LETTER OF AMENDMENT #01 TO:

MTN-009
DAIDS Document ID 10791

Prevalence of HIV-1 Drug Resistance within a Female Screening Population for HIV Prevention Trials

Version 1.0/ 3 November 2009
A Non-IND Study

Letter of Amendment Date: March 17, 2011

Instructions to Study Sites from the Division of AIDS

The following information impacts the MTN-009 study and must be forwarded to your Institutional Review Board (IRB)/Ethics Committee (EC) as soon as possible for their information and review. This must be approved by your IRB/EC before implementation. The following information may also impact the sample informed consent. Your IRB/EC will be responsible for determining the process of informing subjects of the contents of this letter of amendment.

Summary of Revisions and Rationale

The primary reason for this LoA is to update the protocol. This LoA does not impact the overall design or the study visit schedule for MTN-009. This LoA provides updates/clarification on the following items:

1. Section 10.4.1, Study Monitoring Committee (SMC) has been modified to allow for a team review of study progress, including rates of participant accrual.
2. Section 11.2, Source Documents and Access to Source Data/Documents, second paragraph, second sentence updated to reflect that study documentation will be maintained for at least three years as per US regulations, 21 CFR56.115 (b). This modification is consistent with the language currently in the Investigator Signature Form.
3. Section 13.2, *Protocol Registration and Study Activation*, updated to reflect new DAIDS Protocol Registration template language
4. Abbreviations and acronyms
5. Protocol Team Roster

Implementation

Upon receiving final IRB/EC and any other applicable Regulatory Entity (RE) approval(s) for this LoA, sites should implement the LoA immediately. Sites are still required to submit an LoA registration packet to the DAIDS Protocol Registration Office (PRO) at the Regulatory Support Center (RSC). Sites will receive a registration notification for the LoA once the DAIDS PRO verifies that all the required LoA registration documents have been received and are complete. An LoA registration notification from the DAIDS PRO is <u>not</u> required prior to implementing the LoA. A copy of the LoA registration notification along with this letter and any IRB/EC correspondence should be retained in the site's regulatory files.

Except for modifications to the Protocol Team Roster, text to be deleted is generally noted by ~~strikethrough~~ and text to be added is noted below in **bold**.

Detailed Listing of Revisions

1. Section 10.4.1, Study Monitoring Committee (SMC) has been modified to allow for a team review of study progress, including rates of participant accrual:

   Section 10.4.1, Study Monitoring ~~Committee (SMC)~~

   No Data and Safety Monitoring Board (DSMB) oversight **or MTN Study Monitoring Review** ~~is~~**are** planned for this cross-sectional study. The ~~MTN SMC~~**protocol team** will conduct **informal periodic** interim reviews of study progress, including rates of participant accrual, target number of HIV-infected participants and completion of primary and secondary endpoint assessments. These reviews will take place ~~approximately every 6 months, or as needed~~ or ~~required by the SMC~~ **as deemed necessary by the protocol team**. ~~At the time of these reviews, or at any other time, the SMC may recommend that the study proceed as designed, proceed with design modifications, or be discontinued. The SMC may consider recommending termination of this study if recruitment is lower than targeted, or if study data quality is poor.~~ **At any time during the course of this study, the protocol team may take necessary action to enhance the accrual and study assessment completion.**

2. Section 11.2, Source Documents and Access to Source Data/Documents, second paragraph, second sentence updated to reflect that study documentation will be maintained for at least three years as per US regulations, 21 CFR56.115 (b). This modification is consistent with the language currently in the Investigator Signature Form.

   In accordance with US regulations, the IoR/designee will maintain all study documentation for at least ~~two~~**three** years after study closure.

3. The following language will replace Section 13.2, Protocol Registration and Study Activation, to reflect new DAIDS Protocol Registration template language:

   Prior to implementation of this protocol, and any subsequent full version amendments, each site must have the protocol and the protocol informed consent form(s) approved, as appropriate, by their local institutional review board (IRB)/ethics committee (EC) and any other applicable regulatory entity (RE). Upon receiving final approval, sites will submit all required protocol registration documents to the DAIDS Protocol Registration Office (DAIDS PRO) at the Regulatory Support Center (RSC). The DAIDS PRO will review the submitted protocol registration packet to ensure that all of the required documents have been received.

   Site-specific informed consent forms (ICFs) *WILL* be reviewed and approved by the DAIDS PRO and sites will receive an Initial Registration Notification from the DAIDS PRO that indicates successful completion of the protocol registration process. A copy of the Initial Registration Notification should be retained in the site's regulatory files.

   Upon receiving final IRB/EC and any other applicable RE approval(s) for an amendment, sites should implement the amendment immediately. Sites are required to submit an amendment registration packet to the DAIDS PRO at the RSC. The DAIDS PRO will review the submitted protocol registration packet to ensure that all the required documents have been received. Site-specific ICF(s) *WILL NOT* be reviewed and approved by the DAIDS PRO and sites will receive an Amendment Registration Notification when the DAIDS PRO receives a complete registration packet. A copy of the Amendment Registration Notification should be retained in the site's regulatory files.

For additional information on the protocol registration process and specific documents required for initial and amendment registrations, refer to the current version of the DAIDS Protocol Registration Manual.

4. The List of Abbreviations and Acronyms is updated:

~~FHI~~	~~Family Health International~~
~~RCC~~	~~Regulatory Compliance Center~~
RE	**regulatory entity**
RSC	**Regulatory Support Center**

Other minor updates include the following: Regulatory Compliance Center (RCC) is now Regulatory Support Center (RSC) and the acronym *FHI* no longer stands for Family Health International. Any references to RCC or Family Health International have been removed throughout the protocol.

5. The Protocol Team Roster is updated.

The following individuals have had their contact information updated:

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The following new members of the Protocol Team have been added to the Protocol Team Roster:

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The following individuals are deleted from the Protocol Team Roster: Ross Cranston, Lisa Levy, Mala Shah.

The above information will be incorporated into the next version of the protocol if it is amended.