



Date: Monday, March 17, 2025 12:54:48 PM

Print Close

IRB-P00034141

General Information

Title: Sample Individual Patient Expanded Access

General Information

- 1 *** Protocol Title:**
Sample Individual Patient Expanded Access

Maximum of 230 characters may be entered.
- 2 **Full Title - If protocol title exceeds the 230 characters limited from field above, enter full title here. Otherwise, leave blank.**
Sample Individual Patient Expanded Access
- 3 *** Provide a brief summary (in lay terms) of the research protocol. This should be a short description of the study that is understandable to a lay person. If applicable please include the burden and epidemiology of the disease/condition along with any unmet needs of the population.**
Brief summary
- 4 *** Principal Investigator (PI):** [Matthew Stafford](#)
 - 4.1 *** To serve as a PI you must qualify under one of the following eligibility requirements. (Residents, interns, fellows and postdoctoral candidates are not permitted to be PIs). Please select the appropriate category that applies to you.**
Physicians, Dentists and Psychologists credentialed through the hospital with the BCH medical staff registrar as an active medical staff member and having an appointment of Instructor or higher at Harvard Medical School.

If Other patient services professionals:
 - 4.1.1 **Research is part of your scope of employment responsibility and not to meet a training or degree requirement. Please explain how this research falls within the scope of your responsibilities at the hospital.**
 - 4.1.2 **You have training and experience and confirmed clinical research competencies. Please explain your training and experience in clinical research.**
 - 4.1.3 **Are you employed at Children's as a nurse or do you have nursing credentials through Boston Children's Hospital?**
Please note if this is checked yes, in accordance with the policies of the Nursing Department your protocol will be sent to the Nursing department for both scientific review and departmental sign off.
☐ Yes ☐ No
- 5 *** Is the person who will be primarily responsible for conducting the study at BCH different from the PI?**
☐ Yes ☒ No
If YES:
 - 5.1 **Please add the person(s) who will be primarily responsible for conducting the study.**
Name Appointment with Children's Hospital?
There are no items to display
- 6 *** Has the PI, or if question #5 was YES has that person, previously served as a PI of a protocol involving interaction/intervention with human participants at BCH?**
☒ Yes ☐ No
- 7 *** Type Of Submission:**
 - ☐ New Research Activity
 - ☐ **New Research Activity Limited to Secondary* Use of Biological Material and Data
 - ☐ Establishment of Human Biological Specimen Repository/ Data Registry (only) – repositories/registries are defined as a prospective collections of specimens or data that are processed, stored, distributed to multiple investigators for use in research.
 - ☐ Request for Exemption

☒ **Individual Patient Expanded Access**

- ☐ Humanitarian Use Device (HUD)
- ☐ Reliance on Another IRB
- ☐ Projects that lack immediate plans for involvement with human participants, their data and/or their specimens (i.e. training grants)

**** Use this form only if:**

- 1) specimens/data are not identifiable or
- 2) specimens/data are identifiable but recorded by PI in de-identified format or meet the waiver of HIPAA authorization criteria listed below All other uses of secondary specimens/data must be submitted on a new research activity form.

* Secondary means the tissue or data will be or was collected for a primary or initial purpose other than the research (i.e data from medical records, tissue from pathology)

Waiver of HIPAA authorization (all criteria must be met)

- The proposed use of this data/document/record/specimen presents no more than minimal risk to the privacy of individuals
- The research could not practicably be conducted without the waiver of HIPAA authorization
- The research could not practicably be conducted without access to and use of protected health information with identifiers
- Waiving HIPAA authorization will not adversely affect the participant's rights or welfare

This form may not be selected if the study involves interaction/intervention with participants in order to obtain tissue/data specifically for this research.

8 * Is this protocol related to child health (including perinatology, prenatal assessments, childhood antecedents of adult disease, and long-term follow up of pediatric disorders)?

☒ Yes ☐ No

9 * Is this protocol related to cancer (primarily concerning malignancies, oncology patients, or involving use of malignant tumors)?

☐ Yes ☒ No

Note: If YES, your protocol will require review by the Dana Farber IRB instead.

For details, see: [IRB Policy 2.14](#), "Reliance Agreement with Dana-Farber Cancer Institute (DFCI)"

10 * Are you planning to use the Institutional Centers for Clinical and Translational Research (ICCTR) Study Operations Support?

