review the report, Study Completion Report Form and Study Completion statement and notify it to the other IEC members at the forthcoming full board meeting or the Chairperson can designate two other IEC members to review the Study report and related documents. If deemed necessary, the Chairperson may keep the report for discussion at the forthcoming IEC meeting.

The Secretariat will send the Study Completion Report Form and Study Completion statement to the designated IEC members if required. The Secretariat shall include the Study Completion Report Form in the agenda for IEC members for discussion at the full board meeting.

During the Board meeting

The Secretariat shall request the IEC member(s) designated the task to review a copy of the Final Report to present his/her comments. The Member Secretary entertains any discussion of the study. If appropriate to the discussions, the Chairperson may call for voting for final decision or whether to request further information or to take other action with the investigator.

After the Board meeting

The Secretariat will note the decision in the meeting minutes and the study shall be considered as closed if decision by IEC is “Noted”. The IEC decision is notified to the investigator as
a) noted in the IEC records
b) request for additional information / clarification

The Secretariat will accept and file the Final Report and get the Study Completion Report Form signed by the Chairperson and file it. With the permission of the Member Secretary, the secretariat will retrieve the file from the archiving. The final report will be placed in the master file and kept in the archival area. The Administrative Officer will archive the entire study protocol for a period of 5 years from the date of completion of the project if the decision is noted and closed.

17. DECISION-MAKING

1. Members will discuss the various issues before arriving at a consensus decision. When consensus is not arrived at, the decision will be made by voting procedure.
2. A member should withdraw from the meeting during the decision procedure concerning an application in case of a conflict of interest and it should be intimated to the chairperson prior to the review of the application and recorded in the minutes of the meeting.
3. Decision will be made only in meetings where quorum is complete.
4. Only the members can make the decisions. the expert consultants will only offer their opinions.
5. The PI will be intimated about the decision of the committee with IEC approval notice [**Annexure 7**]
6. Decision about the proposals will be communicated as **Approved, Approved with Modifications or Rejected**. Specific suggestions for modifications and reasons for modifications and reasons for rejection will be given. In cases of conditional decisions, clear suggestions for revision and the procedure for having the application revised will be specified.
7. Modified proposals will be reviewed by an expedited review through identified members.
8. Procedures for appeal by the researchers will be clearly defined.

18. WAIVER OF INFORMED CONSENT

It is the responsibility of the IEC to review and approve a request for verbal/written consent waiver. The Member Secretary will record the decision in the minutes and in the Application Form. The Chairperson will sign and date letter conveying the decision.
When a request for waiver of consent is received from the Principal Investigator (PI) to the IEC, the following steps are taken:

- The IEC Secretariat will check if the concerned documents are filled completely and the required list of documents is enclosed.
- The IEC members will review the request taking into consideration the types of studies for which waiver of consent may be granted.
- The IEC will ensure that there are adequate mechanisms described in the protocol for protection of the identity of the research participants and maintaining confidentiality of the study data. (*This is necessary as the participant cannot be assured directly about confidentiality of health data through a formal informed consent process, when consent waiver is granted*).
- The final decision whether to grant the waiver is taken at a full board meeting unless the project is considered under expedited review

  The decision regarding approval / disapproval of waiver is informed to the Principal Investigator in writing. If the waiver is not granted, the IEC will provide reasons for the same.

19. RESPONSIBILITIES OF THE SPONSORS AND INVESTIGATORS TO THE IEC, RIMS, RANCHI

Responsibilities of the Sponsor(s)

i. The clinical trial Sponsor is responsible for implementing and maintaining quality assurance systems to ensure that the clinical trial is being conducted and data generated, documented and reported in compliance with the protocol and Good Clinical Practice (GCP) Guidelines issued by the Central Drugs Standard Control Organization, Directorate General of Health Services, Government of India as well as with all applicable statutory provisions. Standard operating procedures should be documented to ensure compliance with GCP and applicable regulations.

ii. Sponsors are required to submit a status report on the clinical trial to the licensing authority at prescribed intervals.

