Stem Cell Research Oversight – INITIAL PROTOCOL CHECKLIST

1) Before starting:
    a. SCRO protocol review is about consistency: does the eProtocol application matches the grant/proposal/protocol? Does it match the associated APLAC/IRB/APB protocols? Does each section is consistent with one another? Does it match the funding?
    b. New protocols are *Full Review (Regular, presented)* OR *Written Notification (Exempt, not presented)*.
    c. Modifications are *Full Review (Regular, presented)* OR *Designated* (~Expedited, Not presented).
2) SCRO panel and intake are combined. In 'Home', use the drop down menu to switch between 'SCRO' (intake) and '1' (panel).
3) A new protocol at intake should be assigned to a meeting date. The reviewer will be assigned after the type of protocol is determined.
4) Define the type of review required - Please check one category for the protocol:

Study Design	Review Type	Review Requirements	eProtocol Section
☐ Create or use iPSC (*) without introducing into animals or humans	**Written Notification**	SCRO staff member can review and approve initial application and modifications. No expiration date.	Stem Cell Checklist; Protocol Information 4, 5
☐ Purely *in vitro* research with human PSC from acceptable sources (**)			Stem Cell Checklist; Protocol Information 1C-F, 4, 5
☐ Non-pluripotent human stem cells (mesenchymal or hematopoietic) ***with*** CIRM Funding			Stem Cell Checklist; Protocol Information 1C-F, 4, 5; Funding
☐ Non-pluripotent human stem cells (mesenchymal or hematopoietic) ***without*** CIRM Funding –	**STOP (no SCRO protocol is required)**		Stem Cell Checklist; Protocol Information 1C-F, 4, 5; Funding
☐ Create human pluripotent stem cells from human embryos or gametes	**Full Panel**	Two reviewers are required (primary/presenter) and secondary. One year approval (generally).	Protocol Information 3
☐ Introduce human pluripotent stem cells into animals or humans			Stem Cell Checklist; Protocol Information 4, 5
☐ Introduce human neural progenitor cell into animals or humans			Stem Cell Checklist; Protocol Information 4, 5
☐ Human gametes or embryos used for stem cell research			Protocol Information

(*) Induced Pluripotent Stem Cell

(**) See Stem Cell Matrix at the SCRO website

5) Once the type of review is decided, click on 'Receipt of Protocol'.
6) On review type drop down menu, select 'Full' or 'Notification'.

Sabata Lund, PhD
SCRO Manager
October 21, 2016

a. Please note: 'Designated' reviews are only for modifications, and 'Administrative' is no longer in use. Do not select either of those for new protocols.

7) Select reviewers using the radio buttons depending on type of protocol:
   a. Full: two reviewers (pink and yellow for presenter, yellow for secondary reviewer)
   b. Notification: no reviewers (approval done by SCRO Staff).
8) Review process:
   a. Click on 'Reviewer Assigned' (note that SCRO does not have comments drop down like IRB eProtocol, otherwise the comment cycles are identical to IRB eProtocol).
   b. Click 'Get Protocol' (edit).
   c. Open an Adm. Note box to make the SCRO Intake Notes.
   d. Correct title capitalization (Capitalize Each Word).
   e. Check personnel
      i. Is the PD appropriate for the protocol? See AID-25.
      ii. Emails must be institutional (.edu or .va). Only exception is for VA staff listed in VA protocols: external emails (ie .com) are acceptable.
      iii. Make sure the key fields are complete (affiliation, position, department) for all study personnel listed.
      iv. Note: there is no CITI training requirement for SCRO protocols.
   f. Check the cell lines involved.
      i. Cell Types should be consistent with the Protocol Information.
      ii. Note if APLAC or IRB are required.
   g. Project Location: should have Stanford selected, except if it is a VA protocol only (with a VA faculty as the PD).
   h. Funding: generally the same rules than IRB.
      i. For most protocols, one grant = one SCRO protocol. Exceptions: small grants with consistent goals, expiring funds being replaced, training grants, grants for expansion or continuation of the same study.
      ii. CIRM and Federally funded protocols: grant must be attached to Protocol Information 'Attachments' section. If not attached, add a comment. For other funding, the scientific protocol or proposal must be attached. This is needed to compare the research goals, and use of animals/human subjects and assure eProtocol and the research proposal/grant are consistent.
         1. If SPO is provided, obtain grant proposal from SeRA and upload in eProtocol. If not available in SeRA, add a comment.
         2. Use the grant application to check if the grant includes Animal Use or Human Subjects. This should be consistent with eProtocol. If not consistent, add a comment.
         3. Not required, but recommended: send a comment to add the Grant number. Funding sources and/or RMG sometimes require this information in the approval letter.
      iii. The same SCRO project cannot be funded by NIH (or other federal funds) and CIRM. If this happens, send a comment to separate the funding sources into two identical SCRO protocols (recommended to use the clone protocol). There

