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 (IoR) and the process by which each site will be approved to initiate implementation of MTN-032.

1.1 Current Protocol Specifications

The table below documents the version history of the MTN-032 protocol, along with any Clarification Memos, and Letters of Amendment, if applicable, all of which are considered Essential Documents. 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, the table will be updated accordingly. These documents are available on the MTN-032 webpage (http://www.mtnstopshiv.org/studies/6590).

Document	Date
MTN-032 Protocol, Version 1.0	20 August 2015
Letter of Amendment #01	26 October 2015
Clarification Memo #01	9 November 2016
MTN-032 Protocol, Version 2.0	5 September 2017
Letter of Amendment #01, Version 2.0	28 March 2018

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 institutional review board/ethics committee (IRB/EC). A copy of each document should be available to staff and a copy should be maintained in site essential files. Further information on the content and required handling procedures for these documents is available in 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

This 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. In the event study implementation questions are not adequately addressed by the study protocol or this manual, or if any inconsistencies between the two documents are identified, please notify the MTN-032 Study Management Team at mtn032mgmt@mtnstopshiv.org.

Electronic versions of the SSP manual, the MTN-032 protocol, and all other study implementation tools are available on the MTN-032 website: **http://www.mtnstopshiv.org/studies/6590**.

The MTN-032 Study Management Team consists of the Protocol Chairs, and representatives from MTN Leadership and Operations Center (LOC)-University of Pittsburgh (Pitt), Research

Triangle International (RTI), FHI 360, the Behavioral Research Working Group, and the Statistical and Data Management Center (SDMC). Sites should contact this group for general questions on protocol implementation or study procedures.

Contact details for all of the above listed individuals are listed in the MTN-032 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-032 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-032 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 an Investigator Signature Form (protocol signature page) and a DAIDS IoR Form to formally indicate his/her agreement to conduct MTN-032 in accordance with the provisions of the study protocol, applicable US regulations, and MTN policies. A copy of the protocol signature page (PSP) can be found in the MTN-032 protocol. Effective 1 August 2017, a PSP must be signed by the IoR and uploaded to DPRS for all initial protocol versions, all full protocol amendments, and all letters of amendment (LOAs). Sites will be contacted by the management team with additional guidance regarding retrospective uploading of PSPs for ongoing protocols to DPRS. The site will keep copies of the protocol signature page(s) and DAIDS IoR Form(s) on site with their essential documents (See SSP Section 2.1).

An IoR may delegate their obligations and responsibilities for conducting MTN-032 to other study staff members. However, 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 on the site's Delegation of Authority (DoA) log. The obligations and responsibilities assumed by the IoR when signing the DAIDS IoR Form are listed on the form itself, which is available on the DAIDS Regulatory Support Center (RSC) website. Note that no staff member should fulfill the IoR role in the IoR's absence. Full responsibility and authority over the protocol by anyone other than the IoR may only take place if an additional DAIDS IoR Form is completed and submitted to DAIDS.

Consistent with the regulations, guidelines, and policies cited above, the site IoR must obtain and maintain IRB/EC approval of MTN-032 throughout the period of study implementation. Detailed information on IRB/EC submission, review, approval, and documentation requirements is located in 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 may also be requested by the MTN LOC.

Note: Staff regularly involved in the source documentation of safety data or are delegated to perform critical trial related procedures should be included on the DAIDS IoR Form as a sub-investigator. Such components may include, but are not limited to, collection of participant safety information, or confirmation of participant eligibility.

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-032 from all required local regulatory authorities and IRBs/ECs,
- complete protocol registration procedures with the DAIDS RSC Protocol Registration Office (PRO), and
- complete study activation requirements, and be issued a Site-specific Study Activation Notice from MTN LOC.

Information on these procedures can be found in the MTN MOP. Detailed information on the requirements of pre-implementation steps are summarized in the MTN-032 Activation Checklist. 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.

1.5 Phase 2 Readiness Process

Prior to commencing active recruitment activities and undertaking any Phase 2 procedures with female participants, each study site must complete the following:

- obtain approval to conduct MTN-032 Protocol V2.0 from all required local regulatory authorities and IRBs/ECs,
- complete protocol registration procedures with the DAIDS RSC Protocol Registration Office (PRO), and
- complete Phase 2 requirements, required mock IDIs, and receive site-specific Phase 2 readiness approval from MTN LOC.

Detailed information on the requirements of pre-implementation steps are summarized in the MTN-032 Phase 2 Readiness Checklist. FHI 360 will notify sites (on a site-by-site basis), when all requirements have been met via email containing a completed readiness checklist.

1.6 Initiating Phase 2 Male Participant Activities

The MTN-032 management team will work with sites to ensure that they are equipped to conduct male partner activities. Minimum requirements prior to working with male participants for MTN-032 include:

- IRB/EC Approval of MTN-032 Protocol v2.0 Letter of Amendment #01, 28 March 2018
- Successful completion of at least one male partner mock FGD using the discussion tools, and approval from RTI after review of mock FGD transcript
- Management team approval of staffing complement to conduct male participant activities

Sites will be notified individually via email once the management team agrees that they are ready to begin working with male participants.