Introduction to Clinical Research Funding and Regulations

Karen Gosik
Director, Clinical Research Administration

Lisa A. Landsberg, M.Ed., CRCP, CHRC
Director of Clinical Research Operations and Regulatory Affairs
Topics

- Overview of Regulations
- Institutional Review Board (IRB)
- HIPAA and Research
- Types of studies and Funding
- TCRI Services
- Compliance Tips
Definitions

**Clinical Research**: includes all research involving human participants. It does not include secondary studies using existing biological specimens or data collected without identifiers or data that are publicly available.

**Clinical Trial**: a clinical research study in which one or more human subjects are prospectively assigned to one or more interventions (which may include placebo or other control) to evaluate the effects of those interventions on health-related biomedical or behavioral outcomes.

**Human Subject**: a living individual about whom an investigator conducting research obtains 1) data through intervention or interaction with the individual, or 2) identifiable private information.
Why is clinical research regulated?

- Protect participants
- Assure valid data
- Safe & effective
- Prevent & detect fraud & abuse
- Increase transparency
<table>
<thead>
<tr>
<th>Federal Agency</th>
<th>What they do</th>
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<tbody>
<tr>
<td>Department of Health &amp; Human Services (DHHS) -</td>
<td>Regulates IRBs, promotes human subject protection, oversees federally-funded</td>
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<tr>
<td>Office for Human Research Protections (OHRP)</td>
<td>research</td>
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<tr>
<td>Food and Drug Administration (FDA)</td>
<td>Regulates research testing products under FDA's authority</td>
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<tr>
<td>National Institutes of Health (NIH)</td>
<td>Primary U.S. medical research agency</td>
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<td>Office for Civil Rights (OCR)</td>
<td>Enforces HIPAA</td>
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<tr>
<td>Centers for Medicare &amp; Medicaid (CMS)</td>
<td>Clinical trial billing; NCD 310.1</td>
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<tr>
<td>Office of Research Integrity (ORI)</td>
<td>Investigates research misconduct</td>
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<tr>
<td>Dept. of Justice- Office of the Inspector General</td>
<td>Investigates &amp; prosecutes fraud, abuse &amp; research misconduct,</td>
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<tr>
<td>(DOJ/ OIG)</td>
<td>Sets annual OIG work plan</td>
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Which Regulations Apply to My Study?

- Living Human Subjects (HHS/OHRP)
- Identifiable health information (HIPAA)
- FDA-regulated products (FDA)
- Controlled substances (DEA)
- Services billed to Medicare (CMS)
- Federally funded (NIH)

….and more
The Institutional Review Board (IRB) is a committee that carries out the regulations set forth by OHRP and FDA for the protection of human subjects. The IRB assures compliance with:

- 45CFR46 - OHRP “The Common Rule”
- 21CFR50, 56, 312, 812 – FDA
- ICH E6 GCPs – Unified scientific quality standard for international clinical trials (not a regulatory requirement for U.S. trials)
Human Subject Protection

The IRB reviews and approves clinical research studies to assure that:

- Participants’ rights are protected
- Minimize risks
- Informed consent
- Voluntary participation
HIPAA and Research

• Special rules for research
• Protected Health Information (PHI) = any info about health status, provision of health care, or payment for health care created or collected by a Covered Entity (CE) that can be linked to an individual
• Overseen by the organization’s privacy board
• HIPAA Authorization vs. Informed consent for research
• HIPAA Waivers
  - Limited Data Set (dates, city/state, age)
  - For Recruitment
  - Preparatory to Research
## 18 HIPAA Identifiers

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<tbody>
<tr>
<td>Name</td>
<td>Certificate/license number</td>
</tr>
<tr>
<td>Address</td>
<td>VIN; license plate number</td>
</tr>
<tr>
<td>Dates (DOB, admission, discharge, death)</td>
<td>Device ID or serial number</td>
</tr>
<tr>
<td>Phone numbers</td>
<td>URL</td>
</tr>
<tr>
<td>Fax numbers</td>
<td>Biometric ID- finger or voice prints</td>
</tr>
<tr>
<td>Email addresses</td>
<td>Full face photographs</td>
</tr>
<tr>
<td>SSN</td>
<td>Internet Protocol (IP) address</td>
</tr>
<tr>
<td>Medical record number (MRN)</td>
<td>Account number</td>
</tr>
<tr>
<td>Health plan number</td>
<td>Any other unique identifier</td>
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Types of Clinical Research Studies

• Retrospective vs. Prospective
• Interventional vs Observational
• Drug (phase I-III, phase IV)
• Device
• Treatment (behavioral, medical)
• Industry-initiated vs. Investigator-initiated
• Funded vs. Unfunded
**Industry – Initiated**

- Usually multi-site
- Temple is one of many sites, one PI
- Sponsor creates protocol and study forms
- Sponsor pays Temple for research tests & staff
- Sponsor obtains FDA approval (IND/IDE)
- Sponsor registers study on ClinicalTrials.gov
- Site enrolls, collects data, submits to Sponsor
- Sponsor submits data to FDA for marketing approval

