File No CT/59/14 – DCG (I) Clinical Trial NOC No: -GCT/26/15

50450/22.12.14

GOVERNMENT OF INDIA
Directorate General of Health Services
Central Drugs Standard Control Organization
Office of Drugs Controller General (India)
(Global Clinical Trial Division)
FDA Bhawan, Kotla Road, New Delhi-110002
Tel No: 01123236965, Fax: 01123236971
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File No: CT/59/14 – DCG (I) Date: 03/12/15

To,
M/s AstraZeneca Pharma India Ltd.,
P.B. No. 4525, Block N1, 12th Floor,
Manyata Embassy Business Park,
Rachenahalli, Outer Ring Road,
Bangalore-560 045.

Subject: Permission for conducting a clinical trial entitled "A Phase 3, Multicenter, Randomized, Double-Blind, Placebo-Controlled Study Evaluating the Safety and Efficacy of Roxadustat for the Treatment of Anemia in Chronic Kidney Disease Patients not on Dialysis"– regarding.

Reference: -Your letter No. REG/2014/CT/DGHS/027 dated 1st Dec 2014on the subject mentioned above.

Sir,

This Directorate has no objection to your conducting the subject mentioned clinical trial as per the provisions of Drugs & Cosmetics Rules under supervision of the following investigators and as per the **Protocol No: D5740C00001 edition No. 4.0 dated 26 Sept 2014**submitted to this Directorate.

1. Dr. N. K. Hase, 34A, Department of Nephrology, Seth GS Medical Collegc & KEM Hospital, Parel, Mumbai-400 012.
2. Dr. Vinay Malhotra, Department of Nephrology, SMS Medical College & Hospital, J.L.N. Marg, Jaipur – 302004.
3. Dr. Rana Gopal Singh, Institute of Medical Sciences, Banaras Hindu University, Varanasi – 221005, Uttar Pradesh.
4. Dr. Succena Alexander, Department of Nephrology, Christian Medical College, Vellore – 632 004, Tamil Nadu.
5. Dr. Umapati Narasinha Hegde, Muljibhai Patel Urological Hospital, Dr. Virendra Desai Road, Nadiad – 387001.
6. Dr. Ashwani Gupta, Sir Ganga Ram Hospital, Sir Ganga Ram Hospital Marg, Rajinder Nagar, New Delhi – 110 060.
7. Dr. Budithi Subba Rao, Apollo Hospitals, 21, Greams Lane, Off Greams Road, Chennai – 600006.
8. Dr. Kakollu Satyanarayana Rao, New Govt. General Hospital, Gunadala, Vijaywada-520008.
9. Dr. K. C. Gurudev, M S Ramaiah Medical College & Hospitals, New Bel Road, MSRIT Post, Bangalore-560054
10. Dr. Sanjoy Kumar [illegible] Harbour Road Kolkata-700027, West Bengal.

11. Dr. G. Prasad, Department of Nephrology, Superspeciality Block, King George Hospital, Maharanipeta, Visakhapatnam, Andhrapradesh-530002.
12. Dr. Abhay Gopal Huprikar, Grant Medical foundation Ruby Hall Clinic, 40 sassoon road, pune-411001.
13. Dr, Charulata Bawankule, Dept. of Nephrology, Super specialty Hospital, Govt Medical College And Hospital, Tukdo Square Nagpur-440009, Maharashtra.
14. Dr. Nikhil Sunilkumar Badnekar, Dept. of Nephrology, Sassoon General Hospital, Near Pune railway station, Pune-411001, Maharashtra.
15. Dr, Avinash Ignatius, Noble Hospital Pvt. Ltd, 153, Magarpatta city road, Pune, 411013, Maharashtra.
16. Dr. Bhimavarapu Sudhakar, St. Theresa's Hospital Sanath nagar, Hyderabad-500018, Telangana.
17. Dr. Kalpana Mehata, Dept. of Nephrology, OPD building, 7th floor, T.N. Medical college, and B.Y.L. Nair charitable hospital, Dr. A.L. Nair Road Mumbai Central East, Mumbai-400008.

Kindly note that the clinical trial permission is subject to the following conditions:

a. Clinical trial shall be conducted in compliance with the approved protocols, requirements of Schedule Y, Good Clinical Practice Guidelines issued by this Directorate and other applicable regulations;

b. Approval of the Ethics Committee shall be obtained before initiation of the study;

c. Clinical trials shall be registered at Clinical trials Registry of India before enrolling the first patient for the study;

d. Annual status report of each clinical trial, as to whether it is ongoing, completed or terminated, shall be submitted to the Licensing Authority, and in case of termination of any clinical trial the detailed reasons for the same shall be communicated to the said Licensing Authority;

e. Any report of serious adverse event occurring during clinical trial study to the subject, after due analysis, shall be forwarded within ten days of its occurrence as per Appendix XI and in compliance with the procedures prescribed in Schedule Y;

f. In case of an injury or death during the study to the subjects, the applicant shall provide complete medical management and compensation in the case of trial related injury or death in accordance with rule 122 DAB and the procedures prescribed under Schedule Y, and the details of compensation provided in such cases shall be intimated to the Licensing Authority within thirty days of the receipt of the order of the said authority;

g. The premises of Sponsor including their employees, subsidiaries and branches, their agents, contractors and sub-contractors and clinical trial study sites shall be open to inspection by the officers authorized by the Central Drugs Standard Control Organization, who may be accompanied by an officer of the State Drug Control Authority concerned, to verify compliance to the requirements of Schedule Y, Good Clinical Practices guidelines for conduct of clinical trial [illegible]

h. The Sponsor including their employees, subsidiaries and branches, their agents, contractors and sub-contractors and clinical trial study sites and the Investigator shall allow officers authorized by the Central Drugs Standard Control Organization, who may be accompanied by an officer of the State Drug Control Authority concerned, to enter with or without prior notice, any premises of Sponsor including their employees, subsidiaries and branches, their agents, contractors and sub-contractors and clinical trial sites to inspect, search and seize any record, data, document, books, investigational drugs, etc. related to clinical trial and provide adequate replies to any queries raised by the inspecting authority in relation to the conduct of clinical trial.

i. Clinical trial shall be conducted only at those sites which are institutes/hospitals having adequate emergency facilities and duly registered Institutional Ethics committees.

j. The sponsor shall ensure that the number of clinical trials an investigator can undertake should be commensurate with the nature of the trial, facility available with the Investigator etc. However, under no circumstances the number of trials should be more than three at a time.

k. The details of payment/honorarium/financial support/fees paid by the Sponsor to the Investigator(s) for conducting the study shall be made available to this directorate before initiation of each of the trial sites.

l. In addition to the requirement of obtaining written informed consent, audio - visual recording of the informed consent process of each trial subject, including the procedure of providing information to the subject and his/her understanding on such consent is required to be done while adhering to the principles of confidentiality. Such audio-visual recording and related documentation shall be preserved. This is applicable to the new subjects to be enrolled in all clinical trials including Global Clinical Trials.All the Sponsors /Investigators /Institutes/Organizations and other stake holders involved in conduct of clinical trials in the country are required to adhere to this requirement of audio-visual recording of informed consent process of trial subjects.

m. It may kindly be noted that merely granting permission to conduct clinical trials with the drug does not convey or imply that based on the clinical trial data generated with the drug, permission to market this drug in the country will automatically be granted to you.

Yours faithfully,

(Dr. V.G. Somani)
Joint Drugs Controller (India)&
Licensing Authority