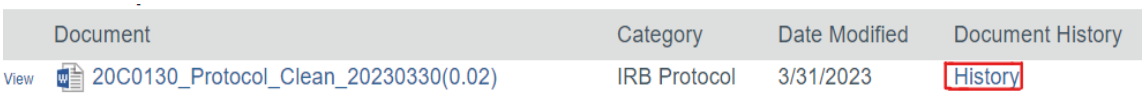
TIPS for DOCUMENT MANAGEMENT in PROTECT

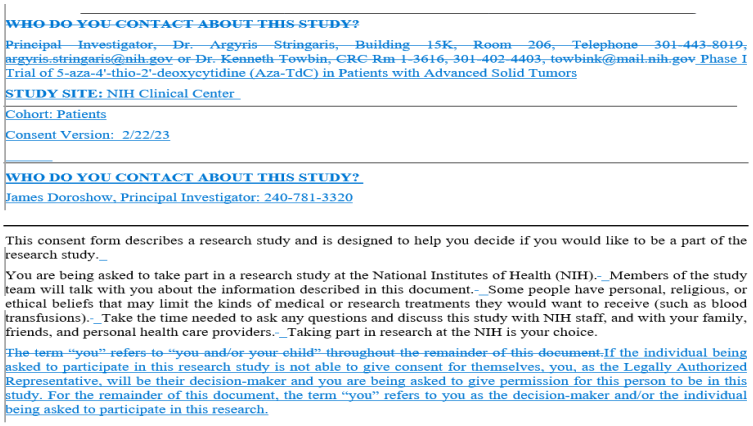
COMPARING DOCUMENTS ONCE YOU HAVE ADDED A MODIFED DOCUMENT

To the right of your document file, you will see History.

- Click on History and you will see your document files and all the document versions. In order to view the changes made within the modified document, you will use the compare function.



- Under the Compare column, click on the box of the last approved document and then the box of the most recently modified version
- Click the navy-colored compare button
- The Modified Word document is then downloaded, and when you open it, the tracked changes will be visible.



~~WHO DO YOU CONTACT ABOUT THIS STUDY?~~

~~Principal Investigator, Dr. Argyris Stringaris, Building 15K, Room 206, Telephone 301-443-8019, argyris.stringaris@nih.gov or Dr. Kenneth Towbin, CRC Rm 1-3616, 301-402-4403, towbink@mail.nih.gov~~ Phase I Trial of 5-aza-4'-thio-2'-deoxycytidine (Aza-TdC) in Patients with Advanced Solid Tumors

STUDY SITE: NIH Clinical Center

Cohort: Patients

Consent Version: 2/22/23

WHO DO YOU CONTACT ABOUT THIS STUDY?

James Doroshow, Principal Investigator: 240-781-3320

This consent form describes a research study and is designed to help you decide if you would like to be a part of the research study.

You are being asked to take part in a research study at the National Institutes of Health (NIH). Members of the study team will talk with you about the information described in this document. Some people have personal, religious, or ethical beliefs that may limit the kinds of medical or research treatments they would want to receive (such as blood transfusions). Take the time needed to ask any questions and discuss this study with NIH staff, and with your family, friends, and personal health care providers. Taking part in research at the NIH is your choice.

~~The term "you" refers to "you and/or your child" throughout the remainder of this document.~~ If the individual being asked to participate in this research study is not able to give consent for themselves, you, as the Legally Authorized Representative, will be their decision-maker and you are being asked to give permission for this person to be in this study. For the remainder of this document, the term "you" refers to you as the decision-maker and/or the individual being asked to participate in this research.

CONSENT FORMS (CFs)

CORRECTIONS

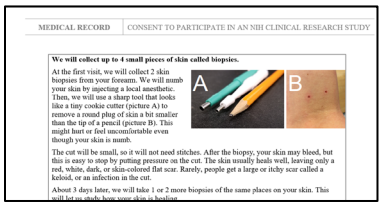
Approved, finalized (stamped) CFs cannot be administratively corrected by the IRBO. If OPS or the study team notes an administrative correction is needed due to:

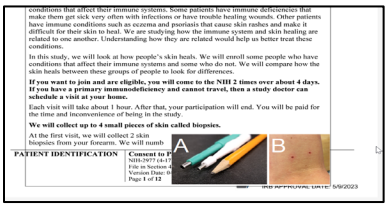
- incorrect pagination;
- interpreter signature section formatting is off;
- OPS document number in the footer is incorrect;
- signature page is incorrect;
- signature page is missing a signature line;
- the stamp in footer is covering text ; or
- version date is incorrect,

OPS should contact the study team directly, and the study team will need to submit a MOD with the updated CF(s).