are very few exceptions (for example, funding a tissue bank, or a training grant supporting a post-doc salary). If unsure check with upper management.

i. (tab 1) Protocol Information:
    i. Title should generally match the grant title (if not, submit a comment). Please note that RMG may not release funds if titles do not match.
    ii. Correct capitalization if needed
    iii. 1F: Provenance of the cells. This means the source of the stem cells or the cells used to originate the stem cells, and to assure researchers have consent to create and distribute stem cells
        1. If this is a collaboration from another institution, ask for the IRB/SCRO approval letter and the consent form
        2. If from another lab at Stanford, check related SCRO or IRB approvals
        3. If from commercial sources, ask for the catalog information (ie: Coriell Biorepository)
    iv. 1H: Bioharzards. If using biohazard agents or recombinant DNA the SCRO protocol will need an APB (Biosafety) protocol. If unsure, send a comment and consult with APB Panel. Note: multiple SCRO protocols may be linked to the same APB protocol. SCRO and APB must link both ways (SCRO lists the APB protocol and APB links to the SCRO protocol. If not, send a comment to start a modification.

j. (tab 2) MTA: if materials are being transferred, send a comment to contact ICO (Industrial Contracts Office) at ico@stanford.edu to determine if an MTA is needed. Note: if the response is that an MTA is not needed, or unclear, send a PDF of the SCRO protocol to ico@stanford.edu and indicate to the ICO that the protocol may need an MTA (this is for due diligence only, SCRO does not require the MTA prior to approval).

k. (tab 3) New Derivations, Embryos and Oocites. Make sure all the required questions are answered, and the answers are consistent with the protocol/grant/proposal attached and with the description of the research in section 1.

l. (tab 4) Animals. If animals are used, SCRO protocol must be linked to an APLAC protocol. Protocols must be linked both ways (send a comment to start a modification in the APLAC protocol if not linked). Check if the species (if available, the number of animals used) are consistent with the grant/proposal, and with the description of the research in section 1. Note: if 4a is checked 'yes' (in vitro only), protocol may be a written notification. Consult with APLAC if there are questions

m. (tab 5) Human subjects. If human subjects are used, SCRO protocol must be linked to an IRB protocol. Protocols must be linked both ways (send a comment to start a modification in the IRB protocol if not linked). Check if the participant population (if available, the number of participants used) are consistent with the grant/proposal, with the description of the research in section 1 and with the IRB protocol.

n. (tab 6) Compliance approval – protocols must be linked both ways (APLAC, IRB and APB listed in SCRO, and the SCRO listed in the respective protocols. If not, send comment.

Posting Approval:

Written Notification: No expiration date.

Full Review: One Year Approval generally. Six months for high risk protocols or non-compliance.

Coordination with other panels (APLAC, IRB and APB):

New Protocols: SCRO generally is the last one approving the protocols. Coordinate with APLAC and APB teams (and IRB is the manager is not the same than SCRO) to have all the approvals posted at same time. Use Contingency judiciously, and when needed, add an approval note (ie no animal work can be done until APLAC is approved).

