	<p><u>FERCI MODEL SOPs</u></p> <p><u>Preparation of Standard Operating Procedures for Institutional Ethics Committee</u></p>	<p><u>SOP 01/V1:</u></p> <p><u>Effective Date: aa/bb/cccc</u></p>
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Title: Preparation of Standard Operating Procedures for Institutional Ethics Committee

SOP Code: SOP 01/V1

Effective Date: aa/bb/cccc

[The IEC members (author/s, reviewer/s) and Chairperson will sign and date the SOP on this first page]

Prepared by:

Dr. Padmaja Marathe, FERCi Member	(Signature with Date)
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Reviewed by:


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Approved by:

Dr. Vasantha Muthuswamy, FERCi President	(Signature with Date)
Dr. Nandini Kumar, FERCi Vice President	(Signature with Date)

Table of Contents:

No.	Contents	Page No.
1	Purpose	2
2	Scope	2
3	Responsibility	2
4	Detailed Instructions	3
5	Annexures	6
6	Flowchart	9

 <p>FERCI</p>	<p style="text-align: center;"><i>FERCI MODEL SOPs</i></p> <p style="text-align: center;">Preparation of Standard Operating Procedures for Institutional Ethics Committee</p>	<p style="text-align: center;">SOP 01/V1:</p> <p style="text-align: center;">Effective Date: aa/bb/cccc</p>
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1. Purpose

The purpose of this Standard Operating Procedure (SOP) is to define the process for writing, reviewing, distributing and amending SOPs of the Institutional Ethics Committees (IEC). The SOPs provide clear, unambiguous instructions so that the related activities of the committee are conducted in accordance with Indian regulations and relevant, national and international ethical guidelines.

2. Scope

This SOP covers the procedures of writing, reviewing, distributing and amending the SOPs of the IEC.


3. Responsibility

It is the responsibility of the Chairperson of the IEC to appoint an SOP team to formulate a new SOP or to revise existing SOP. The SOP team shall do this by following the standard procedures, format and coding system that is used while drafting or editing any SOP of the IEC.

3.1 Secretariat of the IEC will

- assist Chairperson to formulate an SOP Team
- co-ordinate activities of writing, reviewing, distributing and amending SOPs
- ensure that all the IEC members and involved administrative staff have access to the SOPs
- ensure that all the IEC members and involved staff are working according to current version of SOPs
- maintain an up-to-date distribution list for each SOP distributed to the IEC members.
- maintain a register to record the names of investigators to whom SOPs are distributed
- maintain a file of all current SOPs and the list of SOPs
- maintain a file of all past SOPs of the IEC

3.2 SOP team will

 <p>FERCI</p>	<p align="center">FERCI MODEL SOPs</p> <p align="center">Preparation of Standard Operating Procedures for Institutional Ethics Committee</p>	<p align="center">SOP 01/V1:</p> <p align="center">Effective Date: aa/bb/cccc</p>
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- assess the request(s) for SOP/s revision in consultation with the Secretariat, Member Secretary and Chairperson
- propose new / modified SOP/ s as needed
- draft the SOP/s in consultation with the IEC members and involved administrative staff
- review the draft SOP
- submit the draft for approval to Chairperson

3.3 Chairperson of the IEC will

- appoint one or more SOP Teams
- approve the SOPs
- sign and date the approved SOPs

3.4 IEC members and involved administrative staff will

- sign and date the approved SOP when they receive it
- maintain a file of all SOPs received


4. Detailed instructions

4.1 Identify the need for new or amendment of current SOP

Any member of the IEC or Secretariat who would feel the requirement of a revision 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 request by writing to the IEC Chairperson either as an email/letter/verbal request in a meeting.

The Chairperson will inform all the IEC members about this request at a regular full-board IEC meeting.

If the IEC members agree to the request, an appropriate SOP team(s) will be appointed by the Chairperson and designated the task to proceed with the revision process/ formulation process of the SOP. If the IEC members do not agree, no further action will be taken. The Chairperson will inform the member of the IEC or Secretariat who made the request for modification of the SOP.

	<p>FERCI MODEL SOPs</p> <p>Preparation of Standard Operating Procedures for Institutional Ethics Committee</p>	<p>SOP 01/V1:</p> <p>Effective Date: aa/bb/cccc</p>
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4.2 Appoint the SOP Team(s)


- The Chairperson will constitute an SOP Team(s) consisting of the member-secretary and two or more members of the IEC who have a thorough understanding of the ethical review process.
- The SOP writing team will carry out the subsequent steps as described in sections **4.3-4.7**.

