



Human Research Protection Program / Institutional Review Board
Standard Operating Procedure
Pre-2018 Common Rule

**For Studies Initially Approved on
or Before January 20, 2019**

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1 Investigator Responsibilities

Principal Investigators (PIs) are ultimately responsible for the conduct of research. PIs may delegate tasks to appropriately trained and qualified members of their research team. However, PIs must maintain oversight and retain ultimate responsibility for the proper conduct of the research.

Within the regulations, the term ‘investigator’ refers to individuals involved in the design, conduct, or reporting of the research. Such involvement could include one or more of the following:

- Designing the research
- Obtaining information about living individuals by intervening or interacting with them for research purposes
- Obtaining identifiable private information about living individuals for research purposes
- Obtaining the voluntary informed consent of individuals to be subjects in research
- Studying, interpreting, or analyzing identifiable private information or data for research purposes.

1.1 Responsibilities

Investigators who conduct research involving human subjects must:

1. Develop and conduct research that is in accordance with the ethical principles in the Belmont Report;
2. Develop a research plan that is scientifically sound and minimizes risk to the subjects;
3. Develop a research plan that ensures the just, fair, and equitable recruitment and selection of subjects;
4. When some or all of the subjects are likely to be vulnerable to coercion or undue influence, include additional safeguards in the study to protect the rights and welfare of these subjects;
5. Ensure that the research plan includes adequate provisions for the monitoring of subjects and data to ensure the safety of subjects;
6. Ensure that there are adequate provisions to protect the privacy interests of subjects;
7. Ensure that there are adequate provisions to protect the confidentiality of data;
8. Have sufficient resources necessary to protect human subjects, including:
 - a. Access to a population that would allow recruitment of the required number of subjects;
 - b. Sufficient time to conduct and complete the research;
 - c. Adequate numbers of qualified staff;
 - d. Adequate facilities;
 - e. Necessary equipment;
 - f. A plan to ensure proper supervision of the research including a plan for periods of absence or decreased availability; and

- g. When appropriate, a plan to ensure the availability of medical, psychological, or other services that subjects might require as a result of their participation.
9. Ensure that all procedures in a study are performed with the appropriate level of supervision and only by individuals who are licensed or otherwise qualified to perform such under the laws of Maine and the policies of MaineHealth;
10. Ensure that all study personnel are educated in the regulatory requirements regarding the conduct of research and the ethical principles upon which they are based;
11. Ensure that all persons assisting with the research are adequately trained and informed about the protocol and research implementation plan and their specific duties and functions;
12. Promptly report any changes in, addition to, or departure of investigators or research staff to the IRB for evaluation and approval (note that investigators and staff may not begin work on the research until IRB-approved);
13. Protect the rights, safety, and welfare of participants;
14. Ensure that when PHI is used, legally effective HIPAA authorization is obtained for each subject unless a Privacy Board or IRB has approved a waiver of the requirement;
15. Ensure that the language in the consent form is consistent with that in the protocol, any associated grant or contract, and, when applicable, the HIPAA authorization;
16. Obtain and document informed consent and ensure that no human subject is involved in the research prior to obtaining consent or consent/permission from their LAR, unless a waiver of the requirement has been approved by the IRB;
17. Have a procedure to receive questions, complaints, or requests for additional information from subjects and respond appropriately;
18. Ensure that all information provided to the IRB is accurate and complete so that the IRB may fulfill its responsibilities to review the research and make the required determinations;
19. Ensure that all research involving human subjects receives IRB review and approval in writing or a determination of exemption before the research begins;
20. Ensure that all required reviews and approvals (e.g., Internal Services Reviews, COI, IBC, Radiation Safety Committee, Scientific Review Committee) are in place before initiating the research;
21. Comply with all IRB decisions, conditions, and requirements;
22. Ensure that studies receive timely continuing IRB review and approval;
23. Report unanticipated problems, deviations, complaints, noncompliance, suspensions, terminations, and any other reportable events to the IRB and the organization, as required by regulations and policy;
24. Notify the IRB if information becomes available that suggests a change to the potential risks, benefits, merit, or feasibility of the research;
25. Obtain IRB review and approval before changes are made to the research unless a change is necessary eliminate apparent immediate hazards to the subject(s);

26. Seek HRPP or IRB assistance when in doubt about whether proposed research requires IRB review;
27. Retain records for the time-period and in the manner described to and approved by the IRB and as required by required by regulations, agreements, and policies;

Additional investigator responsibilities, including specific responsibilities for investigators engaged in FDA-regulated research are described throughout this manual.

1.1.1 Record Retention

Investigator research records, including, but not limited to, signed consent forms and HIPAA authorizations, subject records and data, test article records, IRB records (submission materials, IRB determinations and associated documentation, correspondence to and from the IRB, etc.), and sponsor/grant records must be retained in accordance with regulatory, organizational, IRB, sponsor or grantor, and journal or publication standards. Records must be maintained securely with limited access. Disposal of investigator records must be done in such a manner that no identifying information can be linked to research data. When research is sponsored or grant-supported, consult the contract, grant terms, or other relevant agreements prior to destroying or transferring any records. If there are questions or allegations about the validity of the data or the appropriate conduct of the research, all records must be retained until such questions or allegations have been completely resolved.

The following summarizes a few of the more common regulatory requirements:

1. **OHRP** – research records must be retained for at least 3 years after the completion of the research
2. **HIPAA** – Research authorizations, or documentation of waivers or alterations of authorization, must be held for a minimum of 6 years after the authorization or waiver/alterations was last obtained or in effect, whichever is later
3. **FDA – Drugs** (& biologics classified as drugs) - For a period of 2 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 2 years after the investigation is discontinued and FDA is notified
4. **FDA – Devices** (& biologics classified as devices) - For a period of 2 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.

1.2 Investigator Concerns

Investigators who have concerns or regarding the conduct of research at MaineHealth, MaineHealth's HRPP or IRB(s), or the external IRBs MaineHealth relies upon should convey them to the Director of Research Compliance, the IO or other responsible parties (e.g., Department Chair), when appropriate. The recipient of the concern will consider the issue, and when deemed necessary, seek additional information and convene the parties involved to form a response for the investigator or make necessary procedural or policy modifications, as warranted. In addition, the IRB Chair and IRB Manager are available to address investigators' questions, concerns, and suggestions.

Anyone with concerns may also report via MaineHealthri_info@MaineHealth.org.

Consistent with MaineHealth policies, there will be no retaliation against any individuals who report concerns in good faith. Sponsored Research

It is MaineHealth policy that any sponsored research conducted under the auspices of the MaineHealth is conducted in accordance with federal guidelines and ethical standards.

The following describe the procedures required to ensure that all sponsored research meets this requirement.