**PURPOSE**

The purpose of this standard operating procedure (SOP) is to define source documentation requirements and procedures for MTN-025.

**SCOPE**

This procedure applies to all MTN-025 study staff at *[Insert site name]* that conduct study visits and/or complete source documents and case report forms.

**RESPONSIBILITIES**

MTN-025 staff members who complete study visits and/or complete MTN-025 study documentation are responsible for understanding and following this SOP.

MTN-025 *[Insert responsible staff]* is responsible for training study staff to collect and manage MTN-025 study data in accordance with this SOP, and for day-to-day oversight of staff involved in data collection and management.

MTN-025 QA/QC Manager is responsible for overseeing quality control (QC) and quality assurance (QA) procedures related to this SOP.

MTN-025 Site Leader/Investigator of Record has ultimate responsibility for ensuring that all applicable study staff follows this SOP.

PROCEDURES

Source documentation for MTN-025 will be completed in accordance with the DAIDS Standard Operating Procedure (SOP) for Source Documentation. This policy can be accessed at:

http://www3.niaid.nih.gov/research/resources/DAIDSClinRsrch/ClinicalSite.htm

*[Note to sites: if applicable, include here the text “Source documentation for MTN-025 also will be completed in accordance with the [list applicable national, local, or facility-specific documentation regulations and guidelines] (see Attachment x).”]*

Table A provided in Appendix 1 lists all the MTN-025 study procedures and associated source documents. Table B provided in Appendix 1 designates the MTN-025 Case Report Forms (CRFs) that will and will not be used as source documents, respectively.

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-025 Procedures and Source Documents

Part B, MTN-025 CRFs and 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

|  |  |  |  |  |
| --- | --- | --- | --- | --- |
|  |  |  |  |  |
|  | Author, Author’s Title |  |  | Date: |
|  |  |  |  |  |
|  | Approver’s Name, Approver’s Title |  |  | Date: |

**Appendix 1; Part A**

**MTN-025 Source Documentation of Study Procedures**

\*\*Note that items 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 forms**Informed Consent Coversheet(or chart note)**Informed Consent Comprehension Checklist**  |
| Assign a unique Participant Identification (PTID) number  | **MTN-025 PTID-Name Linkage Log** |
| Assess and/or confirm eligibility | **Eligibility Checklist** (signatures)**Decliner Eligibility Checklist** (signatures) |
| Collect/review/update locator information | Site locator documents (collect/update)Visit checklist (review) |
| Provide reimbursement  | Visit checklist, site-specific reimbursement log, and/or chart note |
| Schedule next visit | Visit checklist and/or chart note |
| **BEHAVIORAL** |
| Contraceptive counseling | Chart note and/or site-specific counseling worksheet |
| Protocol adherence | Chart note and/or site-specific counseling worksheet |
| HIV/STI risk reduction counseling | Chart note and/or site-specific counseling worksheet |
| HIV pre- and post-test counseling | Chart note and/or site-specific counseling worksheet |
| Behavioral assessment | Completed interviewer-administered CRFs:**Baseline Behavior Assessment** **Baseline Vaginal Practices** **Behavior Assessment****Vaginal Practices** **Social Influences Assessment** **Study Exit Assessment** ACASI completion documented on**: ACASI Tracking CRF** |
| Social harms assessment | **Behavior Assessment CRF** (assessment)**Social Impact Log CRF** (source for actual event)Chart Note |
| **CLINICAL** |
| Medical and menstrual history | **Baseline Medical History Log CRF** (all baseline conditions including clinical evaluations will be summarized here)**Adverse Experience Log and Grade 1 Adverse Experience Log CRFs** (all follow-up conditions including abnormal findings from clinical evaluations will be documented on one of these CRFs)Chart Notes*Source documentation for participant reported medical/menstrual history:***Baseline Medical History Questions****Baseline Medical History Log** Pregnancy Test Result(source for LMP)Pregnancy Report and History CRF (source if relevant medical records are not available)Pregnancy Outcome CRF (source if relevant medical records are not available)Chart Notes |
| Concomitant medications | **Concomitant Medications Log CRF** **Family Planning Log CRF** |
| Physical examination | **Vital Signs CRF****Physical Exam CRF** |
| Pelvic exam | **Pelvic Exam Diagrams****Pelvic Exam CRF** (source for cervical ectopy) |
| Offer contraceptives | Chart Note and/or prescription |
| Disclose available test results | Chart note and/or visit checklist |
| Record/update AEs | **Adverse Experience Log and Grade 1 Adverse Experience Log CRFs**Chart note |
| Treat or prescribe treatment for UTIs/RTIs/STIs or refer for other findings | Chart notes and/or prescriptionReferral Letter |
| **LABORATORY** |
| Specimen Collection Times | Lab Requisition form |
| hCG | Site-specific lab requisition form Site testing log/results report  |
| Urine culture | Site-specific lab requisition formLab result report |
| NAAT for GC/CT | Site-specific lab requisition formLab result report |
| HIV-1 Serology | Site-specific lab requisition formSite testing log/results report (rapids, Geenius confirmatory testing)Lab result report (HIV RNA) |
| CBC with platelets | Site-specific lab requisition formLab result report |
| Chemistries | Site-specific lab requisition formLab results report |
| Syphilis serology | Site-specific lab requisition formLab result report |
| Plasma  | Site-specific lab requisition form or chart note |
| Rapid test for Trichomonas | Site-specific lab requisition formSite testing log/results report |
| Vaginal fluid collection  | Site-specific lab requisition form, chart note, or visit checklist |
| Pap Smear interpretation | Site-specific lab requisition formLab results report |
| Returned Study VR | Site-specific lab requisition formLab result report |
| Hair | Site-specific lab requisition form, chart note, or visit checklist |
| **STUDY PRODUCT/ SUPPLIES** |
| Offer condoms | Site-specific counseling notes/worksheets or visit checklist |
| Provision of study VR instructions  | Chart notes or Visit checklist  |
| Offer and, if accepted, provide study VR | **Study Prescription** (initial ring)**Vaginal Ring Request Slip** (subsequent rings)**Ring Collection/Insertion CRF** (source for rings offered and declined or provided to participant) |
| Removal and collection of used/unused study VR | **Ring Collection/Insertion CRF****Vaginal Ring Tracking Log**Chart note or Visit checklist |
| Digital exam(s) by clinician to check VR placement  | Chart note or Visit checklist |
| **OTHER** |
| Protocol Deviations | **Protocol Deviation Log CRF** |
| A record of all contacts, and attempted contacts, with the participant | Missed Visit CRFSite-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 |
| Participant Demographics | **Demographics CRF** |
| Staff-initiated Study Product Holds and Permanent Discontinuations | **Clinical Product Hold/Discontinuation Log CRF**  |