iii. In case of studies prematurely discontinued for any reason including lack of commercial interest in pursuing the new drug application, a summary report should be submitted within 3 months. The summary report should provide a brief description of the study, the number of patients exposed to the drug, dose and duration of exposure, details of adverse drug reactions, if any, and the reason for discontinuation of the study or non-pursuit of the new drug application

iv. Any report of serious adverse event of death occurring in clinical trial, after due analysis shall be forwarded by the sponsor to chairman of the ethics committee and chairman of the expert committee constituted by the licensing authority as defined under rule 21(b) under appendix XII of gazette notification dated 30th January 2013 with a copy of the report to the Licensing authority and the head of the Institution where the trial has been conducted within ten calendar days of occurrence of serious adverse event of death. The report of the serious adverse event other than death, after due analysis, shall be forwarded by the sponsor to the Licensing authority, Chairman of the Ethics Committee and the head of the Institution where the trial has been conducted within ten calendar days of occurrence of the serious adverse event.

v. In case of injury or death occurring to the clinical trial subject, the sponsor (whether a pharmaceutical company or an Institution) or his representative, whosoever had obtained permission from the Licensing Authority for conduct of the clinical trial, shall make payment for medical management of the subject and also provide financial compensation for the clinical trial related injury or death in the manner as prescribed in Appendix XII of gazette notification dated 30th January 2013.

vi. The sponsor (whether a pharmaceutical company or an institution) or his representative, whosoever had obtained permission from the Licensing Authority for conduct of the clinical trial, shall submit details of compensation provided or paid for clinical trial related injury or death, to the Licensing Authority within thirty days of the receipt of the order of the Licensing Authority.

Responsibilities of the Investigator(s):

1) Investigators will ensure that the IRB receives all the documents it requires to review the proposed research.
2) They will admit no participant to a study before the IRB has issued its written approval of the study.
3) The Investigator(s) shall be responsible for the conduct of the trial according to the protocol and the GCP Guidelines and also for compliance as per the undertaking given in Appendix VII of schedule Y.
4) The investigator will report promptly to the IRB:
    i. In case of changes to or deviations from the protocol, including changes made to eliminate immediate hazards to study participants.
    ii. Changes that increase the risk to participants or significantly affect the conduct of the study.
    iii. All adverse drug reactions that are both serious and unexpected.
    iv. New information that may adversely affect the safety of participants or the conduct of the study.
5) Standard operating procedures are required to be documented by the investigators for the tasks performed by them.
6) The researchers will be accountable for ensuring the protection of the environment and resources at all the stages of the research, in compliance with existing guidelines and regulations.
7) During and following a subject's participation in a trial, the investigator should ensure that adequate medical care is provided to the participant for any adverse events. Investigator(s) shall report all serious and unexpected adverse events to the Licensing Authority defined under clause (B) of rule 21 (Schedule Y and Gazette notification 30th January 2013), the sponsor or his representative, whosoever had obtained permission form the licensing authority for conduct of the clinical trial, and the ethics committee that accorded approval to the study protocol, within twenty-four hours of their occurrence.
8) The report of the serious adverse event of death, after due analysis shall be forwarded by the investigator to Chairman of the ethics committee and Chairman of the Expert Committee constituted by the Licensing authority under Appendix XII with a copy of the

report to the Licensing Authority and the head of the institution where the trial has been conducted within ten calendar days of occurrence of the serious adverse event of death.

The report of the serious adverse event other than death, after due analysis shall be forwarded to the Licensing Authority, Chairman of the Ethics Committee and the Head of the Institution where the trial has been conducted within ten calendar days of occurrence of the serious adverse event.

The investigator shall provide information to the clinical trial subject through informed consent process as provided in Appendix V of Schedule Y about the essential elements of the clinical trial and the subject's right to claim compensation in case of trial related injury or death. He shall also inform the subject or His/ Her nominee(s) of their rights to contact the sponsor or his representative whosoever had obtained permission from the Licensing Authority for conduct of the clinical trial for the purpose of making claims in the case of trial related injury or death.

