DIN EN ISO 14155:2021-05 (E)

Clinical investigation of medical devices for human subjects - Good clinical practice (ISO 14155:2020)

Contents

Page

European foreword ... **5**

Annex ZA (informative) **Relationship between this European Standard and the essential requirements of Directive 93/42/EEC [OJ L 169] aimed to be covered** ... **7**

Annex ZB (informative) **Relationship between this European Standard and the essential requirements of Directive 90/385/EEC [OJ L 189] aimed to be covered** ... **9**

Foreword ... **11**

1 Scope ... **12**

2 Normative references ... **12**

3 Terms and definitions ... **12**

4 Summary of good clinical practice (GCP) principles ... **20**

5 Ethical considerations ... **21**
5.1 General ... 21
5.2 Improper influence or inducement ... 21
5.3 Compensation and additional health care ... 21
5.4 Registration in publicly accessible database ... 22
5.5 Responsibilities ... 22
5.6 Communication with the ethics committee (EC) ... 22
5.6.1 General ... 22
5.6.2 Initial EC submission ... 22
5.6.3 Information to be obtained from the EC ... 23
5.6.4 Continuing communication with the EC ... 23
5.6.5 Continuing information to be obtained from the EC ... 23
5.7 Vulnerable populations ... 23
5.8 Informed consent ... 24
5.8.1 General ... 24
5.8.2 Process of obtaining informed consent ... 24
5.8.3 Special circumstances for informed consent ... 25
5.8.4 Information to be provided to the subject ... 26
5.8.5 Informed consent signature ... 28
5.8.6 New information ... 28

6 Clinical investigation planning ... **28**
6.1 General ... 28
6.2 Risk management ... 29
6.2.1 General ... 29
6.2.2 Investigational device including clinical procedure risks and their disclosure ... 29
6.2.3 Clinical investigation process ... 29
6.3 Justification for the design of the clinical investigation ... 30
6.4 Clinical investigation plan (CIP) ... 30
6.5 Investigator's brochure (IB) ... 30
6.6 Case report forms (CRFs) ... 31
6.7 Monitoring plan ... 31
6.8 Investigation site selection ... 32
6.9 Agreement(s) ... 32
6.10 Labelling ... 32
6.11 Data monitoring committee (DMC) ... 32

7 Clinical investigation conduct 33
7.1 General 33
7.2 Investigation site initiation 33
7.3 Investigation site monitoring 33
7.4 Adverse events and device deficiencies 33
7.4.1 Signals requiring immediate action 33
7.4.2 Adverse events 34
7.4.3 Device deficiencies 34
7.4.4 Risk assessment process for potentially unacceptable risks 34
7.5 Clinical investigation documents and documentation 35
7.5.1 Amendments 35
7.5.2 Subject identification log 35
7.5.3 Source documents 36
7.6 Additional members of the investigation site team 36
7.7 Subject privacy and confidentiality of data 36
7.8 Document and data control 36
7.8.1 Traceability of documents and data 36
7.8.2 Recording of data 36
7.8.3 Electronic clinical data systems 37
7.9 Investigational device accountability 38
7.10 Accounting for subjects 38
7.11 Auditing 38

8 Suspension, termination, and close-out of the clinical investigation 39
8.1 Completion of the clinical investigation 39
8.2 Suspension or premature termination of the clinical investigation 39
8.2.1 Procedure for suspension or premature termination 39
8.2.2 Procedure for resuming the clinical investigation after temporary suspension 40
8.3 Routine close-out 40
8.4 Clinical investigation report 41
8.5 Risk assessment and conclusions 41
8.6 Document retention 42

9 Responsibilities of the sponsor 42
9.1 Clinical quality management 42
9.2 Clinical investigation planning and conduct 42
9.2.1 Selection and training of clinical personnel 42
9.2.2 Preparation of documents and materials 43
9.2.3 Conduct of clinical investigation 44
9.2.4 Monitoring 44
9.2.5 Safety evaluation and reporting 47
9.2.6 Clinical investigation close-out 48
9.3 Outsourcing of duties and functions 48
9.4 Communication with regulatory authorities 48

10 Responsibilities of the principal investigator 49
10.1 General 49
10.2 Qualification of the principal investigator 49
10.3 Qualification of investigation site 49
10.4 Communication with the EC 49
10.5 Informed consent process 50
10.6 Compliance with the CIP 50
10.7 Medical care of subjects 51
10.8 Safety reporting 52

Annex A (normative) **Clinical investigation plan (CIP)** **53**
Annex B (normative) **Investigator's brochure (IB)** **62**
Annex C (informative) **Case report forms (CRFs)** **65**
Annex D (normative) **Clinical investigation report** **67**
Annex E (informative) **Essential clinical investigation documents** **72**
Annex F (informative) **Adverse event categorization** **79**
Annex G (informative) **EC responsibilities** **81**
Annex H (informative) **Application of ISO 14971 to clinical investigations** **85**
Annex I (informative) **Clinical development stages** **86**
Annex J (informative) **Clinical investigation audits** **91**
Bibliography **94**