**Appendix 1; Part B**

**MTN-025 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)** |
| ACASI Tracking Y/N Prompt  | Yes |  | eCRF |
| ACASI Tracking | Yes |  | eCRF |
| Additional Study Procedures Y/N  | Yes | Form is administrative only. | eCRF |
| Adverse Event Y/N Prompt | Yes |  | eCRF |
| Adverse Experience Log | Mixed | * Form is source for participant reported AEs
* Non-CRF documents are source for Laboratory and Clinical AEs
 |  eCRF |
| Baseline Behavior Assessment Y/N Prompt | Yes | Form is administrative only. | eCRF |
| Baseline Behavior Assessment | Yes | Form is interviewer-administered and must be source for all items. | Paper CRF  |
| Baseline Medical History Log Y/N Prompt  | Yes | Form is administrative only. | eCRF |
| Baseline Medical History Log  | Yes | Baseline Medical History Questions may also supplement as source.  | eCRF |
| Baseline Vaginal Practices Y/N Prompt | Yes | Form is administrative only. | eCRF |
| Baseline Vaginal Practices | Yes | Form is interviewer-administered and must be source for all items. | Paper CRF |
| Behavior Assessment Y/N Prompt | Yes | Form is administrative only. | eCRF |
| Behavior Assessment  | Yes | Form is interviewer-administered and must be source for all items. | Paper CRF |
| Clinical Product Hold/Discontinuation Log Y/N Prompt | Yes | Form is administrative only. | eCRF |
| Clinical Product Hold/Discontinuation Log  | Yes |  | eCRF |
| Concomitant Medications Log Y/N Prompt  | Yes | Form is administrative only. | eCRF |
| Concomitant Medications Log  | Yes |  | Paper CRF at ScreeningeCRF from Enrollment |
| Date of Visit  | Yes |  | eCRF |
| Demographics  | Yes | Form is source for all items as participant responses are recorded directly onto the form. | Paper CRF |
| Eligibility Criteria  | No | Eligibility checklist and/or Screening and Enrollment Log is source for all items. | Paper CRF |
| Eligibility Criteria – Decliner Population | No | Decliner Eligibility checklist and/or Screening and Enrollment Log – HOPE Decliner Population is source for all items. | Paper CRF |
| Enrollment | Mixed | Consent forms are source for consent form dates and long-term storage. Lab testing logs/result reports are source for HIV status. Form may be source for enrollment date.  | eCRF |
| Enrollment – Decliner Population  | Mixed | Consent form is source for consent date. Form may be source for enrollment date. Decliner procedures are based on other CRF completion. | eCRF |
| Family Planning Log  | Yes |  | eCRF |
| Follow-up Visit Summary  | Yes |  | eCRF |
| Grade 1 Adverse Experience Log  | Mixed | * Form is source for participant-reported AEs
* Non-CRF documents are source for Laboratory and Clinical AEs
 | Paper CRF (Will not be data entered into Medidata Rave unless instructed by SCHARP).  |
| HIV 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 Procedures | Yes | Form is administrative only. | eCRF |
| Laboratory Results  | Mixed | Form may be source for all non-lab value items (i.e., severity grade, etc.). | At Screening: Paper CRFFrom enrollment: eCRF  |
| Missed Visit  | Yes |  | eCRF |
| Participant Receipt | Mixed | Form may be source for study site names. Applicable informed consent form is source for the remaining items. | eCRF |
| Participant Transfer | Yes |  | eCRF |
| Pelvic Exam Diagrams | Yes |  | Paper completion only |
| Pelvic Exam  | Mixed | Form is source for cervical ectopy. Pelvic Exam Diagrams is source for findings. AE Log CRF is source for item ‘any new pelvic findings AEs’. | eCRF |