20. RECORD KEEPING AND ARCHIVING AT THE OFFICE OF IEC, RIMS, RANCHI

1. All the documents and communications of IEC will be dated, filed and archived in a secure place.
2. Only the member secretary or persons, who are authorized by the Chairman of IEC will have the access to the various documents.
3. All the documents related to research proposals will be archived for a minimum period of 5 years in the Institute, following the completion /termination of the study.
4. No document (except agenda) will be retained by any IEC member.
5. At the end of each meeting, every member must return the CD/DVD containing all the research proposals and documents to IEC office staff. They will archive one copy in IEC office and other copies will be destroyed after one year.

21. REFERENCES

1. Schedule Y of the Drugs and Cosmetics Act
2. ICMR Ethical Guidelines for Biomedical Research in Humans
3. CDSCO-GCP
4. WHO Standards and Operational Guidance for Ethics Review of Health-Related Research with Human Participants.
5. AIIMS-P SOP 2013-2014
6. TMC IEC SOP 2016
7. AIIMS Bhuvneshwar IEC SOP 2012-13
8. Office of the Human Research Protection, US Department of Health and Human Services (HHS).
9. CREC-STM SOP Version 3

Memo No…… Dated……

APPOINTMENT ORDER

To,

Dr./ Mr. / Mrs.: _____

Subject- Appointment as Member of Ethics Committee

I understand that you were approached by my office for exploring your interest to join the Institutional Ethics Committee (IEC), RIMS, Ranchi and I am happy to know about your willingness to join.

It is my privilege to appoint you as a member in the category ……. of the Institutional Ethics Committee (IEC), (Human research) at Rajendra Institute of Medical Sciences, Ranchi (RIMS, Ranchi), w.e.f. the date of your joining. The appointment will be for a term of three years.

The Terms of Reference of your membership has been attached. Please confirm by a return email your acceptance of this offer and willingness to join with immediate effect. Also share your CV as per the format in the attachment.

Director
RIMS, Ranchi.

TERMS OF REFERENCE FOR MEMBERSHIP OF RIMS, RANCHI

a. The members are appointed by the Director, RIMS, Ranchi.
b. The members are appointed for a period of 3 years.
c. The members should submit with the appointing authority, a brief profile of yours, with relevant information, as per the prescribed proforma.
d. The members have to sign a Confidentiality Agreement at the start of your tenure. The confidentiality agreement protects the privacy and confidentiality of all parties whose information may be disclosed to the Committee in the course of its work.
e. The members have to sign a Conflict of Interests Declaration Form at the start of your tenure. Such declaration is essential to decide your eligibility for membership. During the tenure of your membership if any new conflict of interests arises that might influence or bias your role as a member of the Committee, you should forthwith declare the same to the appointing authority, i.e Director RIMS, Ranchi
f. The appointment becomes effective from the date the members receive the appointment letter and submit in writing their consent to join the Committee.
g. On expiry of this 3 years tenure, the membership may be renewed for another term, provided the member agrees. Extension of membership beyond this tenure will be decided by the Director, RIMS, Ranchi.
h. You are free to resign and withdraw your membership any time you wish, for which you need not have to give reasons. If you decide to resign you should send a written notification of resignation to the Director RIMS, Ranchi.
i. The members should be sufficiently aware about their role and responsibilities as a member of the Committee in their capacity as clinician/ basic scientist/ legal expert/ NGO representative/ Lay person from the community.
j. They should have exposure to and training experience in Good Clinical Practice (GCP) Guidelines –ICH and Indian, Schedule Y provisions for conduct of clinical trials, ICMR Biomedical Research Ethics Guidelines and their periodic amendments from time to time. You have to submit with the appointing authority, the copies of all such experience or participation certificates.
k. During the membership tenure, the members should always try to avail the opportunities to attend the workshops and seminars to upgrade your knowledge and understanding in this area. They should expeditiously forward a copy of all such training certificates to the Member Secretary of the Committee. Besides, the Committee will also periodically hold awareness seminars or training events; they should attend them and update their knowledge and understanding in the area.
l. They are required to act responsibly and attend the scheduled meetings of the Committee regularly, besides fulfilling the other responsibilities that are assigned to you by the Chairperson of the Committee.
m. If a member fails to attend more than 3 consecutive meetings of the Committee, he/she may be relieved of the membership. Besides, they may be terminated of membership in case their conduct is found to be unbecoming of a member of the Committee.

