# NeuroNEXT Network

## Standard Operating Procedure (SOP)

Development and Maintenance of SOPs

Version 4.0

SOP NN GA 101

Originators: NeuroNEXT CCC and DCC Personnel

Reviewed and Approved by:

| |
|---|
| **Signature and Date:**<br>Christopher S. Coffey<br>*Electronically signed by: Christopher S. Coffey*<br>*Reason: I approve this document*<br>*Date: Mar 7, 2024 14:30 CST*<br>07-Mar-2024 |
| **Name and Title:** Christopher S. Coffey, PhD (DCC Principal Investigator) |
| **Signature and Date:**<br>Merit Cudkowicz<br>*Electronically signed by: Merit Cudkowicz*<br>*Reason: I approve this document*<br>*Date: Feb 29, 2024 20:51 MST*<br>29-Feb-2024 |
| **Name and Title:** Merit E. Cudkowicz, MD MSc (CCC Principal Investigator) |
| **Signature and Date:**<br>Marianne Chase<br>*Electronically signed by: Marianne Chase*<br>*Reason: I approve this document*<br>*Date: Feb 26, 2024 18:48 EST*<br>26-Feb-2024 |
| **Name and Title:** Marianne Chase, BA (CCC Senior Director of Clinical Trials Operations) |

# NN GA 101
# NEURONEXT NETWORK STANDARD OPERATING PROCEDURE FOR DEVELOPMENT AND MAINTENANCE OF SOPS

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|---|---|---|
| SOP: NN GA 101<br>Version No.: 4.0<br>Issue Date: 01Mar2024<br>Effective Date: 15Apr2024 | Development and Maintenance of SOPs | Supersedes Document : Version : 3.0<br>Effective Date : 21Oct2016 |

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|---|
| **Signature and Date:**<br>Dixie Ecklund<br>*Electronically signed by: Dixie Ecklund*<br>*Reason: I approve this document*<br>*Date: Feb 24, 2024 17:01 CST*<br>24-Feb-2024 |
| **Name and Title:** Dixie J. Ecklund, RN MSN MBA (DCC Associate Director) |
| **Signature and Date:**<br>*Electronically signed by: Stacey Grabert*<br>*Reason: I approve this document*<br>*Date: Feb 23, 2024 15:22 EST*<br>23-Feb-2024 |
| **Name and Title:** Stacey Grabert, Pharm.D, MS, (CCC Director of Quality Assurance) |
| **Signature and Date:**<br>Joan Ohayon<br>*Electronically signed by: Joan Ohayon*<br>*Reason: I approve this document*<br>*Date: Mar 11, 2024 09:38 EDT*<br>11-Mar-2024 |
| **Name and Title:** Joan Ohayon, RN, MSN, CRNP, MSCN (NINDS, NeuroNEXT Program Official) |

# NN GA 101
# NEURONEXT NETWORK STANDARD OPERATING PROCEDURE FOR DEVELOPMENT AND MAINTENANCE OF SOPS

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| SOP: NN GA 101<br>Version No.: 4.0<br>Issue Date: 01Mar2024<br>Effective Date: 15Apr2024 | Development and Maintenance of SOPs | Supersedes Document : Version : 3.0<br>Effective Date : 21Oct2016 |

## 1. POLICY

The NeuroNEXT Data Coordinating Center (DCC) at the University of Iowa Clinical Trials Statistical and Data Management Center (CTSDMC) and Clinical Coordinating Center (CCC) at the Massachusetts General Hospital Neurology Clinical Trials Unit (NCTU) will develop network-wide Standard Operating Procedures (SOPs) in adherence with SOP NN GA 103 *Document Development and Change Control* procedures. SOPs are version-controlled documents that describe policies, procedures, roles, and responsibilities for specific functions or activities conducted by the Network.

Each SOP will have a unique number. All SOP numbering will consist of the following format – NN YY XXXX, where NN is always present, YY represents the two-letter SOP series code, and XXXX represents the three- or four-digit SOP number. SOPs are grouped into series according to content and purpose.

The entire set of NeuroNEXT SOPs will be reviewed on a periodic basis as needed. Existing SOPs may be revised, or new SOPs may be developed as needed between reviews. Senior Leadership at the DCC and CCC will assign a qualified staff member who is familiar with the area covered by the SOP to author or edit a specific SOP, and to generate a draft for review by applicable NeuroNEXT personnel. The final draft is then circulated to the Directors of the DCC and CCC, the NINDS NeuroNEXT Program Official, the CCC Director of Clinical Operations, the DCC Associate Director, and the CCC Director of Quality Assurance for review and signature approval.