Tips for the study team re: consent forms:

- QC your consent form for items listed above before you submit to IRBO
- Ensure the margins are standard per the approved CF templates (pay particular attention to translated documents and documents with graphics)
- Ensure there is plenty of room in the footer for a stamp
- The use of pictures or graphics in CFs sometimes creates problems when we finalize the document, and it converts into a PDF. *Suggest* doing a test run with converting your document from MS Word to PDF yourself and double checking it, before you upload/update it in PROTECT.





DEACTIVATING CFs from PROTECT & NIH Clinical Center Clinical Search The Studies Page

At this time, CFs are not being 'deactivated' in PROTECT. If the study is actively enrolling, and there is a consent form in PROTECT that is no longer in use, then the study team should submit a MOD to reflect that. At the moment the consent form(s) remain in the system, and it will be noted in the History the study team is no longer using those documents.

The following are ways to trigger OPS to remove the CF from the NIH CC Search The Studies page:

- When a change in study status to Data Analysis (DA) is submitted to OPS/updated in PQS, CFs are automatically 'deactivated'
- Study team e-mails OPS directly to make a request; (e.g., if the study team has a consent form for a specific study cohort that needs to be deactivated, etc., they should contact OPS directly)
- Cover memo submitted with a MOD to the IRB makes it clear they are 'deactivating' consent forms. The cover memo is finalized and pulls over to OPS via the API for review by OPS staff processing the action

This information should be added to PQS FAQs, so you can check the PQS FAQs in the future and see if that gets updated.

Note: IRB approved, finalized & stamped Consent forms (CFs) are sent from PROTECT to OPS via the Application Programming Interface (API) and OPS uploads the document to the NIH CC Clinical Studies Search database the next day via the nightly feed.

In summary, PQS is linked to the NIH CC Clinical Studies website to allow 'deactivation' of CFs. IRBO won't be deactivating the CFs within PROTECT. To ensure deactivation on the Clinical Studies website, the study team should contact OPS directly.

STUDIES PREVIOUSLY IN DATA ANALYSIS (DA) in iRIS:

- If the consent forms migrated, they do not need to be deleted from the system. We can retain them for historical purposes; we may need access to them in the future should a UP or noncompliance issue arise.
- Study teams DO NOT need to upload consent forms for studies in DA that did not migrate as they were or should have been deactivated/voided out in iRIS

STUDIES THAT MOVE/CHANGE STATUS to DA in PROTECT:

- CFs will not be "deactivated' in PROTECT. They will just remain as they are.

CORRECTING PROBLEMS WITH DOCUMENTS

If documents are not added/updated correctly by the study team, the IRBO does not have the ability to make any changes to remedy this in PROTECT. Options for the study team to address this problem:

- Discard the submission and submit a new one (The study team should be able to copy the old submission into a new one, so this saves time and allows the team to correct it as necessary) **This should only be done when the action is in the Pre-Review state unless requested by the IRBO.**
- Withdraw the submission--**this should only be done when the action is in the Pre-Review state**. Be sure to contact the IRBO Analyst prior to withdrawing the

action. NOTE: If you withdraw the action, it has implications for ancillary committee reviews (DEC, Pharmacy, etc.). Though these ancillary reviews have been notified when your action is submitted to the IRBO. Upon withdrawal, the submission is removed from their Inbox, so they can't see it. You should also notify them via e-mail.

COVER MEMO/SUMMARY OF CHANGES

- If the study team is adding a new summary of changes as part of the MOD, the newest one should be updated/uploaded/stacked each time one is submitted versus adding a new document separately each time
- The Cover Memo will be finalized by the IRB, so it can be pulled over by the API to OPS for review

DEVICE FDA/SPONSOR DOCUMENTS

- If the study has an active IDE/NSR Device/IDE Exempt Device, FDA letters, sponsor documentation or other supplemental documentation should be added under DEVICES, # 3 Attach files

DEVICE INFORMATION

- When adding devices under #1, attach files related to this device; documentation about the product from the manufacturer, e.g., how it works, safety, etc.