**Investigator- Initiated**

- Can be single or multi-site
- PI writes protocol and study documents
- Can be unfunded or funded (NIH/profess. org.)
- Temple is the sponsor
- PI obtains FDA approval (IND/IDE)
- PI registers study on ClinicalTrials.gov
- PI enrolls, collects, analyzes data, publishes
- Collaborations may require a DUA or contract
Contract/Budget

1. Confidential Disclosure Agreement (CDA)
2. Contract, Budget and Protocol
   i. Budget Assessment Form
   ii. Device Assessment Form (if applicable)
   iii. Pharmacy
   iv. Conflict of Interest
   v. IRB approval

**Federal, Private or Foundation – usually can not negotiate the budget**
National Institutes of Health

• Agency of DHHS
• 27 Institutes and Centers
• Research funded by Congress
• Nation’s foremost research agency
• Provides funding for research nationally and internationally
National Institutes of Health

• Parent Announcements (PA) = unsolicited IITs
• Requests for Applications (RFAs) = solicited, focused topics for research protocol
• Career Development (K), Research Training (T), Research (R)
• Significant dates= application due date(s), scientific merit review, advisory council review, earliest start date
• Ex: application (Jan), SMR (July), ACR (Aug), Start (Dec)
• Contact your research administrator for more information
<table>
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<tr>
<th>Phase</th>
<th>Purpose</th>
<th>Sample Size</th>
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<tr>
<td>I</td>
<td>First time in humans; Establish maximum tolerable dose and side effects</td>
<td>Small N (&lt;100)</td>
</tr>
<tr>
<td>II</td>
<td>Provide additional safety data</td>
<td>Larger N (100’s)</td>
</tr>
<tr>
<td>III</td>
<td>Compare treatments, confirm effectiveness for specific populations</td>
<td>Large N (1000’s)</td>
</tr>
<tr>
<td>IV</td>
<td>Post-market; collect additional data on safety and effectiveness</td>
<td>Several 1000’s</td>
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Investigational New Drug Application (IND) Phase I – III trials

• A request for authorization from the FDA to administer an investigational drug or biological product to humans.

• Drug manufacturers apply for an IND in order to test a new drug in humans with the intention of bringing the new drug to market or to test an approved drug for a new indication or patient population.

• Investigators may need to apply for a research IND to study a drug off-label (or if not FDA-approved) in a clinical investigation unless criteria for exemption are met.
Device Trials and Investigational Device Exemptions (IDE)

• The device counterpart to the drug IND
• IDE Holder must comply with 21CFR812 regulations
• Device manufacturers test new devices under an IDE to collect safety and effectiveness data in order to obtain FDA approval, or to test a marketed device for a new indication.
• An IDE allows a clinical investigator to study a significant risk device off-label.
• Post-market trials gather additional safety data in the “real-world” setting.
• Humanitarian Use Devices (HUD) - not research but require IRB approval
ClinicalTrials.Gov

- Online clinical trial registry and results database established in 1997 by the FDA Modernization Act (FDAMA/ FDAAA801)
- Public access to information about current and completed clinical trials
- Supported by the National Library of Medicine and the NIH
- Access at: www.clinicaltrials.gov
“Applicable Clinical Trials” are required by law to register and post results.

- Trials of drugs and biological products subject to FDA regulations; controlled clinical investigations other than Phase I trials
- Trials of devices including controlled trials of devices with health outcomes
- Some journals require registration as a condition for consideration for publication
- Sponsor is responsible for registering trial
TCRI Services

- **Clinical Research Administration (CRA)**
  - Confidential Disclosure Agreements (CDA)
  - Negotiate contracts, budgets, amendments
  - Handle check deposits
  - Start-up and IRB invoicing
  - Closeout the financial end of the clinical research study

- **Clinical Research Operations & Regulatory Affairs (CRORA)**
  - Regulatory guidance
  - Operational support
  - Clinicaltrials.gov site administrator

- Biostatisticians (DCS)
Stay Compliant

**DO**
- Complete required trainings before starting your research
- Obtain approval from IRB before starting research
- Execute a CDA before seeking funding from outside agency
- Comply with HIPAA to protect patient data

**DON’T**
- Do Not sign any paperwork on behalf of the institution
- Do Not share data without written approvals and/or DUA
- Do Not access PHI for research without IRB approval and HIPAA authorization or waiver
- Do Not access or view patient data in public spaces
Contact Information

Karen Gosik
Director, Clinical Research Administration
karen.gosik@temple.edu
215-707-1791

Lisa A. Landsberg, M.Ed., CRCP, CHRC
Director, Clinical Research Operations and Regulatory Affairs
lisa.landsberg@temple.edu
215-707-7303

Susan G. Fisher, MS, PhD
Director, Temple Clinical Research Institute
Associate Dean, Clinical Research
Chair, Department of Clinical Sciences
Professor, Clinical Sciences
susan.fisher@temple.edu
215-707-3577