Thunder Bay Regional Health Sciences Centre

Policies, Procedures, Standard Operating Practices | No. CR-01

Title: Investigator Responsibilities for the Conduct of Research Involving Humans	☒ Policy ☐ Procedure ☐ SOP
Category: Unit Specific **Dept/Prog/Service:** Clinical Research Services	**Distribution:** Organization Wide
Approved: Vice President, Research **Signature:**	**Approval Date:** Jun. 7, 2016 **Reviewed/Revised Date:** **Next Review Date:** Jun. 7, 2019

Cross References: (CR-07) "Project Registration & Authorization", (ADMIN-04) "Record Retention", (SOP-04) "Adverse Event Reporting", ADMIN 13 "Research Oversight", (ADMIN-31) "Research Integrity", (CR-04) "Clinical Research Support Services for Researchers"

1. PURPOSE

This policy describes the responsibilities of Investigators and their research teams engaged in Research Involving Humans at the Thunder Bay Regional Health Sciences Centre (The Hospital) and the Thunder Bay Regional Research Institute (The Research Institute). When met, these responsibilities will help to ensure that research is properly conducted, compliant with Applicable Laws and Regulations, and that the rights, safety and well-being of research participants are adequately protected.

2. POLICY STATEMENTS

All Research Involving Humans supported by The Hospital/The Research Institute must be carried out according to sound research design, the terms of grant(s) (if applicable), contract(s), Applicable Laws and Regulations, and written, signed and dated participant consent forms.

3. SCOPE

This policy applies to all Researchers and all studies conducted at The Hospital/ The Research Institute, by employees of The Hospital/ The Research Institute and/or using the Resources of The Hospital/ The Research Institute.

4. DEFINITIONS

Adverse Drug Reaction - An adverse reaction, the nature or severity of which is not consistent with the applicable product information (e.g., Investigator brochure for an unapproved investigational product or package insert/summary of product characteristics, e.g. product monograph for an approved product).

Adverse Event - Any untoward medical occurrence in a participant administered a pharmaceutical product and which does not necessarily have a causal relationship with this treatment. An Adverse Event can therefore be any unfavourable and unintended sign (including an abnormal laboratory finding), symptom or disease temporally associated with the use of a medicinal (investigational) product, whether or not related to the medicinal (investigational) product.

Applicable Laws and Regulations – any applicable laws and regulations addressing the conduct of Research Involving Humans and includes the Food and Drug Regulations made under the *Food and Drugs Act* (Canada), Part C, Division 5 : Drugs for Clinical Trials Involving Human Subjects, the Medical Devices Regulations made under the *Food and Drugs Act* (Canada), Part 3, Medical Devices for Investigational Testing Involving Human Subjects, Natural

Health Products Regulations, Part 4, Clinical Trials Involving Human Subjects,the *Personal Information Protection and Electronic Documents Act*, the *Personal Health Information Protection Act, 2004*, the Declaration of Helsinki, International Conference on Harmonisation Good Clinical Practice Guidelines (ICH GCP E6), Tri-Council Policy Statement (TCPS2): Ethical Conduct for Research Involving Humans., N2 Standards of Practice, and industry and professional guidelines and standards.

Audit - A systematic and independent examination of study-related activities and documents to determine whether the evaluated study-related activities were conducted, and the data were recorded, analyzed and accurately reported according to the Protocol, Sponsor's standard operating procedures, good clinical practice, and Applicable Laws and Regulations.

Clinical Research Services Department (CRSD) - The group that oversees the operational and administrative aspects of Research Involving Humans and Clinical Trials at The Hospital and The Research Institute.

Clinical Trial - Any Regulated investigation in Research Involving Humans intended to discover or verify the clinical, pharmacological and/or other pharmacodynamic effects of an investigational product(s), and/or to identify any adverse reactions to an investigational product(s), and/or to study absorption, distribution, metabolism and excretion of an investigational product(s) with the object of ascertaining its safety and/or efficacy. A Clinical Trial may also involve a device, observation, questionnaires, interviews or diagnostic tests.

Clinical Trials Agreement (or Contract) - A written, dated and signed agreement between two or more involved parties that sets out any arrangements on delegation and distribution of tasks and obligations and, if appropriate, on financial matters.

