	University of Puerto Rico Medical Sciences Campus Human Research Subjects Protection Office	Effective: 9/1/2008
		Rev. 07/01/2014

PROCEDURES FOR AMENDMENTS

Purpose:

Federal regulations require the UPR MSC IRB to develop processes for ensuring prompt reporting to the IRB of changes in research activities; and for ensuring that changes in approved research, (during the period for which IRB approval has already been given) may not be initiated without prospective IRB review and approval except when necessary to eliminate apparent immediate hazards to the human subjects.

Applicability:

Investigators, IRB Members, IRB Staff

Sources:

45 CFR 46.109
21 CFR 56.109
ICH 3.3.7

Policy:

Changes in approved research, during the period for which approval has already been given, **may not** be initiated without prior IRB review and approval unless when necessary to eliminate **immediate** hazards to the subjects.

Any modifications or changes to the previously approved research protocol must be submitted by the investigator as a protocol amendment. Investigators must promptly report to the IRB any deviation from or changes of the protocol done to eliminate immediate hazards to the study participants. Major protocol violations (as defined below) must be reported to the IRB within 10 days, minor violations are to be reported at continuing review.

IRB determination letters include a statement about the need to have IRB approval for any change in an approved protocol.

Procedure:

Investigators must submit requests for changes in an approved protocol, protocol deviations or protocol exceptions, by completing and submitting a protocol amendment application through IRBWISE. Upon receipt of the protocol amendment application, the IRB Chairperson or designee determines if the revision meets the criteria for expedited review. If the change represents more than a minimal risk to participants, it must be reviewed and approved at a convened meeting of the corresponding IRB panel.

Modifications that do not affect assessment of the risks and benefits of the study or substantially change the specific aims/design of the study are considered minor and qualify for expedited review. Examples of minor modifications include, but are not limited to:

- Addition of research activities that would be considered exempt or expedited if considered independent from the main research protocol;
- Minor increases or decreases in the number of participants;
- Narrowing or broadening the inclusion criteria;
- Changing the formulation (i.e. tablet to capsule or oral liquid) of an administered drug provided that the dose and route of administration remains constant.
- Decreasing the number of biological sample collections, provided that such a change does not affect the collection of information related to safety evaluation.
- Increasing or decreasing the number of study visits, provided the decrease does not affect the collection of information related to safety evaluations;
- Changes in remuneration;
- Changes to improve the clarity of statements or to correct

typographical errors, provided that such a change does not alter the content or intent of the statement;
- Addition or subtraction of qualified investigators and/or study sites;
- Minor changes specifically requested by the IRB, or any other campus- based, University committee that has jurisdiction over research.

IRB office staff or Administrator forwards the amendment and related documentation to the IRB Chairperson for expedited review. If the IRB office staff is not certain if an amendment requires full Board review, the Chairperson makes that determination. IRB Chairperson indicates expedited review by signing expedited category list. In the case of expedited review, the IRB staff prints the approval letter and presents it to the Chairperson for signature. The approval is reported in the minutes of the corresponding IRB panel.

In the case of convened Board review, IRB staff places the amendment on the next appropriate agenda for full Board review. IRB staff prints the appropriate letter based upon the Board action and presents it to the Chairperson for signature.

In the case of emergency protocol deviations, as soon as possible, these must be reported to the IRB including the pertinent details of the situation and the investigators assessment about whether a prospective protocol amendment is in order. The IRBWISE application for amendment form must be used for this type of report.

Applicable Definitions:

- **PROTOCOL DEVIATION**: Any alteration/modification to the IRB-approved protocol. The protocol includes the detailed protocol, protocol summary, consent form, recruitment materials, questionnaires, and any other information relating to the research study.

- **PROTOCOL EXCEPTION:** Any temporary protocol deviation that is approved by the IRB prior to its initiation, e.g., enrollment of a subject who does meet the eligibility criteria.

- **PROTOCOL VIOLATION:** Any protocol deviation that is not approved by the IRB prior to its initiation or implementation.

- **MAJOR VIOLATION**: a violation that may impact subject safety, affect the integrity of study data and/or affect subject's willingness to participate in the study.
- **MINOR VIOLATION**: a violation that does not impact subject safety, compromise the integrity of study data and/or affect subject's willingness to participate in the study.