**PURPOSE**

The purpose of this standard operating procedure (SOP) is to define source documentation requirements and procedures for MTN-038.

**SCOPE**

This SOP applies to all MTN-038 study staff at *[Insert site name]* that conduct study visits and/or complete source documents and case report forms.

**RESPONSIBILITIES**

MTN-038 staff members who complete study visits and/or complete MTN-038 study documentation are responsible for understanding and following this SOP.

MTN-038 *[Insert responsible staff]* is responsible for training study staff to collect and manage MTN-038 study data in accordance with this SOP, and for day-to-day oversight of staff involved in data collection and management.

MTN-038 QA/QC Manager is responsible for overseeing quality control (QC) and quality assurance (QA) procedures related to this SOP.

MTN-038 Site Leader/Investigator of Record has ultimate responsibility for ensuring that all applicable study staff follows this SOP.

PROCEDURES

Source documentation for MTN-038 will be completed in accordance with the DAIDS Standard Operating Procedure (SOP) for Source Documentation. This policy can be accessed at:<https://www.niaid.nih.gov/research/daids-clinical-site-implementation-operations>

*[Note to sites: if applicable, include here the text “Source documentation for MTN-038 also will be completed in accordance with the [list applicable national, local, or facility-specific documentation regulations and guidelines] (see Attachment x).”]*

Part A provided in Appendix 1 lists all the MTN-038 study procedures and associated source documents. Part B provided in Appendix 1 designates the MTN-038 Case Report Forms (CRFs) that will and will not be used as source documents, respectively. Part C lists the MTN-038 site-specific forms used as source documents.

Questions related to adherence with the DAIDS SOP for Source Documentation, the specifications of Appendix 1, and/or other aspects of this SOP will be directed to [*Insert responsible staff*]. Queries that cannot be resolved locally will be directed to the MTN CORE (FHI 360) Clinical Research Managers and the SCHARP Clinical Data Managers.

Definitions:

* **Source data:** All information in original records and certified copies of original records of clinical findings, observations, or other activities in a clinical trial necessary for the reconstruction and evaluation of the trial. Source data are contained in source documents (original records or certified copies). [Source: ICH Consolidated Guidance for Good Clinical Practice (ICH-E6)]
* **Source documents:** Original documents, data and records (e.g., hospital records, clinical and office charts, laboratory notes, memoranda, participants’ diaries or evaluation checklists, pharmacy dispensing records, recorded data from automated instruments, copies of transcriptions certified after verification as being accurate and complete, microfiches, photographic negatives, microfilm or magnetic media, x-rays, subject files, and records kept at the pharmacy, at the laboratories, and at medico-technical departments involved in the trial). [Source: ICH Consolidated Guidance for Good Clinical Practice (ICH-E6)]

Source documents are commonly referred to as the documents —paper-based or electronic — upon which source data are first recorded.

* **Certified copies:** See page 11 of the DAIDS SOP for Source Documentation

**ABBREVIATIONS AND ACRONYMS**

DAIDS Division of AIDS

ICH International Conference on Harmonization

MTN Microbicide Trials Network

SCHARP Statistical Center for HIV/AIDS Research & Prevention

SOP Standard Operating Procedure

**APPENDICES**

Appendix 1 Part A, Listing of MTN-038 Procedures and Source Documents

Part B, MTN-038 CRFs and Source Documents

Part C, Site-Specific Forms Used as Source Documents

**REFERENCES**

ICH Consolidated Guidance for Good Clinical Practice (ICH-E6)

DAIDS SOP for Source Documentation (Version 2.0; 20 Dec 06)

FDA Guidance for Industry, Electronic Source Data in Clinical Investigations (Sep, 2013)

**REVISION HISTORY**

|  |  |  |  |  |
| --- | --- | --- | --- | --- |
| **Version** | **Effective Date** | **Supersedes** | **Review Date** | Change |
|  | DD MMMYYY | N/A (initial version) | DD MMMYYY | Initial Release |