Inspection - The act by a regulatory authority of conducting an official review of documents, facilities, records, and any other resources that are deemed by the authority to be related to the Clinical Trial and that may be located at the Clinical Trial site, at the Sponsor's and/or contract research organizations facilities, or at other establishments deemed appropriate by the regulatory authority.

Investigator - The person responsible for the conduct of the research at the study site, who may either be a Qualified Investigator for Regulated Clinical Trials or a Principal or Lead Investigator for all other research.

Principal or Lead Investigator - For non-Regulated research, the term Principal Investigator or Lead Investigator is the lead Investigator on a study.

Qualified Investigator – For Regulated Clinical Trials, the term Qualified Investigator is the person responsible to the Sponsor for the conduct of the Clinical Trial at a Clinical Trial site, who is entitled to provide health care under the laws of the province where that Clinical Trial site is located, and who is:

- in the case of a Clinical Trial respecting a drug to be used for dental purposes only, a physician or dentist and a member in good standing of a his/her health professional regulatory college; or
- in any other case, a physician and a member in good standing of his/her health professional regulatory college.

There can only be one Qualified Investigator per study per Canadian study site.

Investigator-Initiated Research - A research study that is developed, initiated and conducted by an Investigator.

Medical Device (Investigational Device) - A device within the meaning of the *Food and Drugs Act* (Canada), but does not include any device that is intended for use in relation to animals.

Pharmaceutical (Drug, Investigational Product) - A drug for human use that is to be tested in a Clinical Trial.

Protocol - A document that describes the objective(s), design, methodology, statistical considerations and organization of a study, and usually describes the background and rationale for the study (but these could be provided in other Protocol referenced documents), and includes any protocol amendments.

Protocol Deviation - An incident involving non-compliance with the Protocol that may or may not have a significant effect on the participant's rights, safety or welfare, or on the integrity of the research data.

Regulated - A study that is regulated by Health Canada, the U.S. Food and Drug Administration or another regulatory authority depending on the type of research.

Research Ethics Board (REB) - A body whose principal mandate is to approve the initiation of, and conduct periodic reviews of, Research Involving Humans in order to ensure the protection of their rights, safety and well-being. See ADMIN 13 – "Research Oversight" for further details.

Research Involving Humans - Any systematic investigation that either involves or impacts human beings and incorporates both the collection and analysis of data in order to answer a specific question. Interventional, observational, epidemiological, behavioral studies, quality improvement initiatives, medical chart reviews, surveys, interviews and focus groups are all Research Involving Humans.

Researcher - Anyone who participates in work, study, research or development activities at TBRHSC or TBRRI or uses, in any way, facilities or resources owned, operated, rented or administered by TBRHSC or TBRRI and/or funds of, or administered by, The Hospital or T The Research Institute, regardless of employment status or affiliation.

Serious Adverse Event or **Serious Adverse Drug Reaction** - An adverse drug/natural health product reaction that results in death, is life-threatening, requires in-patient hospitalization or prolongation of existing hospitalization, results in persistent or significant disability or incapacity or that causes congenital malformation.

Sponsor - An individual, company, institution or organization that takes responsibility for the initiation, management and/or financing of a Clinical Trial.

Standard of Care - A medical or psychological treatment guideline that specifies appropriate treatment based on scientific evidence and collaboration between medical and/or psychological professionals involved in the treatment of a given condition.

Sub-Investigator (Co-Investigator) - A qualified member of the Clinical Trial team designated and supervised by the Qualified Investigator at a Clinical Trial site to perform critical Clinical Trial-related procedures and/or to make important Clinical Trial-related decisions - usually a licensed physician, associate resident or research fellow.

5. PROCEDURES

1.1. RESPONSIBILITIES OF ALL RESEARCHERS

1.1.1. All Research Involving Humans within or on behalf of The Hospital/ The Research Institute must be conducted with compliance, ethics and integrity in mind. See Policy ADMIN 31 "Research Integrity" for details.

1.1.2. All Research Involving Humans within or on behalf of The Hospital/ The Research Institute must be conducted in compliance with Applicable Laws and Regulations and all applicable The Hospital/ The Research Institute policies, procedures and standards of practice, which are available from The Hospital and The Research Institute on the intranet or upon request.

