BKLWRMC&H

(AX-V /SOP /V)

Project Submission Form for review by Local IEC

A. Project details:

Project No.	(Will be allotted by IEC office)
Date of	
Submission	
Title:	
PI:	

Please complete the questionnaire for submitting the research proposal for BKLWRMC&H- IEC

Is it a trial? Yes/No (Tick as appropriate)

If No go to Sr. No. 18 in the table below.

If Yes Continue

(Please fill the applicable Y= Yes/N= No)

Sr.	Detail	Yes	No
No.			
	Controlled trials		
1	Is this a randomized controlled trial?		
2	Is this a non-randomized controlled trial?		
3	Is this a controlled trial that seeks new indication for establishing		
	drug, process or a procedure?		
	Uncontrolled trials		
4	Is this a prospective trial testing new intervention, drug, or device on patients?		
5	Is this a prospective trial designed to test new (unproven) indication		
5	for established drug, process, procedure or device on patients?		
6	Is this a pilot trial on new intervention, drug, and device on patients?		
	Trial involve transfer of data/ material from BKLWRMC&H		
7	Is this a multi-centre trial?		
8	Is this trial involves transfer of patients' data to another site (including industry)?		
9	Is this trial involves transfer of patients' blood, serum, DNA, tissue to another site?		

10	Is this a phase IV/ marketing trial undertaken on behalf of the industry?	
	Community or screening trials	
11	Will this trial be undertaken in the community?	
12	Will this trial involve the screening?	
	Trials involving genomics & proteomics	
13	Does this trial involve conducting genomics or proteomics studies on patients' specimens?	
	Trials with conflict of interest	
14	Will this trial involve development of a device, drug or test lead to profits or patent?	
15	Is this a prospective follow-up study (documentation of parameters only) of patients being offered standard treatment at BKLWRMC&H?	
16	Is this a phase II-IV trial restricted to standard intervention/ treatments published in EBM booklet?	
17	Is this a feasibility study for introduction of new treatment, recently shown in major international studies, to be beneficial / superior and need to be started at BKLWRMC&H?	
18	Is this a retrospective or prospective analysis of charts, data or audit of procedures / tests / treatments?	
19	Is this a retrospective or prospective review of pathology specimen (may involve some additional staining techniques)?	
20	Is this a retrospective or prospective review of radiology reports and their clinical correlation?	
21	Is this a retrospective or prospective review of laboratory reports and their clinical correlation?	
	Procedure / demonstration at workshops etc.	
22	Are you demonstrating an experimental procedure which is 'not established standards of care' at a workshop, or a public meeting?	
23	Are you performing a procedure in workshop at BKLWRMC&H by non-BKLWRMC&H staff member? (Please check other requirements also)	
	Intramural Funding	
24	Are you seeking intramural funding?	
25	Does this project use additional resources of BKLWRMC&H beyond the usual patients' work-up (e.g. IHC, molecular profiling, MRI etc. which is not a routine part of work-up)?	

	Extramural Grants	
26	Are you submitting application for extra-mural grant for this project?	
27	Is this project partly or wholly supported by grants from sponsored industry?	
28	Is this a phase IV/ marketing trial undertaken on behalf of the industry?	
	Modification in approved project	
29	Are you seeking modification/s in the BKLWRMC&H- IEC approved trial?	
	Patient to bear the cost of project	
30	Are patient going to bear the cost of experimental intervention or drug therapy?	
31	Does patient has to undergo additional blood sample collection, biopsy, endoscopy, procedure etc.?	
32	Does patient has to bear the cost of complications arising from treatment?	
33	For the trial purpose, does the patient has to spend Rs. 5000/- or more above the usual expenses (for any reason such as drug therapy, additional investigation, prolonged stay or repeated travel)?	