New SOPs are assigned the version number 1.0, and subsequent revisions are versioned with the next consecutive whole version number. If, after review, it is determined that an existing SOP does not require revision, the current version number and effective date are retained. The Document History for that SOP is updated to indicate that the review took place, and that no revisions were required.

If revisions have been made to an existing SOP, the final revised version is dated, re-versioned, and signed by the signatories described above. The Issue Date of the SOP is the date of the last obtained signature. In order to allow time for training of applicable NeuroNEXT members, the Effective Date will be 30 calendar days after the Issue Date.

SOP signature approval pages are signed electronically and circulated between the required signatories via email. Electronic copies of currently approved SOPs will be available to all applicable NeuroNEXT Network parties on the secure area of the NeuroNEXT website. Training on SOPs will occur in accordance with SOP NN GA 102 *SOP Training*.

The NINDS or other groups involved with conducting NeuroNEXT trials may develop policies and procedures that operate in conjunction with the NeuroNEXT CCC and DCC Network-wide SOPs, but these policies will not be under the purview of NeuroNEXT Network SOPs. The CCC and DCC will work with these groups to ensure that their policies do not conflict with NeuroNEXT Network SOPs.

## 2. SCOPE

This SOP has been developed to be in alignment with federal regulations and Good Clinical Practices (GCP) as set forth in the 2016 Integrated Addendum to ICH E6(R1): Guideline for Good Clinical Practice E (R2). The policies and procedures described in this SOP apply to the NeuroNEXT Clinical Coordinating Center (CCC) and Data Coordinating Center (DCC) within the context of their oversight and advisory roles for the NeuroNEXT Network, and to all NeuroNEXT investigators, staff, subcontractors, or other entities associated with the NeuroNEXT Network who manage, oversee, and conduct research within the Network regulated by FDA and/or applicable review committees.

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## 3. ROLES AND RESPONSIBILITIES

Representatives from the CCC and DCC are responsible for identifying procedures that should be standardized across the NeuroNEXT Network, and for assigning appropriate individuals to draft SOPs. The CCC and DCC Leadership are responsible for reviewing and approving all Network SOPs.

As needed, representatives from the CCC and DCC are responsible for periodically reviewing all SOPs to determine if revisions are warranted, and for conducting interim reviews of selected SOPs if needed.

## 4. APPLICABLE REGULATIONS AND GUIDELINES

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| ICH E6 | Guide to Good Clinical Practices |

## 5. REFERENCES TO OTHER APPLICABLE SOPS

This SOP applies to all NeuroNEXT Network SOPs.

## 6. ATTACHMENTS AND REFERENCES

| | |
|---|---|
| NN GA 101 - A | Document History |
| NN GA 101 - B | NeuroNEXT SOP Template |

## 7. TERMS AND ABBREVIATIONS

The following terms and abbreviations are used in this document:

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|---|---|
| CCC | Clinical Coordinating Center at Massachusetts General Hospital |
| DCC | Data Coordinating Center at The University of Iowa |
| FDA | U.S. Food and Drug Administration |
| GCP | Good Clinical Practices |
| ICH | International Council for Harmonisation |
| NINDS | National Institute of Neurological Disorders and Stroke |
| SOP | Standard Operating Procedure |

## 8. SPECIFIC PROCEDURES

### A. Developing, Revising, and Approving NeuroNEXT Network SOPs

| *#* | *Who* | *Task* | *Attachment/ Reference* | *Related SOP* |
|---|---|---|---|---|
| 1. | Designated DCC and CCC members | Review all SOPs on a periodic basis, and as needed in the interim. Follow steps 8.A.2-9 to develop new SOPs or incorporate changes to current SOPs. | | NN GA 103 |
| 2. | NeuroNEXT DCC/CCC | Identify appropriate procedures that are to be standardized across the NeuroNEXT Network. | | |

