GENERAL INSTRUCTIONS – PROTOCOL AND INFORMATION AMENDMENTS

WHAT ARE PROTOCOL AND INFORMATION AMENDMENTS?

Protocol Amendments – There are three different types of Protocol Amendments:

1. **New protocols** – New protocols can be submitted to an existing IND. The new study can begin once it has been submitted to the FDA for review and the study has local IRB approval. You can submit to the FDA and IRB in the order of your choosing. The FDA submission requires a brief description of the most clinically significant differences between the new protocol and previously submitted protocol(s).

   While there is no 30 day window of FDA review, it is strongly recommended that you communicate with the FDA and make sure they are OK with your new protocol before going forward. Please note that it is customary to send the FDA a copies of IRB approval letters and approved ICF documents to show that IRB requirements have been met.

   **Note:** A change designed to eliminate immediate hazards to subjects may be implemented immediately as long as FDA is subsequently notified.

2. **Changes in a protocol** – Changes to an existing protocol should be submitted to your IND along with a description of the changes. The amended study can begin once it has been submitted to the FDA for review and the amended study has local IRB approval. You can submit to the FDA and IRB in the order of your choosing. Examples of protocol changes that must be reported include the following:

   - Any increase in drug dosage or duration of exposure to drug
   - Any significant increase in the planned number of subjects enrolled
   - New test procedures or dropped test procedures

   While there is no 30 day window of FDA review, it is strongly recommended that you communicate with the FDA and make sure they are OK with your protocol amendment before going forward. Please note that it is customary to send the FDA a copies of IRB approval letters and approved ICF documents to show that IRB requirements have been met.

3. **New investigator** – This type of amendment is relevant for multi-center studies. When a new site opens to enrollment, the FDA must be notified of the new investigator (i.e. the PI at the individual site) within 30 days of enrolling the first subject. This requires submission of the sites’ 1572 and the CV of the PI from that site.

   The FDA will not ‘approve’ your new protocols, protocol changes or new investigators. However, it is a good idea to stay in touch with them regarding these types of
amendments, especially if there is the potential for increased risk to subjects in the study. Notice of new investigators can be batched and submitted at 30-day intervals. Further, when several submissions are anticipated during a short period of time, the sponsor is encouraged to batch as a single submission when possible.

**Information Amendments** – This is essential information that does not fall within the scope of Protocol Amendments, IND Safety Reports or Annual Reports. Examples include new technical information or the cancellation of a study. This information should be submitted as needed but not more than every 30 days.

**WHERE DO I SEND PROTOCOL AND INFORMATION AMENDMENTS?**

**For a Drug:**
Food and Drug Administration  
Center for Drug Evaluation and Research  
Central Document Room  
5901-B Ammendale Road  
Beltsville, MD 20705-1266  
ATTN: [Insert Appropriate Name]

**For a Therapeutic Biological Product:**
Food and Drug Administration  
Center for Drug Evaluation and Research  
Therapeutic Biological Products Document Room  
5901-B Ammendale Road  
Beltsville, MD 20705-1266  
ATTN: [Insert Appropriate Name]

**For a Biologic:**
Food and Drug Administration  
Center for Biologics Evaluation and Research  
HFM-99, 200N  
1401 Rockville Pike  
Rockville, MD 20852-1448  
ATTN: [Insert Appropriate Name]

**TO WHOM DO I ADDRESS PROTOCOL OR INFORMATION AMENDMENTS?**

All IND Amendments are sent to the person identified by the FDA in your initial notification letter.

**WHERE CAN I GET MORE INFORMATION?**

- 21 CFR 312.30, Protocol amendments  
- 21 CFR 312.31, Information amendments  