

**TABLE OF CONTENTS**

Acknowledgements .....xiii

Introduction .....xv

**1 Roles and Responsibilities ..... 1**

Defining the Investigator’s Role.....1

Statement of Investigator Form (Form FDA 1572) ..... 3

Directing the Conduct of the Study ..... 4

Adhering to the Protocol ..... 5

Maintaining Control over the Investigational Drug ..... 6

Recordkeeping and Storage ..... 7

Investigator Reports ..... 8

Ensuring IRB Review ..... 8

Accountability Records ..... 10

Study Subject Recruitment Feasibility ..... 12

References ..... 12

**2 Roles and Responsibilities of the Study Staff, Research Institution and Research Sponsor ..... 13**

The Sub-Investigator ..... 14

The Clinical Research Coordinator (CRC) ..... 14

The Role of Other Team Members ..... 15

The Role of the Research Institution ..... 15

The Role of the Research Sponsor ..... 16

Qualifying and Informing Investigators ..... 16

Study Conduct Monitoring and Securing Investigator Compliance .....	17
Completing Regulatory Filings.....	17
Control of Product (Drug, Biologic or Device) Shipment and Disposition.....	17
Interactions: Sites, Sponsors and IRBs.....	18
References.....	18
<b>3 The Drug Development Process .....</b>	<b>19</b>
Non-Clinical Research .....	19
Drug Discovery.....	20
Chemistry, Formulation, Pharmacology.....	21
Non-Clinical Studies.....	22
Single-Dose Toxicity Studies .....	23
Repeated-Dose Studies .....	23
Safety Pharmacology Studies .....	23
Pharmacokinetic Studies.....	24
Genotoxicity Studies.....	24
Carcinogenicity Studies .....	24
Reproductive Toxicity Studies .....	24
Data Collected in Animal Studies.....	25
The Investigational New Drug Application (IND).....	25
Clinical Trials.....	26
Phase I Clinical Trials.....	27
Phase II Clinical Trials .....	28
Phase III Clinical Trials .....	28
The New Drug Application (NDA).....	29
Phase IIIb Clinical Studies.....	29
Phase IV Clinical Studies .....	30
<b>4 Roles and Responsibilities of the Institutional Review Board/ Independent Ethics Committee .....</b>	<b>31</b>
Definition of IRB* .....	31
Benefits versus Risks Assessment.....	32
What Constitutes Adequate Informed Consent? .....	33

IRB Membership and Operations .....	34
IRB Review of Proposed Research .....	35
Continuing Review of a Research Study .....	36
Expedited Review .....	36
<b>5 Regulations and Good Clinical Practice Guidance .....</b>	<b>39</b>
FDA Guidance and Information Sheets .....	40
FDA Compliance Program Guidance Manuals .....	40
NIH-Regulated Research .....	41
FDA Bioresearch Monitoring Program .....	41
Good Clinical Practice (GCP) .....	41
Electronic Records and Electronic Signatures .....	42
The Health Insurance Portability and Accountability Act (HIPAA) .....	43
<b>6 Ethical Conduct in Clinical Research .....</b>	<b>47</b>
Ethical Principles .....	47
Respect for Persons .....	48
Beneficence .....	51
Justice .....	51
Special Ethical Considerations: Use of Placebo in Clinical Research .....	52
The Scientific Justification for the Use of Placebo .....	54
Risk Management in the Research Protocol .....	54
Addressing Use of Placebo in the Consent Form .....	55
The Common Rule .....	55
Additional FDA Regulations and Sanctions .....	58
Scientific Misconduct .....	59
<b>7 The Informed Consent Process .....</b>	<b>63</b>
Understanding Informed Consent .....	63
Activities and Participation .....	64
Readability and Comprehension .....	65
Basic Elements of Consent .....	65
Additional Elements of Consent .....	66

Obtaining Informed Consent.....	67
The Short Form Consent <sup>5</sup> .....	67
The Standard Written Consent Form .....	68
The Consent Process.....	68
Exceptions to Consent.....	69
Individual Exceptions <sup>6</sup> .....	69
Emergency Research Studies <sup>7</sup> .....	70
Changes to the Informed Consent Process under HIPAA.....	72
<b>8 History Behind Human Subject Protection .....</b>	<b>75</b>
1848: Drug Importation Act.....	76
1862: Bureau of Chemistry.....	76
1906: Pure Food and Drugs Act .....	76
1938: Food, Drug, and Cosmetic Act.....	77
1947: The Nuremberg Code.....	78
1962: Kefauver-Harris Amendments .....	78
1964: Declaration of Helsinki .....	79
1979: The Belmont Report .....	79
1987: IND Rewrite Regulations .....	80
1987: Subpart E IND Regulations .....	80
1992: Prescription Drug User Fee Act (PDUFA).....	80
1997: FDA Modernization Act (FDAMA).....	81
2002: MDUFMA.....	81
<b>9 Study Preparation .....</b>	<b>83</b>
A Strong Research Operation.....	83
Identifying and Securing Clinical Study Grants.....	84
Making Initial Contact .....	85
Assessing Protocol Feasibility.....	85
Evaluating Study Budgets.....	87
Negotiating Contracts.....	89
Site Evaluation Visits—Assessing Staff and the Facility .....	90

