CHAPTER 9 - TABLE OF CONTENTS

RECORDS AND REPORTS

LABORATORY NOTEBOOKS

1. Purpose
2. Policy
3. Procedures

1. PURPOSE This Guide explains existing Center-wide policy and procedures for the issuance and maintenance of laboratory notebooks.

2. POLICY All research data generated in or for the Center for Food Safety and Applied Nutrition are the property of the Food and Drug Administration. The laboratory notebook is the preferred medium for the recording of laboratory data in the Center. At times, however, other media (forms, charts etc) may replace or be used in conjunction with the laboratory notebook. For the proper management of scientific data, it is critically important that the Center have access to all forms of primary laboratory data generated from each approved protocol and be assured that there is basic uniformity in the method of data recording. A Center for Food Safety and Applied Nutrition Quality Assurance (BFQ) number will be assigned to each protocol developed for research in the Center. Notebooks will be issued for studies with approved protocols. All data generated as a result of a given study protocol shall be identified with the assigned BFQ number.

3. PROCEDURES

A. Issuance of Laboratory Notebook

1. Only official, serially numbered notebooks issued by the CFSAN Quality Assurance Staff (QAS) are to be used when the standard bound laboratory notebook as the data recording medium.

2. Notebooks are to be issued for the recording of data from research with an approved protocol (BFQ #).

B. Maintenance

1. Each approved protocol shall have its own set of notebooks for the recording of primary data or direct references to primary data. Entries made concerning instrument/equipment maintenance, telephone conversations, etc are not considered primary data.

2. The first few pages of each notebook shall be reserved for a brief Table of Contents. The Table of Contents shall contain the following information:

   Date Description Page Number

3. Notebook entries are to be made in black or blue - black indelible ink. Pencil or pens with erasable or water soluble inks shall not be used. All entries must be dark and clear enough to be photocopied.

4. Illustrations such as charts, graphs, photographs, etc. may be pasted securely in the notebook if they approximate the size of the page. Voluminous printouts, charts, photographs, etc shall be maintained in supplemental files and referenced in the notebook.

5. All entries shall be initialed if made by someone other than the notebook owner.

6. Entries shall be neat and legible. Errors shall be marked through with a single line, initialed and dated. Erasures are not to be made and pages are not to be removed.

7. Experimental results shall be summarized in the laboratory notebook.

8. All unused notebook pages shall be cancelled with a diagonal line.

9. At the completion of a study, notebooks and other related records shall be retained by the investigator.

C. Employee Separation

A notebook assigned to an employee who is separating from the FDA must be turned in to the first line supervisor who will be responsible for maintaining the notebook and other research information.

RECORDS AND REPORTS

PUBLICATIONS AND PRESENTATIONS

1. Purpose
2. Policy
3. References

1. PURPOSE This Guide references, the Center for Food Safety and Applied Nutrition policy and procedures associated with the review and clearance of publications and presentations.

2. POLICY All scientific publications and presentations by Center for Food Safety and Applied Nutrition personnel must adhere to the procedures given in the CFSAN Policy and Procedures Manual. In addition, nonclinical laboratory studies must have a final report approved by the QAS prior to the release of any data.

3. REFERENCES

   a. Review and clearance procedures for publications and presentations Policies and Procedures Manual, Guide No. CFSAN 2010.01, Clearance and Processing of Materials for Publications.

   b. Requirements for approval of reports prior to release of nonclinical laboratory (GLP) study information. (See CFSAN/QA Laboratory Manual Guide 3009.04, Final Report).

RECORDS AND REPORTS

CFSAN STUDY PROTOCOL

1. Purpose
2. Policy
3. Procedures

Attachment A - Form FDA 3244 (Revised 03/93) CFSAN Study Protocol

Attachment B - Form FDA 3244a (Revised 03/93) CFSAN Amendment to Protocol

1. PURPOSE This Guide establishes Center-wide policy and procedures for the preparation of a protocol for nonclinical laboratory (GLP) studies and all other research conducted in and for the Center for Safety and Applied Nutrition.

2. POLICY The Good Laboratory Practice (GLP) Regulations (21 CFR Part 58) require that each nonclinical laboratory (GLP) study have a written approved protocol that clearly states the study objective and methods for the conduct of the study. In addition to this requirement for GLP studies, the Center requres that protocols also be prepared and approve for all other scientific research conducted.

