1. PURPOSE
   1. This policy describes the obligations of investigators conducting <Human Research> overseen by this University.
2. POLICY
   1. Do not commence research until you have the IRB approval letter and obtained all other required approvals, such as radiation safety approval, biosafety approval, and approvals of departments or divisions that require approval of the use of their resources.
      1. If there are any questions about whether you are conducting research involving human subjects, contact the IRB before commencing the study.
   2. Comply with all requirements and determinations of the IRB.
   3. Ensure that there are adequate resources to carry out the research safely. This includes, but is not limited to, sufficient investigator time, appropriately qualified research team members, equipment, and space.
   4. Ensure that research staff are qualified (e.g., including but not limited to appropriate training, education, expertise, credentials, protocol requirements and, when relevant, privileges) to perform procedures and duties assigned to them during the study.
   5. Personally conduct or supervise the research.
   6. Conduct the research in accordance with the relevant current protocol approved by the IRB.
   7. Protect the rights, safety, and welfare of subjects involved in the research.
   8. Submit proposed modifications to the IRB prior to their implementation.
      1. Do not make modifications to the research without prior IRB review and approval unless necessary to eliminate apparent immediate hazards to subjects.
   9. Submit continuing reviews when requested by the IRB.
   10. Submit a closure form to close research (end the IRB’s oversight) when:
       1. The protocol is permanently closed to enrollment
       2. All subjects have completed all protocol related interventions and interactions
       3. For research subject to federal oversight other than FDA:
          1. No additional identifiable private information about the subjects is being obtained
          2. Your analysis of private identifiable information is completed
   11. If research approval expires, stop all research activities and immediately contact the IRB.
   12. Promptly report to the IRB the information items listed in “POLICY: Prompt Reporting Requirements (HRP-071).”
   13. Do not accept or provide payments to professionals in exchange for referrals of potential subjects (“finder’s fees.”)
   14. Do not accept payments designed to accelerate recruitment that were tied to the rate or timing of enrollment (“bonus payments”) without prior IRB approval.
   15. For studies regulated by a federal department or agency, follow any additional obligations, as applicable.
   16. For studies where ICH-GCP compliance is required, follow additional the obligations in “INVESTIGATOR GUIDANCE: Additional ICH-GCP Obligations (HRP-816).”
   17. When required by the IRB ensure that consent, permission, and assent are obtained and documented in accordance with the relevant current protocol as approved by the IRB.
   18. Retain research records (including signed consent documents) for the greater of:
       1. Three years after completion of the research
       2. For drug studies conducted under an IND, two years following the date a marketing application is approved for the drug for the indication for which it is being investigated; or, if no application is to be filed or if the application is not approved for such indication, until two years after the investigation is discontinued and FDA is notified.
       3. For device studies conducted under an IDE or abbreviated IDE, two years after the latter of the following two dates: The date on which the investigation is terminated or completed, or the date that the records are no longer required for purposes of supporting a premarket approval application or a notice of completion of a product development protocol.
       4. The retention period required by the sponsor
       5. The retention period required by local, state, or international law.
          1. HIPAA requires signed authorizations to be retained for six years from the date signed or the date when it last was in effect, whichever is later.
3. REFERENCES
   1. 21 CFR §56.103(a)
   2. 21 CFR §56.108(a)
   3. 21 CFR §50.20
   4. 21 CFR §50.25
   5. 21 CFR §50.27
   6. 45 CFR §46.116
   7. 45 CFR §46.117
   8. FDA Guidance for Sponsors, Clinical Investigators, and IRBs Frequently Asked Questions – Statement of Investigator (Form FDA 1572)
   9. AAHRPP Evaluation Instrument for Accreditation