(Annexure 8)

Application Form for Initial Review

Chennai Fertility Centre and Research Institute

IHEC Ref. No. (For office use):_____

General Instructions: a) Tick one or more options as applicable. Mark NA if not applicable
b) Attach additional sheets if required

SECTION A – BASIC INFORMATION

1. ADMINISTRATIVE DETAILS

(a) Name of the organization :_____

(b) Name of the Ethics Committee :_____

(c) Name of Principal Investigator :_____

(d) Department / Division :_____ (e) Date of submission :_____/_____/ _____

(f) Type of review requested[1]:

Exemption from review ☐ Expedited review ☐ Full committee review ☐

(g) Title of the study :_____

_____

_____

Acronym / Short title, (If any) :_____

(h) Protocol number (If any) :_____ Version number :_____

(i) Details of Investigators:

Name	Designation and Qualification	Department and Institution	Address for communication[2]
Principal Investigator			
Co-Investigator			
Co-Investigator / Student / Fellow / Guide			

(j) Number of studies where applicant is a:

(i) Principal Investigator at time of submission (ii) Co-Investigator at time of submission:

_____

(k) Duration of the study

1. Refer to National Ethical Guidelines for Biomedical and Health Research Involving Human Participants 2017 on Page 36 Table 4.2. for types of review.
2. Include telephone / mobile, fax numbers and email id.

2. FUNDING DETAILS AND BUDGET

(a) Total estimated budget for site :_____

At site_____In India_____Globally _____

(b) Self-funding ☐ Institutional funding ☐ Funding agency (Specify) ☐

_____

SECTION B - RESEARCH RELATED INFORMATION

3. OVERVIEW OF RESEARCH

(a) Lay summary[3] (within 300 words): :_____

_____

_____

_____

_____

(b) Type of study:

Basic Sciences ☐	Clinical ☐	Cross Sectional ☐
Retrospective ☐	Epidemiological ☐	Case Control ☐
Prospective ☐	Public Health ☐	Cohort ☐
Qualitative ☐	Socio-behavioural ☐	Systematic Review ☐
Quantitative ☐	Biological samples / Data ☐	
Mixed Method ☐	Any others (Specify) ☐	

4. METHODOLOGY

Sample size / number of participants (as applicable) :_____

At site_____In India_____Globally_____

Control group_____Study group _____

Justification for the sample size chosen (100 words); In case of qualitative study, mention the criteria used for saturation

_____

_____

_____

_____

_____

_____

[3]Summarize in the simplest possible way such that a person with no prior knowledge of the subject can easily understand it.

(a) Is there an external laboratory / outsourcing involved for investigations[4]? Yes ☐ No ☐ NA ☐

(b) How was the Scientific Quality of the study assessed?

Independent External Review ☐ Review by Sponsor / Funder ☐ Review within PI's Institution ☐

Review within multi-centre ☐ No review ☐

Research group ☐

Date of review:

Comments of Scientific Committee, if any (100 words)

SECTION C: PARTICIPANT RELATED INFORMATION

5. RECRUITMENT AND RESEARCH PARTICIPANTS

a) Type of participants in the study:

Healthy volunteers ☐ Patients ☐ Vulnerable persons / Special groups ☐

Others ☐ (Specify) _____

Who will do the recruitment? _____

Participant recruitment methods used:

Posters / leaflets / Letters ☐ TV / Radio ads / Social media / Institution website ☐ Patients / Family / Friends visiting hospitals ☐ Telephone ☐

Others ☐ (Specify) _____

b) i. Will there be vulnerable persons / special groups involved ?

ii. If yes, type of vulnerable persons / special groups

Children under 18 yrs ☐ Pregnant or lactating womens ☐

Differently abled (Mental / Physical) ☐ Employees / Students / Nurses / Staffs ☐

Elderly ☐ Institutionalized ☐

Economically and socially disadvantaged ☐ Refugees / Migrants / Homeless ☐

Terminally ill (stigmatized or rare diseases) ☐

Any other (Specify): ☐

Others ☐ (Specify) _____

iii. Provide justification for inclusion / exclusion

iv. Are there any additional safeguards to protect research participants?

[4]If participant samples are sent outside for investigations, provide details of the same and attach relevant documentation such as an MTA / MOU.

(c) Is there any reimbursement to the participants? Yes ☐ No ☐

If yes, Monetary ☐ Non-monetary ☐ Provide details

(d) Are there any incentives to the participants? Yes ☐ No ☐

If yes, Monetary ☐ Non-monetary ☐ Provide details

(e) Are there any participant recruitment fee / incentives for the study provided to the PI / Institution? Yes ☐ No ☐

If yes, Monetary ☐ Non-monetary ☐ Provide details

6. BENEFITS AND RISKS

(a) i. Are there any anticipated physical / social / psychological discomforts / risk to the participants Yes ☐ No ☐

If yes, categorize the level of risk[5]:

Less than Minimal risk ☐ Minimal risk ☐

Minor increase over minimal risk or low risk ☐ More than minimal risk or high risk ☐

ii. Describe the risk management strategy:

(b) What are the potential benefits from the study?	Yes	No	If yes,	Direct	Indirect
For the participant	☐	☐		☐	☐
For the society / community	☐	☐		☐	☐
For improvement in science	☐	☐		☐	☐

Please describe how the benefits justify the risks

(c) Are adverse events expected in the study[6]? Yes ☐ No ☐ NA ☐

Are reporting procedures and management strategies described in the study? Yes ☐ No ☐

If Yes, Specify

7. INFORMED CONSENT

(a) Are you seeking waiver of consent? If yes, please specify reasons sand skip to item no 8 Yes ☐ No ☐

[5]For categories of risk refer to National Ethical Guidelines for Biomedical & Health Research Involving Human Participants 2017, Page 6 Table 2.1.

[6]The term adverse events in this regard encompass both serious and non-serious adverse events.

(b) Version number and date of Participant Information Sheet (PIS):_____

Version number and date of Informed Consent Form (ICF):_____

(c) Type of consent planned for:

Signed consent ☐	Verbal / Oral consent ☐	Witnessed consent ☐	Audio-Video (AV) consent ☐
Consent from LAR(If so, specify from whom) ☐	For children < 7 yrs parental / LAR consent ☐	Verbal assent from in or (7-12 yrs) along with parental consent ☐	Written assent from minor (13-18 yrs) along with parental consent ☐

Other

(specify)_____

(d) Who will obtain the informed consent?

PI / Co-I ☐ Nurse / Counselor ☐ Research Staff ☐ Other ☐ (Specify)_____

Any tools to be used_____

(e) Participant Information Sheet (PIS) and Informed Consent Form (ICF).

English ☐ Local language ☐ Other ☐ (Specify)_____

List the languages in which translations were done_____

If translation has not been done, please justify_____

(f) Provide details of consent requirements for previously stored samples if used in the study[7].

(g) Elements contained in the Participant Information Sheet (PIS) and Informed Consent Form (ICF).Simple language ☐

Risks and discomforts ☐	Data / Sample sharing ☐	Compensation for study related injury ☐
Alternatives to participation Right to withdraw ☐	Need to recontact ☐	Statement that consent is voluntary ☐
Benefits ☐	Confidentiality ☐	Commercialization / Benefit sharing ☐
Purpose and procedure ☐	Storage of samples ☐	Statement that study involves research ☐
Others (Specify) ☐	Return of research results ☐	Use of photographs / Identifying data ☐
	Payment for participation ☐	Contact information of PI and Member Secretary of EC ☐

8. PAYMENT / COMPENSATION

(a) Who will bear the costs related to participation and procedures[8]?

PI ☐ Institution ☐ Sponsor ☐ Other agencies ☐ (specify)

(b) Is there a provision for free treatment of research related injuries? Yes ☐ No ☐ NA ☐

If yes, then who will provide the treatment?_____

(c) Is there a provision for compensation of research related SAE?

Sponsor ☐ Institutional / Corpus Fund ☐ Project Grant ☐ Insurance ☐

(d) Is there any provision for medical treatment or management till the relatedness is determined for injury to the participants during the study period? If yes, specify. Yes ☐ No ☐ NA ☐

(e) Is there a provision for ancillary care for unrelated illness during the study period? If yes, please specify. Yes ☐ No ☐ NA ☐

[7]Information on re-consent requirements can be found at National Ethical Guidelines for Biomedical and Health Research Involving Human Participants 2017, Page 54 in Section5.8. | [8]Enclose undertaking from PI confirming the same.

9. STORAGE AND CONFIDENTIALITY

(a) Identifying Information: Study Involves samples / data, If Yes, specify Yes ☐ No ☐ NA ☐

Anonymous / Unidentified ☐ Anonymized / Reversibly coded ☐ Irreversibly coded ☐ Identifiable ☐

If identifiers must be retained, what additional precautions will be taken to ensure that access is limited / data is safeguarded? (e.g. data stored in a cabinet, password protected computer etc.)

(b) Who will be maintaining the data pertaining to the study? _____

(c) Where will the data be analyzed[9] and by whom? _____

(d) For how long will the data be stored? _____

(e) Do you propose to use stored samples / data in future studies? Yes ☐ No ☐ May be ☐

If yes, explain how you might use stored material data in the future? _____

SECTION D: OTHER ISSUES

10. PUBLICATION, BENEFIT SHARING AND IPR ISSUES

(a) Will the results of the study be reported and disseminated? If yes, specify. Yes ☐ No ☐ NA ☐

(b) Will you inform participants about the results of the study? Yes ☐ No ☐ NA ☐

(c) Are there any arrangements for continued provision of the intervention for participants, if effective, once the study has finished? Yes ☐ No ☐ NA ☐

If yes describe in brief (Max 50 words) _____

(d) Is there any plan for post research benefit sharing with participants? If yes, specify Yes ☐ No ☐ NA ☐

(e) Is there any commercial value or a plan to patent / IPR issues? If yes, please provide details Yes ☐ No ☐ NA ☐

(f) Do you have any additional information to add in support of the application, which is not included else where in the form? If yes, provide details Yes ☐ No ☐ NA ☐

[9]For example, a data entry room, a protected computer etc.