NOTE: the ICCTR was formerly the Clinical Research Center

☐ Yes ☒ No

ICCTR Study Operations Support includes some of the following services:

- project management (including protocol development, trial operations, and close out activities)
- study coordinator support
- research nurse or nurse practitioner support
- regulatory support- IRB or FDA
- data management (including database builds)
- development of case report forms
- data entry
- recruitment and retention of research participants
- administration of surveys and interviews
- biospecimen collection and tracking
- medical record abstraction
- multi-institutional clinical trial support
- development of data safety monitoring plans and data safety monitoring boards or committees

11 * Does this protocol generate study related charges in Epic that will be billed to the patient or insurance, and/or study fund?

This includes experimental imaging, DEXA, blood samples, investigational products or devices. Examples: A minimal risk study where the participant will answer surveys and receives physical therapy that is paid for by the study, an industry sponsored study where investigational product is given to a participant and paid for/donated by the sponsor, a federally funded study where MRIs and DEXA scans are paid for by the grant and not by the participants.

☐ Yes ☒ No

Note: If you have questions about how to answer this, please contact OnCore.Support@childrens.harvard.edu

12 * Does this protocol require the department/Clinical Research Finance to invoice a sponsor (industry, foundation, or federal cooperative agreements)?

Includes protocols with automatic payments by the sponsor, and cooperative group agreements where the study team has to provide an invoice to the prime institution

Example: An industry sponsored study where the team must invoice for milestones and/or other invoiceable items, a subcontract from CHOP where BCH must send invoices to CHOP directly.

☐ Yes ☒ No

Note: If you have questions about how to answer this, please contact OnCore.Support@childrens.harvard.edu

13 * Will your study require research orders built in Epic?

Research orders are required for the following: All ETU supported studies, Research imaging, Medications dispensed by IDS, all Research Labs including custom lab panels or studies intending to use research collects for sample collection. Study teams must request order builds for any of the above. Using clinical orders and placing a note in Epic that the order is for research is not acceptable.

☐ Yes ☒ No

If Yes:

13.1 Please select the category:

- ☐ ETU visits and/or lab processing
- ☐ Investigational Medication
- ☐ Research Collects
- ☐ Research Collects - will require processing or storage or shipment
- ☐ Research Imaging
- ☐ Standard of care medication administered as part of study protocol
- ☐ Other

If Other:

13.1.1 Please describe:

14 * Will your study utilize the ETU?

☐ Yes ☒ No

Note: If this study uses any ETU service, including laboratory processing, please submit a [CROC Intake Form](#)

15 * Who is responsible for the protocol design?

- ☒ Sponsored Designed/Initiated
- ☐ Investigator Designed/Initiated
- ☐ Collaboration/Jointly Designed

If Investigator Designed/Initiated:

15.1 Was the protocol peer-reviewed?

☐ Yes ☐ No

Research Team

If the person you need to add to your protocol cannot be found using the "Add" buttons below, please send an email to CHERP Support (cherp.support@childrens.harvard.edu) requesting that the person be added to the Research Staff. CHERP Support will need the following information:

- First Name
- Last Name
- CHID# (if applicable)
- BCH Department (if applicable)
- Email Address

1 Research Staff - Children's Hospital Employees only:

	Last Name	First Name	BCH ID	Role	Editor	CC on Correspondence	Required Training Completed	Training Expiration	CHERP Training	Date Modified	Date Created
View	Kuniholm	Ashley	123524	Admin Contact	yes	yes	yes	1/13/2028	yes	12/4/2019	12/4/2019
View	Ripton	Jessica	221454	Co-Investigator	yes	yes	yes	6/10/2024	no	3/17/2025	3/17/2025

2 **NOTE: Accounts are no longer required for non-BCH researchers. These individuals remain under the jurisdiction of their home institution's IRB and should not be listed here. If you think there is a special circumstance, please contact your IRB Administrator.**

Research Staff - Non Children's Hospital Employees only:

Last Name	First Name	Role	Email	Required Training Completed
-----------	------------	------	-------	-----------------------------

There are no items to display

3 PI: Matthew Stafford

Required Training Will Expire: 2/2/2025

Completed Training Courses:

Training Program	Continuing Education Description	Training Completed	Date Created
Continuing Education	Collaborative IRB Training Initiative (CITI Continuing Education)	2/2/2022	
Continuing Education	EQuIP: Talk/Meeting	8/4/2020	8/5/2020
Continuing Education	Rounds and Discussions with Research Nurses and Coordinators	7/1/2020	7/2/2020
Continuing Education	Collaborative IRB Training Initiative (CITI Continuing Education)	7/22/2018	
Continuing Education	Collaborative IRB Training Initiative (CITI Continuing Education)	7/12/2018	
Continuing Education	Continuing Education/Department Meeting	5/2/2018	
Continuing Education	Continuing Education/Department Meeting	6/13/2016	
Training Received at Another Institution		11/15/2015	
Continuing Education	Continuing Education/Department Meeting	10/26/2015	
Continuing Education	Research Protocol Case Discussions	11/15/2012	
Continuing Education	Collaborative IRB Training Initiative (CITI Continuing Education)	5/9/2012	5/9/2012
Continuing Education	Continuing Education/Department Meeting	9/30/2011	
CHERP Training		12/19/2010	
Continuing Education	Collaborative IRB Training Initiative (CITI Continuing Education)	5/15/2009	11/8/2010
Collaborative IRB Training Initiative (CITI Behavioral)		8/2/2006	11/8/2010
Collaborative IRB Training Initiative (CITI Biomedical)		8/2/2006	11/8/2010
Collaborative IRB Training Initiative (CITI Non-Interventional)		4/11/2006	11/8/2010

Training Program	Continuing Education Description	Training Completed	Date Created
Continuing Education	Collaborative IRB Training Initiative (CITI Continuing Education)	4/5/2006	11/8/2010

Title: Sample Individual Patient Expanded Access

Funding Sources

1 * Select funding category.

- ☒ Externally sponsored (federal, state, corporate, foundations)
- ☐ Internally sponsored
- ☐ Externally and internally sponsored
- ☐ No sponsor
- ☐ Private Donor

1.1 If internally sponsored - select as appropriate:

- ☐ Department/ Division or Children's foundation funds
- ☐ Internal Children's Grant Award

1.2 Enter any additional information if applicable:

1.3 If the protocol does not have a sponsor, please detail how the study will be conducted without funding.

1.4 Please provide the name of the private donor.

Funding Sources - Details

1 * List of external sponsors for this protocol.

Sponsor	Funding Category
View NOVARTIS PHARMACEUTICALS CORPORATION - 1093	Corporate/Industry

IRB-P00034141

Financial Disclosure

- 1 * Do you or any person affiliated with the protocol have or expect to have any investment or financial relationship (examples below) with any entity that is providing funds or other support in connection with the protocol?

☐ Yes ☒ No

If YES:

1.1 Please select the relationships as appropriate.

- ☐ Consulting
- ☐ Payments for protocol/study design
- ☐ Protocol-related payments not included in the research agreement budget
- ☐ Stock or Options
- ☐ Honoraria
- ☐ Scientific Advisory Board Membership
- ☐ Royalties or license fees related to the protocol, or to any test article or device which will be employed in the conduct of the research under the protocol (including any royalties or license fees received through an academic institution, including Children's Hospital).
- ☐ Equipment or other laboratory support
- ☐ Other support for research unrelated to the protocol
- ☐ Support for educational or other academic or medical efforts
- ☐ Other Grants
- ☐ Other

- 2 * Do you or any person affiliated with the protocol have or expect to have any proprietary interest related to the protocol, or related to any test article or device that will be employed in the protocol? Include proprietary interests that you have assigned to any entity, including any institution you have been affiliated with.

☐ Yes ☒ No

If YES:

2.1 Please select the proprietary interest as appropriate.

- ☐ Patent-licensed, in whole or part, to an entity providing funds for the research
- ☐ Patent-licensed, in whole or part, to another entity
- ☐ Other

- 3 * Do you or any person affiliated with the protocol have or expect to have any advisory role, appointment, or employment with any entity that is providing funds or other support for the research to be conducted under the protocol?