4.3 List all relevant procedures

- Write down step by step all the procedures of the IEC that are to be standardized in the form of an SOP
- Organize, divide and name each process

4.4 Write and review a new SOP

- When the need for a new SOP has been identified and agreed upon, a draft will be written by one or more designated members of the SOP team, appointed by the Chairperson.
- Each SOP should be given a number and a title that is self-explanatory and easily understood. A unique code number with the format SOP xx/Vy will be assigned to each SOP item by the Secretariat. “xx” will be a two-digit number assigned specifically to each activity based SOP. “V” refers to version of the SOP and “y” will be a number identifying the version. The first SOP of the current version would be SOP 01/V1 i.e. it is SOP number 01 with version 1.
- Each SOP may have annexures which are forms to be filled in by various stakeholders [IEC or Principal Investigator (PI)]. Each annexure will be given a unique code number with the format AX pp/SOP xx/Vy. AX refers to annexure form, pp is a two-digit number

	<p>FERCI MODEL SOPs</p> <p>Preparation of Standard Operating Procedures for Institutional Ethics Committee</p>	<p>SOP 01/V1:</p> <p>Effective Date: aa/bb/cccc</p>
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identifying the number of the annexure, while xx/Vy refers to the SOP number and its version. For example AX 01/SOP01/V1 means annexure form number 1 belonging to SOP 01/V1.


- Each SOP will be prepared according to the standard template in AX 01/SOP01/V1. Each page of the SOP will bear the header which will have the effective date (*aa/bb/cccc*) i.e. the date of approval of the SOP by the Chairperson. The SOP number will be on the right hand corner with the title of the SOP while the footer will bear the page number as page p of q (total) pages. [*The logo of the Institution/ Hospital may be put in the header if required*]
- The draft SOP written by one or more members of the SOP team will be reviewed by the remaining members of the SOP team. After incorporating the suggestions put forth by the SOP team members; a copy of the revised draft SOP will be sent to the Member-Secretary, who will circulate it to all the IEC members.

4.5 Write and review a revised SOP

- If an SOP supersedes a previous version, the previous SOP version will be indicated in the Document History Form (*AX 02/SOP01/V1*) along with description of the main change/s.
- The rest of the steps are as described in **Section 4.4**.

4.6 Prepare and submit final draft

- The SOP Team will submit the reviewed SOP to the IEC Members who will review it at a meeting.
- The suggestions that are agreed upon by the IEC members present at the meeting will be discussed and incorporated in the revised draft SOP and it will be finalized.

	<p><i>FERCI MODEL SOPs</i></p> <p>Preparation of Standard Operating Procedures for Institutional Ethics Committee</p>	<p>SOP 01/V1:</p> <p>Effective Date: aa/bb/cccc</p>
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- The SOP team would stand automatically dissolved once the IEC takes final decision regarding the SOP.

4.7 Approve the new / revised SOP

- The final version will be presented to the Chairperson for review and approval.
- The authors, reviewers and the Chairperson will sign and date the SOP on the first page of the SOP document. This date of approval will be declared as the effective date from which the SOP will be implemented. The face page may also contain signature of Director/Dean of the Institution as having accepted the document (*as per the institutional policy*).

4.8 Implement, distribute and file SOPs

- The approved SOP will be implemented from the effective date.
- The Member Secretary will discuss the approved SOP with the administrative staff and instruct them to implement it accordingly.
- The approved SOP will be distributed to the IEC members and a log will be maintained as per the annexure - *AX 03/SOP 01*.
- One complete original set of current SOP will be filed in the SOP Master file, by the IEC Secretariat in the IEC office.
- When the revised version is distributed, all the IEC members will be requested to destroy their earlier version. Only one copy of the earlier version will be filed in the file entitled 'Past SOPs of the IEC' by the IEC Secretariat in the IEC office.
- The IEC members and Secretariat will review the SOPs at least once in every 3 years.

 <p>FERCI</p>	<p align="center">FERCI MODEL SOPs</p> <p align="center">Preparation of Standard Operating Procedures for Institutional Ethics Committee</p>	<p align="center">SOP 01/V1:</p> <p align="center">Effective Date: aa/bb/cccc</p>
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5. Annexures

Annexure 1 AX 01/SOP01/V1- Template for SOPs

Annexure 2 AX 02/SOP01/V1- Documentation of History of the SOPs

Annexure 3 AX 03/SOP01/V1- Log of the IEC members receiving SOPs


Annexure 4 AX 04/SOP01/V1- List of SOPs of the IEC

Annexure 1: AX 01/SOP01/V1
Template for Standard Operating Procedures

Logo of institution (if necessary)	Institutional Ethics Committee Title of the SOP	SOP Code: SOP xx/Vy Effective date: aa/bb/cccc
<p>Title: Title which is self-explanatory and easily understood</p> <p>SOP Code: SOP xx/Vy</p> <p>Effective date: aa bb cccc</p> <p>Prepared by : xxxxxxxxxx Signature with date -----</p> <p>Reviewed by: xxxxxxxxxx Signature with date -----</p> <p>Approved by: xxxxxxxxxx Signature with date -----</p> <p>Table of Contents:</p> <p>Page p of q</p>		

Main Text:

- Purpose:** Summarizes and explains the objectives of the procedure.
- Scope:** States the range of activities that the SOP applies to.
- Responsibility:** Refers to person(s) assigned to perform the activities involved in the SOP
- Detailed instructions:** Describes procedures step by step in short and clear sentences
- Annexure:** Forms to capture information pertaining to the SOP instructions
- Flow chart:** Simplifies the procedures in step by step sequence and states clearly the responsible person(s) or position for each activity

 <p>FERCI</p>	<p>FERCI MODEL SOPs</p> <p>Preparation of Standard Operating Procedures for Institutional Ethics Committee</p>	<p>SOP 01/V1:</p> <p>Effective Date: aa/bb/cccc</p>
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Annexure 2: AX 02/SOP01/V1

Documentation of History of the SOPs

Details of superseded SOP

Name of the team of authors	Version	Effective date (dd-mm-yyyy)	Describe the main change/s

Annexure 3: AX 03/SOP01/V1


Log of the IEC members receiving SOPs

No.	Name of Recipients	Designation	SOP code number	No. of Copies	Signature	Date

Annexure 4: AX 04/SOP 01/V1

List of SOPs of the Institutional Ethics Committee


No	Title of the Standard Operating Procedures (SOPs)	SOP No.
1	<i>Preparation of Standard Operating Procedures for Institutional Ethics Committee</i>	SOP 01
2	<i>Constitution of Institutional Ethics Committee (IEC), Selection, Roles and Responsibilities of Members of the IEC</i>	SOP 02
3	<i>Handling Conflict of Interest among Ethics Committee Members</i>	SOP 03
4	<i>Selection and Responsibilities of Independent Consultants</i>	SOP 04
5	<i>Procedures for allowing Guest/ Observer to visit Institutional Ethics Committee or attend IEC meeting</i>	SOP 05
6	<i>Management of Submission of Research Study Protocol and Study Related Documents</i>	SOP 06
7	<i>Categorization of Submitted Protocols for Ethics Review</i>	SOP 07

 <p>FERCI</p>	<p>FERCI MODEL SOPs</p> <p>Preparation of Standard Operating Procedures for Institutional Ethics Committee</p>	<p>SOP 01/V1:</p> <p>Effective Date: aa/bb/cccc</p>
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7A	<i>Initial Full-Board Review of Research Study Protocols</i>	<i>SOP 7 A</i>
7B	<i>Expedited Review of Research Study Protocols</i>	<i>SOP 7 B</i>
7C	<i>Exemption from Ethics Review of Research Study Protocols</i>	<i>SOP 7C</i>
8	<i>Agenda Preparation, Meeting Procedures and Recording of Minutes</i>	<i>SOP 08</i>
9	<i>Review of Amended Protocol, Protocol-related Documents and Resubmitted protocol</i>	<i>SOP 09</i>
10	<i>Continuing Review of Study Protocols</i>	<i>SOP 10</i>
11	<i>Review of Protocol Deviations / Violations</i>	<i>SOP 11</i>
12	<i>Review of Serious Adverse Events (SAE) Reports</i>	<i>SOP 12</i>
13	<i>Review of Study Completion Reports</i>	<i>SOP 13</i>
14	<i>Management of Premature Termination / Suspension / Discontinuation of the Study</i>	<i>SOP 14</i>
15	<i>Request for Waiver of Written Informed Consent and Waiver of Consent</i>	<i>SOP 15</i>
16	<i>Site Monitoring and Post-Monitoring Activities</i>	<i>SOP 16</i>
17	<i>Dealing with Participants' Requests and Complaints Coming to Ethics Committee</i>	<i>SOP 17</i>
18	<i>Maintenance of Active Study Files, Administrative Records of the Ethics Committee, Archival of Closed Files and Retrieval of Documents</i>	<i>SOP 18</i>
19	<i>Reviewing Proposals involving Vulnerable Populations</i>	<i>SOP 19</i>
20	<i>Preparing for Ethics Committee Audit/ Inspection</i>	<i>SOP 20</i>
21	<i>Training and Assessment of Ethics Committee Members</i>	<i>SOP 21</i>

6. Flow Chart

No.	Activity	Responsibility
1	Identify the need for new or amendment of current SOP	Any member of IEC, secretariat or

 <p>FERCI</p>	<p><i>FERCI MODEL SOPs</i></p> <p>Preparation of Standard Operating Procedures for Institutional Ethics Committee</p>	<p>SOP 01/V1:</p> <p>Effective Date: aa/bb/cccc</p>
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		administrative staff
2	Appoint the SOP Team(s)	Chairperson
3	List all relevant procedures	SOP Team
4	Write and review a new SOP	SOP Team
5	Write and review a revised SOP	SOP Team
6	Prepare and submit final draft	SOP Team
7	Approve the new/revised SOP	Chairperson
8	Implement, distribute and file SOPs	IEC members and Secretariat