I have carefully gone through all the terms and understood them. I agree to comply with all.

Signature with date……. Name……..

AX2–V3/SOP01/V3

Consent Letter

From: ……..
..……
……..

To
Director
RIMS Ranchi

Sub: Regarding Consent to be a member of Institute Ethics Committee (Human Studies)

Ref: Letter No: …… dated: ……..…….

Dear Sir,

In response to your letter stated above, I give my consent to become a member of IEC of RIMS Ranchi. I shall regularly participate in the IEC meeting to review and give my unbiased opinion regarding the ethical issues. I shall be willing for my name, profession and affiliation to be published. I shall not keep any literature or study related document with me after the discussion and final review.

I shall maintain all the research project related information confidential and shall not reveal the same to anyone other than project related personnel. I herewith enclose my CV.

Thanking you,

Yours sincerely,

Signature _____
Name of the Member _____
Date: Address: Telephone No: (Off) (Res) email: _____

AX3–V3/SOP01/V3

Confidentiality Agreement
IEC Members
RIMS, Ranchi

I, Dr./ Mr./ Mrs. …… have been appointed as a member of the Ethics Committee (IEC, RIMS, Ranchi), and am willing to join the Institutional Ethics Committee (IEC, RIMS, Ranchi) as a ……Member (mention membership category), hereby declare that as the member of this committee-

- I shall always keep in trust of confidence any information, ideas, data, discoveries, etc in respect of all clinical research studies (including clinical trials) that are disclosed/ revealed to me or that I would have accessed to, by virtue of the membership;

- I shall consider all such information and confidential, privileged or proprietary (if applicable);
- I shall use such information for contemplated purposes only; and

- I shall by no means disclose such information verbally, visually or in writing, to anyone other than in situations where it is statutorily or legally permitted/ bound.

…… ……

Name Signature with Stamp

Place ……. Date……

AX4–V3/SOP01/V3

Conflict of Interest Declaration Form
IEC Members
RIMS, Ranchi

I, Dr./Mr./Ms. …….. have been appointed as a member of the Ethics Committee (IEC, RIMS, Ranchi), and am willing to join the Institutional Ethics Committee (IEC, RIMS, Ranchi) as a ……Member (mention membership category), hereby declare that, as on date,

I do not have any conflict of interest to disclose in reference to my role as a member of this committee.
I do have conflicts of interest in reference to my role as a member of this committee; and I hereby disclose them as follows:

……
……
……
……
……
……

…… ……
Name Signature with Stamp

……. …….……

Place Date

AX5–V3/SOP01/V

Institute Ethics Committee, RIMS, Ranchi

Six Monthly Progress of Project

Institute Ethics Committee Reference No. _____

Study title:_____

Name of the Principal Investigator _____

Designation / Department _____

Duration of Study _____

Date of Starting of the Study _____

Progress:

Side Effect if any:

Amendments if any:

Discontinuation reasons:

Progress:

Period of six-monthly progress report: from_____to _____

Signature of Principal Investigator _____

Date:_____

AX6-V3/SOP01V3

INSTITUTIONAL ETHICS COMMITTEE (HUMAN STUDIES)

RAJENDRA INSTITUTE OF MEDICAL SCIENCES, (RIMS), RANCHI

No. IEC. _____ **Date: _____**

IEC APPROVAL NOTICE

To: [Name], Principal Investigator

Date:

Re: IEC Proposal No.____: [Title]

This is to inform you that at the convened meeting of_____the IEC voted to……. (Approve / Approve with modifications /Reject) the above referenced protocol.