IND FDA/SPONSOR DOCUMENTS

- If the study has an active IND, the FDA safe to proceed letter, the IND Sponsor activation letters with the IND#, Sponsor Cross references letters, et al. should be added under DRUGS, #4 Attach files

INTERNATIONAL STUDIES

Local Site documents/Other Attachments

- Add the Model CF here (The Model CF covers activities that are occurring at non-NIH sites. These documents are not stamped and do not go to OPS.)

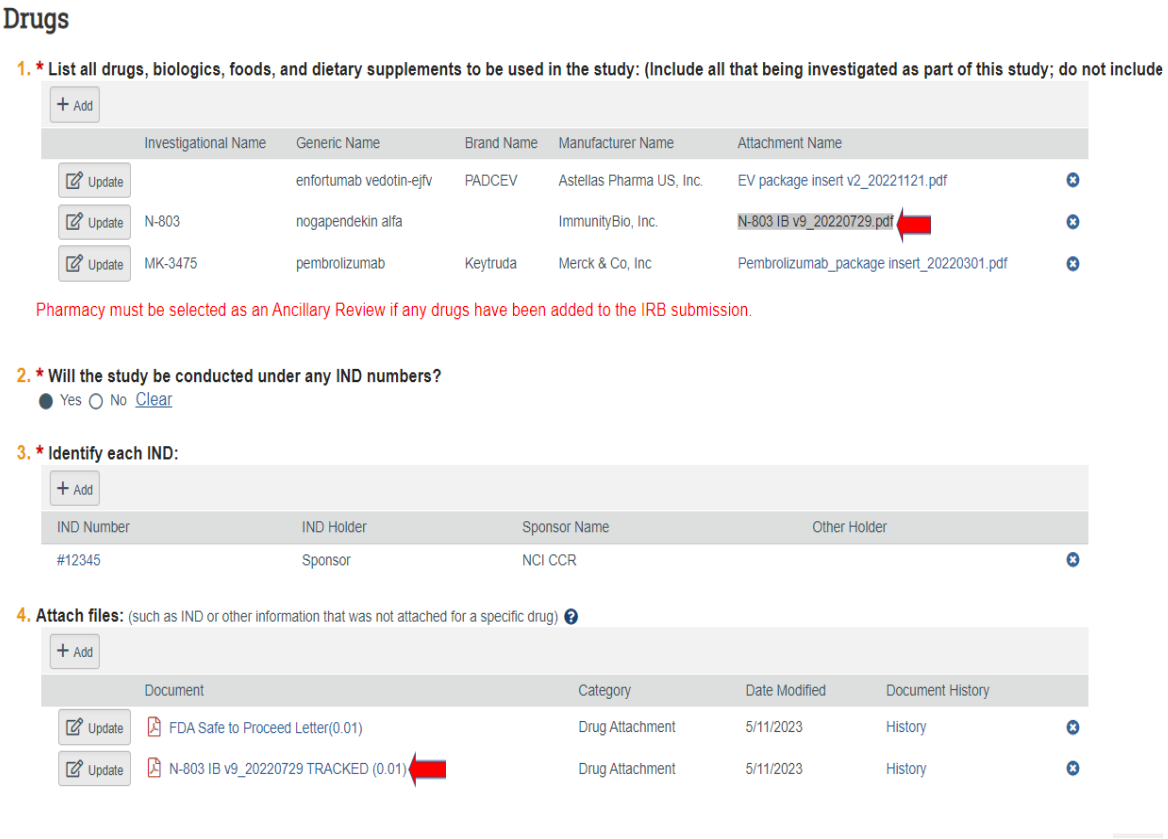
INVESTIGATOR BROCHURE (IB) in PDF:

"Drugs" section:

- #1 is where the clean copy of the IB and addendums will be housed
- #4 is where the tracked change version/summary of changes will be housed
- IRBO will not finalize the tracked version; t will always be in DRAFT

If the clean copy of the IB is under #4 or "Other Documents", the study team will need to correct this/move it up to #1.

- Do not delete any documents from #4 until you have moved ALL the clean copies of the IBs to #1. Then you can delete the clean copies of the IB from #4 .
- #4 is for the "track changes" version of the IBs only.