3. PROCEDURES The protocol form (attachment A) has been designed to be used by all investigators to help fulfill the requirements of both the GLP Regulations and center policy. In addition to the hardcopy of the form, the protocol is available on computer disk (Word Perfect 5.1) and can be obtained from the CFSAN Quality Assurance Staff.

A. Preparation of Draft Protocol

The Study Director/Principal Investigator shall complete sections 1 thru 19 f of the protocol (Form FDA 3244 revised 03/93 or the computer disk version) for all scientific research to be conducted for which there is an approved tactical plan (See CFSAN/QAS Laboratory Manal Guide 3003.01) Any protocol section not applicable to the research to be conducted shall indicate "NA" in the appropriate space on the form. If support services are required (pathology, mathematics, chemistry), the support unit investigator shall prepare a support protocol that

shall be appended and indicated in section 19f (Experimental Design Appendices). If the research is a GLP study, section 20a shall be signed by the individual designated as study director. For all other research, the signature of the principal investigator is required in section 20b.

B. Review of Draft Protocol

1. The protocol must be submitted to line management and the appropriate strategic manager to review for scientific merit. Comments will be sent to the study director to be addressed.

2. If applicable, IACUC will review the protocol for animal care and use procedures.

3. The Safety Office will review the protocol if radioactive, carcinogenic or hazardous materials are used.

4. All protocols shall be submitted to the Quality Assurance Staff for review and the assignment of a study (BFQ) number. The QAS shall review each protocol to determine if they are subject to the Good Laboratory Practice Regulations. Those protocols deemed to be for nonclinical laboratory studies (GLP) shall be reviewed for compliance with the GLP regulations (section 58.120). Comments, if any, shall be sent to the study director for correction.

C. Protocol Approval

1. The study director/principal investigator shall consider comments made by the various reviewers and incorporate the necessary changes into the protocol. The protocol is then submitted to line management and the appropriate strategic manager for their signatures.

2. Line managers (first line supervisor, Division Director, Office Director) and the Strategic Manager shall sign and date the protocol in the appropriate space on the form (see Attachment A). Protocols that do not require the use of animals shall be submitted directly to the QAS after managerial approval.

3. The Institutional Animal Care and Use Committee (IACUC) shall sign and date the protocol if comments concerning the care and use of animals have been addressed. The IACUC will then forward the protocol to the QAS for approval.

4. The Quality Assurance Staff will sign, date and assign a BFQ number to a non-GLP protocol if the procedures outlined in the protocol conform to Center policy for quality assurance. GLP study protocols will be signed, dated and have a BFQ number assigned if the protocol is in compliance with the GLP regulations. The approved protocol is returned to the study director and is the official protocol for the study.

D. Use and Distribution

The Study Director\Principal Investigator shall retain the original approved protocol and distribute copies of the approved protocol for use by study personnel and management.

E. Changes or Revisions

All changes or revisions to an approved protocol must be made using the Amendment to the Protocol, FDA Form 3244a (See Attachment B).

DEPARTMENT OF HEALTH AND HUMAN SERVICES
Public Health Service
Food and Drug Administration

BFO NUMBER:

CFSAN–STUDY PROTOCOL

USDA CODE:

Tactical Plan Project Number:

Note: Form FDA 3244 must be completed for approval of each study conducted in CFSAN (GLP and Non-GLP).

Complete the following questions, any which do not apply respond by entering N/A, do not leave any space blank.

Classification of Study: GLP ☐ NON-GLP ☐

1. Protocol Title:

2. Facility (name and address):

3. Study Objective (if additional space is required, use 8½" x 11":

4. Study Dates:

a. Proposed Date Study Initiated:

5. Name of Study Director:

b. Proposed Date Study Completed:

6. Name of Principal Investigator (for NON-GLP Studies):

7. Organizational Unit for the Study Director (i.e., office, division, branch):

BFQ NUMBER:

8. Study Personnel (include titles and names):

9. Literature Search

a. Has a literature search been conducted: Yes ☐ No ☐

b. Literature search bibliography attached? Yes ☐ No ☐

10. Alternative Methods

a. Do alternative methods for the research being proposed exist? (If yes, a detailed justification must be provided for this protocol proposal.) Yes ☐ No ☐

11. Safety

Indicate with Y for yes or N for no to the following:

Does the proposed study utilize:

a. Hazardous chemical(s) ☐
b. Radioactive material(s) ☐ (If yes, refer to Radiation Safety Committee (RSC) for approval.)
c. BL2 biological agents ☐
d. Non-hazardous materials ☐
e. Others (i.e., carcinogens etc.) ☐
f. Materials safety data sheet (MSDS) attached ☐
g. RSC approval attached ☐

