Study Management
SM 307.01

STANDARD OPERATING PROCEDURE
Investigational Product Management

Approval: Lynn M. Durham, Ed.D.
President and CEO

04 Feb 2021
(Signature and Date)

Approval: Frederick M. Schnell, MD, FACP
Chief Medical Officer

04 Feb 2021
(Signature and Date)

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Reviewer: Jane Clark, PhD, RN, AOCN, OCN (2020)
Previous Reviewers: Joni Shortt, BSN, RN, CCRC (2017)
Alice Kerber, MN, APRN (2014)
Primary Author: Anita Clavier, BSN, MPH (2013)

1. INTRODUCTION AND PURPOSE

Management of investigational products used in clinical trials is of scientific, clinical, and ethical significance for the clinical trial, study subjects, and Investigators conducting clinical trials. Research Network site Investigators are responsible for management of investigational products at the site.

The purpose of this SOP is to describe the responsibilities of Georgia CORE staff and consultants to monitor the Research Network sites for documentation and accuracy in the ordering, receipt, storage, dispensing, reconciliation, and disposal or authorized destruction of the investigational product (study drug) at the completion of the study.

2. SCOPE
This SOP applies to all Georgia CORE staff and consultants involved monitoring, investigational product management used in clinical studies subject to investigational new drug (IND) regulations for drugs and biologics or those eligible for investigational new drug (IND) exemption during all phases of development. The SOP applies from the time that the investigational product is ordered and received at the Research Network site until the drug is either returned to the protocol-designated location as specified in the protocol or destroyed.

3. APPLICABLE REGULATIONS AND GUIDELINES

The Code of Federal Regulations and the International Conference on Harmonization, Good Clinical Practice: Consolidated Guideline and selected program and guidance documents apply to this SOP (Appendix A).

4. REFERENCES TO OTHER APPLICABLE SOPS

GA - 102 Sponsor Responsibility and Delegation of Responsibility
SM - 204 Site Initiation Visit
SM - 303 Documentation and Records Retention
SM - 304 Routine Monitoring Visits
SM - 305 Closeout Visits
DM- 401 Data Management

5. ATTACHMENTS

A. Sample Investigational Product Accountability Log
B. Sample Subject Investigational Product Dispensing Log
C. CTEP PMB Investigational Product Information/Management
D. Management of Investigational Products in a Satellite Pharmacy

6. RESPONSIBILITY

This SOP applies to those members of Georgia CORE involved in involved in monitoring the Research Network site management of investigational products, including the following:

- President and CEO
- Georgia CORE staff and consultants
- Site Research Network site Investigator and staff

7. DEFINITIONS (See GA Appendix A Glossary of Terms)

Binding/Masking
Investigational Product
Randomization
Source Documents

8. PROCESS OVERVIEW

A. Receipt and inventorying of the investigational product
9. PROCEDURES

A. Receipt and Inventorying of Investigational Product

Georgia CORE staff and consultants

Confirm that an investigational product is ordered and shipped to the Research Network site only after initiation visit training and applicable regulatory requirements, including IRB approval and contracts, have been fulfilled by the site.

Confirm that the Research Network site has supplies required for the blinding of the investigational product (if applicable).

Review with the Research Network site Investigator and staff that if the investigational product is blinded, the blind will not be broken except in the case of an emergency or a protocol-defined situation. Review that the protocol should be consulted for explicit directions about breaking the blind for the investigational product.

Confirm that upon receipt of the investigational product, the Research Network site staff has inventoried the shipment, ensuring that the information on the packing slip matches exactly with what has been sent to the site. Staff should check the following:
- Amount
- Lot numbers
- IP study assignment numbers (if applicable)
- Quantity per carrier/container (if applicable)
- Maintenance of temperature stability (if applicable)

Determine if the Research Network site staff promptly brought any discrepancies to the attention of the supplier of the investigational product.

Confirm that upon receipt of the investigational product, the Research Network site staff has checked that the product has been packaged properly and the labels and/or labeling provided the information that is required by the applicable regulations. The information required on the investigational product label or in accompanying labeling may include, but is not limited to the following:
- Study name and number
- Drug name (unless blinded)
- Dosage and formulation
- Lot number
- Sponsor name and place of business
- FDA required statement Caution: New Drug – Limited by US law to Investigational Use, if applicable
- Subject numbers and/or visit numbers
- Special instructions regarding dosage or storage
- Expiration date
- Quantity in container
- Any other information required in the applicable investigational product labeling regulations

Confirm that the Research Network site staff documents the order and receipt of the investigational product on the Investigational Product Accountability Log (Attachment A) or the applicable CTEP-PMB form.

