**SAMPLE OUTPUT**

**INVESTIGATOR COMPLIANCE SEARCH FORM**

|  |  |  |  |
| --- | --- | --- | --- |
| **ICON Project Number:** | 4567/8901 5678/8765 | **Sponsor Protocol No.:** | RPC01-3202 RPC01-3203 |
| **Institute Name:** | Research Center | **Address:** | Address of Research Center |

**Investigators:**

|  |  |  |  |
| --- | --- | --- | --- |
| **ROLE** | **INVESTIGATOR NAME**  **(As per 1572/Info received)** | **Medical License Number** | **INVESTIGATOR NAME**  **(All Combination Searched)** |
| PI | Prinicapl INvestigator | ABCD | Principal Investogator |
| Sub I | Sub Investigator Name | XYZ | Sub Investigator |

**Relevant sources of Investigator information, against which this Investigator has been checked.**

|  |  |  |  |  |
| --- | --- | --- | --- | --- |
| **SOURCE #** | **SOURCE NAME** | **SOURCE DATE** | **WEBLINK** | **ISSUES IDENTIFIED** |
| 1 | FDA Debarment List | 03 Jan 2018 | http://www.fda.gov/ora/compliance\_ref/debar/default.htm | No |
| 2 | Clinical Investigator Inspection List (CLIIL)(CDER) | 18 Dec 2017 | http://www.accessdata.fda.gov/scripts/cder/cliil/index.cfm | Yes |
| 3 | FDA Warning Letters and Responses | 13 Feb 2018 | http://www.fda.gov/ICECI/EnforcementActions/WarningLetters/default.htm | No |
| 4 | Notice of Opportunity for Hearing (NOOH) – Proposal to Debar | 07 Aug 2017 | http://www.fda.gov/RegulatoryInformation/FOI/ElectronicReadingRoom/ucm143240.htm | No |
| 5 | Adequate Assurances List for Clinical Investigators | 24 Apr 2014 | http://www.fda.gov/ora/compliance\_ref/bimo/asurlist.htm | No |
| 6 | Clinical Investigators – Disqualification Proceedings (FDA Disqualified/Restricted) | 17 Jul 2017 | http://www.accessdata.fda.gov/scripts/SDA/sdNavigation.cfm?sd=clinicalinvestigatorsdisqualificationproceedings&previewMode=true&displayAll=true | No |
| 7 | PHS Administrative Actions Listing | 13 Feb 2018 | https://ori.hhs.gov/ORI\_PHS\_alert.html?d=update | No |
| 8 | Clinical Investigator Inspection List (CBER) | 11 Jan 2018 | http://www.fda.gov/BiologicsBloodVaccines/GuidanceComplianceRegulatoryInformation/ComplianceActivities/ucm195364.htm | No |
| 9 | HHS/OIG/ EXCLUSIONS DATABASE SEARCH/ FRAUD | 07 Feb 2018 | https://oig.hhs.gov/exclusions/exclusions\_list.asp | No |
| 10 | HHS/OIG Corporate Integrity Agreements/Watch List | 13 Feb 2018 | http://oig.hhs.gov/compliance/corporate-integrity-agreements/cia-documents.asp | No |
| 11 | SAM/SYSTEM FOR AWARD MANAGEMENT | 13 Feb 2018 | https://www.sam.gov/portal/public/SAM | No |
| 12 | LIST OF SPECIALLY DESIGNATED NATIONALS | 09 Feb 2018 | http://www.treasury.gov/resource-center/sanctions/SDN-List/Pages/default.aspx | No |
| 13 | World Check (PI) | 13 Feb 2018 | http://www.truthtechnologies.com/ | No |
| 14 | World Check (Institute) | 13 Feb 2018 | http://www.truthtechnologies.com/ | No |
| 15 | Icon Internal Flag Check | 14 Feb 2018 | https://www.salesforce.com | No |

**Please list all Sponsor / Country Specific checks, against which the review has been completed for the Investigator(s).**

|  |  |  |  |  |
| --- | --- | --- | --- | --- |
| **SOURCE #** | **SOURCE NAME** | **SOURCE DATE** | **WEBLINK** | **ISSUES IDENTIFIED** |
| 16 | HEALTH GUIDE USA | 14 Feb 2018 | http://www.healthguideusa.org/medical\_license\_lookup.htm | No |

**If issues are identified (Yes), please provide additional details. Details may be printed and attached.**

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| --- | --- | --- | --- |
| **SOURCE #** | **INVESTIGATOR/**  **INSTITUTE NAME** | **DATE OF INSPECTION** | **DESCRIPTION OF FINDINGS** |
| 2 | Sub Investigator | 17 Nov 2008 | Id Number: 432965 DA - Data Audit: An inspection in which the focus is on verification of study data NAI - No Action Indicated. No objectionable conditions or practices were found during the inspection |
| 2 | Sub Investigator | 05 Sep 2006 | Id Number: 432965 DA - Data Audit: An inspection in which the focus is on verification of study data VAI - Voluntary Action Indicated. Objectionable conditions were found but the problems do not justify further regulatory action. Any corrective action is left to the investigator to take voluntarily 05 - Failure to follow investigational plan, 21 CFR 312.60 |
| 2 | Sub Investigator | 29 May 2001 | Id Number: 432965 DA - Data Audit: An inspection in which the focus is on verification of study data NAI - No Action Indicated. No objectionable conditions or practices were found during the inspection |

**Search Performed By:**

|  |  |
| --- | --- |
| **Printed Name:** Name of Research Associate | **Date:**4 Apr 2018 |
| **Signature:** | |