BFO NUMBER:

12. In Vivo Study—Test Article	
a. Name of Article:	b. CAS No.
	c. Lot No.
d. Characteristics (strength, purity etc.):	e. Stability:
	f. Source:

13. In Vivo Study–Control Article	
a. Name of Article:	b. CAS No.
	c. Lot No.
d. Characteristics (strength, purity, etc.):	e. Stability:
	f. Source:

14. In Vivo Study–Test and Control Articles			
a. Material Used to Solubilize or Suspend Articles:	d. Preparation Recipe:		
	Dosage Level	Grams Test Article	Grams Control Article
b. Route of Administration and Reason for Choice:			
c. Specification for Acceptable Levels of Interfering Substances:			

15. In Vivo Study–Test System		
a. Species:	b. Strain:	c. Substrain:

BFQ NUMBER:

d. Source:	g. Number of Animals Males: / Females:
e. Justification for Selection:	h. Age of Animals Males: / Females:
f. Identification (eartag, punch, etc.):	i. Initial Body Weight Range Males: / Females:
j. Method of Euthanasia:	k. Dosage Regimen and Duration:

l. ID Numbers:	Male Animal Numbers		Female Animal Numbers	
Dosage Level Associated with Animal Numbers	Low Number	High Number	Low Number	High Number

FORM FDA 3244 Revised (3/93) - Study Protocol

BFQ NUMBER:

16. Institutional Animal Care and Use Committee

a. List SOP's which involved animals and have previously been approved by the IACUC.

b. List and submit SOP's which IACUC has not approved.

17. In Vitro Study-Test and Control Articles

Name of Article	CAS No.	Lot No.	Purity	Source	Dosage

BFO NUMBER:

18. In Vitro Study–Test System

19. Experimental Design

a. Narrative (Discussion of the general experimental plan including method for control of bias—if additional space is required use 8½" x 11" sheet).

b. Types and Frequency of Tests, Analyses and Measurements: (Refer to the SOP's associated with each.) Note: Schedule for Critical Phases Are to Be Added by "Amendment to Protocol" After Protocol Approval and Before Initiation of the Study.

BFQ NUMBER:

c. Proposed Statistical Methods:

d. Records to Be Maintained:

e. Safety Precautions or Hazard Identification:

f. Appendixes (if not applicable, indicate N/A or "See Attached". Assign alphabetical or numerical identification to attachments):

(1) Pathology Protocol:

BFO NUMBER:

(2) Analytical Chemistry Protocol:	
(3) Clinical Chemistry Contract\Protocol:	
(4) Hematology Contract:	
(5) Other (Specify):	
20. Protocol Approval	
Study Unit Signature(s)	
a. Study Director:	Date:
b. Principal Investigator (for Non-GLP Study):	Date:
c. Supervisor:	Date:
d. Division Director:	Date:
e. Office Director:	Date:
f. Strategic Manager: (Having read the protocol, it has been determined that the work outlined in this study is relative to the Center's mission.)	Date:
Safety	
g. Reviewer:	Date:
Institutional Animal Care and Use Committee	
h. Chairperson:	Date:
Quality Assurance Staff	
i. Reviewer:	Date:

FORM FDA 3244 Revised (3/93) - Study Protocol

BPG NUMBER:

Department of Health and Human Services
Public Health Service
Food and Drug Administration

CFSAN—AMENDMENT TO PROTOCOL

Classification of Study: GLP ☐ NON-GLP ☐	
1. Protocol Title:	
2. Type of Change: (✓ one) ☐ Correction ☐ Addition ☐ Deletion	3. Section of Protocol Amended:
4. Reason for Amendment:	
5. Description of Change:	
6. Signature of Study Director:	7. Date:

FORM FDA 3344a (5/93)

Amend Protocol (1)

RECORDS AND REPORTS

FINAL REPORT

1. Purpose
2. Policy
3. Procedures

Attachment A - Form FDA 3224 Revised 03/93, Nonclinical Laboratory Study Final Report

Attachment B - Form FDA 3224 Revised 03/93, Laboratory Study Amendment to the Final Report

Attachment C - Form FDA 3224 Revised 03/93 Laboratory Study Appendix to the Final Report

1. PURPOSE This Guide establishes Center-wide policy and procedures for the requirement of a final report for both nonclinical laboratory studies and other research conducted in the Center for Food Safety and Applied Nutrition.