| Pharmacy Ring Dispensation  | No | Pharmacy dispensing records are source. | eCRF |
| Physical Exam  | Yes |  | eCRF |
| Pregnancy Outcome Y/N Prompt | Yes |  | eCRF |
| Pregnancy Outcome  | 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 and History  | Yes | Form is source for all items. Supplemental information also may be recorded in chart notes.  | eCRF |
| Pregnancy Test Result  | Mixed | Form is source for last menstrual period (LMP) items. | eCRF |
| Pre-Screening Outcome  |  No | Participant Eligibility List is source for ASPIRE PTID and reason participant not contacted, depending on the reason. Site-specific form may be source for all other items.  | eCRF |
| Protocol Deviation Log Y/N Prompt | 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 |
| Ring Adherence Y/N Prompt  | Yes |  | eCRF |
| Ring Adherence  | Yes |  | eCRF |
| Ring Collection and Insertion | Mixed | Form is source for participant reported itemsNon-CRF documents source for ring provision and collection items | eCRF |
| Seroconverter Laboratory Results Y/N Prompt  | No | MTN-015 screening and enrollment log is source for if participant was enrolled in MTN-015. | eCRF |
| Seroconverter Laboratory Results | No | Site testing logs/lab result reports are source | eCRF |
| Social Benefit Log Y/N Prompt | Yes | Form is administrative only.  | eCRF |
| Social Benefit Log | Yes |  | eCRF |
| Social Impact Log Y/N Prompt | Yes | Form is administrative only.  | eCRF |
| Social Impact Log  | Yes |  | eCRF |
| Social Influences Assessment Y/N Prompt | Yes | Form is administrative only.  | eCRF |
| Social Influences Assessment  | Yes | Form is interviewer-administered and must be source for all items. | Paper CRF |
| Specimen Storage  | Mixed | Form is source for item ‘was blood visible on swab’ and if ‘used ring in place at time of swab collection’. Form may be source for ‘reason hair collection not done’.  | eCRF |
| STI Test Results  | No | Form is source for all non-lab value items. Lab testing log/report is source for all other items. | At Screening: Paper CRFFrom enrollment: eCRF |
| Study Exit Assessment Y/N Prompt |  | Form is administrative only.  | eCRF |
| Study Exit Assessment | Yes | Form is interviewer-administered and must be source for all items. | Paper CRF |
| Termination  | Yes |  | eCRF |
| Vaginal Practices Y/N  | Yes | Form is administrative only.  | eCRF |
| Vaginal Practices  | Yes | Form is interviewer-administered and must be source for all items. | Paper CRF |
| Vaginal Ring Tracking Log Y/N Prompt | Yes | Form is administrative only.  | eCRF |
| Vaginal Ring Tracking Log  | Mixed | Form is source for quantitative and qualitative participant questions and reason ring not returned. Ring accountability log may be source for remaining items.  | eCRF |
| Vital Signs  | Yes |  | eCRF |

*\**

*The following Screening CRFs (Demographics, Concomitant Medications, Baseline Medical History Log, Pelvic Exam, Physical Exam, Vital Signs) will first be completed via paper CRFs. It is acceptable for the Eligibility Criteria CRF, Laboratory Results CRF, and STI Test Results CRF to be entered as eCRFs once it has been determined that the participant will enroll into the study. If the Laboratory Results and STI Test Results are completed as eCRFs once the participant enrolls, then the lab testing form and chart notes will be considered the source documents.*

*\*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.*