If you have any questions, concerns, suggestions regarding the studies for (02355) 264149 extn: 495, email: asyadav13@gmail.com or dr. suggestions regarding the studies for (02355) 264149

Name of PI:	Signature:
Name of	Signature:
CO-PI:	

Project Submission Form for review by IEC

B. Project Fact Sheet

Project No. (To be filled by the Secretariat)	
Date of receipt by IEC	
Project Title	
Key Words title (2-4 options)	
Principal Investigator	
Number of ongoing studies in which PI is	
involved? (as PI only)	
Contact number Principal Investigator	

Co-Principal Investigators (if any)	
Co-investigators	
Site/sites where study is to be conducted i.e. BKLWRMC&H / ACTREC / Both. (Please specify).	
Tick the type of study applicable	☐ Investigator Initiated study☐ Pharmaceutical Study☐ Thesis☐ Others
Agency or Sponsor or funding resource	
Total estimated budget in Rs.	
Duration of the Project (months)	
Suggested date of starting the study	
Total number of subjects to be accrued in study (including BKLWRMC&H, if multi-institutional study)	
Number of subjects from BKLWRMC&H to be accrued	
Will biological products be sent out of the country?(Yes/No)	
If yes attached the copy of regulatory clearance obtained [DCGI/ ICMR /Health	
Ministry Screening Committee (HMSC)]	
Any Conflict of interest, (Yes/No) If Yes Please specify	
Signature of PI	
Date of submission	

Investigators Declaration

01.	This research project (including collection of blood or tissues samples for research) will not be started until the final approval of the IEC has been obtained.
02.	We agree to undertake research proposal involving human subjects in accordance
02.	with the Schedule Y (Drugs & Cosmetics Act 1940), ICH-GCP and ICMR ethical
	guidelines, 2006. We will not modify the research protocol, consent, etc without prior
	approval by the IEC.
03.	The investigators agree to obtain a properly informed and understood consent for all
	trial subjects before their inclusion in the trial in the informed consent form that is
	approved by the IEC. Participants will receive an 'information sheet' which will detail
	the project design in simple understandable layperson's language.
04.	The investigators agree to report within a week all serious adverse events (SAE)
	associated with the trial in the SAE form to the IEC. In the event of a death of the
	trial subject, the Secretary, IEC and DSMSC, will be informed within 24 hours.
05	The investigators agree to submit status report atleast annually of the trial in the
	appropriate form. A final report will be submitted at the end of the trial.
06	Full details on funding and a proposed budget are included with the trial proposal.
	The proposed budget is presented on the specific budget sheet of this form.
07	We understand that the IEC is concerned about transparent financial transactions
	during the trial. A report on how the trial funds were utilized will be presented to the
	EC along with the final project report at the end of the trial.
80	The investigators agree to transfer 10% of the total budget to BKLWRMC&H as
	service charges and Estimated Professional charges for clinical services. (15% at
	the end of the study on actuals). This will not apply to intramural projects, those
	projects co-sponsored by BKLWRMC&H/ CRI/ ACTREC/ DAE and ICMR/ DBT
00	/DST/WHO/IAEA funded projects.
09	The investigators agree that the grant money will be spent in accordance with the
	budget proposal only. The funds will not used for any other purposes without prior
	approval from the IEC. Thirty percent of the surplus grant if left over at the end of
	the study will be credited to BKLWRMC&H. The remaining 70% of the surplus grant money may be used by the investigators for conducting intramural research,
	improving teaching facilities in the department, providing financial assistance to
	investigators for conferences, etc after obtaining permission from the IEC.
10	For all research proposals that are sponsored by a pharmaceutical or biomedical
'	company, we the investigators will ensure that the Sponsor Company will underwrite
	all expenses such that neither the hospital nor the study participants are made to
	spend while participating in the trial. The investigators will also ensure that in the
	event of complications arising directly due to the trial or litigation, the cost of
	management or legal fees will be borne by the Sponsor Company totally.
11.	The investigators will declare any financial gain from the commercial sponsor and
	any conflict of interest in the drug or product by way of consultations, shareholding,