Modifications: If changes are made to section 4 (animals) or 5 (human subjects), send a comment asking for a modification to the APLAC or IRB protocols. It is recommended to consult with APB when new cells or animals are added to verify if modifications on the APB protocol are required. Generally it is ok to approve contingent, but hold the approval for non-compliant groups when the required modifications may not be done unless approval is pending.

Renewals – all FULL (presented) except MPPs.

Modifications – the review type (Full, Designated or Written Notification) *carries on from the last event.* When receiving a new modification, follow the steps bellow to assign to a meeting, to assign a reviewer and to determine the review type:

1. Click on 'Receipt of Revision Form'.
2. Select the next available meeting date using the drop down menu
3. Select the Review Type using the drop down menu

Full Review: The following changes require Full Review (presented): changes to the cells lines (section 1F), changes to the animal use (section 4) or changes to human subjects (section 5). Full Reviews are assigned to panel members with SCRO expertise.

Designated: The following changes can be designated (not presented): changing laboratory procedures, staff changes, adding funding. Designated changes are assigned to panel members (not staff).

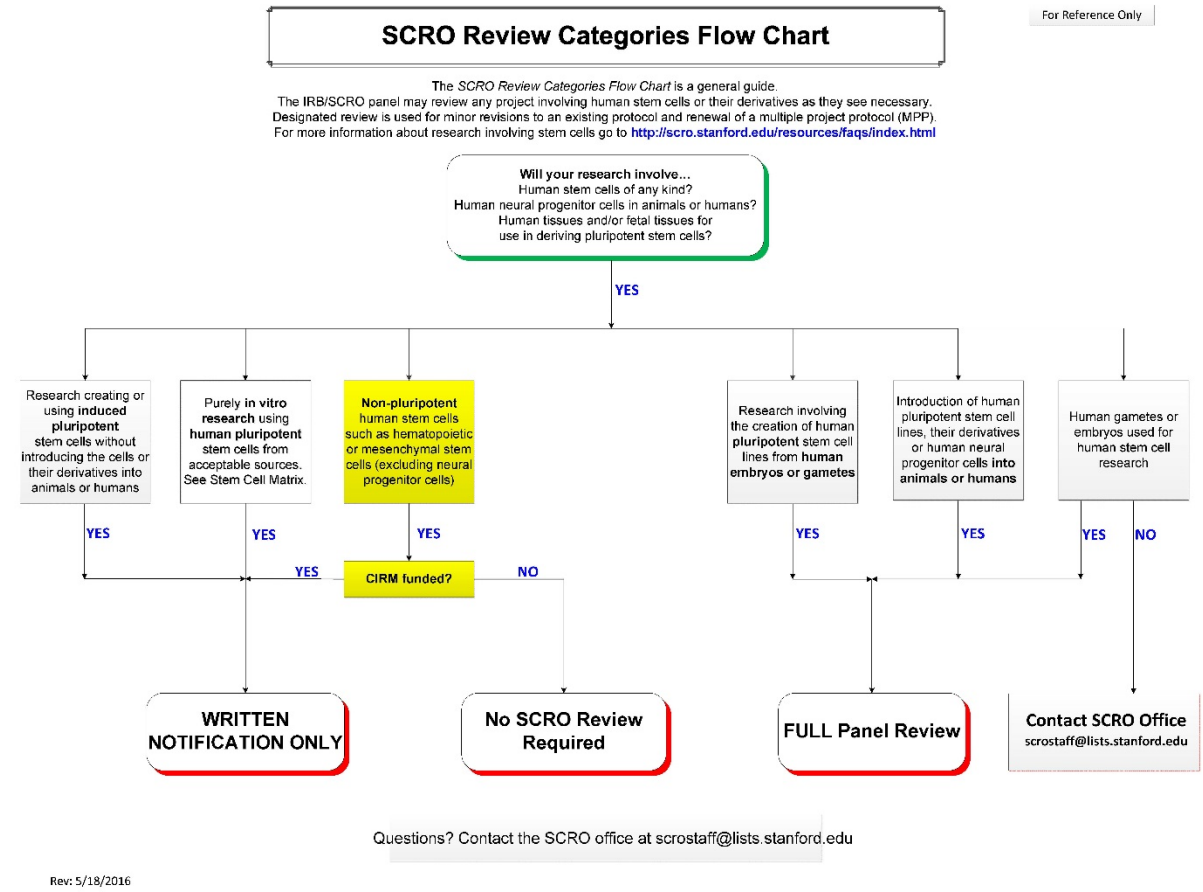
TBD: Designate staff changes and funding: Ongoing discussion with IRB Team whether assign to staff reviewers (Celia, Manjit, Anastasia) is acceptable. Currently, ***all*** *designated changes must be assigned to panel member.*

