

TABLE OF CONTENTS

INTRODUCTION

LIST OF ABBREVIATIONS

GLOSSARY

LIST OF ATTACHMENTS

Page

I	GA	100	GENERAL ADMINISTRATION
		101	Sponsor Responsibility and Transfer of Regulatory Obligations
		A	Fulfilling Regulatory Obligations
		B	Transfer of Regulatory Obligations
		C	Transfer of Responsibility to Contractors
		102	Document Development and Change Control
		A	Document Initiation and Approval Procedures
		B	Document Change Procedures
		C	Document Implementation
		103	Sponsor Research Team Training
		A	Training Plan
		B	Documentation of Training
		104	Conflict of Interest Disclosure Requirements
		A	Financial Disclosure for Sponsors and Investigators
		B	FDA Reporting Requirements
		105	Vendor Selection and Agreements
		A	Institutional Vendor Requirements
		B	Regulatory Aspects
		C	Vendor Audits
II	RA	200	REGULATORY AFFAIRS
		201	FDA Contacts and Meetings
		A	Oral and Written Correspondence with FDA
		B	Meetings with FDA
		202	FDA Submissions
		A	IND Development and Submission
		B	IND Amendments
		203	FDA Reporting Requirements
		A	Preparation of Reports
		B	Study Reporting
		204	Gene Transfer Research
		A	NIH RAC Submission and Study Initiation
		B	Reporting Requirements
III	PD	300	CLINICAL PROTOCOL DEVELOPMENT
		301	Clinical Protocol Development
		A	Writing the Clinical Protocol
		B	Protocol Review and Approval
		C	Protocol Amendments
		D	Case Report Forms

		302	Documents for Informing Investigators
		A	Developing and Revising the IB
IV	SS	400	STUDY START-UP
		401	Investigator Selection and Qualification
		A	Investigator Qualification
		B	Investigator Agreements
		C	Disqualified Investigators
		402	Initiation Visit and Site Training
		A	Site Initiation Visit Preparation
		B	Investigative Site Training
		C	Documenting the Initiation Visit
V	CO	500	CLINICAL OPERATIONS AND PROJECT MANAGEMENT
		501	Communications
		A	General Communications
		B	Communications with IRB
		C	Communications with Investigators and Site Staff
		D	Communication Records
		502	Investigational Product Inventory Management
		A	Labeling and Release of Investigational Product
		B	Investigational Product Receipt, Storage and Issue
		C	Investigational Product Accountability
		503	Documentation and Records Retention
		A	Creating the TMF
		B	Maintenance of the TMF
		504	Routine Monitoring Visits
		A	Scheduling/Frequency of Visits
		B	Preparation for a Monitoring Visit
		C	Conducting a Monitoring Visit
		505	Study Closeout Visit
		A	Site Closeout for Completion of Study
		B	Suspension for Inadequate Enrollment
		C	Suspension of Study by FDA or the IRB
		506	Ensuring Investigator Compliance
		A	Deviations from the Protocol (Protocol Violations) and Requests for Waivers
		B	Termination of Research for Protocol Violations
VI	SM	600	SUBJECT MANAGEMENT
		601	Human Subject Protection
		A	IRB Submissions and Review
		B	Informed Consent Process
		C	Waiver of Consent for Research in an Emergency Setting Emergency Use of an Investigational Product
		602	Subject Recruitment Practices
		A	Sponsor-Produced Materials
		B	Investigator-Produced Materials

		603	Subject Eligibility and Enrollment
		A	Subject Eligibility Documentation
		B	Conduct of Screening Activities at the Site
		604	Specimen Management
		A	Assessing Site's Specimen Management Capability
		B	Specimen Handling and Retention Requirements
		605	Adverse Event Recognition and Reporting
		A	Identifying AEs
		B	Management and Documentation of AEs
		C	Reporting Procedures for Serious AEs
		606	Protected Health Information
		A	General Sponsor Activities
		B	Determining Covered Entity Status
		C	Working with Covered Entities as Clinical Trial Sites
		D	Authorization and Informed Consent
		E	Subject Recruitment
		F	Subject Access to Source Documents
VII	DM	700	DATA MANAGEMENT
		701	Clinical Data Management
		A	Data Collection and Transcription
		B	Data Management and Retention
		702	Use of Electronic Data Management Systems
		A	Electronic Systems Set-up
		B	Electronic Data Collection and Management
VIII	QA	800	QUALITY ASSURANCE
		801	Quality Assurance Audits
		A	Internal Audits
		B	Audits by Third Parties
		C	Auditing the Investigative Site
		802	FDA Inspections
		A	Preparing for an FDA Inspection
		B	Conducting the Inspection
IX	IA	900	INTERIM ANALYSIS
		901	Assessing Need for a DMC
		A	Evaluating the Protocol to Determine Need for a DMC
		902	Establishing a DMC
		A	Planning the DMC
		B	Developing DMC SOPs
X			ATTACHMENTS