Local IEC, BKLWRMC&H

	etc as detailed in the BKLWRMC&H Conflict of Interest Policy.
12.	The investigators will ensure that personnel performing this study are qualified,
	appropriately trained and will adhere to the provisions of the Institutional Ethics
	Committee. BKLWRMC&H, approved protocol.
13.	All data collected during the research project, including those supported by
	commercial sponsors (e.g. pharmaceutical company), will remain the property of
	BKLWRMC&H or as per the Clinical Trial Agreement.
14.	The salaries to staff employed for the research project will be as shown in the
	budget sheet and at par with the prevailing BKLWRMC&H salary scales.
15.	The study documents will be made available to members of the IEC any time for
	random verification and monitoring. The study documents must ensure archived for 15
	years post study close out or until the sponsor confirms that the records are no longer
1.0	required; whichever is earlier.
16.	The investigators promise to ensure that there is no falsification of data when
	compared to the source documents. We agree to clarify any doubts or discrepancies
	that may arise during the data monitoring evaluation.
17.	All the findings and conclusions of the proposed project such as review of case
	records, analysis of forms of treatment, investigations, etc will be first presented to
	the staff members of BKLWRMC&H before they are released or presented
	elsewhere.
18.	The investigators will not issue any press release before the data and conclusions
	have been peer-reviewed by the BKLWRMC&H staff or published in a peer-
	reviewed journal.
19.	All serious injuries arising from the trial will be the responsibility of the Investigators.
	The investigators agree to cover any expenses for injury and/or compensation
	arising from the study as per the national regulations/institutional policies
20.	The investigators will constantly inform the IEC about amendments in the study
	protocol, data collection forms, informed consent forms, budget expenses, salaries,
	other trial documents, etc. as and when they occur. No changes in the study
	protocol or conduct of the study will be carried out without prior approval of the IEC.
21.	The investigators realize that the IEC is particular that all aspects of the study are in
	accordance with the Schedule Y (Drugs & Cosmetics Act 1940), ICH-GCP and
	ICMR ethical guidelines, 2006. The investigators will comply with all policies and
	guidelines of the BKLWRMC&H and affiliating/collaborating institutions where this
	study will be conducted, as well as with all applicable laws regarding the research

We the investigators of the proposed trial have read all the statements listed above and agree to observe / undertake these IEC requirements while conducting our proposed project/ trial

We understand that serious protocol violations and/or non-compliance during the trial by the investigators may result in withdrawal of project approval by IEC

Study Team Undertaking with Duties & Delegation

	CC No. if available	Investigator Name	Email	Status (PI, Co-PI, CI)	responsi bility	Conflict of Interest Yes/No If Yes Please specify	Sign & date
1							
2							

•	Choose	from	the	foll	owing	list.
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Α.	Concept

- B. Design
- C. Screening of patients
- D. Selection & Recruitment and consenting of patients
- E. Laboratory investigations
- F. Laboratory report interpretation
- G. Treatment decision
- H. Patient evaluation
- I. AE and SAE management, evaluation and reporting

- J. Examination of patients on follow-up
- K. Data collection and monitoring of data
- L. Interpretation of data
- M. Statistical analysis & Interpretation
- N. Maintaining patients file and master file of project
- O. Drafting final report
- P. Publication

If yes, amount received in last 12 months in Rs.

Z. Any other, please specify

Note: Investigators may clarify any of the points in this undertaking with the IEC secretariat

Financial Disclosure Form for Researchers

Project entitled:
Name of PI:
Employment or Leadership Position
Check yes if you or an immediate family member currently holds any full-time or
part-time employment or service as an officer or board member for an entity having
an investment, licensing, or other commercial interest in the research study under

