

From: [OC GCP Questions](#)
To: [REDACTED]
Subject: Retention of Clinical Trial documents
Date: Wednesday, April 09, 2014 1:36:48 PM

Good afternoon –

Your question was forwarded to my office for a response.

As you state, the relevant US FDA regulations on record retention for clinical trials are as follows:

For drug and biologic studies, 21 CFR 312.62(c) states: "Record retention. An investigator shall retain records required to be maintained under this part 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."

For device studies, 21 CFR 812.140(d) states: "Retention period. An investigator or sponsor shall maintain the records required by this subpart during the investigation and 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."

As you will note, the retention period is dependent on whether the data will be used to support a marketing application with FDA. The sponsor is usually the only party totally knowledgeable about the status of its investigational product (e.g., whether it has been approved for marketing, whether the sponsor no longer intends to seek marketing approval, etc.). Therefore, it is best to check with the study sponsor regarding the status of the investigational product and the need to retain the study records. You should check with each of the study sponsors before discarding any study files.

I hope this information is helpful. Please contact us again at gcp.questions@fda.hhs.gov should you have additional questions.

Kind regards,

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Office of Good Clinical Practice
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This communication does not constitute a written advisory opinion under 21 CFR 10.85, but rather is an informal communication under 21 CFR 10.85(k) which represents the best judgment of the employee providing it. This information does not necessarily represent the formal position of FDA, and does not bind or otherwise obligate or commit the agency to the views expressed.

From: [Redacted]
Sent: Tuesday, April 08, 2014 5:50 PM
To: [Redacted]
Subject: Retention of Clinical Trial documents

I have a question regarding retention of clinical trial documents. 21CFR312.62 (c) states: *Record retention*. An investigator shall retain records required to be maintained under this part 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.

If we have records from clinical studies that fall into the “not approved for such indication, until 2 years after the investigation is discontinued and FDA is notified,” how and whom notifies the FDA? Is it the Sponsor? Can the individual trial sites (like a hospital pharmacy) notify the FDA record destruction?

Thank you for your guidance.

[Redacted]