MULTI-SITE STUDIES (MSS)

Study-Related Documents:

- This is the section for IRB-approved CORE Site/Parent Protocol documents that are used study-wide e.g., the sponsor/model protocol, model consent, model telephone script, model recruitment materials, etc.
- These represent the NIH developed model templates for **participating sites** to access & use to create their own site-specific documents.
- If the study is a MSS for which NIH is serving as the sIRB, use this section to add the protocol and the **model** templates.

Local Site Related Documents:

- Documents to be used at the **specific site**
- Local site for our purposes in most cases refers to the NIH site (e.g., Clinical Center)

pSite (Local) Site Related Documents

- From the pSite workspace, these would be those documents specific to their site (e.g., recruitment materials, site consent, site protocol addendum, CEDE review letter recruitment materials, site consent forms)

NOMENCLATURE/NAMING CONVENTION OF DOCUMENTS
(Link to OHSRP website:
https://irbo.nih.gov/confluence/display/ohsrp/How+to+Name+Your+Documents)

- Documents titles should be clear, concise, & short

- Examples:
  Consent Form
  IRB#. OPS assigned footer (#). Cohort name. Version Date (**DDMMMYYYY)**
  000023.1.Healthy Volunteer.11MAY2023
  Protocol
  IRB#. Protocol. Version Date
  Recruitment Materials
  IRB. Flyer. Version Date

- *We will accept version dates as indicated by the following:*
  (YearMonthDay) *as we recognize this may be a sponsor requirement*
  000023.1.Standard. 2023MAY11

  Note: WORD documents that are now submitted are in clean copy only; there is no longer a need to indicate in the title of the document in PROTECT that it is CLEAN

SINGLE SITE (NIH ONLY) STUDIES

Local Site Documents:

- This is for NIH-specific documents that will be used at the **NIH site(s)**
- Add consent forms, recruitment materials and other attachments in the proper locations.
  - Consent forms should include all consent, assent forms, verbal scripts or information letters. Any duplicate consent/assent forms should be deleted.
  - Recruitment materials should include all ads, social media advertisements, website information, flyers, recruitment scripts, email or letter templates, screening scripts (that are used prior to enrollment) that will be used with potential subjects
  - Other attachments should include study instruments and all other documents that are not the protocol, consent or assent documentation or recruitment materials. When adding these documents, be sure to choose the appropriate category, when available, e.g., study instruments, external IRB letter, consent translation certificate, etc.
- Note: The study team must add all local site documents prior to initiating scientific review because the SRC will need access to them.