The Pre-Study Visit .....	92
The Study Preparation Process.....	93
The Investigator Brochure.....	93
Designing the Study .....	93
Control Groups in Clinical Trials.....	95
Minimizing Bias .....	96
Common Study Designs .....	96
Developing the Protocol .....	97
Case Report Forms (CRFs) .....	98
<b>10 Study Initiation .....</b>	<b>101</b>
Study Initiation Documents .....	101
Financial Disclosure .....	102
The Investigator Meeting .....	104
Site Initiation Visits .....	106
Investigator Study Files .....	108
<b>11 Conducting the Study: Volunteer Recruitment, Retention and Compliance .....</b>	<b>111</b>
Finding Participants .....	111
Recruitment Approaches .....	114
Volunteer Recruitment Using Databases from Clinical Practice .....	114
Advertising .....	115
Call Centers .....	117
The Internet .....	117
Offering Participant Recruitment/Retention Incentives .....	117
Recruitment Strategies by Sponsors .....	118
Setting the Proper Tone When Recruiting Participants .....	119
Patient Retention .....	120
Patient Compliance .....	123
Reasons for Noncompliance .....	123
Managing Compliance .....	124

**12 Conducting the Study: Managing Monitor Visits.....127**

Monitoring Frequency .....127

Monitoring Activity ..... 128

Preparing for Site Monitoring Visits ..... 129

Ensuring Protocol Adherence ..... 130

CRF Completion and Review ..... 130

Source Document Review ..... 131

Errors, Queries and Corrections .....132

Proper Distribution of Investigational Product (Drug, Biologic, Medical Device) ...133

Sample Collection ..... 134

Study Document Review ..... 134

Confidentiality .....135

Unresolved Issues and Miscellaneous Items .....135

Internal Quality Control and Assurance .....135

Risk-based Monitoring ..... 136

**13 Adverse Events and Safety Monitoring ..... 139**

AE Regulations .....139

    Defining Adverse Events..... 141

Adverse Events (AEs) and Marketed Products .....142

Adverse Events (AEs) in Clinical Trials .....143

Safety Reporting Sections in Protocols ..... 144

Investigator Reporting Requirements ..... 146

Sponsor Reporting Requirements for Drugs/Biologics .....147

Comparing Clinical Studies and Clinical Practice ..... 148

Breaking the Blind ..... 148

Assessing the Relationship of an AE to the Study Drug ..... 149

Common Reporting Problems ..... 150

    References..... 150

**14 Study Closure .....151**

Reasons for Study Closure ..... 151

Procedures for Closing the Study .....	152
Completing Case Report Forms (CRFs) .....	153
Accounting for the Test Article .....	153
Reviewing the Investigator’s Study File .....	153
Making a Final Report to the Sponsor and the IRB .....	153
Following Up on Outstanding Issues (SAEs, exposure <i>in utero</i> ) .....	154
Reviewing and Resolving Administrative Issues .....	154
Post-Study Critique .....	155
<b>15 Managing a Site Audit/Inspection .....</b>	<b>157</b>
Purposes of a Sponsor’s Site Audit .....	157
Routine Sponsor Audits.....	158
Sponsor For-Cause Audits.....	158
IRB Site Visits/Audits of Investigative Sites .....	159
FDA Inspections .....	159
Study-Related Inspections.....	160
Investigator-Related Inspections.....	161
Preparing the Site for an FDA Inspection .....	162
After the Inspection .....	164
<b>Appendix A Resources.....</b>	<b>167</b>
Books and Videotapes .....	167
Agencies and Organizations .....	168
HIPAA Regulations .....	169
Guidance Documents.....	169
Other Information .....	169
<b>Appendix B The Belmont Report .....</b>	<b>171</b>
Ethical Principles & Guidelines for Research Involving Human Subjects .....	171
Part A: Boundaries Between Practice & Research .....	172
Part B: Basic Ethical Principles .....	172
Part C: Applications .....	175

<b>Appendix C Title 21—Food and Drugs .....</b>	<b>183</b>
Part 50—Protection of Human Subjects .....	183
Part 54—Financial Disclosure by Clinical Investigators.....	196
Part 56—Institutional Review Boards.....	200
Part 312—Investigational New Drug Application.....	210
<b>Appendix D Glossary .....</b>	<b>257</b>
<b>Appendix E Acronyms .....</b>	<b>265</b>
<b>Appendix F Form FDA 1572 .....</b>	<b>267</b>
About CenterWatch .....	271