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PURPOSE

This Standard Operating Procedure (SOP) is intended to summarize standard expectations and procedures related to the Sponsor Investigator's role and responsibilities under Investigational New Drugs (IND) in NACHO clinical trials.

POLICY

NACHO protocols will comply with all regulations for the submission of the IND application if the study meets the requirement as stated in 21 CFR 312, Sec 312.20, Requirement for an IND.

DEFINITIONS:

NACHO Study Chair (NACHO SC) – the investigator who is responsible for providing overall management and technical conduct for the operation of the study, and for reporting to the Data and Safety Monitoring Committee. (refer to NACHO SOP "Study Chair Responsibilities")

Sponsor Investigator (SI) - an individual who both initiates and conducts an investigation, and under whose immediate direction the investigational drug is administered or dispensed. The Sponsor Investigator is the signatory on the FDA 1571 form. The SI can also be the Study Chair, and will have the responsibilities of both.

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PROCEDURES

I. Sponsor Investigator Selection

The designation of the Study Chair and/or the Sponsor Investigator will be approved by the NACHO Scientific Committee at the time of concept approval. If the study has a SI, this investigator will also have the role of NACHO SC. Changes to this arrangement can be made with approval from the Scientific Committee and NACHO Operations Center (NACHO OC).

II. Sponsor Investigator Role

A. The SI is responsible for the submission of the IND application, the IND safety reporting, the annual report, and the withdrawal of the IND. The NACHO OC will provide any required documentation to the Sponsor Investigator as needed.
B. The Sponsor Investigator also has the option to transfer all or part of his/her obligation(s) (e.g. monitoring) to the NACHO OC. Per 21 CFR 312, Sec 312.52, the transfer of obligation(s) must be in writing and the document must be signed by the SI and the NACHO OC/ St. Jude Children's Research Hospital. Please see the attached document for the sample Transfer of IND Sponsor Obligations Agreement.
C. Approval may be granted for the transfer of the development and conduct of monitoring the study activities to the NACHO OC upon request by the SI.

III. Sponsor Investigator Responsibilities

The Sponsor Investigator will be responsible for the items below unless the obligations for the items have been transferred to the NACHO OC:

A. **IND Application**

i. The SI is responsible for the submission of the IND application if the study meets the requirement as stated in 21 CFR 312, Sec 312.20, Requirement for an IND.

B. **Protocol Amendments**

i. Once an IND is in effect, the SI is responsible for amending the IND as needed to ensure that the study is being conducted according to the protocol included in the IND application.

ii. An amendment for the IND is required when a change is proposed in the study that "significantly affects the safety of subjects, the scope of the investigation, or the scientific quality of the study." [21CFR 312, Sec. 312.30]. Some examples of when an IND Amendment is required are:

1. Change is proposed in the protocol that affects the safety of the research subjects
2. Additions of new research procedures in the protocol
3. Change in the design of the protocol
4. Change of Principal Investigator at a NACHO site
5. Addition of a new NACHO site

iii. Instructions for IND amendment submissions can be found in 21 CFR 312, Sec. 312.30.

C. **IND Safety Reporting**

i. The SI is expected to follow the guidelines in the NACHO SOP, "IND Safety Reporting Procedures" and comply with the safety reporting requirements in in 21 CFR 312, Sec. 312.32.

D. **Annual Report**

i. The SI is responsible for the submission of annual reports within 60 days of the anniversary date that the IND went into effect. The NACHO Operations Center will provide any needed documentation to the Sponsor Investigator with the annual report. Annual report requirements can be found in 21 CFR 312, Sec. 312.33.

E. **Withdrawal of an IND**

i. The SI is responsible for notifying the FDA if an IND is to be withdrawn [21 CFR 312, Sec. 312.38]. The NACHO OC will be responsible for notifying the NACHO Consortium Members of the withdrawal.

IV. NACHO Responsibilities to IND Sponsor Investigator

The NACHO OC will provide administrative support to the SI with the following for the IND Submission:

A. Assistance in accessing the study database for use in interim data analyses and safety analyses
B. Providing monitoring reports (for NACHO monitored trials)

V. Maintenance of Records

A. Copies of all submissions and correspondences pertaining to the IND for NACHO studies should be maintained by the SI and shall be made available for routine monitoring as requested.

MAINTENANCE RESPONSIBILITY

The NACHO SOP Ad Hoc Committee is responsible for the annual review of this SOP. Suggested changes must be proposed to and approved by the NACHO Executive Committee.

AUTHORIZATION

This SOP was developed by the SOP Ad Hoc Committee and reviewed and approved by the NACHO Executive Committee.

VERSION/REVISION HISTORY

Approval Date	Version	Version/Revision Summary
12/18/2018	V 1.0	Original documentation/publication.

Appendix A.

Transfer of IND Sponsor Obligations Agreement

Study #:	[STUDY NUMBER]
Study Title:	[STUDY NAME]
IND #:	[IND #]
IND Sponsor:	[NAME OF IND SPONSOR INVESTIGATOR] [SPONSOR INVESTIGATOR'S INSTITUTION]
Drug name:	[NAME OF DRUG]

I, [NAME OF IND SPONSOR INVESTIGATOR], the sponsor of the IND (insert IND #) transfer the following sponsor responsibilities to North American Consortium for Histiocytosis (NACHO) research consortium for study # (insert study #):

The following Sponsor responsibilities (21 CFR 312.50) have been transferred to NACHO *(check all that apply)*.

☐ Selecting monitors qualified by training and experience and monitoring the progress of the clinical trial

☐ Notification to IND sponsor of any clinical investigator non-compliance

Additional Responsibilities:

- The NACHO data coordinating center will provide data management for this study including case report form creation, overall data management and statistical analysis. NACHO will assure compliance with the 21 CFR Part 11.
- NACHO will provide the IND sponsor investigator with all information needed to maintain an effective IND as required by the regulations. Including information and data required for the IND annual report (21 CFR 312.33)

The ☐ Sponsor ☐ NACHO is responsible for maintaining an effective IND

Signatures

IND sponsor	St. Jude Children's Research Hospital on behalf of North American Consortium for Histiocytosis (NACHO)
Date	Date Read and Understood
	Name: NACHO Medical Director
	Date