□ No

consideration

 Yes

2.	Consultant or Advisory Role Check yes if you or an immediate family member holds or has held any consultant or advisory arrangements with an entity having an investment, licensing, or other commercial interest in the research study under consideration,				
	□ Yes	□ No	If yes, amount received in last 12 months in Rs.		
3.	interest in licensing,	s if you or an any compa	n immediate family member currently holds any ownership ny (publicly traded or privately held) that has an investment, mmercial interest in the research study under consideration If yes, amount received in last 12 months in Rs.		
			ii yes, amount received in last 12 months in As.		
4.	Honoraria Check yes if you or an immediate family member has been paid directly any honoraria (reasonable payments for specific speeches, seminar presentations, or appearances) from an entity that has an investment, licensing, or other commercial interest in the research study under consideration				
	□ Yes	□ No	If yes, amount received in last 12 months in Rs.		
5.	Research Funding Check yes if you or an immediate family member currently conducts any clinical research project(s) funded, in whole or in part, or has received any post study awards by an entity that has an investment, licensing, or other commercial interest in the research study under consideration				
	□ Yes	□ No	If yes, amount received in last 12 months in Rs.		
6.	Patent or Royalty interests				
	Check yes if you or an immediate family member has received any patent or royalty from an entity having an investment, licensing, or other commercial interest in the research study under consideration — Yes — No If yes, amount received in last 12 months in Rs.				

	7. Other Remuneration				
	Check yes if you or an immediate family member has received any trips, travel, gifts,				
	or other in-kind payments at any point from an entity having an investment,				
	licensing, o	or other co	mmercial interest in the	e research study under consideration	
	□ Yes	□ No	If yes, amount rece	ived in last 12 months in Rs.	
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				liberations and actions involved in which I have a real or apparent	
			_	these matters unless my presence	
			ested by the IEC Cha		
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۱	□ I hereby de	clare that I	have no conflict of inte	erest in my project	
	☐ I have abov			project.	
ľ					
	Signature of	PI		Date	
	Date Date				
	Concent of U		Dia Danastmant		
	Consent of H	ead of the	Pl's Department		
	Date:		•	,	
	Date: I have reviewe	ed the abov	<i>'</i> e project submitted by	Indorse the project and have 'no objecti	on'
	Date: I have reviewe Principal Inves	ed the abov	<i>'</i> e project submitted by	ndorse the project and have 'no objecti	on'
	Date: I have reviewe Principal Inves	ed the abov	re project submitted by m my Department. I er	ndorse the project and have 'no objecti	on'
	Date: I have reviewed Principal Investor submission I concur with t	ed the above stigator from for consice he participa	ve project submitted by m my Department. I er deration by Institutional ants / investigators incl	ndorse the project and have 'no objecting Ethics Committee. Studed in the study.	on'
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accepted to be submitted for submission for Institutional Ethics Committee consideration.					
The investigators / partici	The investigators / participants included in the study are acceptable to the members.				
I have reviewed the finan	cial and non finan	cial disclosure			
□ Yes □ No					
PI has conflict of interest ☐ Yes ☐ No	:				
Signature & date	Name (Convene	er or senior member of DMG/ working group)			
C. Project Submission (Overview				
Title					
Short Title					
Names of all Investigato	ors				
(underline principal invest					
Introduction/ backgrour					
Give the background, inc					
animal research relevant	to the design of				
the proposed study.	When new				
techniques or procedure	are to be used,				
provide a description of p					
When an investigation dr					
animal data and phase I					
drug should be included	-				
how the study may he	-				
should be included in the	protocol.				
Aims/ Objectives					
Clearly state the aims or objectives of the					
study. Whenever possible this should be					
in the form of a hypothesi	S.				
Design of the Study					
Phase-I, Phase-II, Phase NA					
Randomized [Double or s Open	single blind],				
If multicentric is BKI WRI	MC2 H tho oo				