APPROVAL

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|  | Author, Author’s Title | |  |  | Date: |
|  |  | |  |  |  |
|  | Approver’s Name, Approver’s Title | |  |  | Date: |
| **Appendix 1: Part A**  **MTN-038 Source Documentation of Study Procedures**  \*\*Note that itms in **bold** are required source documents for listed study procedure/evaluation.\*\* | | | | | | |
| **Evaluation/Procedure** | | **Source Document(s)** | | | | |
| **ADMINISTRATIVE AND REGULATORY** | | | | | | |
| Obtain informed consent | | **Signed and Dated Informed Consent form**  Informed Consent Coversheet(or chart note) | | | | |
| Assess informed consent comprehension | | Informed Consent Comprehension Assessment tool | | | | |
| Assign a unique Participant Identification (PTID) number | | **MTN-038 PTID-Name Linkage Log** | | | | |
| Assess and/or confirm eligibility | | **Eligibility Checklist** (signatures)  Inclusion Exclusion Criteria CRF  **Screening Behavioral Eligibility Worksheet**  **Enrollment Behavioral Eligibility Worksheet** | | | | |
| Collect demographic and background information | | **Demographics CRF** | | | | |
| Collect/review/update locator information | | Site locator documents (collect/update)  Visit checklist (review) | | | | |
| Randomization | | **Randomization CRF** | | | | |
| Provide reimbursement | | Visit checklist, site-specific reimbursement log, and/or chart note | | | | |
| Schedule next visit | | Visit checklist and/or chart note | | | | |
| **BEHAVIORAL** | | | | | | |
| Protocol counseling | | Chart note, Protocol Counseling Worksheet, and/or site-specific document | | | | |
| HIV/STI risk reduction counseling | | Chart note, HIV Pre/Post Test and HIV/STI Risk Reduction Counseling Worksheet, and/or site-specific document | | | | |
| HIV pre- and post-test counseling | | Chart note, HIV Pre/Post Test and HIV/STI Risk Reduction Counseling Worksheet, and/or site-specific document | | | | |
| Behavioral assessment (including collecting product use and preference/acceptability information) | | **Adherence YN and Ring Adherence**  **CASI v2 - Enrollment, v6 – Day 28, v8 – Day 56, and v9 – Day 91/PUEV Questionnaires**  CASI completion documented on: Behavioral Assessments Summary CRF, CASI Tracking CRF  IDI completion documented on: Behavioral Assessments Summary CRF  Visit Checklist | | | | |
| **CLINICAL** | | | | | | |
| Medical and menstrual history | | Medical History CRF(all baseline conditions including clinical evaluations will be summarized here)  **Adverse Event CRF** (all follow-up conditions including abnormal findings from clinical evaluations will be documented on this CRF)  Chart notes  *Source documentation for participant reported medical/menstrual history:*  Medical History CRF  Pregnancy Report and Pregnancy History CRFs (source if relevant medical records are not available)  Pregnancy Outcome Log CRF (source if relevant medical records are not available)  Chart notes | | | | |
| Concomitant medications | | **Concomitant Medications CRF** | | | | |
| Physical examination (full or targeted) | | Vital Signs CRF  Physical Exam CRF | | | | |
| Pelvic exam | | Pelvic Exam Diagrams  Pelvic Exam CRF  Pelvic Exam checklist | | | | |
| Disclose available test results | | Chart notes and/or visit checklist | | | | |
| Record/update AEs | | Adverse Event CRF  (and/or Chart notes) | | | | |
| Treat or prescribe treatment for UTIs/RTIs/STIs or refer for other findings | | Chart notes and/or prescription  Referral Letter | | | | |
| **LABORATORY** | | | | | | |
| Specimen Collection Times | | Lab Requisition form, LDMS Specimen Tracking Sheet, or Timed/ Specimen Storage CRF | | | | |
| hCG | | Site-specific lab requisition form  Site testing log/results report | | | | |
| Urine dipstick/culture | | Site-specific lab requisition form  Lab results report | | | | |
| HIV-1 testing | | Site-specific lab requisition form  Site testing log/results report (rapids, Geenius confirmatory testing)  Lab result report (HIV RNA) | | | | |
| Plasma (archive) | | Site-specific lab requisition form, chart note, or visit checklist  Specimen Collection CRF | | | | |
| Chemistries (AST,ALT, and creatinine) | | Site-specific lab requisition form  Lab results report | | | | |
| CBC with platelets and differential | | Site-specific lab requisition form  Lab results report | | | | |
| Syphilis serology | | Site-specific lab requisition form  Lab results report | | | | |
| TFV levels (blood) | | Site-specific lab requisition form, LDMS Specimen Tracking Sheet, chart note, or visit checklist  Timed/Specimen Collection CRF | | | | |
| NAAT for GC/CT and trichomonas | | Site-specific lab requisition form  Lab results report | | | | |
| Pap Smear interpretation | | Site-specific lab requisition form  Lab results report | | | | |
| Saline/KOH wet mount with pH for candidiasis and/or BV | | Site-specific lab requisition form and/or visit checklist  Chart note or lab results report | | | | |
| Vaginal swabs for microbiota | | Site-specific lab requisition form, LDMS Specimen Tracking Sheet, chart note, or visit checklist  Timed/Cervical Specimen Storage CRF | | | | |
| Vaginal Gram Stain | | Site-specific lab requisition form, LDMS Specimen Tracking Sheet, chart note, or visit checklist  Timed/Cervical Specimen Storage CRF | | | | |
| CVF for TFV levels | | Site-specific lab requisition form, LDMS Specimen Tracking Sheet, chart note, or visit checklist  Timed/Cervical Specimen Storage CRF | | | | |
| CVL for PK, PD, and biomarkers | | Site-specific lab requisition form, LDMS Specimen Tracking Sheet, chart note, or visit checklist  Timed/Cervical Specimen Storage CRF | | | | |
| Returned Study VR | | Site-specific lab requisition form, LDMS Specimen Tracking Sheet, chart note, or visit checklist  Ring Insertion and Removal CRF | | | | |
| RF TFV levels | | Site-specific lab requisition form, LDMS Specimen Tracking Sheet, chart note, or visit checklist  Timed/Specimen Storage CRF | | | | |
| **STUDY PRODUCT/ SUPPLIES** | | | | | | |
| Provision of study VR | | **Study Prescription** (initial ring request to pharmacy)  Vaginal Ring Request Slip (applies only if an additional ring is dispensed)  Site-specific Pharmacy Dispensing Log (source for dispensations from pharmacy)  Pharmacy Dispensation CRF  Ring Insertion and Removal CRF and/or chart notes and/or Site-Specific Clinic Study Product Accountability Log  (source for site staff provision of ring to participant and ring insertion) | | | | |
| Provision of study VR instructions | | Chart note, Protocol Counseling Worksheet, and/or site-specific document | | | | |
| Insertion of the provided study VR | | Ring Insertion and Removal CRF or visit checklist | | | | |
| Removal and collection of used/unused study VR | | Ring Insertion and Removal CRF  Specimen Storage CRF  LDMS Tracking Sheet  Chart note or visit checklist | | | | |
| Digital/Visual exam(s) by clinician to check VR placement | | Chart note, Pelvic Exam cheklist, or visit checklist  Pelvic Exam CRF | | | | |
| Provide condoms | | Site-specific counseling notes/worksheets or visit checklist | | | | |
| **OTHER** | | | | | | |
| Protocol Deviations | | **Protocol Deviations Log CRF** | | | | |
| A record of all contacts, and attempted contacts, with the participant | | Missed Visit CRF  Site-specific contact/outreach/retention logs and/or chart notes | | | | |
| A record of all procedures performed by study staff during the study | | Visit checklists, chart notes, and/or other site-specific flow sheets | | | | |
| Staff-initiated Study Discontinuations | | **Discontinuation of Study Product CRF** | | | | |
| A record of participant’s exit from the study | | **Study Termination CRF**  Chart notes | | | | |