SECTION E: DECLARATION AND CHECKLIST

11. DECLARATION (Please tick as applicable)	
	I / We certify that the information provided in this application is complete and correct.
	I / We confirm that all investigators have approved the submitted version of proposal / related documents.
	I / We confirm that this study will be conducted in accordance with the latest ICMR National Ethical Guidelines for Biomedical and Health Research Involving Human Participants and other applicable regulations and guidelines.
	I / We confirm that this study will be conducted in accordance with the Drugs and Cosmetics, Act 1940 and its Rules 1945 as amended from time to time, GCP guidelines and other applicable regulations and guidelines.
	I / We will comply with all policies and guidelines of the institute and affiliated / collaborating institutions where this study will be conducted.
	I / We will ensure that personnel performing this study are qualified, appropriately trained and will adhere to the provisions of the IHEC approved protocol.
	I / We declare that the expenditure in case of injury related to the study will be taken care of.
	I / We confirm that an undertaking of what will be done with the left over samples is provided, if applicable.
	I / We confirm that we shall submit any protocol amendments, adverse events report, significant deviations from protocols, progress reports and a final report and also participate in any audit of the study if needed.
	I / We confirm that we will maintain accurate and complete records of all aspects of the study.
	I / We will protect the privacy of participants and assure confidentiality of data and biological samples.
	I / We hereby declare that if any of the Investigators, Researchers and / or close relative(s), have no Conflict of Interest (Financial / Non-Financial) with the Sponsor(s) and outcome of study.
	I / We have the following Conflict of Interest (PI / Co-I): 1..... ..... 2..... .....
	I / We declare / confirm that all necessary government approvals will be obtained as per requirements wherever applicable.

Name of PI: _____

Signature: _____ dd mm yyyy

Name of Co-PI: _____

Signature: dd mm yyyy

Name of Guide / Co-PI: _____

Signature: dd mm yyyy

Name of HOD: _____

Signature: dd mm yyyy

[10] These formats are adaptable and can be modified by the Institutional Human Ethics Committee members depending on their needs and requirements Acknowledgement for Receipt of Application (Copy to be provided to PI).

CHENNAI FERTILITY CENTRE

12. CHECKLIST

S. No	Items	Yes	No	NA	Enclosure No	EC Remarks (If applicable)
ADMINISTRATIVE REQUIREMENTS						
1.	Cover letter					
2.	Brief CV of all Investigators					
3.	Good Clinical Practice (GCP) training of investigators in last 3 years					
4.	Approval of Scientific Committee					
5.	EC clearance of other Centre*					
6.	Agreement between collaborating partners*					
7.	MTA between collaborating partners*					
8.	Insurance policy / certificate					
9.	Evidence of external laboratory credentials in case of an externally outsourced laboratory study QA / QC certification					
10.	Copy of contract or agreement signed with the sponsor or donor agency					
11.	Provide all significant previous decisions (e.g. those leading to a negative decision or modified protocol) by other ECs / Regulatory authorities for proposed study (whether in same location or else where) and modification(s) to protocol					
PROPOSAL RELATED						
12.	Copy of the detailed protocol[11]					
13.	Investigators Brochure (If applicable for drug / biologicals / device trials)					
14.	Participant Information Sheet (PIS) and Participant Informed Consent Form (ICF)(English and translated)					
15.	Assent form for minors (12 - 18 years) (English and Translated)					
16.	Proforma / Questionnaire / Case Report Forms (CRF) / Interview guides / Guides for Focused Group Discussions (FGDs) (English and translated)					
17.	Advertisement / material to recruit participants (fliers, posters etc)					

PERMISSION FROM GOVERNING AUTHORITIES						
	Other permissions	Required	Not required	Received	Applied dd / mm /yy	EC Remarks
18.	CTRI					
19.	DCGI					
20.	HMSC					
21.	NAC-SCRT					
22.	ICSCR					
23.	RCGM					
24.	GEAC					
25.	BARC					
26.	Tribal Board					
27.	Others (Specify)					

ANY OTHER RELEVANT INFORMATION / DOCUMENTS RELATED TO THE STUDY						
	Item	YES	NO	NA	Enclosure no.	EC remarks

*For multi-Centre research

MTA-Material transfer agreement; CTRI-Clinical Trial Registry-India; DCGI-Drug Controller General of India; HMSC-Health Ministry's Screening Committee; NAC-SCRT- National Apex Committee for Stem Cell Research and Therapy; IC-SCR-Institutional committee for Stem Cell Research; RCGM- Review Committee on Genetic Manipulation; GEAC- Genetic Engineering Approval Committee; BARC- Bhabha Atomic Research Centre 11 Refer to National Ethical Guidelines for Biomedical and Health Research Involving Human Participants 2017, section 4 Page no. 35 Box 4.4(b).