

Section 1. Introduction

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This section specifies the sources of procedural information available to study staff, the responsibilities of Investigators of Record (IoR), and the process by which each site will be approved to initiate implementation of MTN-034 (REACH). Also included is information on required submissions to Institutional Review Boards and/or Ethics Committees (IRBs/ECs).

1.1 Current Protocol Specifications

The table below documents the history of the MTN-034 protocol, along with any Clarification Memos, Letter of Amendments, and Full Amendments, if applicable, all of which 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 the SSP manual itself.

Document	Date
MTN-034 Protocol, Version 1.0	02 February 2017

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). 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-034 webpage (<http://www.mtnstopshiv.org/studies/6826>). 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>) under 'resources'.

1.2 Sources of 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. 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-034 Study Management Team at mtn034mgmt@mtnstopshiv.org.

Electronic versions of the SSP manual, the MTN-034 protocol, and all other study implementation tools are available on the REACH website:

<http://www.mtnstopshiv.org/studies/6826>

Note that all study documents can be searched electronically for key words and phrases using the “find” feature (CTRL+F). Sites are encouraged to become familiar with electronic searching to make specific guidance easier to locate in the study documents.

Please contact the MTN-034 management team using the following alias list for general questions on protocol implementation or study procedures, including clinical, lab, product, behavioral assessments, and/or CRF/data procedures:

mtn034mgmt@mtnstopshiv.org

Current contact details for all MTN-034 colleagues and collaborators, as well as study alias lists, can be found in the MTN directory at:

<http://www.mtnstopshiv.org/people/directory>

1.3 Investigator Responsibilities

MTN-034 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-034 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 Essential Documents at Clinical Research Sites Conducting DAIDS Funded and/or Sponsored Clinical Trials* and *Requirements for Source Documentation in DAIDS Funded and/or Sponsored Clinical Trials* are useful for interpreting and operationalizing the applicable regulations and guidelines in accordance with DAIDS expectations. These policies are posted on the MTN website under *Resources and Links*: <http://www.mtnstopshiv.org/resources>.

The IoR 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-034 in accordance with the study protocol, applicable US regulations, and MTN policies. A copy of the protocol signature page (PSP) can be found in the MTN-034 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 1572(s) on site with their essential documents (See SSP Section 2).

The obligations and responsibilities assumed by the IoR when signing the FDA Form 1572 and PSP are listed on the forms themselves, also outlined in 3.4.6 of the MTN MOP. Updates to the 1572 should be submitted to the DAIDS Protocol Registration Office (PRO), as well as to MTN Regulatory Department (mtnregulatory@mtnstopshiv.org) with a short summary of any updates that were made. All IoRs are required to complete IoR training every

3 years, offered by MTN LOC (<http://www.mtnstopshiv.org/node/4536>, prior to study initiation or prior to assuming responsibility for an ongoing study; documentation of this training should be filed in site essential documents. The IoR may delegate his/her obligations and responsibilities for conducting MTN-034 to other study staff members; however, 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 on the site's Delegation of Authority (DoA) log throughout study implementation. 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 1572 is completed and submitted to DAIDS.

If there is a change in IoR, a revised Form FDA 1572 and a new PSP should be submitted to the DAIDS PRO. Sites should follow guidance in the current Protocol Registration Manual regarding procedures for a change in IoR with the DAIDS PRO. Incoming investigators should also complete IoR Training as well as a new, complete DoA including all study staff. In addition, they may need to complete an electronic financial disclosure via the HANC system; investigators who need to complete a HANC financial disclosure will be contacted by MTN Regulatory with additional guidance. Outgoing investigators should complete the end of study financial disclosure paper form and sign off all DoA entries. Additionally, sites should notify FHI 360, MTN Regulatory, and their OCSO PO of the change and complete any other documentation requested.

1.4 Sub-Investigators Listed on the FDA Form 1572

Generally, staff who are regularly involved in the source documentation of safety data, or are delegated to perform critical trial related procedures should also be included on the FDA Form 1572. Such components may include, but are not limited to, adverse event (AE) assessment, collecting participant safety information, confirming participant eligibility, or dispensing study product. See also the FDA guidance document "Frequently Asked Questions – Statement of Investigator (Form FDA 1572)" for information about sub-investigators. Ultimately, inclusion as a sub-investigator on the 1572 is dependent on the responsibilities that have been delegated to staff, and is at the discretion of the IoR. Note that full responsibility and authority over the protocol by anyone other than the IoR may only take place if an additional 1572 is completed and submitted to DAIDS.