Confirm that if a form was included in the shipment to acknowledge receipt, that the Research Network site staff obtained the appropriate signature and forwarded the form to the appropriate address.

Confirm that the Research Network site staff retained a copy of the ordering and receipt forms for the regulatory file.

B. Storage of the Investigational Product

Georgia CORE staff and consultants

Confirm that the investigational product is stored in a secure environment with access limited to essential personnel, according to the storage requirements detailed in the protocol or supplied in a supplementary document.

Confirm that the Research Network site staff is following any special requirements for controlled substances required by the protocol in addition to those specified by the state and federal regulations.

Confirm with the Research Network site staff that the randomization code has been received, if applicable.

C. Dispensing the Investigational Product

Georgia CORE staff and consultants

During routine monitoring visits and the study closeout visit, verify that the investigational product documentation has been accurate and complete throughout the study.

that each time the investigational product is dispensed, the Investigational Product Accountability Form is completed (Attachment A). Documentation will include:
- Amount (and lot number, if appropriate) dispensed,
- Initials of individual dispensing investigational product,
- Subject’s number,
- Subject’s initials,
- Date (and time, if appropriate) of dispensing,
- Date (and time if appropriate) of investigational product return,
- Amount of investigational product returned.

Confirm that the Investigational Product Accountability Form is maintained with the investigational product during the course of the study and included in the regulatory file at the conclusion of the study.

Confirm that the Research Network site staff is maintaining a Study Subject Investigational Product Dispensing Form (Attachment B) on each subject including:
- Visit number
- Date
- Lot number
- Amount dispensed
- Amount returned
- Amount lost

Confirm that after the study subject returns all used containers/units, if required by the protocol, that the Research Network site staff returns the containers/units to the location designated in the protocol. Also check that if any containers/units are missing, the reasons are documented by the site staff.

Confirm that the Research Network site staff notes any discrepancies between amounts used by subjects and amounts expected to be returned and documents the reasons.

Confirm that the investigational product supplies at the Research Network site are adequate and within an appropriate expiration date.

Review with the Research Network site staff that they are to alert the investigational product supplier when additional product or supplies will be required.
Review with the Research Network site Investigator and staff that if emergency breaking of the investigational product blind is medically necessary, all circumstances are documented appropriately in the study file, including the exact manner in which the code was broken and the rationale.

Review with the Research Network site Investigator and staff that if the blind is broken, they are to notify the Investigator who initiated the study (if applicable), the IRB, and Georgia CORE.

D. **Disposition of the Investigational Product**

**Georgia CORE staff and consultants**

Confirm that at the conclusion of the study, all documentation regarding ordering, receipt, storage, dispensing, return of used containers, and disposition of the investigational product is complete and accurate.

Review with the Research Network site staff that they must prepare the investigational product and containers for return shipment to the product supplier as noted in the protocol.

Review with the Research Network site staff that the destruction of investigational product at the site may be undertaken so long as such procedures are permitted by the OSHA and biohazard materials policies of the site and as specified in the protocol.

Review with the Research Network site staff that they must provide the Georgia CORE with written documentation of the destruction of the investigational product. Check that the site has maintained a copy in the site regulatory files and sent a copy to Georgia CORE.

**Note:** Procedures addressing the accountability for and management of investigational products in a Satellite Pharmacy are included in Attachment D: Management of Investigational Products in a Satellite Pharmacy
10. HISTORY

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<th>Section Number</th>
<th>Modification</th>
<th>Approval Date</th>
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<td>All</td>
<td>Original Version</td>
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<tr>
<td>307.00</td>
<td>9A</td>
<td>Added steps for checking formation on packing slips on investigational products (Bullets 3 and 5)</td>
<td>09 March 2012</td>
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<tr>
<td>307.00</td>
<td>All</td>
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<td>01 June 2014</td>
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<tr>
<td>307.00</td>
<td>3, 5C, 9A</td>
<td>Changes include CTEP-PMB information for NCTN trials</td>
<td>17 March 2017</td>
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<td>307.01</td>
<td>All</td>
<td>Edits for clarification and consistency, Addition of Attachment D: Satellite Pharmacy Accountability, Addition to Attachment C: Management of Investigational Products during COVID-19 Pandemic</td>
<td>30 June 2020</td>
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ATTACHMENT A:
Sample Investigational Product Accountability Log