☐ Yes ☒ No

If YES:

3.1 Please select as appropriate.

- ☐ Scientific Advisory Board Membership
- ☐ Other Advisory Role
- ☐ Officer
- ☐ Director
- ☐ Employment
- ☐ Other

- 4 * Do you or any person affiliated with the protocol have or expect to have any financial interest, financial relationship, or position or advisory role with any other entity that may be affected by the research to be conducted under the protocol (e.g. competitor, customer, collaborator or commercial sponsor affiliate)? Include any entity that may be benefited or harmed, directly or indirectly.

☐ Yes ☒ No

- 5 * Do you or any person affiliated with the protocol have or know of any arrangement or understanding, tentative or final, relating to any future financial interest, financial relationship, future grant, position, or advisory role either related to the protocol, or dependent on the

outcome of the research under the protocol?

☐ Yes ☒ No

- 6 * The IRB prohibits special incentives in connection with clinical research, including, finder's fees, referral fees, recruitment bonuses, enrollment bonuses for reaching an accrual goal, or similar types of payments. Will you or anyone else in connection with the conduct of any research under the protocol receive money, gifts or anything of monetary value that is above and beyond the actual costs of enrollment, research conduct, and reporting of results, from the sponsor or any other entity?

☐ Yes ☒ No

- 7 * Is there anything not disclosed above which you believe might constitute a conflict of interest or an appearance of a conflict of interest in connection with the protocol?

☐ Yes ☒ No

- 8 If any of the questions above are checked "Yes", please provide the name of the individual for whom the disclosure is made and describe in further details the disclosure. This section must include a full description of the financial relationship, including but not limited to, a detailed description, as applicable, of any test article or device involved; the advisory role or appointment; the competitor, customer, collaborator; any arrangement related to the research; and so on. Please also include actual amounts of any consulting or other monies received and the time period for which it was received. This section will not be reviewed without a full disclosure.

- 9 Upload any other pertinent documentation.

Name	Date Last Modified	Version Number	Owner
There are no items to display			

Individual Patient Expanded Access

1 * Patient Name
Patient name

2 * Patient Medical Record Number
medical record number

3 * Please check one category. The physician may have received an eIND or IDE number via phone or email from the FDA in emergency situations, but the full, written submission will still need to be submitted.

☐ This is an individual patient request but is NOT an emergency

☐ This is an emergency for an individual patient and is being reported to the IRB prior to initiation (whenever possible the application must be submitted prior to the emergency treatment)

☒ This is an emergency for an individual patient and being reported to the IRB within 5 working days of initiation

3.1 * What is the estimated date to initiate the proposed therapy? If the emergency therapy already occurred, please enter date therapy was administered.
12/4/2019

3.2 Please indicate which category is applicable. Please note, at least one of the two following categories must be checked if the emergency use is being reported to the IRB within 5 working days of initiation of therapy.

☒ Patient is in a life threatening situation.

Life threatening means diseases or conditions where the likelihood of death is high unless the course of the disease is interrupted and a disease or conditions with a potentially fatal outcomes, where the end-point of a clinical trial is survival. The criteria for life threatening do not require the condition to be immediately life threatening or to immediately result in death. Rather, the participants must be in a life threatening situation that requires intervention before review at a convened meeting of the IRB is feasible.

☐ Patient is in a situation which may be subject to severe debilitation by waiting for the next IRB scheduled meeting.

Severely debilitating meaning the disease or condition may cause major irreversible morbidity.

Examples of severely debilitating conditions include blindness, loss of arm, leg, hand, or foot, loss of hearing, paralysis or stroke. To see next IRB meeting date click: [here](#)

3.2.1 Please justify why the proposed treatment meets the criteria listed above, why there was no standard acceptable alternatives treatments and why there is not sufficient time to the IRB prior to initiation of therapy.
Justification

4 * Provide a brief summary of the clinical history of the patient.
Summary of clinical history

5 * Describe the therapy and provide the rationale for therapy.
Description of therapy

6 * Provide a statement on the known risks and benefits.
Potential risks and benefits

7 * Have previous individual patient expanded access requests involving this same treatment been submitted for other Boston Children's Hospital patients?

☐ Yes ☒ No

If YES:

7.1 How many individual patient expanded access requests have been submitted?

7.2 What is the experience to date with previous individual patient expanded access requests?
How are the patients doing?

