



# VCU

## Reporting Sponsor-Investigator Investigational New Drug Applications (IND) or Investigational Device Exemptions (IDE)

**Policy Type:** Administrative

**Responsible Office:** Office of Research and Innovation

**Initial Policy Approved:** NEW

**Current Revision Approved:** 12/03/2015

### Policy Statement and Purpose

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All University employees who file an Investigational New Drug Application (IND) or Significant Risk Investigational Device Exemption (IDE) with the Food and Drug Administration (FDA) as a sponsor must submit all documents relevant to the IND or IDE to the Clinical Research Compliance Officer (CRCO), who will track documentation and monitor compliance. Non-Significant Risk (NSR) IDEs are not submitted to the FDA but do require IRB approval. The Clinical Research Compliance Officer will also track and monitor compliance of these device studies. All FDA communication related to INDs or IDEs must be submitted to CRCO.

The CRCO maintains documents, including copies of the application, communications, safety reports, amendments, and annual reports, to remind sponsor-investigators of their reporting obligations to the FDA and to track reports and communications with the FDA. The CRCO, or designated staff, will monitor relevant FDA compliance via regular audits.

Proper adherence to FDA regulations is critical to managing risk, and noncompliance may result in liability for the individual sponsor or sponsor-investigator and the university. The reporting requirements contained in this policy are necessary because the university must know the information communicated directly to or from the FDA to a sponsor or sponsor-investigator about an IND or IDE to ensure compliance. The FDA does not communicate directly with the university when a faculty member serves as the sponsor of an IND or IDE. This policy does not apply when a faculty member serves only as the principal investigator on an IND or IDE and the sponsor is a pharmaceutical company, governmental agency, academic institution, private organization, or other organization.

VCU employees may not serve as the authorized representative for a pharmaceutical company, governmental agency, academic institution, private organization, or other organization without prior authorization of the Vice President for Research and Innovation and approval through the Outside Professional Activity system.

Noncompliance with this policy may result in disciplinary action up to and including termination of employment. VCU supports an environment free from retaliation. Retaliation against any employee who

brings forth a good faith concern, asks a clarifying question, or participates in an investigation is prohibited.

## Table of Contents

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Who Should Know This Policy.....	2
Definitions.....	2
Contacts.....	3
Procedures.....	3
Forms.....	3
Related Documents.....	4
Revision History.....	4
FAQs.....	4

## Who Should Know This Policy

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VCU sponsor-investigators are responsible for knowing this policy and familiarizing themselves with its contents and provisions.

## Definitions

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### **Food and Drug Administration (FDA)**

The United States regulatory authority which oversees the pharmaceutical and medical device industries and is responsible for ensuring that the drugs and medical devices marketed in the U.S. have a greater benefit than risk when used according to manufacturer’s directions

### **Investigational Device Exemption (IDE)**

Documents submitted to the FDA and approved to allow for the conduct of a clinical study using a significant risk device that is new or not approved for that use. Non-significant risk IDEs are not submitted to FDA but do have other IDE responsibilities.

### **Investigational New Drug Application (IND)**

Documents submitted to the FDA and approved to allow for the conduct of a clinical study using a drug that is new or not approved for that dosage, form, or indication

### **Investigator**

An individual who actually conducts a clinical investigation. See IRB Written Policies and Procedures for additional information about who can be an investigator.

### **Nonsignificant Risk Device**

A NSR is a medical device that does not meet the definition of a Significant Risk Device.

### **Significant Risk Device**

A SR device is one that:

- Is intended as an implant and presents a potential for serious risk to the health, safety, or welfare of a subject;
- Is purported or represented to be for use supporting or sustaining human life and presents a potential for serious risk to the health, safety, or welfare of a subject;
- Is for a use of substantial importance in diagnosing, curing, mitigating or treating disease, or other preventing impairment of human health and presents a potential for serious risk to the health, safety, or welfare of a subject; or
- Otherwise presents a potential for serious risk to the health, safety, or welfare of a subject.