1.1.3. All Researchers must familiarize themselves with Applicable Laws and Regulations and The Hospital/ The Research Institute policies, procedures and standards of practice that are relevant to their studies and roles. The foundational The Hospital/ The Research Institute documents are:

- Policy ADMIN-13 "Research Oversight"
- Policy ADMIN-31 "Research Integrity"
- Policy CR-07 "Project Registration & Authorization"
- Policy CR-05 "Conflict of Interest"

1.2. RESPONSIBILITIES OF THE INVESTIGATOR - ALL RESEARCH

1.2.1. The Investigator is responsible for compliance with Applicable Laws and Regulations, for ensuring the proper conduct of the study and the protection of participants, and for ensuring that he/she and all persons delegated duties in the study are appropriately qualified by education, training and experience to assume responsibility for the performance of his/her respective tasks.

1.2.2. The Investigator is responsible for the supervision of all staff in work related to the study, as outlined in the delegation log. The level of supervision should be proportional to the staff member's role, education, training and experience.

1.2.3. The Investigator must also, when applicable:

- have a strong understanding of the Protocol;
- review and determine site feasibility with the CRSD Manager;
- possess a strong understanding of Standard of Care treatments;
- understand and participate in referring and recruiting participants to the study;

- meet with Sponsor as required for all site inspections, site initiations, Investigator meetings, monitoring visits, etc.;
- sign required documentation within a reasonable timeframe or immediately for those of an urgent nature (i.e. those that may be required by the Sponsor or a regulatory authority);
- perform mandatory training within the designated time period;
- maintain usernames and passwords for all electronic systems;
- be available for signing training and other study responsibilities;
- ensure that vacation time is made known to the research team and advise who will be covering in the interim;
- be knowledgeable about the REB application and processes, and present and respond to the REB on a timely basis;
- communicate with the research team if unavailable to perform a physical exam or assessment, so alternate arrangements can be made to minimize Protocol Deviations;
- report all Serious Adverse Drug Reactions, Serious Adverse Events, Adverse Drug Reactions, Adverse Events and Protocol Deviations in accordance with The Hospital/ The Research Institute policies, procedures and standards of practice and those of the Sponsor (if applicable). See SOP-04 "Adverse Event Reporting";
- permit Audits by any regulatory authority;
- ensure that all documents generated at the site are archived and maintained for the minimum retention period as specified for the type of research in Policy ADMIN 04"Record Retention".

The Investigator must obtain initial REB approval(s), annual renewals and submit a final report for study closure. The Investigator must also obtain study authorization from the Vice President of Research (VPR), The Hospital before beginning any Protocol activity, as per Policy CR-07 "Project Registration & Authorization". No research related activity may begin until all required approvals are obtained.

1.3. RESPONSIBILITIES OF THE INVESTIGATOR - CLINICAL TRIALS

1.3.1. Clinical Trials must be conducted in accordance with Applicable Laws and Regulations, the Protocol and any terms and conditions stated in the REB approval and Clinical Trial Agreement.

1.3.2. It is recommended that for all Clinical Trials there be at least one appropriately qualified Sub-Investigator (Co-Investigator) delegated and supervised by the Qualified Investigator, who has agreed to be listed on the REB application and applicable delegation log, to perform critical procedures and/or make important Clinical Trials-related decisions in the event that the Qualified Investigator is unavailable or unable to do so.

1.3.3. The Qualified Investigator must be compliant and demonstrate documented evidence of compliance with Applicable Laws and Regulations. The Qualified Investigator must also:

- ensure that all Pharmaceutical and Medical Device related medical (or dental) decisions are made by the Qualified Investigator and/or a qualified medical (or

dental) delegate, and evidenced by a contemporaneous signature and date. Inclusive in this requirement is the documented assessment of test results (e.g. laboratory ECG, imaging etc.) for clinical significance, and the review, assessment and determination of causality of all Adverse Drug Reactions, Adverse Events, Serious Adverse Drug Reactions and Serious Adverse Events;
- Ensure that all Adverse Drug Reactions, Adverse Events, Serious Adverse Drug Reactions, Serious Adverse Events and Protocol Deviations are reported as required by Applicable Laws and Regulations and The Hospital/ The Research Institute policies, protocols and standards of practice.

