| Document Number: SOP- 30 | Title: Drafting and Amending of Investigator's Brochures (IB) |
|---|---|
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# 1. DEFINITIONS

| Term | Definition |
|---|---|
| US Food and Drug Administration (FDA) | A federal agency of the United States Department of Health and Human Services. The FDA is responsible for protecting the public health by assuring the safety, efficacy and security of human and veterinary drug, biological products, medical devices, the US food supply, cosmetics, and products that emit radiation. |
| Investigational New Drug Application (IND) | An IND application is submitted to FDA if a drug (or biological product) not previously authorized for marketing in the US is intended to be used for the purposes of clinical investigation or, in certain cases, for the purposes of clinical treatment when no approved therapies are available. It is also an exemption requested from the Food and Drug Administration (FDA) to transport and distribute an investigational product across state lines. |
| Investigational Product (IP) | A product (drug, biologic or device) that is not approved by the FDA for marketing in the US or is being used for an indication that has not been approved by the FDA. |
| Medical Monitor | The investigator listed on Form FDA 1571 as the "person responsible for monitoring the conduct and progress of the clinical investigations" |
| Serial Submission | A submission to an IND application. These submissions are sequentially ordered. |

# 2. BACKGROUND

This Standard Operating Procedure (SOP) supports the Code of Federal Regulations (CFR) Section 312 Part 23 (21CFR312.23), Part 31 (21CFR312.31) and Part 55 (21CFR312.55). 21CFR312.55 states that "the sponsor shall, as the overall investigation proceeds, keep each participating investigator informed of new observations discovered by or reported to the sponsor on a drug, particularly with respect to adverse effects and safe use" and "such information may be distributed to investigators by means of periodically revised investigator brochures".

# 3. PURPOSE

This SOP describes the procedures that are followed to ensure the timely gathering of accurate and up-to-date study data for compilation of initial drafting of an Investigator's Brochure or annual Investigator's Brochure Updates.

# 4. SCOPE

This SOP applies to all UNC Lineberger staff and Investigator Initiated trials (IITs) within the Clinical Protocol Office (CPO).

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# 5. RESPONSIBLE PARTIES

This SOP applies to individuals within the Clinical Protocol Office (CPO) involved in coordinating and managing LCCC IITs and individuals acting on behalf of the LCCC as the sponsor for the management of data, personnel, quality control and regulatory affairs for LCCC IITs.

# 6. PROCEDURES

6.1. Request for an initial or amended Investigator's Brochure (IB)

The Medical Monitor or Clinical Development Manager may request an initial or updated IB. Reasons for such a request may include opening a multicenter site or adding an additional protocol under an active IND. IB updates should occur on a yearly basis.

6.2. Data/Study Report Preparation

The Clinical Data Management Associate queries the UNC and multicenter site staff (if applicable)) about any missing/incomplete safety data that must be updated prior to running the IB report. Coordinators and/or Data Coordinators (DC) address queries and update the data in OnCore. The Multicenter Project Manager (if applicable) aids in querying any multicenter sites about updating missing/incomplete data.

The Clinical Data Management Associate runs the IB study data report. The data is validated by the data operations team.

6.3. Study Report Distribution

The Clinical Data Management Associate provides the IB study data report for the reporting period covered by the IB update to the Clinical Development Team.

6.4. Preparation of the IB

The Clinical Development Team drafts the initial or amended IB. Informed consent forms may also be prepared to reflect the any risk changes present in the IB.

6.5. Quality Assurance of the IB

The Clinical Development Team distributes the IB to Clinical, Nonclinical and Chemistry, Manufacturing and Controls (CMC) reviewers so that they may perform quality assurance reviews in order to ensure accuracy and completeness.

6.6. Preparation of IND Serial Submission

Information required for the IND serial submission is compiled. The Clinical Development Manager or IND Specialist write an IND submission cover letter and prepares Form FDA 1571.

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6.7. Regulatory Submission/Tracking and IB Distribution

The Clinical Development Team or Regulatory Team gathers necessary signatures for the submission. The required documents are bound and shipped to FDA via FedEx. An electronic copy of the signed paper submission is created. The FedEx receipt is printed indicating that FDA has received the serial submission.

The Regulatory Assistant documents the submission in OnCore.

The IB is distributed to the UNC study team and multicenter sites (if applicable).

# 7. REFERENCES

7.1. 21CFR312.23 IND content and format

7.2. 21CFR312.31 Information Amendments

7.3. 21CFR312.55 Informing investigators

# 8. RESOURCES

8.1. Code of Federal Regulations IND Content and Format (21CFR312.23): https://www.accessdata.fda.gov/scripts/cdrh/cfdocs/cfcfr/CFRSearch.cfm?fr=312.23

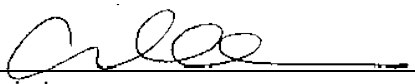
8.2. Code of Federal Regulation Information Amendments (21CFR312.31): https://www.accessdata.fda.gov/scripts/cdrh/cfdocs/cfcfr/CFRSearch.cfm?fr=312.31

8.3. Code of Federal Regulations Informing Investigators (21CFR312.55): https://www.accessdata.fda.gov/scripts/cdrh/cfdocs/cfcfr/CFRSearch.cfm?fr=312.55

8.4. SOP 8110: Submission of Paper Regulatory Applications to CBER: http://www.fda.gov/BiologicsBloodVaccines/GuidanceComplianceRegulatoryInformation/ProceduresSOPPs/ucm079467.htm

# 9. APPROVALS

**Clinical Protocol Office Medical Director Approval:**



Carrie Lee

10/29/19

Date

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## 10. REVISION HISTORY

| Revision No. | Date | Author | Reason for Change |
|---|---|---|---|
| - | 1/3/2019 | Kaitlin Morrison | Initial SOP |
| 1 | 09/05/2019 | Kaitlin Morrison | Title and SOP number updated |
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