8 * Do you anticipate that more patients will require this treatment in the future?
☐ Yes ☒ No

If YES:

8.1 What plans are there for submission of a formal protocol for IRB review? If a protocol is already in place, please explain why this patient is not eligible for the active protocol.

9 * Is a drug being used?
☒ Yes ☐ No

10 * Is a device being used?



Yes



No

Individual Patient Expanded Access - Drug

Drug Category

- 1 * The drug is an Investigational drug.**

☒ Yes ☐ No

If YES:

- 1.1 What is the generic name or descriptor of the product?**

Generic name

- 1.2 What, if any, is the commercial/trade name of the product?**

Commercial/trade name

- ### 1.3 Who is the manufacturer of the product?

Manufacturer

- #### 1.4 Who is the supplier of the product?

Supplier

- 2 * Has a Form 3926 been submitted to the FDA?

☒ Yes ☐ No

If YES:

- 2.1 Was box 10B checked off, indicating a request to obtain concurrence by the IRB chairperson or by a designated IRB member in order to comply with FDA's requirements for IRB review and approval?

☒ Yes ☐ No

- 2.2 Please upload a copy of the FDA Form 3926 that was submitted**

Name	Date Last Modified	Version	Number	Owner
 FDA Form 3926.pdf(0.01)	12/4/2019 2:32 PM	0.01		Ashley Kuniholm

- 3 * Has an individual patient expanded access IND has been granted by the FDA prior to initiation of therapy, either verbally, via email, or with a formal study may proceed letter?

☒ Yes ☐ No

If YES:


- ### 3.1 IND#

000000

- ### 3.2 Sponsor (May be drug company or investigator)

Physician name

- 3.3 Please upload the Study May Proceed letter or other approval documentation (i.e. email from the FDA).**

Name	Date Last Modified	Version Number	Owner
 IND Study May Proceed.docx(0.01)	12/4/2019 2:32 PM	0.01	Ashley Kuniholm

If NO:

- 3.4 Have you been in contact with the FDA to determine if an emergency use IND will be granted without formal submission prior to use? If so, please note that you will need to submit a written application to the FDA within 15 working days.**

- 3.5 Provide the name and phone number of the individual contacted at the FDA to make this determination. You may also attach any written correspondence.**

- ### 3.6 Upload any relevant documents.

Name	Date Last Modified	Version Number	Owner
------	--------------------	----------------	-------

There are no items to display

Individual Patient Expanded Access - Device

1 * Device Category.

- ☐ This device is a Non Significant Risk device
- ☒ This device is a Significant Risk device

If This device is a Significant Risk device:

1.1 Have you or the sponsor obtained an IDE or submitted an IDE supplement for this expanded access request?

- ☒ Yes ☐ No

If YES:

- 1.1.1 IDE #
000000
- 1.1.2 Sponsor (may be company or investigator)
Sponsor

If NO:

- 1.1.3 If no IDE exists, have you submitted an expanded access request directly to the FDA? Please note that if this investigational device is being used in an emergency situation without prior approval by the FDA, you will need to submit a follow-up report to the FDA within 5 days.
- 1.1.4 Provide the name and phone number of the individual contacted at the FDA to make this determination. You may also attach any written correspondence as well.
- 1.1.5 Upload any relevant documents, including any the request to the FDA and approval correspondence.

Name	Date Last Modified	Version Number	Owner
There are no items to display			

IRB-P00034141

Individual Patient Expanded Access - Financial Considerations

Single Patient Emergency - Financial Considerations**1 * Who will pay for the cost of the test article and intervention (drug or device)?**☒ **Sponsor/Manufacturer**☐ Children's Hospital☐ Patient's Insurance*☐ Other*If Other:***1.1 Please describe:****2 * Who will pay for costs associated with use of the test article and intervention (surgical procedures, added tests, hospitalization, added time in hospital, etc)?**☐ Sponsor/Manufacturer☐ Children's Hospital☒ **Patient's Insurance***☐ Other*If Other:***2.1 Please describe:**

** If the patient's insurance will be billed for the drug, device, or procedures related to this emergency treatment, please contact Patient Financial Services to confirm whether the insurance company will cover the costs.*

Individual Patient Expanded Access - Informed Consent

1 * Please select one of the following:

- 1.1 ☒ Informed consent will be obtained from the subject, parent/guardian or legally authorized representative.

