 <p><b>FERCI</b></p>	<p><b>FERCI MODEL SOPs</b></p> <p><b>Dealing with Participants' Requests and/or Complaints to Institutional Ethics Committee</b></p>	<p><b>SOP 17/V1:</b></p> <p>Effective Date: aa/bb/cccc</p>
---	--	--

**Title: Dealing with Participants' Requests and/or Complaints to Institutional Ethics Committee**

**SOP Code: SOP 17/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, FERIC Member	(Signature with Date)
-----------------------------------	-----------------------

**Reviewed by:**


Dr. U. M. Thatte, FERIC Secretary	(Signature with Date)
Dr. S. K. Kamat, FERIC Treasurer	(Signature with Date)

**Approved by:**

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

**Table of Contents:**

<b>No.</b>	<b>Contents</b>	<b>Page No.</b>
1	Purpose	2
2	Scope	2
3	Responsibility	2
4	Detailed Instructions	2
5	Annexure	4
6	Flowchart	5

 <p><b>FERCI</b></p>	<p style="text-align: center;"><b><i>FERCI MODEL SOPs</i></b></p> <p style="text-align: center;"><b>Dealing with Participants' Requests and/or Complaints to Institutional Ethics Committee</b></p>	<p style="text-align: center;"><b>SOP 17/V1:</b></p> <p style="text-align: center;">Effective Date: aa/bb/cccc</p>
---	---	--

### **1. Purpose**

The purpose of this SOP is to describe procedures for dealing with requests for information by research participants regarding their rights as a participant or to resolve their complaint/s that is/are related to their participation in research approved by the Institutional Ethics Committee (IEC).

### **2. Scope**


This SOP applies to handling of requests for information/ complaints made by participants concerning the rights and well-being of the research participants participating in research studies by the IEC.

### **3. Responsibility**

It is the responsibility of the IEC Secretariat and Chairperson/ Member Secretary to initiate the process of giving information asked by research participants or to address any injustice that has occurred, if any complaints are received.


### **4. Detailed instructions**

- A request, complaint or query, from a research participant will be accepted by the Secretariat and forwarded to the IEC Member Secretary after entering into the request record form *AX 01/SOP 17/V1*.
- The Member Secretary may receive a request, complaint or query directly from the participant. He/she will record it in the request record form *AX 01/SOP 17/V1* and notify the Secretariat.
- The Member Secretary will additionally ascertain details of the request/ complaint by examining any relevant documents and by interviewing the participant if necessary. If

	<p><b><i>FERCI MODEL SOPs</i></b></p> <p><b>Dealing with Participants' Requests and/or Complaints to Institutional Ethics Committee</b></p>	<p><b>SOP 17/V1:</b></p> <p>Effective Date: aa/bb/cccc</p>
---	---	--

required, the Member Secretary will call for additional relevant information and documents from the Principal Investigator (PI).

- The Secretariat will inform the Chairperson about the request, query or complaint received from the research participant.
- In case of a request for additional information or clarification, the Member Secretary in consultation with the Chairperson will provide the information himself / herself or will designate one or more IEC member(s) to provide such information.
- In case of a complaint received from a research participant:
  - The Member Secretary, in consultation with the Chairperson will initiate a process to address any injustice that may have occurred. Depending on the seriousness of the matter, the Chairperson will direct the Member Secretary to:
    - Appoint a subcommittee of two or more IEC members for enquiry in order to resolve the matter.
    - Call an emergency meeting of two or more IEC members for discussion or
    - Consider the matter for discussion at the next full board meeting
  - The Chairperson/ Member Secretary/ designated IEC members will assess the situation and mediate a dialogue between the research participant and PI in an attempt to resolve the matter.
  - The IEC will insist on factual details to determine gap, if any, between truth and individual perception.
- The final decision will be taken by the Member Secretary in consultation with the Chairperson based on the recommendation of any one of the above and it will be informed to the research participant and the PI by the Secretariat.
- The information including any action taken or follow-up and final decision will be recorded in the form *AX 01/SOP 17/V1* and the form is signed and dated.

 <p><b>FERCI</b></p>	<p><b>FERCI MODEL SOPs</b></p> <p><b>Dealing with Participants' Requests and/or Complaints to Institutional Ethics Committee</b></p>	<p><b>SOP 17/V1:</b></p> <p>Effective Date: aa/bb/cccc</p>
---	--	--


- The IEC members will be informed about the action taken and the outcomes in the forthcoming IEC meeting (in case of requests/ complaints not discussed in full board meeting) and minuted.
- The Secretariat will place all documents in the relevant study file.

## 5. Annexure

Annexure 1     *AX 01/SOP 17/V1* – Request/ Complaint Form

*Annexure 1: AX 01/SOP 17/V1  
Request / Complaint Form*

<b>Date:</b>	
<b>Received by :</b>	
<b>Request/ Complaint received through:</b>	<input type="checkbox"/> Telephone No. _____ <input type="checkbox"/> Fax No. _____ <input type="checkbox"/> Letter / Date _____ <input type="checkbox"/> E-mail / Date _____ <input type="checkbox"/> Walk-in / Date / Time _____ <input type="checkbox"/> Other, specify _____
<b>Participant's Name:</b>	
<b>Contact details Address &amp; Phone:</b>	
<b>IEC Project no.</b>	

 <p><b>FERCI</b></p>	<p><b>FERCI MODEL SOPs</b></p> <p><b>Dealing with Participants' Requests and/or Complaints to Institutional Ethics Committee</b></p>	<p><b>SOP 17/V1:</b></p> <p>Effective Date: aa/bb/cccc</p>
---	--	--

<b>Title of the Project</b>	
<b>Starting date of participation :</b>	
<b>Information requested/ complaint/query</b>	<hr/> <hr/>
<b>Action taken:</b>	<hr/>
<b>Reviewed by</b>	<hr/>
<b>Final Decision</b>	<hr/>
<b>Date of IEC meeting (if applicable)</b>	<hr/>

\_\_\_\_\_

**Name & Signature of Member Secretary**

\_\_\_\_\_

**Date**

## 6. Flowchart

No.	Activity	Responsibility
1.	Receiving the request/ query/complaint from research participant	IEC Member Secretary/ Member
3.	Initiating process to identify the problem	IEC Chairperson/ Member Secretary
4.	Deliberations to arrive at solution	IEC Chairperson/ Member Secretary/ Members
5.	Communication with the research participant	IEC Secretariat
6.	File the request document	IEC Secretariat