Use the following checklist to aid in identifying which documents can provide evidence that the Sponsor - Investigator has fulfilled his/her responsibilities as the holder of an Investigational New Drug (IND).

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| **FDA REGULATIONS** | **CORRESPONDING DOCUMENTS** |
| **SPONSOR RESPONSIBILITIES (312.50)**   * *Sponsors are responsible for selecting qualified investigators and providing them with the information they need to conduct the investigation properly.* * *Sponsors must ensure the investigation follows proper monitoring and is conducted in accordance with the investigational plan and protocol contained in IND*. | |
| * **Protocol Amendments (312.30)** * New protocol * Changes to existing protocol * New Investigator | * Original IND application (including 1571) * FDA letter of no objection, if provided |
| * **Information Amendments (312.31)** * Essential information not within the scope of a protocol amendment (e.g., new technical information, discontinuation of clinical investigation | * Amendments with 1571 |
| * **IND Safety Reports (312.32)** * Serious, related, unexpected or significant preclinical findings (written reports (e.g., MedWatch 3500A) to FDA, and all participating investigators if applicable, within 15 calendar days) * Fatal or life-threatening reports (telephone or fax within 7 calendar days) * Follow up information to a safety report (submitted as soon as possible) | * IND Safety reports with 1571 * Evidence of correspondence to other investigators |
| * **Annual Reports** * Within 60 days of the anniversary date that the IND went into effect | * Annual reports (with 1571) * Other correspondence with FDA (e.g., response to clinical hold, general correspondence) |
| * **Select Qualified Investigators and Monitors (312.53, 312.57(b)** * Select PIs qualified by training and experience (multicenter trials only) * Ship investigational product only to those investigators participating in the trial (multicenter trials only) * Accurate records of financial disclosure according to 21 CFR 54 * Select monitors qualified by training and experience | * Signed FDA form 1572 (Investigator Agreement) * Investigator CV and licensure * IRB approval * FDA for 3455 for PI and Sub-Investigators listed on FDA 1572 * For multicenter studies, Investigator information is required for each site * 1572 and PI CV is provided to FDA * Monitor of Study – PI * CV and training experience of monitor * Ensure monitor is trained on protocol |
| * **Ensure Ongoing Monitoring Investigations (312.56)** * Ensure proper monitoring * Ensure PI compliance or discontinue shipments of the investigational drug * Review and evaluate drug safety and effectiveness * Discontinue investigation within 5 working days when unreasonable and significant risk to subject are identified * Ensure IRB and FDA approval to resume a terminated study | * Documentation of safety monitoring plan   Who will be reviewing safety data?   * PI * DSMB * Medical Monitor * Other: \_\_\_\_\_\_\_ * Reports/meeting minutes from DSMB or Medical Monitor * Documentation of data monitoring plan * Research team has been trained on data collection sheets and or CRFs * Correspondence with monitor * Documentation of monitoring (monitoring log) * Notify all investigators, IRB, and FDA if investigation is discontinued * IRB approval prior to resuming a terminated study |
| * **Informing Investigators (312.55)** * Provide all clinical investigations with Investigators brochure * Inform investigators of new observations discovered by or reported to the sponsor on the investigational product | * Current Investigators Brochure   For Multicenter study   * Documentation that all sites have received Investigators Brochure * Documentation of communication with investigators regarding new observations or adverse events |

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| **FDA REGULATIONS** | **CORRESPONDING DOCUMENTS** |
| **INVESTIGATOR RESPONSIBILITIES (312.60)**   * An investigator is responsible for ensuring the investigation is conducted according to the signed investigator statement, the investigational plan, and applicable regulations; for protecting the rights, safety and welfare under the investigators care and control of drugs under the investigation. | |
| * **Assure IRB Review and Approval (312.66)** | IRB documentation   * Initial review * Continuing review * Amendments * Adverse event reporting * Unanticipated events * Protocol deviations * Current Investigator Brochure * Other IRB correspondence |
| * **Maintain Adequate and Accurate Case Histories on Each Subject’s Participation in the Trial (312.62(b)** | * Informed consents for all subjects * Documentation that informed consent was obtained prior to study procedures * Documentation that subject was given a copy of signed and dated consent form * Subject eligibility documented * Source data * Progress notes * CRFs * Concomitant medications recorded * Signature/date of staff obtaining data |
| * **Conduct Study According to Signed Investigators Statement, Protocol and Applicable Regulations (312.60)** | * Report violations/deviations to IRB * Promptly report to IRB any “on site” adverse events/unanticipated adverse device effects in accordance to institutional requirements * Obtain informed consent in accordance with provisions in 21 CFR 50 |
| * **Personally Conduct and Supervise the Investigation** * Appropriate delegation * Adequate training * Adequate supervision | * Delegation log * Staff training log * Routine research team meeting to review trial progress, adverse events, protocol changes * Meeting minutes * Routine meetings with study monitor * Procedures for internal review of data |
| * **Protect the Rights, Safety, and Welfare of Study Subjects (312.60)** | * Adhere to protocol * Provide reasonable medical care of adverse events * Inform subject when medical care is needed for conditions unrelated to research * Investigator is available to subjects during conduct of study * Appropriate delegation to Co-Investigator if PI is not available |
| * **The Investigator is Responsible for Providing Sponsor with Reports (312.64)** | * The Investigator has provided sponsor with pertinent correspondence (e.g., enrollment numbers, adverse events, financial information and any changes in financial information) * N/A Single center study |
| **DRUG ACCOUNTABILITY** | |
| * **The Sponsor is Responsible for Record of Drug Disposition (312.57, 312.59)** * Maintain adequate record of receipt and shipment of investigational drug * Assure return of all unused investigational drug from individual investigators participating in trial or authorize alternative disposition of unused product * Maintain written records of any disposition of the drug | *Drug* Receipt:   * *Drug received from Industry:*   Drug accountability log includes:   * Receipt date * Quantity * Lot # * Return / Disposition * Method of disposal * *Drug manufactured onsite*   *Drug Shipment:*   * *Single center study – no drug shipment* * *Drug shipped to multiple sites:*   + *Drug accountability log includes:*   + *Date*   + *Destination*   + *Who shipped?*   + *Quantity*   + *Lot #*   + *Return/disposition*   + *Method of disposal* |
| * **The Investigator is Required to Maintain Adequate Records of the Disposition of the Drug (312.62)** | Drug dispensing record including:   * Research pharmacy will manage drug * Date * Lot # * Quantity * ID of subject administered/implanted * Disposition/record of return * ID of person dispensing * Return of drug, count and reason |
| * **The Investigator is Responsible to Ensure Control of Investigational Drug (312.61)** * Drug will be administered only to those subjects enrolled in the clinical study and under investigator or designee’s supervision | * Enrollment log/Randomization log * Delegation of Authority log |
| **RECORD RETENTION (312.57(c), 312.62(c)** | |
| * **Sponsor and Investigator:** * Retain records for 2 years after marketing or 2 years after investigation use is discontinued and FDA is notified | * Records are on file |
| **FDA INSPECTION (312.58, 312.68)** | |
| * **Sponsor and Investigator:** * **I**nspection of Investigator’s records and reports | * Upon request, permit FDA officer to access, copy and verify any records or reports made by the investigator |