Upload a copy of the informed consent form with all the required elements.

Name	Category	Date Last Modified	Version Number	Owner
 Consent Form.docx(0.01)		12/4/2019 2:34 PM	0.01	Ashley Kuniholm

NOTE: *Your consent must use the current required format.* [Click here to download the template.](#)

- 1.2 ☐ Informed consent cannot be obtained.

If checked, choose one of the following options:

- ☐ **Option 1 - PI and a physician who is not otherwise participating in the Institutional Review Board have certified all of the following.**

Please check each box:

- ☐ The participant is confronted by a life-threatening situation necessitating the use of the test article.
- ☐ Informed consent cannot be obtained from the participant because of an inability to communicate with, or obtain legally effective consent from, the participant.
- ☐ Time is not sufficient to obtain consent from the participant's legal representative.
- ☐ There is no available alternative method of approved or generally recognized therapy that provides an equal or greater likelihood of saving the life of the participant.

- ☐ **Option 2 - PI certifies that all of the following are true.**

Please check each box:

- ☐ Immediate use of the test article is, in PI's opinion, required to preserve the life of the participant.
- ☐ Time is not sufficient to obtain the independent determination a physician who is not otherwise participating in the Institutional Review Board.
- ☐ Before the use of the test article, PI certifies the following:
- The participant is confronted by a life-threatening situation necessitating the use of the test article. Informed consent cannot be obtained from the participant because of an inability to communicate with, or obtain legally effective consent from, the participant.
 - Time is not sufficient to obtain consent from the participant's legal representative.
 - There is available no alternative method of approved or generally recognized therapy that provides an equal or greater likelihood of saving the life of the participant.
- ☐ After the use of the test article, PI will obtain from a physician who is not otherwise participating in the Institutional Review Board a certification in writing within 5 working days after the use of the article of all of the following:
- The participant was confronted by a life-threatening situation necessitating the use of the test article.
 - Informed consent could not be obtained from the participant because of an inability to communicate with, or obtain legally effective consent from, the participant.
 - Time was not sufficient to obtain consent from the participant's legal representative.
 - There was available no alternative method of approved or generally recognized therapy that provided an equal or greater likelihood of saving the life of the participant

1.2.1 Upload certification from physician.

Name	Date Last Modified	Version Number	Owner
There are no items to display			

3 If applicable, provide copies of any materials, protocols, investigational brochures provided by the sponsor or drug/device manufacturer or correspondence with FDA or any additional material.

Name	Date Last Modified	Version Number	Owner
 IB.docx(0.01)	12/4/2019 2:34 PM	0.01	Ashley Kuniholm

Title: Sample Individual Patient Expanded Access

Additional Documents

1

Please upload any additional documents if it is necessary.

Name	Category	Date Last Modified	Version Number	Owner
There are no items to display				

NOTE: Please do not upload any documents been previously uploaded in another smartform location. This section should be used for non-patient facing documents that a sponsor requires to be submitted to the IRB. Additional study manuals may be uploaded here as needed per protocol.

Detailed Sponsor Information

- 1 * What is the sponsor's name?
NOVARTIS PHARMACEUTICALS CORPORATION - 1093

1.1 If your sponsor is not in the list, please select "Other" from the list and specify your sponsor below.

Note: Use a '%' to conduct a wildcard search (e.g. a '%Pharm' search will return all options with 'pharma' at any place in the name).

- 2 * Please select the appropriate category of funding.

- ☐ Federal
☐ State
☒ Corporate/Industry
☐ External Foundation

2.1 If the category of funding is "Federal", upload the grant(s) here. (Please include the scientific part. This is a requirement for federally supported research. You need not include biosketches or financial information here, just the description of the research.)

Name	Date Last Modified	Version Number	Owner
There are no items to display			

- 3 * What will the sponsor provide? Check all that apply:
Drug

- 4 * What is sponsor's contact name, if applicable?
Contact name

- 5 * What is sponsor's contact phone number?
Contact phone number

- 6 * What is sponsor address?
Contact address

- 7 * What is sponsor email address?
contact@email.com

- 8 * Is a Clinical Trial Agreement (CTA) required?
☐ Completed/Signed
☐ Pending
☒ Not Required

ID: VIEW46F5DA7D2D400
Name: Detailed Sponsor Information