1.3.4. The Qualified Investigator must ensure that all documents generated at the site are archived and maintained for a minimum 25 years or as specified for the type of research in Policy ADMIN 04 "Record Retention" and as required by Applicable Laws and Regulations.

1.3.5. The Qualified Investigator must:
- enter into, and comply with, a Clinical Trial Agreement with the site and the Sponsor; and
- complete an attestation to adhere to Applicable Laws and Regulations.

1.4. RESPONSIBILITIES OF THE INVESTIGATOR - INVESTIGATOR-INITIATED RESEARCH

1.4.1. This section applies to Investigator-Initiated Research without an external Sponsor. If the research is sponsored externally, section 5.3 applies.

1.4.2. It is recommended that before conducting Regulated, Pharmaceutical or Medical Device Investigator-Initiated Research, the Qualified Investigator will have either:
- been a Sub-Investigator (Co-Investigator) on two (2) Sponsored Pharmaceutical or Medical Device Clinical Trials; or
- been a Qualified Investigator on one (1) Sponsored Pharmaceutical or Medical Device Clinical Trial.

The final decision about the experience and suitability of a Qualified Investigator to supervise a Regulated, Pharmaceutical or Medical Device Investigator-Initiated Research will be at the discretion of the Investigator's supervisor (as defined in Policy Admin-13 "Research Oversight"), who will be required to pre-approve the research (see Policy CR-07 "Project Registration & Authorization").

1.4.3. Investigator-Initiated Research must be conducted in compliance with ICH-GCP Section 4 regarding Investigator responsibilities and ICH-GCP Section 5 regarding Sponsor responsibilities as well as those detailed in Applicable Laws and Regulations.

1.4.4. The Investigator may delegate responsibilities to Sub-Investigators (Co-Investigators) and/or qualified research personnel as specified in the delegation log maintained in the master file and in accordance with Applicable Laws and Regulations. These responsibilities may also be contractually delegated to external party(ies); however, the Investigator is ultimately responsible for the conduct of the research and must ensure that any external party(ies) are suitably trained on the Protocol, the delegated responsibilities and Applicable Laws and

Regulations, and that contractual obligations are being met. Additionally, the qualifications and experience of any external party(ies) should be reviewed and kept on file.

1.5. RESPONSIBILITIES OF THE SPONSOR

1.5.1. For Investigator-Initiated Research that is not Regulated and does not fall under the supervision of Health Canada or the U.S. Food and Drug Administration, the Investigator will be designated an Investigator-Sponsor and will assume the responsibilities of both the Investigator and the study Sponsor. For a complete listing of these responsibilities, please refer to ICH-GCP Sections 4 and 5.

1.5.2. For Regulated Investigator-Initiated Research, The Research Institute will be designated the Sponsor of the study on the Clinical Trial Application to Health Canada. For each such study, The Research Institute and the Qualified Investigator will enter into a sponsorship agreement pursuant to which The Research Institute delegates some of its Sponsor responsibilities for Clinical Trials management to the Qualified Investigator.

1.5.3. Delegated duties will include:

- submission of the Clinical Trial Application to Health Canada and any other relevant regulatory authority;*
- Clinical Trial authorization;*
- obtaining all necessary REB approval(s);*
- providing a clinical Protocol;*
- reporting all Adverse Drug Reactions, Adverse Events, Serious Adverse Events, Serious Adverse Drug Reactions, Protocol Deviations and unanticipated problems as required by institutional policies and regulatory authorities (see SOP-04 "Reporting of Serious Adverse Events";
- investigational product quality control, labeling and product information;
- medical expertise;
- data handling;
- research team selection;
- allocation and delegation of study responsibilities;
- training;
- data and safety monitoring plans;
- on-site and risk-based monitoring; and
- reporting of study suspension of discontinuance.

For a complete list, please reference ICH-GCP Section 5 on Sponsor responsibilities.

* CRSD and Research Support Services are available to assist with these tasks on a fee-for-service basis. See Policy xxx "Clinical Research Support Services for Researchers"

1.6. RESPONSIBILITIES OF THE INSTITUTE

1.6.1. For Regulated Investigator-Initiated Research, The Research Institute will retain the following Sponsor responsibilities:

- Clinical Trial Agreements;

- administration of grant funds (if applicable);
- internal quality audits; and
- record archiving and retention.

