

## SELF-ASSESSMENT CHECKLIST

### **SECTION 1: REGULATORY DOCUMENTATION**

#### *Staff Documentation*

	YES	NO	NA
1. Are all versions of the IRB approved protocol on file (including most recent)?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
2. Are there CVs/biosketches of PI, Co-Is, and all study staff on file?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
3. Are CVs updated within the past two years?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
4. Are CVs signed and dated?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
5. Is valid medical licensure on file for all applicable IRB approved staff members (e.g. nurses and MD's)?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
6. Is there a staff signature/delegation of responsibility log on file?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
7. Does the signature/delegation of responsibility log reflect current and previous IRB approved staff?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

### **SECTION 1.1: DATA AND SAFETY MONITORING**

	YES	NO	NA
8. Is there a Data Safety Monitoring Plan (DSMP) for this study?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
9. Has the DSMP been followed in accordance with the IRB approved protocol?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
10. Is there a Data Safety Monitoring Board (DSMB) for this study?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
11. Have all DSMB reports been submitted to the IRB?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

## **SECTION 1.2: INVESTIGATIONAL PRODUCTS**

*Please note this section may not apply to your study if you are not using an investigational product.*

### ***For Clinical Investigators<sup>1</sup>***

	YES	NO	NA
12. Is an IND <sup>2</sup> being used for this study?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
13. For IND studies, is there a signed FDA 1572 on file?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
14. Is an IDE <sup>3</sup> being used for this study?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
15. For IDE studies, is an Investigator Statement on file for each investigator involved in the study?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
16. Are all staff listed on the 1572 or who have signed an Investigator Agreement IRB approved?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
17. Is a Financial Disclosure form on file for each investigator listed on the 1572 or who have signed an Investigator Agreement)?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
18. Are all correspondences to and from the sponsor on file?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
19. Is there a copy of the Investigator Brochure or Device Manual on file?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
20. If the product is already marketed, is there package insert/product information on file?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
21. Is the PI a sponsor-investigator (i.e. IND/IDE holder)? If yes complete Sponsor-Investigator section.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

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<sup>1</sup> **Clinical Investigator** is the individual who actually conducts a clinical investigation. He/She is responsible for how the test article is administered and/or dispensed and in the event that an investigation is conducted by a team of individuals, he/she is the responsible leader of that team.

<sup>2</sup> **Investigational New Drug (IND)** application is the process through which a drug sponsor alerts the FDA of its intentions to conduct clinical studies with an investigational drug. An IND is required for any significant changes in labeling, dose, administration or study population.

<sup>3</sup> **Investigational Device Exemption (IDE)** allows the investigational device to be used in a clinical study in order to collect safety and effectiveness data required to support a Pre-market approval (PMA) or Pre-market Notification 510K submission to FDA.

**FOR SPONSOR-INVESTIGATORS<sup>4</sup> ONLY**

	YES	NO	NA
22. Is there a signed FDA 3674 – Certification of Registration to ClinTrials.gov on file? A 3674 should be on file for each applicable study.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
23. Is the complete IND/IDE application to the FDA on file?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
24. IND: Is the FDA letter of no objection on file? Please note that the FDA does not always send a letter of no objection for IND studies. If no letter is received, the IND study may start 30 days after it is received by the FDA.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
25. IDE: Is the FDA approval letter on file?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
26. Are Amendments to the IND/IDE on file?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
27. Are annual reports to the IND/IDE on file?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
28. Are safety reports to the IND/IDE on file?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
29. Are general correspondences with the FDA on file?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
30. For IND studies, is there a <i>FDA 1571</i> on file to accompany all of the above FDA correspondence?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
31. Is there a monitor <sup>5</sup> for this study?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

**SECTION 2: IRB DOCUMENTATION<sup>6</sup>**

	YES	NO	NA
32. Are all IRB submissions (including electronic submission confirmation sheets) on file?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

<sup>4</sup> **Sponsor-Investigator** is the individual who both initiates and conducts an investigation, and under whose immediate direction the investigational drug is administered or dispensed. A Sponsor-Investigator is required to fulfill the responsibilities of both the Investigator and Sponsor.

<sup>5</sup> Individual monitoring the study for subject safety and protocol adherence according to the protocol's data and safety monitoring plan. For IND Studies - Individual listed as the *monitor* in section 14 of the FDA form 1571. For IDE studies - individual identified in the investigational plan.

<sup>6</sup> Copies of correspondences may be retained in hardcopy or electronic format (e.g. shared folder space)  
Note: eIRB correspondences do not substitute for the original documents.