2. POLICY A final report shall be prepared for all nonclinical laboratory GLP studies for which the experimental work and data evaluation was not completed before June 20, 1979. Only data from studies for which a report has received the Quality Assurance Staff's clearance will be permitted to be published or released. This requirement is in addition to all other administrative clearances. In addition, a final report shall be prepared for all other research conducted in the Center that is not covered under the GLP regulations. The final report for non-GLP laboratory work shall contain at a minimum, a summary of the experimental results and the conclusion drawn.

3. PROCEDURES The final report, final report appendix and amendment forms that are to be used for nonclinical laboratory studies have been designed to assure compliance with the Good Laboratory Practice Regulations (21CFR, Part 58). These forms are also available on computer disk in Word Perfect 5.1. The format to be used to report the results of other research (non-GLP) can be decided by line management of the individual study unit.

A. Nonclinical Laboratory Study (GLP)

1. Preparation of the Final Report

A final report shall be prepared by the study director at the conclusion of each study providing the information specified in form FDA 3224, Nonclinical Laboratory Study Final Report (Attachment A). A computer disk version of the final report is available in Word Perfect 5.1. Both are available from the Quality Assurance Staff. The final report shall be signed and dated by the study director.

2. Preparation of the Appendix to the Final Report

Appendices to the final report shall be prepared by the principal investigator of the unit that provided the support for the study (Chemistry, Pathology, Mathematics, etc). The principal investigator shall use form FDA 3224b, Nonclinical Laboratory Study Appendix to the Final Report (Attachment C). The Appendix to the final report shall be signed and dated by the principal investigator and submitted to the study director in charge of the study for which the support was provided.

3. Preparation of Final Report Amendments

Any addition or correction made to the final report once it is signed by the study director, must be done using form FDA 3224a, Nonclinical Laboratory Study Amendment to the Final Report (Attachment B).

4. QAS Review

The Quality Assurance Staff shall review the final report and audit the data generated to assure that (a) the report is consistent with the approved protocol and SOP's; (b) that changes made to the protocol and SOPs were authorized and documented; (c) that the reported results accurately reflect the raw data. The QAS shall then prepare and sign a Quality Assurance Clearance Statement to be attached to the final report.

B. Other Research (non-GLP)

1. At the conclusion of the work for each protocol the principal investigator shall prepare a final report that summarizes the results of the research and the conclusions drawn.

2. The principal investigator shall sign and date the report and submit it to line management (Branch Chief and Division Director) for review.

3. The Branch Chief and Division Director shall review the report, sign and date it indicating his/her approval.

4. A copy of the approved final report shall be sent to the appropriate Strategic Manager and the Quality Assurance Staff for their information. The QAS will then note on its records, the completion of the research associated with a specific BFQ number and report this information to Center management.

BFQ NUMBER:

DEPARTMENT OF HEALTH AND HUMAN SERVICES PUBLIC HEALTH SERVICE FOOD AND DRUG ADMINISTRATION	*Center for Food Safety and Applied Nutrition* **NON-CLINICAL LABORATORY STUDY** *FINAL REPORT*

1. Report Title:

2. Facility (Name and address):

3. STUDY DATES *(As defined in protocol):*	3a. Date Study Initiated:	3b. Date Study Completed:

4. Signature of Study Director:

5. BFQ Number:

6. Name of Principal Investigator:

7. Other Authors and Study Personnel *(include names and titles):*

8. Study Objective:

9. Introduction:

10. Summary:

BFO NUMBER:

11. Materials and Methods:					
12. IN VIVO Study – Test and Control Articles					
12a. Name of Article:				12b. CAS No. 12c. Lot No.	
12d. Characteristics (Strength, purity, etc.):				12e. Stability: 12f. Source:	
13. IN VIVO – Test System					
13a. Species:	13b. Strain:			13c. Substrain	
13d. Number of Animals		13e. Initial Body Weight Range		13f. Age of Animals	
Males	Females	Males	Females	Males	Females
13g. Source		13h. Identification (Eartag, punch, etc.)			
13i. Route of Administration:	13j. Dosage Regimen:			13k. Duration of Treatment:	
13l. Dosage Level		Males		Females	
		Low	High	Low	High
14. IN VITRO Study – Test and Control Articles					
Name of Article	CAS No.	Lot No.	Purity	Source	Dosage Range

BFQ NUMBER:

15. IN VITRO Study – Test System
16. Results: (Should reflect all raw data.)
17. Circumstances Affecting the Quality or Integrity of the Data:
18. Appendixes: (Enter the appropriate appendix number. If not applicable indicate N/A.)
a. Protocol:
b. Pathology Report:
c. Mathematics Report:
d. Analytical Chemistry:
e. Clinical Chemistry and Hematology:
f. Other *(Specify)*:
19. Conclusions:
20. Archival Location of Raw Data, Specimens, and Final Report:

21. *Signature of Study Director:*	Date:

FORM FDA 3224 Revised (1/93) NONCLINICAL LABORATORY STUDY

Final Report 3

BFO NUMBER:

Department of Health and Human Services
Public Health Service
Food and Drug Administration

CFSAN—NONCLINICAL LABORATORY STUDY AMENDMENT TO THE FINAL REPORT

1. Report Title:	
2. Type of Change: (✓ one) ☐ Correction ☐ Addition ☐ Deletion	3. Section of Report Amended:
4. Reason for Amendment:	
5. Description of Change:	
6. Signature of Study Director:	7. Date:

FORM FDA 3224a (3/93)

Amend Final Report (1)

DEPARTMENT OF HEALTH AND HUMAN SERVICES
Public Health Service
Food and Drug Administration

BFO NUMBER

CFSAN–NONCLINICAL LABORATORY STUDY
APPENDIX TO FINAL REPORT

APPENDIX NO.	APPENDIX TITLE:
(See section 14 of Final Report for Appendix Number and Title.)	

1. Report Title:

2. Support Unit (name and address):	3. Study Dates (for support unit):
	3a. Date Support Initiated:
	3b. Date Support Completed:

4. Name of Principal Investigator	7. Other Support Unit Personnel (include names and titles):
5. BFO No.	
6. Name of Study Director:	

8. Objective:

9. Materials and Methods:

10. Results:

11. Conclusion:

12. Signature Principal Investigator:	13. Date

FORM FDA 3224b Revised (4/93) - Appendix

Final Report 1

RECORDS AND REPORTS

NONCLINICAL LABORATORY STUDY - ARCHIVE

1. PURPOSE This Guide establishes Center-wide policy and procedures for the retention of final reports and associated raw data for nonclinical laboratory (GLP) studies.

2. POLICY The Center for Food Safety and Applied Nutrition shall maintain a centralized archive for nonclinical laboratory studies under the control of the Quality Assurance Staff. This archive will include data from FB-8, MOD I, and other satellite facilities and studies performed under contract. These data shall be retained for a period not less that 5 years from the date of approval of the final report.

3. PROCEDURES

A. Material to be retained

1. All raw data, documentation, protocols, SOPs and final reports shall be submitted to the Center Archive by the Study Director after the clearance of the final report by the Quality Assurance Staff.

2. Specimen such as skeletons, Wilson sections and wet samples for histological examination, which are not submitted to the archive shall be secured and the location identified in the final report.

3. The final report and/or study data retained by the study director for the purpose of preparing a manuscript or presentation shall be identified on Form FDA 3255a, Archive data and Specimen Location Form (See Attachment A).

This form signed by the study director, shall be retained by the archivist until the final report and/or data is submitted to the Archive for filing.

B. Access to the Center Archive

1. The archive shall be locked at all time and the archivist is responsible for its security. Only the archivist and/or the alternate archivist shall possess keys to the archive.

C. Storage of records and data

1. The Study Director shall provide an index of all material for submission to the archive including (e.g. protocol, final report, volumes of raw data, amendments, etc.). The index shall also include the BFQ No. and Study Director's signature.

2. The Archivist shall:

   a. Index and cross-reference the submission by BFQ No., title, Study Director's name, nature of study, test article, test system and date of study.

   b. File the submitted material by the BFQ Number.