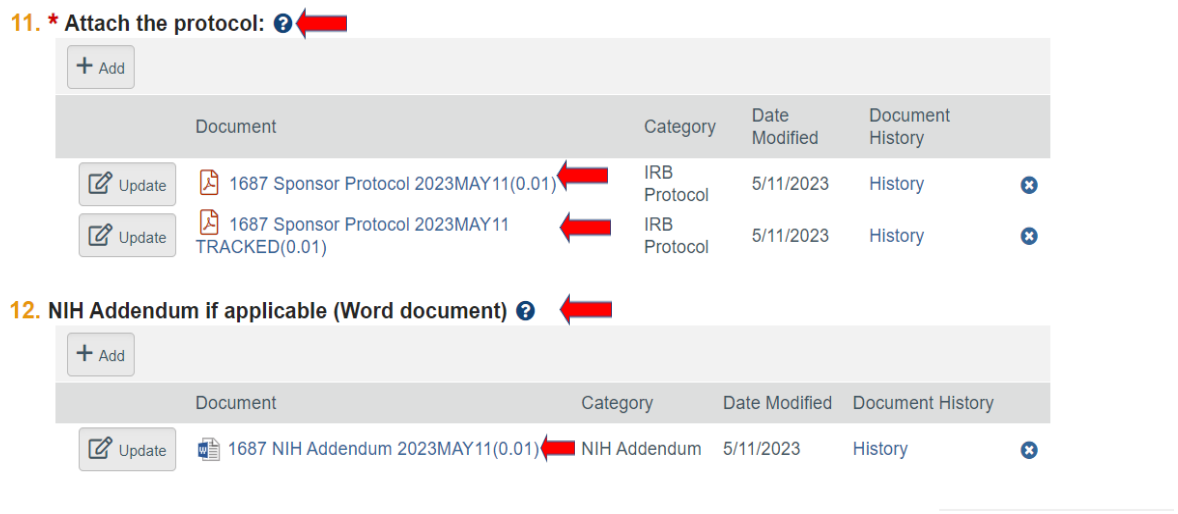
SPONSOR PROTOCOLS that only come in PDF

BASIC Study Information Section

- *#11 Add Clean Copy of the Sponsor Protocol here
- *#11 Add Tracked Change version of the Sponsor Protocol just beneath the Clean Copy of the Sponsor protocol. (IRBO will not be approving tracked change documents.)
- DO NOT attach the Tracked Change version of the sponsor protocol in the Drugs Section or in "Other attachments" (at the end of the form) as this will impact document management over time.
- *#12 Add the NIH Addendum here as an MS Word document. (See screen shot below.)

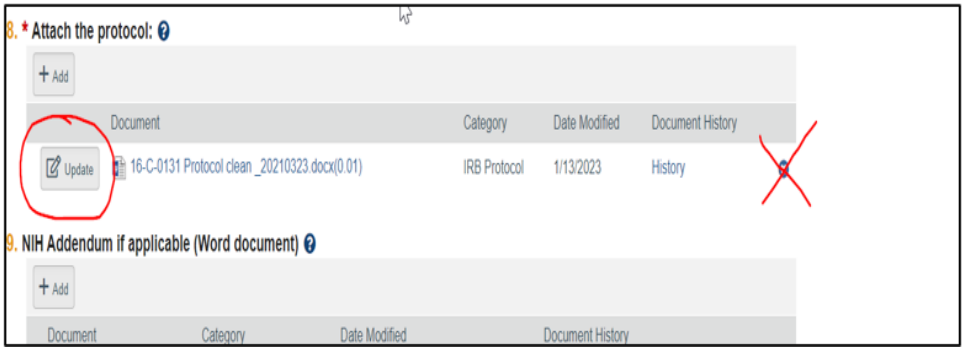
**These numbers may change depending on how the previous questions are responded to.*

Please note that the approved sponsor protocol and approved NIH addendum are combined when they are pulled over by the API which is why they need to reside in this section.

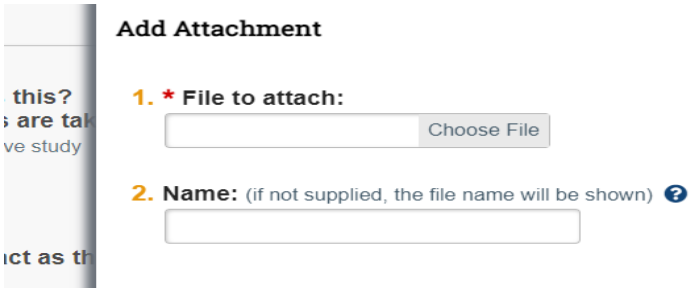


STACKING (UPDATING/UPLOADING) MODIFIED DOCUMENTS

- Update documents by editing the main study form
- ALWAYS click the "Update" button when updating an existing document
- NEVER click the delete 'X' icon unless advised to do so by PROTECT Training Support. Why is this? Clicking the delete icon will delete the entire history of documents within that file; therefore, they cannot be referred to in the future for comparisons and are lost are part of the official record.