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| **Appendix 1; Part B**  **MTN-038 CRFs and Source Documents** | | | |
| **CRF Name** | **Is CRF Source?** | **Comments**  *(Unless otherwise noted in the Comments column, the CRF is source for all form items.)* | **Initial CRF Completion Format\***  **(eCRF or paper CRF)** |
| Adverse Events YN | Yes | Form is administrative only. | eCRF |
| Adverse Event | Mixed | * Form is source for participant reported AEs * Non-CRF documents are source for Laboratory and Clinical AEs | eCRF |
| Additional Study Procedures | Yes | Form is administrative only. | eCRF |
| Behavioral Assessments Summary | Yes |  | eCRF |
| CASI Tracking | Yes |  | eCRF |
| Cervical Specimen Storage | Mixed | Form is source for “If not stored, specify reason”, “Was blood visible on the swab?” and “time point” fields. LDMS Specimen Tracking Sheet or local lab form may be source for other items. | eCRF |
| Concomitant Medications YN | Yes | Form is administrative only. | eCRF |
| Concomitant Medications | Yes |  | eCRF |
| Demographics | Yes | Form is source for all items as participant responses are entered directly into the form. | eCRF |
| Inclusion Exclusion Criteria | No | Screening Behavioral Eligibility Worksheet, Enrollment Behavioral Eligibility Worksheet, Eligibility checklist and/or Screening and Enrollment Log is source for all items. | eCRF |
| Enrollment | Mixed | Consent form is source for consent form date and long-term storage. | eCRF |
| Follow-up YN | Yes | Form is administrative only. | eCRF |
| Follow-up Visit Summary | Yes | Form is administrative only. | eCRF |
| Hematology | Mixed | Form may be source for all non-lab value items (i.e., severity grade, etc.). | eCRF |
| HIV Test Results | No | Non-CRF lab source document (report or testing log) is source | eCRF |
| HIV Confirmatory Test Results | Mixed | Form is source for final HIV status. Non-CRF lab source document (report or testing log) is source for other items. | eCRF |
| Interim Visit Summary | Yes | Form is administrative only. | eCRF |
| Chemistry Panel | Mixed | Form may be source for all non-lab value items (i.e., severity grade, etc.). | eCRF |
| Medical History YN | Yes | Form is administrative only. | eCRF |
| Medical History | Yes |  | eCRF |
| Missed Visit | Yes |  | eCRF |
| Participant Identifier | Yes | Form is administrative only. | eCRF |
| Pelvic Exam | Mixed | Form is source for cervical ectopy. Pelvic Exam Diagrams is source for findings. AE CRF is source for item ‘any new pelvic findings AEs’. | eCRF |
| Pharmacy Dispensation | No | Pharmacy dispensing records and randomization information from Medidata Balance are source. | eCRF |
| Physical Exam | Yes |  | eCRF |
| Pregnancy Outcome Log | Mixed | Form may be source for all items or source may be medical records, if available. Supplemental information may also be recorded in chart notes. | eCRF |
| Pregnancy Report | Yes | Form is source for all items. Supplemental information also may be recorded in chart notes. | eCRF |
| Pregnancy History | Yes | Form is source for all items. Supplemental information also may be recorded in chart notes. | eCRF |
| Pregnancy Test Results | No | Site testing log and/or local lab report is source | eCRF |
| Protocol Deviations YN | Yes | Form is administrative only. | eCRF |
| Protocol Deviation Log | Yes | Form is source for all items. Supplemental information may also be recorded in the chart notes. | eCRF |
| Randomization | Mixed | Form is source for “Is the participant ready to be randomized?” Medidata Balance is source for “Randomization Date and Time”. | eCRF |
| Ring Adherence YN | Yes | For is administrative only. | eCRF |
| Ring Adherence | Yes |  | eCRF |
| Ring Insertion and Removal | Yes |  | eCRF |
| Screening Date of Visit | Yes | Form is administrative only. | eCRF |
| Specimen Storage | Mixed | Form is source for “If not stored, specify reason”. LDMS Specimen Tracking Sheet or local lab form may be source for other items. | eCRF |
| STI Test Results | No | Local lab report is source for all items. | eCRF |
| Study Termination | Yes |  | eCRF |
| Timed Cervical Specimen Storage | Mixed | Form is source for “If not stored, specify reason”, “Was blood visible on the swab?” and “time point” fields. LDMS Specimen Tracking Sheet or local lab form may be source for other items. | eCRF |
| Timed Specimen Storage | Mixed | Form is source for “If not stored, specify reason”. LDMS Specimen Tracking Sheet or local lab form may be source for other items. | eCRF |
| Discontinuation of Study Product | Yes |  | eCRF |
| Product Hold YN | Yes |  | eCRF |
| Product Hold | Yes |  | eCRF |
| Vital Signs | Yes |  | eCRF |