As Principal Investigator, you are responsible for fulfilling the following requirements of approval:

1. All co-investigators must be kept informed of the status of the project.

2. Changes, amendments, and addenda to the protocol or the consent form must be submitted to the IEC for re-review and approval **prior** to the activation of the changes. The IEC number assigned to the project should be cited in any correspondence.

3. Adverse events should be reported to the IEC. New information that becomes available which could change the risk: benefit ratio must be submitted promptly for IEC review. The IEC and outside agencies must review the information to determine if the protocol should be modified, discontinued, or continued as originally approved.

4. Only approved consent forms are to be used in the enrollment of participants. All consent forms signed by subjects and/or witnesses should be retained on file. The IRB may conduct audits of all study records, and consent documentation may be part of such audits.

5. RIMS IEC Office requires review of an approved study not less than once per six (06) months period. **Therefore, a continuing review application must be submitted to the IEC in order to continue the study beyond the approved period.** Failure to submit a continuing review application in a timely fashion will result in termination of the study, at which point new participants may not be enrolled and currently enrolled participants must be taken off the study.

Sincerely,

Member Secretary, IEC

Chairperson, IEC

Data Elements for Reporting Serious Adverse Events (SAE) occurring in a Clinical Trial

1. *Patient Details*

   Initials & other relevant identifier (hospital/OPD record number)*

   Age/ DOB Weight

   Height

2. *Suspected Drug(s)*

   Generic name of the drug*

   Indication(s) for which suspect drug was prescribed or tested Dosage form and strength

   Daily dose and regimen (specify units - e.g., mg, ml, mg/kg)

   Route of administration

   Starting date and time of day

   Stopping date and time, or duration of treatment

3. *Other Treatment(s)*

   Provide the same information for concomitant drugs (including nonprescription/OTC drugs) and non-drug therapies, as for the suspected drug(s).

4. *Details of Suspected Adverse Drug Reaction(s)*

   Full description of reaction(s) including body site and severity, as well as the criterion (or criteria) for regarding the report as serious. In addition to a description of the reported signs and symptoms, whenever possible, describe a specific diagnosis for the reaction*

   Start date (and time) of onset of reaction

   Stop date (and time) or duration of reaction

   Dechallenge and rechallenge information

   Setting (e.g., hospital, out-patient clinic, home, nursing home)

5. *Outcome*

Information on recovery and any sequelae; results of specific tests and/or treatment that may have been conducted

For a fatal outcome, cause of death and a comment on its possible relationship to the suspected reaction; Any post-mortem findings.

Other information: anything relevant to facilitate assessment of the case, such as medical history including allergy, drug or alcohol abuse; family history; findings from special investigations etc.

6. *Details about the Investigator**

Name
Address
Telephone number Profession (specialty)
Date of reporting the event to Licensing Authority:
Date of reporting the event to Ethics Committee overseeing the site:

Signature of the Investigator

*Note: Information marked * must be provided."*

Institutional Ethics Committee (IEC)
RIMS, Ranchi
(Performa of the Subject Information Sheet and Consent Form)

Title of the project:
Site of the investigation:
Name and address of the Principal Investigator:
Contact number of Principal Investigator:

1. Aims and methods of the research (A brief introduction about the investigation along with purpose of the study and procedure of investigation involving human subjects in simplified manner (10-15 lines).
2. Expected duration of the subject participation.
   The benefits to be expected from the research to the Participants or to others.
3. Alternative treatment/procedure options.
4. Right to prevent use of biological samples (DNA, cell line etc.) at any time during the research.
5. Any risk to the subject associated with the study.
6. Maintenance of confidentiality of records.
7. Provision of free treatment for research related injury.
8. Compensation of subjects for disability or death resulting from such injury.
9. Freedom of individual to participate or to withdraw from research at any time without penalty or loss of benefits to which the subject would otherwise be entitled.
10. Amount of clinical sample in quantity, to be taken should be mentioned.
11. Source of funding for the Investigation.
12. In case of drug trials:
    a) The chemical name of drug, date of its manufacturing and batch number must be mentioned.
    b) Initial bio equivalent study of the drug/references should be provided
13. Foreseeable extent for information on possible current and future usage of the biological material and of the data to be generated from the research and if the material is likely to be used for secondary purposes or would be shared with others, clear mention of the same.
14. Risk of discovery of biologically sensitive information.
15. Publication, if any, including photographs and pedigree charts.
16. Responsibility of Investigators.