Written Notification: all events reviewed by SCRO manager. Only assigned to a reviewer if scientific expertise is needed. No need to present.

If Written Notification: This status rarely changes. The only exception will be if the protocol is adding animal models or human subjects. In this case, make it a Full protocol (presented). If any other changes, the SCRO manager can review and

Note: for any staff changes, send a comment asking that the names of people being added or removed are listed in the 'Revision Form'. For new funding, send a comment asking of for the SPO/Grant number to be listed in the 'Revision Form'. For all new funding, ask how the new funding is consistent with the approved protocol.

Do I need SCRO? Best to refer to SCRO manager, but generally the SCRO Review Categories Flow Chart (available in the SCRO webpage) covers this question.



http://scro.stanford.edu/docs/flow_chart/SCRO_Review_Categories_Flowchart.pdf

FUTURE RESEARCH LANGUAGE

For the ICF, if specimens will be collected for stem cell FUTURE research (meaning, under other protocol):

1) Add the language below verbatim except where noted to replace **[NAME TISSUE]** as appropriate.

Most stem cell research begins with the establishment of new stem cell lines. There are several ways to make these lines. One way is to derive stem cell lines by using cells in tissues taken from the body, such as **[NAME TISSUE]**. It is possible that these stem cell lines, which can live indefinitely, may contain all or part of your DNA. Stem cell lines from tissues can usually be made without changing the genetic information by artificial means.

Another way of making stem cell lines is to introduce certain genes into somatic cells and "reprogram" them to become pluripotent, or able to become any cell in the body, such as brain, liver, or heart cells. Such cells are called induced pluripotent stem cells, or iPS cells.

Any tissues you have donated which are used in research may result in new products, tests or discoveries. In some instances, these may have potential commercial value and may be developed and owned by the investigators, Stanford University and/or others. By consenting to participate, you authorize use of your tissues or samples for the research described above and understand that there are no plans to provide you with compensation or a share in any financial benefits from these products, tests or discoveries.

You must be given the opportunity to impose restrictions on future uses of donated materials. However, researchers may choose to use materials only from donors who agree to all future uses without restriction.

☐ I consent to my samples **[NAME TISSUE]** being saved for future research

☐ No restrictions.

☐ Restrictions (Please specify):_____

☐ I do not consent to my samples being saved for future research.

2) If specimens may be used to create cell lines (likely in case of stem cells), please add the language below. This paragraph can be modified to fit the study.

Creating a cell line means using a cell from a person to grow more cells with the same genetic information. This process allows us to have a continuing source of genetically similar cells for research. Creating cell lines often involves growing human cells in other species such as mice to provide a suitable environment for cells to grow.

Sabata Lund, PhD
SCRO Manager
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When using the **Stem Cell Core at Department of Genetics at Stanford University** (a SCRO protocol adds the Stem Cell Core as the location where the cells will be reprogramed):

1) The core falls under APB 1681 (Michael Snyder is the PI); please have the SCRO link to this APB.
2) The Stem Cell Core often uses viral vectors. Please have the SCRO confirm that if viral vectors are in use by them or their sources for these cells on the biohazards section.
3) Contact info of the core service (no action is needed from SCRO manager, this if FYI):
   Guangwen (Gavin) Wang, Ph.D.
   Director, Stem Cell Core
   Department of Genetics, Stanford University
   3165 Porter Dr, Rm 2113
   Palo Alto, CA 94304
   Email: gavin.wang@stanford.edu
   Phone: 650-725-8832