Protocol #: _______________________
Protocol title: ____________________________

Name of Investigational product received: ____________________________

Investigational product received:
Bottles _______ Blister packs _______ Capsules _______________________
Ampules _______ Patches___________ Other (describe)_____________________

Date of receipt: ___ /___/___ Received by: _____________________________
Amount: ___________________________ Lot number: _____________________
Amount: ___________________________ Lot number: _____________________

Sample Investigational Product Dispensing Record

<table>
<thead>
<tr>
<th>Date</th>
<th>Subject No./ Initials</th>
<th>Number Dispensed</th>
<th>Number Used</th>
<th>Number Returned</th>
<th>Lot # Dispensed by (Initials)</th>
<th>Comments</th>
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For investigational product not returned or accounted for, complete the following:

<table>
<thead>
<tr>
<th>Date</th>
<th>Subject No./ Initials</th>
<th>Recorder’s Initials</th>
<th>Reason</th>
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Date that all investigational product was returned to: ___ /___/___

(location designated in protocol)

Signature of person completing this form: ________________________ Date ___ /___/___
Sample Study Subject Investigational Product Dispensing Log

Protocol #: ______________________

Protocol title: _____________________________

Name of Investigational product received: _____________________________

Investigational product received:
Bottles _______ Blister packs _______ Capsules _______________________
Ampules _______ Patches___________ Other (describe)___________________

Date of receipt: __/__/__  Received by: ________________________________

Amount: ___________________________  Lot number: _____________________

Amount: ___________________________  Lot number: _____________________

Sample Investigational Product Dispensing Record

<table>
<thead>
<tr>
<th>Date</th>
<th>Subject No./ Initials</th>
<th>Number Dispensed</th>
<th>Number Used</th>
<th>Number Returned</th>
<th>Lot #</th>
<th>Dispensed by (Initials)</th>
<th>Comments</th>
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For investigational product not returned or accounted for, complete the following:

<table>
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<tr>
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<th>Recorder’s Initials</th>
<th>Reason</th>
</tr>
</thead>
</table>

Date that all investigational product was returned to: Date __/__/__

(location designated in protocol)

Signature of person completing this form: ___________________ Date __/__/__
ATTACHMENT C:
CTEP PMB Investigational Product Information/Management

1. Investigational Drug Accountability Training Videos for CTEP NCTN Trials:
   (Updated 10/19/16)

2. Investigational Drug Forms: Accountability, Return, Destruction, Transfer
   https://ctep.cancer.gov/forms/
   (Updated 01/27/20)

3. Interim Guidance for Shipping Oral IND Agents to Clinical Trial Subjects during the COVID-19 Pandemic
   Updated Interim Guidance for Shipping Oral IND Agents to Clinical Trial Subjects during the COVID-19 Pandemic (PDF) (03/23/20)
ATTACHMENT D:
Management of Investigational Products in a Satellite Pharmacy

1. The Satellite Dispensing Area receives study-supplied agent from a Control Dispensing Area.

2. The Satellite Dispensing Area is under the direct responsibility and oversight of the Control Dispensing Area.

3. The Satellite Dispensing Area is responsible for:
   - Receiving study-supplied agent from the Control Dispensing Area
   - Appropriate storage, accountability and security of study-supplied agent
   - Dispensing study-supplied agent to patients/study participants as prescribed by authorized study-eligible physician investigators with an active investigator registration status and as dictated by the protocol
   - Timely returning non-dispensed study-supplied agent to the Control Dispensing Area for further or final disposition
   - Physical destruction of patient returned study-supplied agents per applicable regulations and institutional policies and procedures

Reference:
https://ctep.cancer.gov/branches/ctmb/clinicalTrials/docs/ctmb_audit_guidelines.pdf#search=%22records%20in%20satellite%20pharmacies%22
Revised: August 2017 Effective: 6 September 2017 32