2. AUDITS AND COMPLIANCE

2.1. The Investigator is responsible for maintaining documentation that individually and collectively permits evaluation of the conduct of the research and the quality of the data produced.

2.2. Any research conducted, whether externally sponsored or Investigator-Initiated Research, may be audited or inspected by The Research Institute or The Hospital at any point during the course of the study.

2.3. Possible consequences of non-compliance with any Applicable Laws or Regulations, agreement or institutional policies and procedures, found either during an Audit or Inspection or through other means may include, but are not limited to the following by The Hospital/ The Research Institute:

- temporary suspension of the study;
- permanent suspension of the study;
- institutional refusal to allow future studies to be conducted by the Investigator (i.e. VPR will not sign associated agreements and authorizations necessary to conduct a study);
- suspension of privileges for professional staff; and/or
- institutional reporting to the Investigator's supervisor and/or any bodies responsible for discipline and research misconduct if warranted.

2.4. Any of the above actions may result in the Investigation of other studies involving the Investigator.

3. APPENDICES AND REFERENCES

International Conference on Harmonisation. Guideline for Good Clinical Practice, E6(RI). June 10, 1996.
http://www.ich.org/fileadmin/Public_Web_Site/ICH_Products/Guidelines/Efficacy/E6/E6_R1_Guideline.pdf

Tri-Council Policy Statement. Ethical Conduct for Research Involving Humans. 2014
http://www.pre.ethics.gc.ca/pdf/eng/tcps2-2014/TCPS_2_FINAL_Web.pdf

Network of Networks. Standard Operating Procedures. Available online on the in the The Research Institute Member's Area and on the The Hospital iNtranet at:
http://intranet.tbrhsc.net/Site_Published/i5/iic_doclist.aspx?nid=cltr&hid=cltr_2&DocList.QueryId.Categories=4323&DocList.XslFilePath=/resources/xsl/doclist_2.xsl

Food and Drugs Regulations, Part C, Division 5- Drugs for Clinical Trials Involving Human Subjects.
http://laws.justice.gc.ca/eng/regulations/c.r.c.,_c._870/page-123.html#h-255

Medical Device Regulations, Part 3, Medical Devices for Investigational Testing Involving Human Subjects

APPENDIX 1 – Table of Investigator Responsibilities

Requirement	Investigator-Initiated Regulated Research	Investigator-Initiated Non-Regulated Research	Externally Sponsored Research
Protocol	Designing, implementing and amending the Protocol	Designing, implementing and amending the Protocol	Understanding the Protocol
Selection of Investigators/Sites	Selecting Investigators at all participating sites (as applicable)	Selecting Investigators at all participating sites (as applicable)	Not applicable
Agreements	Investigator must enter into a "Qualified Investigator Acknowledgment and Agreement" with TBRRI (Appendix 2). Ensuring **all** sites participating under applicable agreements as required	Ensuring **all** sites participating under applicable agreements as required	(as applicable)
Insurance	If applicable for the Investigator	If applicable for the Investigator	If applicable for the Investigator
Finance	Sourcing and providing financing for study costs for all participating sites	Sourcing and providing financing for study costs for all participating sites. Ensuring proper financial and grant administration at Investigator's site only.	Ensuring all costs are budgeted for and paid by Sponsor
REB and Institutional Approvals	Obtaining VPR authorization and REB approval at Investigator's own site and copies of approval(s) and REB information for **all** participating sites	Obtaining VPR authorization and REB approval at Investigator's own site and copies of approval(s) and REB information for **all** participating sites	Obtaining VPR authorization and ensuring approval(s) at Investigator's site
Regulatory Approvals	**Applying for and obtaining** regulatory approval(s) and providing to all participating sites prior of study start	Not applicable	Ensuring all applicable regulatory approval(s) in place prior to study start
Regulatory Documents and Forms	Ensuring **all** participating sites have required regulatory documents and forms on file	Not applicable	Compiling regulatory documents and forms for Investigator's site only
Delegation of Study Tasks	For **all** participating sites and 3rd party service providers before the start of the study and during as required	For **all** participating sites and 3rd party service providers before the start of the study and during as required	Document personnel at Investigator's site only before the start of the study and during as required