1.5 Study Activation Process

Prior to undertaking any study procedures, the study site must obtain approval to conduct MTN-034 from all required regulatory authorities and IRBs/ECs. The site also must complete protocol registration procedures with the DAIDS Regulatory Support Center (RSC) and study activation procedures with DAIDS and the MTN LOC, MTN Statistical Data Management Center (SDMC), and MTN Laboratory Center (LC). Detailed information on the requirements of these pre-implementation steps can be found in the MTN MOP. The MTN LOC will issue a Site-Specific Study Activation Notice when all study activation requirements have been met. No protocol-specified study procedures may be undertaken prior to issuance of the Site-Specific Study Activation Notice.

1.6 IRB/EC Submissions

Figures 1-1 and 1-2 list IRB/EC submission and approval requirements pertinent to MTN-034. Figure 1-1 lists requirements that must be met prior to study initiation. Figure 1-2 lists requirements that must be met during and following study implementation.

The study site is encouraged to request that their IRB/ECs acknowledge receipt for all documents submitted to them, and to request that the IRBs/ECs note both the effective date

and the expiry dates of all approvals. Procedures for IRB/EC communication must be documented in site-specific SOPs. 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.

**Figure 1-1
IRB/EC Submissions Required Prior to Initiation of MTN-034**

Documents to be submitted to IRB/EC	Written Approval Required*
MTN-034 Protocol, Version 1.0	Yes
Informed consent forms: <ul style="list-style-type: none"> • Informed Assent (Screening, Enrollment, Specimen Storage/Future Testing) • Parent/Guardian Permission Form (Screening, Enrollment, Specimen Storage/Future Testing) • Informed Consent, for those 18 years or older (Screening, Enrollment, Specimen Storage/Future Testing) 	Yes
Investigator of Record current CV	No
Dapivirine Vaginal Ring Investigator's Brochure, Current Version	No
Emtricitabine/Tenofovir Disoproxil Fumarate (Truvada) Package Insert, Current Version	No
Participant pre-screening, recruitment plans and materials (prior to use)	Yes
Other written information for study participants (prior to use)	Yes
Other documentation required/requested by the IRB/EC such as SOPs, CRFs, and interview questionnaires.	If required by IRB/EC

*Denotes approvals required by US regulations and GCP guidelines.

**Figure 1-2
IRB/EC Submissions Required During and Following Conduct of MTN-034**

Document to be submitted to IRB/EC	Written Approval Required*
Study status reports/updates (at least annually)	Yes
Protocol clarification memos (submission encouraged but not required by DAIDS)	No
Protocol amendments (including full amendments (to a new protocol version) and letters of amendment)	Yes
Amended informed consent forms (including forms that are amended due to protocol amendments as well as forms that are amended for site-specific reasons, e.g., to update participant incentive information or to update site contact information)	Yes
Dapivirine Vaginal Ring Investigator's Brochure updates	No
Emtricitabine/Tenofovir Disoproxil Fumarate (Truvada) Package Insert updates	No
New information that may affect adversely the safety of study participants or the conduct of the study (e.g., IND Safety Reports) [§]	No
Reports of adverse events, serious adverse events, and/or events meeting criteria for expedited reporting to DAIDS (per IRB/EC requirements)	No
Protocol deviations (per IRB/EC requirements and/or as directed by DAIDS)	No
Investigator of Record current CV (if Investigator of Record changes during study)	No
Updated/additional participant recruitment plans and materials (prior to use)	Yes
Updated/additional written information for study participants (prior to use)	Yes
Other documentation required/requested by the IRB/EC	If required by IRB/EC
Final study report/closure report	No

*Denotes approvals required by US regulations and GCP guidelines.

[§]Safety information will be distributed by the DAIDS RSC or the MTN LOC. All distributions will include instructions related to IRB/EC submission of the safety information.