

# IEC SOP 06: IEC Protocol submission procedures

ANNEXURE: 02

(AF/IEC/02/06/V-8.3)

## Study Assessment Form for Reviewer

Protocol Number:

Date (D/M/Y):

Name of Principal Investigator:

Protocol version and date:

Primary Reviewer's name with Designation:

| Sl. No | Particulars  | Appropriate | Not Appropriate | N/A | Comments |
|--------|--|-------------|-----------------|-----|----------|
| 1.     | <b>Scientific related issues</b>   |             |                 |     |          |
|        | Rationale  |             |                 |     |          |
|        | Objectives   |             |                 |     |          |
|        | Study design   |             |                 |     |          |
|        | Study population   |             |                 |     |          |
|        | Inclusion Criteria   |             |                 |     |          |
|        | Exclusion Criteria   |             |                 |     |          |
|        | Withdrawal criteria  |             |                 |     |          |
|        | Procedures used in research  |             |                 |     |          |
|        | The use of placebo   |             |                 |     |          |
|        | The use of medical device  |             |                 |     |          |
|        | Method of Research Assessment<br>- Assessment of efficacy<br>- Assessment of safety  |             |                 |     |          |
|        | Monitoring Complications and solutions   |             |                 |     |          |
|        | Blood or specimens [Frequency & Amount]  |             |                 |     |          |
|        | Duration and number of follow up   |             |                 |     |          |
|        | Static used in analysis  |             |                 |     |          |
| 2.     | <b>Ethical issues</b>  |             |                 |     |          |
|        | Involvement of Vulnerability<br>- Identification of Vulnerability<br>- Justification for the use of Vulnerable population<br>- Protection of Vulnerable groups |             |                 |     |          |
|        | Risk to the health of participants   |             |                 |     |          |
|        | - Identify the risk: physical,   |             |                 |     |          |
|        |  |             |                 |     |          |

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|           |  |  |  |  |  |
|-----------|--|--|--|--|--|
|           | psychological, economic, legal risk or risk due to invasion of privacy and confidentiality |  |  |  |  |
|           | Sufficient measures to prevent or minimize the risks                                       |  |  |  |  |
|           | Risk to the health of the embryo or the unborn child or spouse                             |  |  |  |  |
|           | Risk to the research community   |  |  |  |  |
|           | Direct benefits to participants<br>-During and after the study                             |  |  |  |  |
|           | Benefits to Society  |  |  |  |  |
|           | Favorable benefits/risk ratio  |  |  |  |  |
| <b>3.</b> | <b>Informed consent issues</b>   |  |  |  |  |
|           | a. Person who obtained informed consent  |  |  |  |  |
|           | b. Time when informed consent was conducted  |  |  |  |  |
|           | c. Place where informed consent was obtained   |  |  |  |  |
|           | Objective of the research  |  |  |  |  |
|           | Voluntary  |  |  |  |  |
|           | Right to withdraw from the study   |  |  |  |  |
|           | Alternatives in case of non-participation  |  |  |  |  |
|           | Rationale of the study   |  |  |  |  |
|           | Study procedure and participant's responsibilities   |  |  |  |  |
|           | Risks or discomforts to the participants   |  |  |  |  |
|           | Benefits to the participants or others   |  |  |  |  |
|           | Medical care during the study  |  |  |  |  |
|           | Payment/reimbursement/compensation   |  |  |  |  |
|           | Privacy and confidentiality  |  |  |  |  |
|           | Name, contact address, and telephone number of the investigator                            |  |  |  |  |
|           | Contact address and telephone number of  |  |  |  |  |

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|           |   |  |  |  |  |
|-----------|---|--|--|--|--|
|           | the ethics committee  |  |  |  |  |
|           | Certificate of informed consent form/Assent form  |  |  |  |  |
|           | Language used in the informed consent form  |  |  |  |  |
| <b>4.</b> | <b>Qualification of Investigator</b>  |  |  |  |  |
|           | Expertise of investigator(s)  |  |  |  |  |
|           | Training of the investigator(s) (GCP for clinical trials or Human Participant Protection) |  |  |  |  |
|           | Conflict of interest of the investigator(s)   |  |  |  |  |

### For medical device protocols:

Non-significant risk

Significant risk

- > Registered with USFDA/MDD approval with supporting document of registration
- > Not yet registered with USFDA/MDD or no evidence or information for risk determination

### Risk assessment of the protocol:

- > Research not involving more than minimal risk
- > Research involving greater than minimal risk but presenting the prospect of direct benefit to the participants
- > Research involving greater than minimal risk and no prospect of direct benefit to individual participant, but likely to yield generalizable knowledge about the participant's disorder or condition

### Duration of progress report:

06-Months

12 Months

### Opinion of the Reviewer:

Approve

Minor modification(s)

Major modification (s)

Disapprove,

please provide reason(s): \_\_\_\_\_

### Reviewer Name signature and date