TABLE OF CONTENTS

PURPOSE

The purpose of this Standard Operating Procedure (SOP) is to describe the process for verifying the data for Research Protocols conducted by the North American Consortium for Histiocytosis (NACHO) through its participating sites.

POLICY

All research protocols approved by the Executive Committee of NACHO will be monitored to assure adherence to regulatory requirements for the protection of human subjects; that the reported research protocol data is accurate, complete, and verifiable from source documents; and the conduct of the trial is in compliance with the currently approved protocol, amendment(s), with Good Clinical Practices and applicable regulatory requirements. All NACHO research protocols must include a Monitoring Plan.

PROCEDURES

I. The monitoring process is a formal source, regulatory, and database review of a NACHO research protocol which is conducted after study subjects are enrolled and protocol specified treatment has been delivered (partly or completely).

A. Development of a Monitoring Plan

1. The responsibility of drafting and proposing a monitoring plan lies with the Study Chair (SC) of the research protocol. The plan should include:
   a. Designating a monitor to oversee the progress of the study (a qualified internal candidate or contract monitor)
   b. Procedures to review performance at all sites
      1. Data collection
      2. Protocol adherence
      3. Regulatory requirements
   c. Determining the nature and frequency of site monitoring based on complexity and risk level of trial
2. The NACHO Operations Center (NACHO OC) will review the draft and make recommendations for the plan.
3. The NACHO Scientific Committee is responsible for approving the final monitoring plan

B. Scheduling a Monitoring Visit or a Remote Monitoring

1. The monitor will contact the Site PI and study coordinator to coordinate dates for the monitoring visit at least 45 days in advance.
2. A data cutoff date will be communicated to the site, to occur approximately 20 – 25 days prior to the visit
3. A memo will be sent by the monitor to the PI, Study Coordinator, and NACHO OC reflecting the dates and expectations of the visit

C. Pre- Visit Preparation for the Institution (site)

1. The site is responsible for ensuring that all relevant materials are available for review at the time of the monitoring visit.

   This includes:

   a. Original patient source documents
   b. IRB approvals, re-approvals, and amendment approvals
   c. annual reports submitted to the IRB
   d. the current version of the research protocol, including any informed consents and any protocol supporting documents required by protocol
   e. records regarding the disposition of investigational drugs and drug accountability record forms
   f. research protocol regulatory binder with all essential documents and NACHO numbered memos and correspondence
   g. SAE reports and safety reports

D. Conducting the Onsite Monitoring Visit

1. The Site PI and study coordinator will:
   a. be available at the beginning and throughout the monitoring visit to answer any questions and help the monitor locate necessary information in the source documents
   b. have appropriate space available for the monitor including any needed equipment
   c. have permissions in place for electronic medical records, electronic medication administration records, and laboratory records needed for source documentation review
   d. be available at the conclusion of the visit for the exit interview
2. The monitor will:
   a. meet with the research team upon arriving at the facility
   b. review with the study team the monitoring plan
   c. keep in contact throughout the day of the progress of the monitoring visit, and report any issues that arise
   d. at the conclusion of the visit, conduct an exit interview with the PI and study coordinator to discuss preliminary findings, present any issues, and discuss any recommendations
   e. report immediately to the Study Chair and NACHO Chair any protocol violations or SAE's found not previously reported

E. Reporting of the Monitoring Visit

1. The monitor will provide an initial report of findings to the site no later than 2 weeks from the time of the site visit.
2. The site must perform data corrections, develop action plans, or otherwise respond to the initial report within 15 days of receiving the initial report.
3. The monitor will prepare a final report of the findings of the monitoring visit to include any unresolved findings from the initial report and all major findings whether or not those have been corrected. The final report will be sent to the NACHO OC and the study PI for review.
4. The final report will be signed and dated by the monitor and the NACHO Director of Clinical Trials Operations.
5. The final approved report will be sent to the Institution (site) PI for signature and date.
6. The final signed report will be filed in the research protocol monitoring binder at the institution and at the NACHO OC.

MAINTENANCE RESPONSIBILITY

The NACHO SOP Ad Hoc Committee is responsible for the annual review of this SOP. Suggested changes must be proposed to and approved by the NACHO Executive Committee.

AUTHORIZATION

This SOP was developed by the SOP Ad Hoc Committee and reviewed and approved by the NACHO Executive Committee.

VERSION/REVISION HISTORY

Approval Date	Version	Version/Revision Summary
12/18/2018	V 1.0	Original documentation/publication.