Consent

1. I agree voluntarily to take part in this study.
2. I have been explained the purpose and other details of the study. I have been given a full explanation of the procedures involved.
3. I have been given an opportunity to ask questions and all my questions have been answered to my satisfaction.
4. I am free to withdraw from the study at any time without any reason and without my medical care or legal right being affected.
5. I understand that the information in my medical records is essential to evaluate the results of the study. I agree to release this information on the understanding that will be treated confidentially.
6. I agree that I will not be referred to by name in any reports/documents/any other means concerning this study.
7. I have been explained the risks and benefits for the patients and society associated with the study.
8. I agree that if I am harmed as result of taking part in the study, treatment will be provided free of cost by the PI/Institution/University.
9. I agree/ do not agree that the biological samples collected during this study may be stored for future use.

I willingly agree to take part in the above study.

Signature of the participant/guardian Date:
Name:
Age:
Address:

Signature of the doctor/Principal Investigator: Date:

Signature of the witness: Date:

Note: Make 2 copies of the Subject Information Sheet and Consent Form, one copy for the Principal Investigator and the other copy for the patient.

AX9–V3/SOP01/V3

Signature page for research involving children ages birth to 6 years of age or unable to provide assent for other reasons

1. I agree that my child is voluntarily taking part in this study.
2. I have been explained the purpose and other details of the study. I have been given a full explanation of the procedures involved.
3. I have been given an opportunity to ask questions and all my questions have been answered to my satisfaction.
4. I know that my child is free to withdraw from the study at any time without any reason and without my medical care or legal right being affected.
5. I understand that the information in my child's medical records is essential to evaluate the results of the study. I agree to release this information on the understanding that will be treated confidentially.
6. I agree that my child will not be referred to by name in any reports/documents/any other means concerning this study.
7. I have been explained the risks and benefits for the patients and society associated with the study.
8. I agree that if my child is harmed as result of taking part in the study, treatment will be provided free of cost by the PI/Institution/University.
9. I agree that the biological samples collected during this study may be stored for future use

I willingly agree that my child will take part in the above study.

Allow Do not allow

Signature of the parent/guardian Date:
Name:
Age:
Address:

Signature of the doctor/Principal Investigator: Date:

Signature of the witness: Date:

AX10–V3/SOP01/V3

Waiver of assent
The assent of ---------- (name of child/minor) was waived because of:
Age:
Maturity:
Psychological state of the child:

Signature of the Parent/Legally authorized representative: Date:

Note: Make 2 copies of the Subject Information Sheet and Consent Form, one copy for the Principal Investigator and the other copy for the patient.

Signature page for research involving children ages 7 through 17 years of age and able to provide assent

1. I agree that my child is voluntarily taking part in this study.
2. I have been explained the purpose and other details of the study. I have been given a full explanation of the procedures involved.
3. I have been given an opportunity to ask questions and all my questions have been answered to my satisfaction.
4. I know that my child is free to withdraw from the study at any time without any reason and without my medical care or legal right being affected.
5. I understand that the information in my child's medical records is essential to evaluate the results of the study. I agree to release this information on the understanding that will be treated confidentially.
6. I agree that my child will not be referred to by name in any reports/documents/any other means concerning this study.
7. I have been explained the risks and benefits for the patients and society associated with the study.
8. I agree that if my child is harmed as result of taking part in the study, treatment will be provided free of cost by the PI/Institution/University.
9. I agree/ do not agree that the biological samples collected during this study may be stored for future use.

I willingly agree that my child will take part in the above study.

Signature of the parent/guardian Date:

Assent of child
---------- (name of child/minor) has agreed to participate in above study

Signature of the child Date:

Name:
Age:
Address:

Signature of the doctor/Principal Investigator: Date:

Signature of the witness: Date:
Note: Make 2 copies of the Subject Information Sheet and Consent Form, one copy for the Principal Investigator and the other copy for the patient.