coordinating centre?	
Please tick if applicable	
Epidemiological [] Survey []	
Observational [] Case control [],	
Thesis[] Any other (Specify)	
Study methodology	
Explain, in sequence, the conduct of	
study and all data collection procedures.	
Describe the involvement of human	
subjects including initial evaluation	
procedures and screening tests, phases,	
medical/surgical procedures and	
sequence of the study. Separate	
standard and experimental aspects of the	
study as much as possible. Give brief	
account of procedures for treatment,	
dose adjustments, etc. Describe the	
randomization procedure, if applicable.	
Specify if procedure involves banking of	
biological samples. Define stop points	
and criteria for withdrawing subjects from	
the study.	
Eligibility (Explain inclusion and	
exclusion criteria; To be stated clearly in	
the summary)	
(specific explanation if participants will	
include Minor, Pregnant woman,	
Neonate, Person incompetent to give	
informed consent, Normal / Healthy	
volunteer, Student, Staff of the institute).	
How many subjects will be screened?	
How many subjects are likely to be	
enrolled?	
Describe benefits to the	
subject/participant in this study. Also	
describe the benefits, if any, to the	
society. Power estimates	
Describe power calculations, if the study	
involves statistical comparisons between	
two or more groups. Mention evidence to	
support that adequate number of subjects	
can be enrolled during the study period	
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by the investigators.	
Variables to be estimated	
(e.g. response, survival, toxicity, age, etc) Enumerate the variables, outcomes	
and end points that will be measured. Try	
to separate variables as response and	
explanatory variables. Describe the type	
and frequency of tests, admissions,	
outpatient visits, etc used to obtain these	
variables or variables.	
Analysis of the variables	
Describe how the variables obtained	
during the study will be statistically	
analyzed. e.g. Univariate comparison or	
Cox- proportional hazards model, etc	
Describe all possible risks and discomfort	
for subjects due to use of intervention	
and /or data collection methods	
proposed. Describe expected degree and	
frequency of such risks, discomfort, side	
effects of drug etc. If the procedures in the trial are invasive	
or potentially harmful, describe what	
arrangements have been made for	
treatment of the complications arising	
from the trial?	
Who will bear the cost of treating the	
complications arising from this trial?	
Does your study involve testing of drug/s,	Yes [] No []
device/s and/or biologics?	
Are they already approved by the	Already approved [] New one []
regulatory authorities and available in the	
market or are they new ones?	
Does your study involves modified or new	
claims, namely, indications, dosage	Yes [] No []
forms (including sustained release	
dosage form) and route of administration	
of already approved drugs and	
combination of two or more drugs	
Who has prepared and /or is	
manufacturing the drug/s, device/s and	
biologics under investigation?	

MATERIAL TO A STATE OF THE STAT		
Who holds the patent or IND/IDE of the		
drug/s, device/s and biologics under		
investigation?		
What are the reasonable possibilities of		
the availability after the study of the		
investigational drug(s), device(s) and		
biologics for the study		
participants/subjects if it is found to be		
effective?	\	N
Does your study require permission from	Yes []	No []
regulatory authorities?		
If yes,		
(i) from DCGI	Yes []	No []
(ii) from the ICMR	Yes []	No []
(iii) From other govt. departments	Yes []	No []
If yes, specify the department Whether	Yes []	No []
permission is obtained		
Does your study require you to send	Yes []	No []
human biological material outside India?	100[]	
If yes, have you obtained permission of	Yes []	No []
the director, BKLWRMC&H & DCGI?	. 66 []	
Has BKLWRMC&H and the foreign party	Yes[]	No []
signed agreement/MOU for that?	100[]	
If yes, attach a copy of agreement/MOU		
If study will be conducted fully or partially		
outside the BKLWRMC&H, please		
•		
describe the need for permission from		
institution(s), health centre(s), local		
government/administrative bodies, etc.		
Have you define adverse events in your	Yes []	No []
study, and what rules you will use for		
stopping the study due to adverse		
events.		
(Please note that SAEs have to be		
reported to IEC as per national		
regulations and SOPs.)		
In what way will you ensure the		
confidentiality and privacy of the		
subjects?		
If some procedures in this trial are		
emotionally upsetting describe what		
arrangements have been made for		
psychological counseling?		
Describe (i) How, where, when and by		
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whom the Informed Consent will be obtained. (ii) how much time the subject/participant will be given to consider participation and decide, (iii) describe additional plans/needs for informed consent in case the study involves special population such as minors, pregnant mothers, neonates, etc. (iv) Describe how you will assess that information is correctly understood by the participant.	
Who will be maintaining the trial records and where? For how long will the data be stored? Give details of where they will be stored, who will access	
Does your study have provisions for monitoring the data to ensure the safety of participants?	□Yes □No □NA
Who is responsible for monitoring and ensuring the safety of participants?	
Post trial access will be provided If yes, describe briefly arrangements for pot trial access.	□Yes □No □NA
Does any of the investigators/research staff and /or their close relative/s have any the financial and other interests of with the sponsor/s and outcome of the study?	□Yes □No
Describe briefly, if any, the financial and other interests of any of the investigators/research staff and /or their close relative/s, with the sponsor/s and outcome of the study.	
Have you made provision for insuring yourself, and BKLWRMC&H against any legal action that may arise out of this project? Have you made provision for insuring trial	