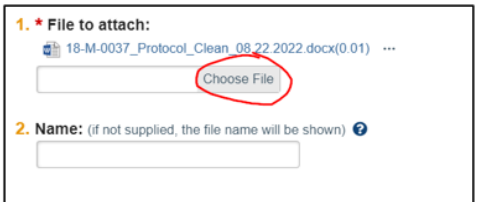


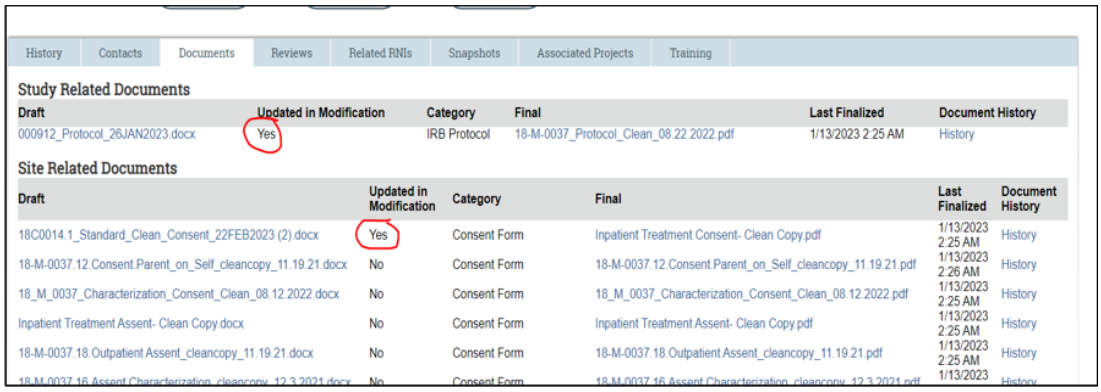
When you click the "Update" button you will see a pop-up screen where you will add/upload your modified document on top of the previous document.



Click the "Choose File" button which will then allow you access to your file, via desktop, share drive file, or wherever you store your electronic documents on your computer.

You will see the name of the document appear with its file name. Below you will see a text box for you to type in the "Name"/Title of the document. If you leave this box blank, the system then defaults to the document file's current name/title. If you wish to update that title, you can do so by typing in a new short, clear concise document name following the IRB naming conventions. Also note that you will see the document version number (.01, .02, .03) advance in the system, each time you "stack" new document.





KEY POINTS TO REMEMBER

- **Ensure all your additional edits are made prior to uploading the FINAL Clean Copy of the document**
- If you need to make another modification to the document, you will need to update/ upload/stack a new version on top of the existing document
- Additional updates/uploaded documents will advance the version date
- There is no way to delete incorrect versions that you updated/ uploaded/stacked in the system. Once updated/uploaded/stacked in the system, it is there to stay. The only way to remove that document is to delete the entire document history for that file. This is not an option unless you consult with PROTECT Training Support.

VERSION DATES:

- Documents submitted should retain the same version date that was provided when the initial review/modification was submitted to the IRB.
- That version date will remain throughout ***that submission***
- No need to update each time the document is revised in response to clarifications or stipulations
- The next time a modification is initiated by the study team, the version date will be updated at that time
- *Sponsored studies may require some flexibility here as they may insist that if the documents are modified, the version date be updated at that time*

WHICH DOCUMENTS ARE "FINALIZED" IN PROTECT?

- **INITIAL REVIEWS:**
  - All documents submitted
- **MODIFICATIONS:**
  - All newly revised documents that have "YES" listed to them in Document History
  - Documents submitted with a change in document title
  - Documents that did not migrate over to include:
    - Consent Forms

        - When these are finalized, the system stamps the document, and the approval date is updated
    - FDA/Study Sponsor IND/IDE Documentation
    - IB
    - NIH Addendum
    - Sponsor Protocol that has been de-coupled from the NIH Addendum
    - Package Insert
    - Recruitment Materials
    - Study Instruments

Example of what documents won't be finalized:

- Tracked PDF of sponsored protocol
- Tracked PDF of Investigators Brochure (IB)
- Existing documents without modifications: If the study team changes the name of the document that was previously added and the document has not been modified, it will not be "finalized"

