

Section 1. Introduction

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This section specifies the sources of procedural information available to study staff, the responsibilities of the Investigator of Record (IoRs), and the process by which each site will be approved to initiate implementation of MTN-017.

1.1 Current Protocol Specifications

The table below documents the history of the MTN-017 protocol, along with Clarification Memos, Letter of Amendments, and Full Amendments. These documents are considered Essential Documents. A copy of each document should be available to staff and a copy should be maintained in site essential files. It is not necessary for sites to file copies of the below-mentioned documents in this manual.

| Document | Date |
|-------------------------------|------------------|
| MTN-017 Protocol, Version 1.0 | 17 July 2012 |
| Clarification Memo #01 | 03 August 2012 |
| Letter of Amendment #01 | 25 February 2013 |
| Clarification Memo #02 | 27 February 2014 |

Sites are expected to operate under the protocol version and associated Clarification Memos and/or Letters of Amendment that are currently approved by the local ethics committee/institutional review board of the given site.

To ensure this section reflects the current specifications of the protocol, upon issuance of any future protocol Clarification Memo (CM), Letter of Amendment (LoA), or Protocol Amendment, specifications listed above will be updated accordingly. These documents are available on the MTN-017 webpage (<http://www.mtnstopshiv.org/studies/4495>).

Further information on the content and required handling procedures for clarification memos, letters of amendment and full protocol amendments are available in Section 10.2 of the Microbicide Trials Network (MTN) Manual of Operational Procedures (MOP), which is located on the MTN webpage (<http://www.mtnstopshiv.org>).

1.2 Procedural Information

The Study Specific Procedures (SSP) Manual serves to supplement the protocol. It does not replace or substitute the protocol or its contents. In the event this manual is inconsistent with the information and guidance provided in the protocol, the specifications in the protocol will take precedence. Should any inconsistencies between the protocol and this manual be identified, please notify the MTN-017 Management Team at mtn017mgmt@mtnstopshiv.org.

Study implementation questions that are not addressed by the protocol or within this manual should be directed to the MTN-017 Management Team. This group consists of the MTN

Director of Pharmacy Affairs and representatives from the Behavioral Research Working Group (BRWG), the MTN Leadership and Operations Center (LOC)-University of Pittsburgh (PITT) and FHI 360, the Statistical and Data Management Center (SDMC), and the MTN Laboratory Center (LC). Further information on the full responsibilities of these groups is located in Section 3 of the MTN MOP.

Contact details for all of the above listed individuals are listed in the MTN-017 protocol and are also available in the MTN Directory (<http://www.mtnstopshiv.org/people/directory>), which can be accessed via the MTN webpage.

1.3 Investigator of Record (IoR) Responsibilities

MTN-017 must be conducted in accordance with the United States (US) Code of Federal Regulations (CFR) and the International Conference on Harmonization Consolidated Guidance for Good Clinical Practice (GCP). In addition, MTN-017 must be implemented in accordance with all site-specific regulations, policies, and guidelines applicable to human subjects research in general and/or the conduct of study procedures in particular. Copies of all such regulations, policies, and guidelines should be maintained in on-site essential document files.

The Division of AIDS (DAIDS) policies 'Requirements for Source Documentation in DAIDS Funded and/or Sponsored Clinical Trials' and 'Requirements for Essential Documents at Clinical Research Sites Conducting DAIDS Funded and/or Sponsored Clinical Trials' are useful for interpreting and operationalizing the applicable regulations and guidelines in accordance with DAIDS expectations. These resources are available on the NIAID website (<http://www.niaid.nih.gov/LabsAndResources/resources/DAIDSClinRsrch/Pages/ClinicalSite.aspx>) as well as on the MTN website under 'Resources and Links' (<http://www.mtnstopshiv.org/resources>).

The IoR at each study site must sign both an Investigator Signature Form (protocol signature page) and a U.S. Food and Drug Administration (FDA) Form 1572 to formally indicate his/her agreement to conduct MTN-017 in accordance with the provisions of the study protocol, applicable US regulations, and MTN policies. A copy of the Investigator Signature Form can be found on page 1 the protocol. IoRs may delegate their obligations and responsibilities for conducting MTN-017 to other study staff members. In doing so, this delegation does not relieve the IoR of his/her ultimate responsibility for all study procedures performed and all study data collected. Delegation of IoR responsibilities must be formally documented throughout the period of study implementation. The obligations and responsibilities assumed by the IoR when signing the FDA Form 1572 are listed on the form itself, which is available on the DAIDS Regulatory Support Center (RSC).

Consistent with the regulations, guidelines, and policies cited above, the IoR at each site must obtain and maintain institutional review board and/or ethics committee (IRB/EC) approval of MTN-017 throughout the period of study implementation.

Detailed information on IRB/EC submission, review, approval, and documentation requirements is located in Section 9.4 of the MTN MOP. All sites are encouraged to request an acknowledgement of receipt for all documents submitted to their IRBs/ECs and to request that IRBs/ECs note the effective and expiry dates of all approvals. Documentation of all correspondence to and from all responsible IRBs/ECs (i.e., complete copies of all submissions, responses, and approvals) must be maintained in on-site essential document files. Documentation of all IRB/EC approvals must also be submitted to the MTN LOC.

1.4 Study Activation Process

Prior to commencing active recruitment activities and undertaking any study procedures, each study site must complete the following:

- obtain approval to conduct MTN-017 from the local regulatory authorities and IRBs/ECs
- complete protocol registration procedures with the DAIDS RSC Protocol Registration Office (PRO)
- complete study activation requirements in collaboration the DAIDS, MTN LOC, SDMC, LC and be issued a Site-specific Study Activation Notice.

Detailed information on these procedures can be found in Section 11 of the MTN MOP. MTN LOC (FHI 360) will notify sites (on a site-by-site basis), when all activation requirements have been met by issuing a Site-Specific Study Activation Notice.