subjects for any accidental unforeseen trial related injury?	
How is it intended the results of the study will be reported and disseminated?	Please tick in the box □Peer reviewed scientific journals □Other publication
	 -□Other publication -□Conference presentation -□Internal report -□Submission to regulatory authorities □Access to raw data and right to publish freely by
	all the investigators in study or by independent steering committee on behalf of all investigators OtherPlease specify

Name of PI:	Signature:	Date:
Name of CO- PI:	Signature:	Date:

D. Budget Sheet for the Proposed Study

1	Title of the Project:	
2	Principal Investigator	
3	Designation and address of the PI	
4	Co-investigators:	
5	Source of funding	
	Government:	Central [], State [], Local []
	Intramural	
	Private Foundation:	Indian [], Foreign []
	Industry:	Private [], Public [], Other []
	Other:	
	No funding required	
	Address, phone, fax. E-mail of	
	sponsor with the name of the	
	contact person	
6	Total Budget for the entire project in	
	Rs.	
7	Duration of the Project in months	
8	Proposed date of starting the	
	project	

9	Direct payments to investigators, if	
	any	
10	Any other benefits to the	
	investigators	
11	Conflict of Interests, if any	
12	Type of project funding	
	Intramural from BKLWRMC&H	
	Non profit agency/trust funded	
	Pharma./ industry sponsored	
	Others –specify	_

Name of PI:	Signature:	Date:
Name of CO- PI:	Signature:	Date:

Detailed Budget for the Proposed Study*

1. Source of funding	Please specify			
Items	1 st Year	2 nd Year	3 rd Year	Total
2. Salaries-personnel (Numbers)				
Research Nurse				
Doctor (Research Fellow)				
Data operator				
Any other specify				
3. Equipment and Hardware				
-				
4. Drugs and Consumables				
-				
5. Clinical Investigations				
- C. Haanitalination				
6. Hospitalization				
7 Troval avnanditura for investigators				
7.Travel expenditure for investigators				
8. Travel expenditure for trial subject				
and one attendant				
9. Honorarium to doctors/technicians				
10. Insurance				
i. for investigators				
ii. any unforeseen, accidental trial				
related injury				
11. Any other expenditures				
12.Miscellaneous (<5% of budget)				
13. Total				
14. BKLWRMC&HRMCAH Service				
Charge (10% of total)				
(BKLWRMC&H, DAE, ICMR, DBT, DST,				
IAEA, WHO, IARC etc. funded project				
are exempted)				
15. Estimated Professional charges for				
clinical services. (15% at the end of the				
study on actual)				
Grand Total				
S. G.				

Name of PI:	Signature:	Date:
Name of CO-PI	Signature:	Date:

Note:

- PI should devise incremental budget whenever necessary.
- Please provide the complete break-up of item nos. 3, 4 & 5 on separate sheet.

	Project No.			
	Trial Register No.			
	Project Title (To be filled by PI)			
	Revised Title if any (To be filled by IEC)			
	Principal Investigator			
Institutional Ethics Committee Approval				
The members of the Institutional Ethics Committee met on				
l	3 , 3			

Instructions:

- This form must be printed and not handwritten.
- Fill the form completely (If there are any questions/queries, please contact the IEC office 02355-264149 EXT: 495
- Make sure to include the e-mail address and contact numbers of the PI, Co-investigators.
- Please submit the documents as per the checklist (AX2-V3/SOP03/V3) to ensure all requirements for submission are fulfilled for timely review by IEC.

• Submit the submission form (Part A,B,C,D)along with the supporting documents to the IEC office.