Provide Medical / Scientific Expertise	To all participating sites and 3rd parties	To all participating sites and 3rd parties	To all personnel at Investigator's site
Informed Consent and Enrolment	Designing, approving and amending the Informed Consent and informational documents. Ensuring that **all** sites have trained their staff on the Informed Consent and participant enrollment process.	Designing, approving and amending the Informed Consent and informational documents. Ensuring that **all** sites have trained their staff on the Informed Consent and participant enrollment process.	Obtaining approval of Informed Consent and informational documents by REB at Investigator's site only. Ensuring all staff are trained to obtain Informed Consent at Investigator's site only.
Randomization and Blinding Procedures (as applicable)	Ensuring **all** sites are provided with randomization and blinding procedures, including procedures for un-blinding in case of emergency	Ensuring **all** sites are provided with randomization and blinding procedures, including procedures for un-blinding in case of emergency	Ensuring randomization and blinding procedures at Investigator's site only, including procedures for un-blinding in case of emergency
Study Materials / Investigational Products (as applicable)	Ensuring **all** investigator sites are supplied with all study materials including any investigational product (including quality control, packaging, labeling, coding, storage instruction etc.)	Ensuring **all** investigator sites are supplied with all study materials	Accountability for investigational Products at Investigator's site only (dispensing, administration and storage/reconciliation/disposition according to the approved protocol)
Reporting Serious Adverse Events / Unanticipated Problems	To Regulatory agencies and participating sites; to REB at Investigator's institution	To all participating sites; to REB at Investigator-Sponsor's institution	To REB, VPR and Co-Investigators
Systems and Procedures	Ensuring systems and standard operating procedures (SOPs) are in place for **all Investigator sites** to comply with the Protocol, Applicable Laws and Regulations	Ensuring systems and SOPs are in place for **all Investigator sites** to comply with the Protocol, Applicable Laws and Regulations	Ensuring all systems and SOPs are in place at Investigator's site to comply with the Protocol, Applicable Laws and Regulations
Documentation	Supplying GCP Essential Sponsor documentation (ICH GCP Section 8) and ensuring GCP Investigator source documentation at **all** participating sites	Supplying GCP Essential Sponsor documentation (ICH GCP Section 8) and ensuring GCP Investigator source documentation at **all** participating sites	Ensuring all GCP Investigator Essential documentation (ICH GCP section 8) including source documentation at Investigator's site only
Protocol and Regulatory Compliance	Ensuring compliance with the Protocol, Applicable Laws and Regulations at **all** participating sites	Ensuring compliance with the Protocol, Applicable Laws and Regulations at **all** participating sites	Ensuring compliance with the Protocol, Applicable Laws and Regulations at Investigator's site only
Data Management and Analysis Planning	Ensuring that data are generated at **all** sites, documented and reported in compliance with the Protocol, Applicable Laws and Regulations	Ensure that data are generated at **all** sites, documented and reported in compliance with the Protocol, Applicable Laws and Regulations	Ensure that data are generated, documented and reported to the Sponsor in compliance with the Protocol, Applicable Laws and Regulations