*\*In cases where it is specified that initial form completion will be done using an eCRF, but the eCRF cannot be accessed due to temporary internet outage, off-site visits or other unforeseen circumstances, paper CRF completion is acceptable as a temporary solution until eCRF access can be restored. Data from these paper CRFs should be entered into Medidata Rave once database access is restored.*

| **Appendix 1, Part C:**  **MTN-038 Site-Specific Forms Used as Source Documents** | | | |
| --- | --- | --- | --- |
| **Form Name** | | **Is Form Source?** | **Comments** |
| Eligibility Checklist | | Mixed | All items are based on source data recorded on other documents. Form is source for signature items. |
| Behavioral Eligibility Worksheets | | Yes | Form is source for all items as participant responses are entered directly into the form. |
| LDMS Specimen Tracking Sheet | | Yes | The LDMS sheet serves as source to document which specimens were collected, at what time, and on what date. The sheet is also source for specimen weights. |
| Local Site Specific Testing Logs (HIV, Urinalysis) | | Mixed | Local lab testing sheet (CTRC Phlebotomy and Testing sheet) is source for rapid HIV test results, though results are also transcribed onto visit checklists. Visit checklists are source for others. |
| Pelvic Exam Diagrams | | Yes | Form is source for all items |
| Site Specific Visit and Pelvic Exam Checklists | | Yes | Forms are source for the completed procedures. |
| Counseling Worksheets (HIV Pre/Post Test and Risk Reduction Counseling Worksheet, Protocol Counseling Worksheet) | | Yes | Forms are source for protocol specified counseling |