**SECTION 2: IRB DOCUMENTATION**

	YES	NO	NA
33. Are all notifications of IRB required modification/deferral or disapproval on file?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
34. Are all PI responses to the IRB notification(s) on file?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
35. Are all IRB notifications of approval on file?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
36. Are all adverse event submissions on file?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
37. Are all other event submissions (e.g. protocol deviation) on file?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

**SECTION 3: SUBJECT RECRUITMENT PROCEDURES**

	YES	NO	NA
38. Are recruitment methods described in the IRB approved protocol?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
39. Is the approved recruitment method being adhered to?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
40. Have all recruitment materials (e.g. ads and phone scripts) been approved by the IRB? Note: All recruitment materials must be re-approved at the time of continuing review.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
41. Are all approved recruitment materials (original and all revisions) on file?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
42. If changes were made to any recruitment materials, where these approved prior to implementation?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

**SECTION 4: SUBJECT SELECTION CRITERIA**

	YES	NO	NA
43. Is there an eligibility checklist containing inclusion/exclusion criteria for all enrolled subjects?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
44. Is there source documentation to verify inclusion/exclusion criteria?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
45. Does the eligibility criteria checklist for each subject include dated signature/initials of the person obtaining the information?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

**SECTION 4: SUBJECT SELECTION CRITERIA**

	YES	NO	NA
46. For any enrolled subjects that did not meet eligibility criteria, was a request for a protocol exception submitted to the IRB prior to enrollment?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
47. For subjects who did not meet eligibility (e.g. screen-failures), was identifiable information destroyed or authorization obtained to keep the subject's identifiable information?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

**SECTION 5: INFORMED CONSENT PROCESS<sup>7</sup>**

	YES	NO	NA
48. Was informed consent obtained from each subject prior to the start of any study procedure(s), including screening procedures to determine eligibility?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
49. Are there valid signed and dated consent forms on file for all enrolled subjects?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
50. Is there written documentation of the informed consent process for all enrolled subjects?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
51. If surrogate consent was obtained, does the IRB protocol include surrogate consent?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
52. Was the consent process conducted in adherence with the IRB-approved protocol?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
53. Were non-English speaking subjects enrolled?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
54. If non-English speaking subjects were enrolled was the IRB-approved process for enrolling non-English subjects followed?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
55. Copy of the consent form was given to subjects	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

**SECTION 6: DATA COLLECTION & SOURCE DOCUMENTS**

	YES	NO	NA
56. Is data collection complete/accurate for each subject as specified by protocol (e.g. no blank fields/missing data)?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
57. Is source documentation available to support data entry for each subject?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

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<sup>7</sup> The **Consent Checklist** is the best way to ensure that study sites are not violating the informed consent process. A copy of the checklist can be obtained from the QA&I Division of the IRB.

**SECTION 6: DATA COLLECTION & SOURCE DOCUMENTS**

	YES	NO	NA
58. Does the source documentation/CRF for each subject include dated signature/initials of the person obtaining the information for each subject?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
59. Are changes/cross-outs, additional comments (if any) in subject files routinely initialed and dated?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
60. For any changes/cross-outs being made, is the original entry still legible? (e.g. use of white-out or pencil erased entries is not acceptable)	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

**SECTION 7: DRUG/DEVICE DISPENSING ACCOUNTABILITY**

Who is responsible for drug/device accountability?

☐ Study Site    ☐ Research Pharmacy    ☐ Other \_\_\_\_\_    ☐ N/A

If **study site** is responsible for drug/device accountability, complete the section below.

	YES	NO	NA
61. Is there documentation of investigational product receipt on file?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
62. Is there documentation of drug/biologic/device use for each subject (e.g. drug accountability log, study file notation)?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
63. Is there documentation for the return of drug/biologic/device from the subject back to the study site?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
64. Is there documentation for the return (back to drug sponsor/manufacturing company/research pharmacy) or destruction of drug/biologic/device?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
65. Have there been any other events (e.g. drug/biologic dosing errors or device malfunctions to date?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
66. Have these events been reported to the IRB as unanticipated problems?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

**SECTION 8: Laboratory Documentation**

	YES	NO	NA
67. Is Lab Certification (CLIA/CAP) current, and on file?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
68. Are laboratory reference ranges (normal values) on file?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
69. Have all lab reports been reviewed and signed/dated by a licensed physician investigator?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

**SECTION 8: Laboratory Documentation**

	YES	NO	NA
70. Are all out-of-range lab values marked as to their clinical significance?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

**SECTION 9: Correspondence**

	YES	NO	NA
71. Is all correspondence with research staff (including emails and telephone documentation) on file?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
72. Is all correspondence with sponsor/CRO (including emails and telephone documentation) on file?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
73. Is all correspondence with study participants and/or with reference to study participants (including emails and telephone documentation) on file?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

General Note: If any of the above essential documents are stored in any place other than the regulatory binder, please add a note-to-file giving exact location. If documents are stored electronically, note-to-file should give the pathway (e.g., my network places/shared drive/ protocol s12-99999/IRB documentation)

**Note:**

**If 'No' is answered to any of the questions above, make correction and, if applicable, report deviation to IRB according to policy and add a note to file.**