PCMC IR-EC SOP 16.0: Review of Protocol Amendments

Supersedes:	PCMC IRB-EC SOP 01.0, V. 3.0
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16.0 REVIEW OF PROTOCOL AMENDMENTS

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16.1 Policy Statement

The IR-EC shall require approval of protocol amendments before it can be implemented

16.2 Purpose of the Activity

To ensure that the conduct of the research adheres to an approved protocol.

16.3 Scope

This SOP includes the procedures for the review of protocol amendments that begins from the receipt of the protocol amendment package and checking its completeness and ends with filing of documents and updating protocol file index and the protocol database.

16.4 Process Flow/Steps for Review of Protocol Amendments

NO.	ACTIVITY	PERSON/S RESPONSIBLE
1	Receipt of the protocol amendment package and checking its completeness	IR-EC Secretariat
2	Referring Amendment documents to Technical Board Reviewer of the CRD	IR-EC Secretariat
3	Determining type of review & identifying primary reviewers	IR-EC Chair, Secretariat
4	Forwarding amendment package to reviewers for review	IR-EC Secretariat, Chair / Primary Reviewers
5	Discussing major amendment or reporting the expedited review results to the IR-EC during full board meeting	IR-EC Members
6	Communicating IR-EC decision to PI	IR-EC Secretariat, Chair
7	Filing documents & updating protocol file index and the protocol database	IR-EC Secretariat

16.5 Detailed Instructions

16.5.1 Receipt of the protocol amendment package and checking its completeness

16.5.1.1 The PCMC IR-EC shall properly inform investigators to submit an amendment application whenever there is any change regarding the composition of the study team, the study site and the protocol related

documents for approvals previously granted by the PCMC IR-EC. The PI shall use PCMC IR-EC Form 16.1 (Protocol Amendment Review Form) for this amendment application.

16.5.1.2 The IR-EC Secretariat shall check the completeness of the amendment package submitted by the Investigator. They shall verify whether the Protocol Code No. and forms used are correct.

16.5.1.3 The Secretariat shall record the submission in the protocol database.

16.5.2 Referring Amendment documents to Technical Board Reviewer of the CRD

16.5.2.1 The PCMC IR-EC Secretariat shall refer the amendment package of protocols of residents, fellows and students to the Technical Board Reviewer of the PCMC Clinical Research Division (CRD) who shall make his recommendation on the scientific soundness of the proposed amendment and record it in Form 16.1.

16.5.3 Determining type of review & identifying primary reviewers

16.5.3.1 The PCMC IR-EC Secretariat shall refer the amendment package to the Chair who reviews the document to determine whether amendment is major or minor.

16.5.3.2 Major protocol amendments: increase risk to study participants and require full board review. It includes modifications that involve changes to the design methodology or new information relating to scientific documents which entail change in the Investigator's Brochure that might affect:

a. Scientific value of the study
b. Conduct or management of the study
c. The safety or physical or mental integrity of the subjects of the study or the analysis of the research study

16.5.3.3 Major protocol amendments include but are not limited to the following:

a. Modification of treatment – addition or reduction of treatments
b. Any changes in inclusion / exclusion criteria
c. Change in study design
d. Additional treatment/s or the deletion of treatment/s
e. Change in method of dosage formulation, such as, oral to intravenous
f. Significant change in the number of subjects
g. Significant decrease or increase in dosage amount
h. Duration of exposure to the investigational drug
i. Changes in the Informed Consent
j. Appointment of a new PI
k. Any other changes that will entail more than minimal risk.

16.5.3.4 Minor protocol amendments: those which are unlikely to compromise the integrity of the research or the welfare and rights of the participants and present no new ethical issues; and changes that are administrative in nature can be expedited.