AX11–V3/SOP01/V3

Institutional Ethics Committee (IEC)
RIMS, Ranchi
Guidelines for submission of projects involving research on human participants

All the proposals for ethical clearance should be submitted to the Member Secretary, IEC along with the following documents.

1) **One hard copy and one soft copy** of the research proposal.
2) **One soft copy** of the Summary Performa
3) **One soft copy of the subject information sheet for participants.**
4) **Seven hard copies** of each of the following:
    i. The Summary Performa (Annexure 10).
    ii. Subject Information Sheet and Consent Form (for patients in English and Hindi/local language (Annexure 11). Please ensure that Hindi translation is in language for the common person.
    iii. Self-certification that Hindi/local language translation of Subject Information Sheet and Consent Form is true version of the corresponding English form.
    iv. Clinical Performa.
    v. Self-certification that no work has started.
    vi. Self-certification that the work will be done according to ICMR/GCP guidelines.
    vii. Brief Curriculum Vitae (1-2 pages) of the Principal Investigator and Co-Investigators.
    viii. GCP certificates of all PI and Co-PIs conducting the clinical trials.

5) **Signed checklist of the submitted documents**
6) Any other information relevant to the study.

Please note the following:

1. **All applications to the IEC must be forwarded through the Research and Project Committee.**
2. **All student applications like the ICMR STS or SRF must have student names and signatures. The registration letter of the student should be attached to all applications submitted to IEC.**

Institutional Ethics Committee (IEC)
RIMS, Ranchi
(Summary Proforma)

Performa for submission of projects involving research on human participants for ethical clearance.

Title of the project:
Name, designation & address of the Principle-Investigator:
Name, designation & address of the Co- Investigator 1:
Name, designation & address of the Co- Investigator 2:
Collaborating Institute /University/Hospital:
Objectives of the study:
Funding agency:
Duration of the project:
Nature of the disease:
Place of sample collection for participants:
Type of clinical sample:
Number of patients:
Age and gender of patients:
Inclusion and exclusion criteria for enrolment of patients:
Number of controls:
Age and gender of controls:
Inclusion and exclusion criteria for enrolment of controls:
Volume/quantity of clinical samples:
Frequency of sample collection:
Duration of sample collection:
Safety measures for proposed study:
Confidentiality of study subjects:
Consent form in English and Hindi/local language:
Has the project been submitted to other Committee/Institution for ethical clearance:
If yes give the status of ethical clearance:
Provision for compensation/ Insurance:
Other remarks:

Signature of the Principal Investigator: Date:

Proposal No .....(to be filled by office)

Checklist of submissions to the Institutional Ethics Committee, RIMS, Ranchi

Date of submission:
Title of proposal:
Name and Institute of Principal Investigator:
Names of Co investigators with institute
(i)

(ii)

S. No	Document	Submitted	Not submitted
1	Covering letter by PI		
2	Student registration letter		
3	ICMR JRF/ SRF applications with student names		
4	Research proposal (one hard copy)		
5	Research proposal (soft copy)		
6	Summary proforma (one soft copy)		
7	Summary proforma (7 hard copies)		
8	Subject information sheet for patients (soft copy)		
9	Subject information sheet for patients (7 hard copies)		
10	Consent from parent/guardian in case of children from birth to 6 years. (7 copies where applicable)		
11	Consent from parent/guardian in case of children below 7 to 17 years. (7 copies where applicable)		
12	Certified Hindi translation of subject information sheet for patients 7 copies)		
13	Self-certification that Hindi/local language translation of Subject Information Sheet and Consent Form is true version of the corresponding English form. (7 copies)		
14	Self-certification that no work has started. (7 copies)		
15	Undertaking of the storage of left over samples		
16	Self-certification that the work will be done according to ICMR/GCP guidelines. (7 copies)		
17	Brief Curriculum Vitae (1-2 pages) of the Principal Investigator and Co-Investigators. (14 copies)		
18	Signed checklist of the submitted documents		