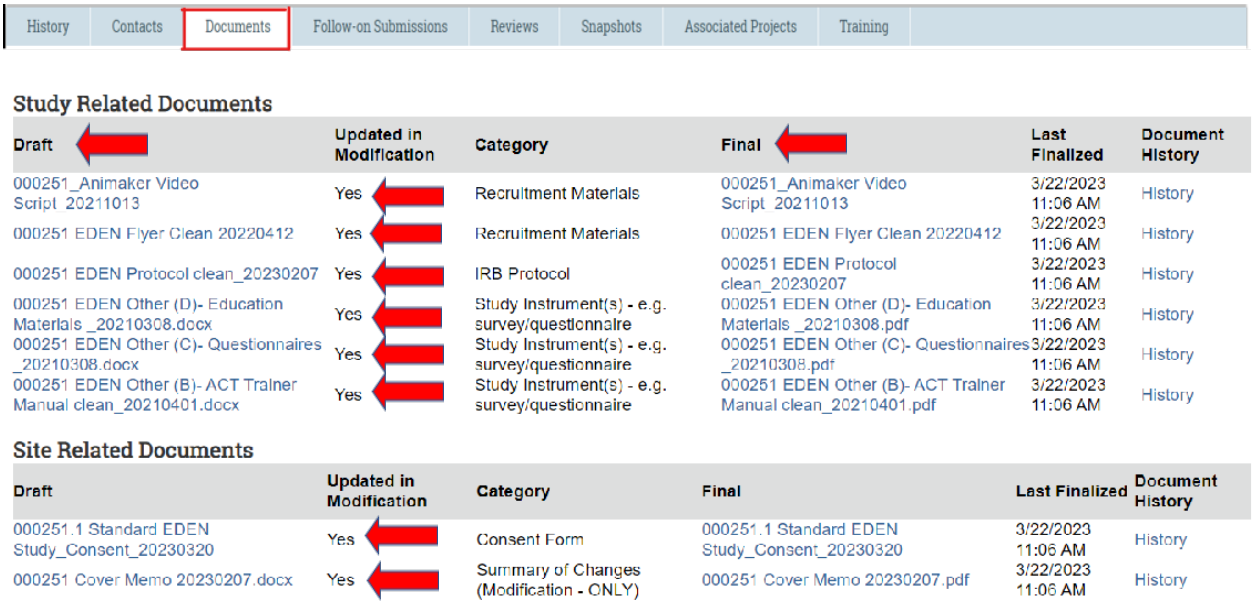
Note: If the IRBO does not finalize the document, the document name change will not be retained.

What Documents will be Stamped in PROTECT

- Clinical Center (CC), NIDA, NIEHS, et al, Consent Forms
- External/CEDED Consent Forms (note this is new from iRIS)
- Field Cohort Consent Forms
- Model Consent Forms
- pSite consent forms
- The following documents should be placed in the Informed Consent section, so they can be stamped:
    - "Information Sheets" that are used for waiver of documentation of consent
    - Notification to subjects/Information Letter
    - Verbal scripts

WHERE CAN I FIND MY IRB APPROVED DOCUMENTS?

- Documents will be housed in the Study Related and Site Related documents section (Protocol, consents, recruitment materials, etc.).
- All documents that are in the "Final" column are those that have been approved and stamped (if applicable) by the IRB.
- Refer to Document History Tab, documents are in DRAFT and FINALIZED



Why does the IRBO need to finalize previously approved documents?

- In the study document history, all currently approved documents need to be listed in the FINAL column versus in the DRAFT column; therefore, there is a need to finalize these documents even if nothing changed since the previous IRB approval
- The study team can create a Note to File (NTF) for consent form stamping and document date issues if need be. The NTF can account for migration issues related to their study migrating from iRIS to the new e-IRB system (e.g., account for double stamping of documents)
- If study team changes the name of the document that was previously uploaded and no new file is added, it does not need to be 'finalized' in PROTECT. If the document is not finalized, the name change will not be retained. Study teams have been told not to change the name of their documents.
- If files are uploaded because they didn't migrate and no changes were made to them, they still need to be finalized. The analyst may make a note in the approval letter that they were previously approved but did not migrate. If it's a consent form, finalizing will change the date of the stamp on the ICF. OPS is aware of this, and they will just post whatever comes through the system. The reason for this requirement is that we need to have files that are approved show up as final in PROTECT.

What if I don't see my documents that have been finalized/ did not pull over to protocol view, PQS/NIH CC Search the Studies page?

- If documents were not finalized/consent form was not stamped, contact IRBO directly either by sending an e-mail to the IRBO e-mail address, contact the analyst reviewing the action or your IRBO Team Lead.
- There are 2 ways this can be corrected:

- We can recommend the study team submits a new MOD requesting those documents be finalized; **OR**
- If this is due to an oversight by the IRBO, IRBO Directors can create an administrative MOD and finalize all those documents that weren't finalized and provide the study team with an updated Outcome Letter.

TRANSLATION of DOCUMENTS (CONSENT FORMS, RECRUITMENT MATERIALS, SURVEYS)

There are a few languages (e.g., Amharic, Gujarati) that must be submitted in PDF because when the MS Word version is stamped the text cannot be converted to PDF in PROTECT, there is an issue with the font suitcase. Check with PROTECT Training Support to see if the issue is resolved.