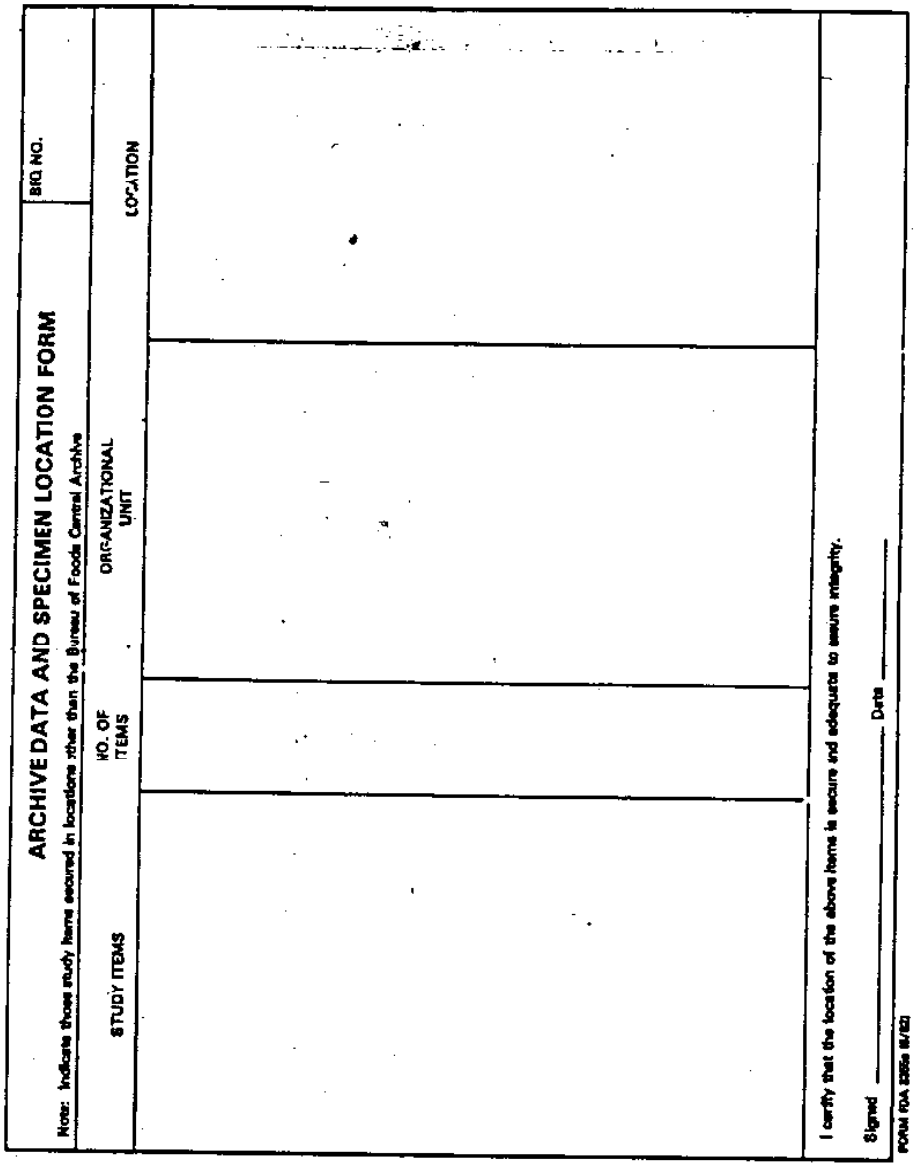
   c. Identify the file cabinet where the submitted data is retained on the cross-reference index cards.

D. Retrieval of records and data

1. Whenever there is a need to retrieve records or data, the Study Director shall complete the top of Form FDA 3255, Data and Specimen Retrieval Request (see Attachment B).

2. The archivist shall file the Data and Specimen Retrieval Request form in the folder from which the data was withdrawn

3. When the data is returned, its completeness shall be checked and recorded on form FDA 3255 by the archivist. The bottom of form FDA 3255, Data and Specimen retrieval Request, shall be completed and signed by the Archivist.



ARCHIVE DATA AND SPECIMEN LOCATION FORM

Note: Indicate those study items secured in locations other than the Bureau of Foods Central Archive

BIQ NO.

STUDY ITEMS	NO. OF ITEMS	ORGANIZATIONAL UNIT	LOCATION

I certify that the location of the above items is secure and adequate to assure integrity.

Signed _____ Date _____

FORM FDA 3585a (6/92)

DATA AND SPECIMEN RETRIEVAL REQUEST

TITLE	BFO No.
ITEM(S) RETRIEVED	QUANTITY
NAME OF REQUESTER	ORGANIZATION

PURPOSE FOR RETRIEVAL _____

_____

AUTHORIZED BY _____ DATE _____
STUDY DIRECTOR

RELEASED BY _____ DATE _____
ARCHIVIST

I certify that while the requested item(s) is/are in my possession, proper care will be exercised to assure security and maintain integrity of items mentioned above.

REQUESTER'S SIGNATURE _____ DATE _____

ITEMS RETURNED _____ QUANTITY _____ CONDITION _____

RETURNED BY _____

RECEIVED BY _____ DATE _____

FORM FDA 3285 (6/92)