16.5.3.5 **Minor modifications** include, but are not limited to:

a. Administrative changes
b. Minor consent form changes
c. Minor changes to recruitment procedures, recruitment materials or submission of new recruitment materials to be used in accordance with approved recruitment methods
d. Minor increases or decreases in the number of participants
e. Minor changes to study documents such as surveys, questionnaires or brochures
f. New study documents to be distributed to or seen by subjects that are similar in substance to those previously approved
g. Changes in payment to subjects or the amount subjects are paid or compensated that are not significant enough to affect the risk/benefit ratio of the study
h. Decrease in the number and volume of sample collections as long as they do not negatively alter the risk/benefit ratio of the study
i. Editorial changes that clarify but do not alter the existing meaning of a document
j. Addition of or changes in study personnel
k. Addition of a new study site (in many but not all cases
l. Translations of materials already reviewed and approved by an REC
m. Addition of research activities that would be considered exempt or expedited if considered independent from the main protocol;
n. Changes to improve clarity of statements

16.5.3.6 IR-EC Secretariat shall identify the Primary Reviewers who did the initial review and shall verify IR-EC approval of the initial protocol submission.

16.5.3.7 The Primary Reviewer or IR-EC Chair shall do the review provided they do not have COI. Otherwise the Chair shall designate a qualified member to do the review.

16.5.4 Forwarding amendment package to reviewers for review

16.5.4.1 IR-EC Secretariat shall prepare the protocol amendment package, photocopies relevant documents of previous review/s of the protocol that shall provide the Primary Reviewer / Chair with background information that shall facilitate the assessment of the proposed amendment/s.

16.5.4.2 The IR-EC Secretariat shall record the protocol amendment package in the Log for Outgoing Documents.

16.5.4.3 The IR-EC Secretariat shall send the protocol amendment package and relevant documents of previous review/s with the Notice to the Primary Reviewer / Chair at least 7 days before the full board meeting.

16.5.4.4 Preferably, the Primary Reviewers shall go to the IR-EC office to review the pertinent documents in the protocol file and determine whether the proposed changes in the protocol shall cause a change in the risk-benefit ratio of the approved protocol.

16.5.4.5 The Primary Reviewer / Chair shall review the amended documents and shall compare them with the previous IR-EC approved documents in the protocol file folder to assess if the proposed amendment/s would alter the risk/benefit ratio and shall make appropriate recommendations using the IR-EC part of the Protocol Amendment Submission Form.

16.5.4.6 Major protocol amendments shall be reviewed by full board while minor protocol amendments are reviewed by expedited review by the Primary Reviewer / Chair.

16.5.5 Discussing major amendment or reporting the expedited review results to the IR-EC during full board meeting

16.5.5.1 For Major Protocol Amendment

16.5.5.1.1 The Primary Reviewer / Chair shall_present_the_results of the review to the IR-EC during full board meeting.

16.6.6.1.2 The IR-EC shall decide whether or not there is a need for the_PI to clarify, elaborate or explain further the amendments. The following are possible review decisions of the board:

a. Approval if no major changes to the protocol / Informed Consent Form and no need for clarification from the PI.
b. Recommend major changes to the protocol / Informed Consent Form due to protocol amendments and request the PI for clarification or elaboration during a full board meeting.
c. Recommend minor changes to the protocol / Informed Consent Form due to protocol amendments and may or may not request the PI for further clarification or elaboration during a full board meeting.
d. Disapprove the protocol amendments because of major changes that could alter the entirety of the protocol or with potentially serious consequences that could compromise privacy and confidentiality, ethical issues, put the patient's safety at risk or critically affect the methodology and data analysis.

16.5.5.2 For Minor Protocol Amendment

16.5.5.2.1 The Primary reviewer / Chair shall submit the results of the review using the portion for IR-EC use in the Application Form for amendment.

16.5.5.2.2 The review decision shall be reported to the IR-EC during full board meeting.

16.5.6 Communicating IR-EC decision to PI

16.5.6.1 IR-EC Staff shall prepare Notification of IR-EC Decision/Approval for protocol amendment, for signature of IR-EC Chair.

16.5.6.2 If approved, the PI shall be requested to submit the amended copy of the study protocol or protocol-related document with an updated version no. and date.

16.5.6.3 IR-EC Staff shall send the notification to the PI.

16.5.7 Filing documents & updating protocol file index and the protocol database

16.5.7.1 IR-EC Secretariat shall ensure that the version no. and date marked on the amended document are correct.

16.5.7.2 IR-EC Secretariat shall stamp the amended protocol or protocol related document "Approved" with the approval date.

16.5.7.3 IR-EC Secretariat shall keep a copy of all protocol amendment related documents in the protocol file folder and shall update the protocol file index.

16.6 Forms

Form 16.1 V.3.0 Protocol Amendment Review Form

16.7 Glossary