### **Sponsor**

A person who takes responsibility for and initiates a clinical investigation. The sponsor may be an individual or pharmaceutical company, governmental agency, academic institution, private organization, or other organization. At VCU a faculty member (not the institution) may be a sponsor.

### **Sponsor-Investigator**

An individual VCU faculty member (not a company) who both initiates and conducts an investigation and complies with all the obligations of both a sponsor and an investigator

## **Contacts**

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The Office of Research and Innovation officially interprets this policy. The Office of Research and Innovation is responsible for obtaining approval for any revisions as required by the policy *Creating and Maintaining Policies and Procedures* through the appropriate governance structures. Please direct policy questions to The Office of Research and Innovation and Clinical Research Compliance Officer.

## **Policy Specifics and Procedures**

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A sponsor must submit required documentation for an IND or IDE according to the following procedures:

### **1. Consult CRCO.**

- Contact the CRCO ([INDIDE@vcuhealth.org](mailto:INDIDE@vcuhealth.org)) to discuss potential need for an IND or IDE before preparing an application and with questions related to complying with this policy.

### **2. Submit required documents.**

- Before submitting to FDA, submit all required documentation by completing the [FDA IND/IDE VCU Submission](#) survey.
- The CRCO, or designee, may not review all documents prior to submission to the FDA unless the sponsor submits a specific request with enough advance notice to complete a substantive review, generally 2-3 weeks before desired submission date.
- After initial submission, all documents must be submitted to the CRCO within 5 business days of sending to or receiving from FDA with the exception of notices of clinical holds

which must be submitted within [24 hours] of receipt and or serious unanticipated adverse effects which should be submitted concurrent with FDA submission.

## Forms

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VCU and FDA forms and templates are located at [go.vcu.edu/INDIDE](http://go.vcu.edu/INDIDE) ([http://www.research.vcu.edu/IND\\_IDE/](http://www.research.vcu.edu/IND_IDE/)) and referenced in the [FDA IND/IDE VCU Submission](#) survey at [go.vcu.edu/submit/indide](http://go.vcu.edu/submit/indide) (<https://redcap.vcu.edu/rc/surveys/?s=Xbd3YgHxFe>).

1. [Certification of IND/IDE Suitability](#)  
([http://www.research.vcu.edu/IND\\_IDE/certification\\_IND\\_IDE\\_suitability.pdf](http://www.research.vcu.edu/IND_IDE/certification_IND_IDE_suitability.pdf))

This form is required for all VCU Faculty Held INDs and IDEs submitted to the FDA after August 1, 2014.

2. [Plans to Conduct a Clinical Investigation at Multi-Center, External Study Site](#)

This form is required for all VCU Faculty Held INDs and IDEs that are to be conducted at external VCU sites under this IND or IDE.

3. [Financial Interests Forms for All Clinical Investigators on a VCU Faculty Held IND or IDE](#)

These forms are to be collected by the Sponsor for all Clinical Investigators and held by the Sponsor for submission to the FDA as needed at the time of a New Drug Application, PreMarket Approval or 510K. Note this does not replace reporting in the AIRS system.

## Related Documents

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1. [VCU IND/IDE Procedure Handbook](#)
2. [21 CFR 312 – Investigational New Drug Applications](#)
3. [21 CFR 812 - Investigational Device Exemptions](#)
4. [21 CFR 50 - Protection of Human Subjects](#)
5. [21 CFR 56 - Institutional Review Boards](#)
6. [21 CFR 54 - Financial Disclosure by Clinical Investigators](#)
7. [21 CFR 58 – Good Laboratory Practice for Nonclinical Laboratory Studies](#)
8. [21 CFR 820 - Quality System Regulation](#)
9. [IRB WPP IX-1 – Principal Investigator Eligibility and Statement of Responsibilities](#)

## **Revision History**

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This policy supersedes the following archived policies:

None - New Policy

## **FAQs**

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There are no FAQs associated with this policy and procedure.