Suspend or Discontinue the Study	Notifying **all parties** including Investigators, 3rd party vendors, and any applicable regulatory authorities	Notifying **all parties** including Investigators, 3rd party vendors, and any applicable regulatory authorities	Notifying REB and VPR
Provide Records Access for Audits / Inspections	Secure access from **all** sites.	Secure access from **all** sites.	Ensuring access will be granted at Investigator's site only
Record Archiving	Ensuring **all** participating sites have planned archiving procedures. Arrange for adequate record retention in accordance with institutional policies at Investigator's own site.	Ensuring **all** participating sites have planned archiving procedures. Arrange for adequate record retention in accordance with institutional policies at Investigator's own site.	Ensuring archiving of documents generated at the Investigator's site only as per Applicable Laws and Regulations
Study Reporting	Ensuring reporting study results to all parties, as required	Ensuring reporting study results to all parties, as required	Ensuring reporting study results to Sponsor, as required
Medical Monitoring	Developing and implementing a medical monitoring plan that complies with Applicable Laws and Regulations and is accepted by the REB at **each** investigational site. Ensuring that the plan is carried out at **all** sites and that observations and recommendations are complied with at the Investigator's own site.	Not applicable	Ensuring study monitors have access to all study locations and materials, facilitating all Audits and Inspections, participating in all monitor visits and complying with all inspection reports and recommendations.
Monitoring Plans	Developing and implementing study monitoring plans and risk-based monitoring plans that comply with Applicable Laws and Regulations and are accepted by the REB at **each** investigational site. Ensuring that all plans are carried out at **all** sites and that observations and recommendations are complied with all sites and at the Investigator's own site	Not applicable unless otherwise stated by CRSD or REB.	Ensuring study monitors have access to all study records/files and materials, facilitating all Audits and Inspections, participating in all monitoring visits and complying with all inspection reports and recommendations.
Monitoring Activities (as applicable)	Selecting monitors and ensuring monitoring is planned for and performed before, during and after the study	Selecting monitors and ensuring that any required monitoring is planned for and performed before, during and after the study	Investigators should permit monitoring and Auditing by the Sponsor and regulatory authorities (as applicable)
Data Handling	Ensuring that **all** sites have appropriate facilities and SOPs in place to ensure secure handling of all data including documents generated at the site and electronic data.	Ensuring that **all** sites have appropriate facilities and SOPs in place to ensure secure handling of all data including documents generated at the site and electronic data.	Ensuring that all data and documents are maintained in an appropriate, secure facility and that SOPs for secure data handling are followed at all times at the Investigator's site only.

APPENDIX 2 – Qualified Investigator Acknowledgment and Agreement in respect of Investigator-Initiated Regulated Clinical Trials [TO BE PUT ON LETTERHEAD WHEN USED]

Between:
Thunder Bay Regional Research Institute ("TBRRI") with offices at
980 Oliver Road, Thunder Bay, ON P7B 6V4

and

_____("Qualified Investigator"), [insert address]

Re: RP# - (full study title) ("Clinical Trial")

All capitalized terms used herein that are not otherwise defined will have the meanings given to them in the Investigator Responsibilities for the Conduct of Research Involving Humans Policy Number XX.
The Qualified Investigator wishes to conduct the Clinical Trial at TBRHSC/TBRRI, and acknowledges and agrees that he/she has read, understands and will comply with all Applicable Laws and Regulations and the TBRHSC/TBRRI and REB policies, procedures and standard operating practices applicable to the conduct of the Clinical Trial, the terms of which are hereby incorporated into this Agreement.

The Qualified Investigator acknowledges and agrees that, although TBRRI is listed as the Sponsor of the Clinical Trial on the Clinical Trial Application to Health Canada, TBRRI hereby delegates some Sponsor responsibilities to the Qualified Investigator. TBRRI agrees to retain the following administrative Sponsor responsibilities: study oversight, Clinical Trial Agreements, insurance (if applicable), administration of grant funds (if applicable), internal auditing and record archiving for the required retention period. The Qualified Investigator agrees to assume all other Sponsor responsibilities in compliance with all Sponsor obligations set out Applicable Laws and Regulations.

The Qualified Investigator may delegate tasks related to these responsibilities to the Sub-Investigator(s) (Co-Investigator(s)) and/or qualified research personnel as specified in the delegation of study responsibilities log maintained in the Clinical Trial regulatory file and as permitted by Applicable Laws and Regulations. The Qualified Investigator may also sub-delegate his/her Sponsor obligations to a third party provided that prior written approval is given by TBRRI and an agreement setting out the sub-delegation is signed among TBRRI, the Qualified Investigator and the third party. Notwithstanding any sub-delegation, the Qualified Investigator remains responsible for the conduct of the Clinical Trial and for compliance with all Sponsor responsibilities.

The Qualified Investigator acknowledges and agrees that he/she has met with the CRSD Manager to review the delegated Sponsor responsibilities and understands the Sponsor responsibilities he/she is assuming.

_____ _____
Qualified Investigator Date: (dd-mm-yy)

Thunder Bay Regional Research Institute

Per:_____ _____
Anne Marie Heron Date: (dd-mm-yy)
Chief Administrative Officer