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|---|---|---|

| # | *Who* | *Task* | *Attachment/ Reference* | *Related SOP* |
|---|---|---|---|---|
| 3. | NeuroNEXT DCC/CCC | If necessary, designate a qualified person to author or review a SOP. | | |
| 4. | SOP Author | Make necessary revisions to an existing SOP, or create a draft of a new SOP, utilizing the current approved NeuroNEXT template. | NN GA 101-B | NN GA 103 |
| 5. | SOP Author | Circulate the draft SOP to the reviewer(s) for comment. | | NN GA 103 |
| 6. | SOP Reviewer(s) | Review the draft SOP and offer comments, if applicable. | | |
| 7. | SOP Author | Using document development and control procedures, incorporate all comments and circulate the final draft for review and approval by the appropriate signatories.<br>• Assign version 1.0 to a new SOP.<br>• For revised SOPs, assign the next consecutive whole number as the new version number. | | NN GA 103 |
| 8. | DCC Director, CCC Director, NINDS NeuroNEXT Program Official, other applicable NeuroNEXT Leadership | Review the final draft of the SOP. | | |
| 9. | DCC Director, CCC Director, NINDS NeuroNEXT Program Official, and other signatories as appropriate | After final review, sign the signature page for the final version of the new or revised SOP to indicate approval.<br>• An SOP is considered to be 'Issued' on the date of the last obtained signature.<br>• The Effective Date is 30 calendar days after the Issue Date.<br>• An SOP is considered to be in effect until a subsequent version is signature approved. | | |
| 10. | SOP Lead Reviewer | If an SOP does not require revision:<br>• retain the current version number and effective date;<br>• update the document history to indicate that the review took place and no revisions were required. | | |

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| SOP: NN GA 101<br>Version No.: 4.0<br>Issue Date: 01Mar2024<br>Effective Date: 15Apr2024 | Development and Maintenance of SOPs | Supersedes Document : Version : 3.0<br>Effective Date : 21Oct2016 |

| *#* | *Who* | *Task* | *Attachment/ Reference* | *Related SOP* |
|---|---|---|---|---|
| 11. | Designated DCC and CCC members | As necessary, develop new SOPs on an interim basis following steps 8.A.2-9. | | NN GA 103 |
| 12. | Designated DCC and CCC members, NINDS NeuroNEXT Program Official | If it becomes necessary to modify an existing SOP in the interim between reviews, follow steps 8.A.2-9, sign the modified version with the current date as the issue date, and assign the version number as the next whole number. | | NN GA 103 |
| 13. | DCC DM or IT | When new SOPs are approved, or as needed, update applicable NeuroNEXT SOP review roles in the NeuroNEXT website. | | |
| 14. | DCC Lead Coordinator | Upload new or revised SOPs to the secure area of the NeuroNEXT website and inform applicable NeuroNEXT personnel that SOPs are available for review. | | NN GA 102 |

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## Attachment NN GA 101 - A. Document History

| NeuroNEXT Network Standard Operating Procedure (SOP)<br>Development and Maintenance of SOPs<br>SOP NN GA 101 | | | | | |
|---|---|---|---|---|---|
| **Version** | **Description of Modification** | **Reason or Justification for Modification** | **Issue Date** | **Effective Date** | **Reviewer(s)** |
| 1.0 | New | N/A | 22Mar2012 | 21Apr2012 | N/A |
| 2.0 | Removed references to PWIs. SOPs will be reviewed on a periodic basis, as needed. Added procedures for SOPs that have been reviewed and do not require revision. Clarified procedures for versioning new and revised SOPs, and for the signature approval process. New or revised SOPs are uploaded to the secure area of the NN website, and applicable personnel are informed. | Updates for v2.0. Formalized, version controlled PWIs will not be developed. Network-wide and study-specific instructional documents (e.g., process maps, guidelines) are developed as needed. | 21Sep2016 | 21Oct2016 | N/A |
| 3.0 | Updated “1996 ICH E6 Consolidated Guidance” to “2016 Integrated Addendum to ICH E6(R1): Guideline for Good Clinical Practice E6(R2)”. Updated signature block to accommodate for electronic signatures. Additional minor updates throughout. | Updated for version 3.0 | 22Feb2023 | 08Apr2023 | Catherine Gladden |
| 4.0 | No edits were made to SOP. | Periodic Review | 01Mar2024 | 15Apr2024 | Preeti Paul |

# NN GA 101 Development and Maintenance of SOPs v4.0 clean

Final Audit Report 2024-03-11

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|---|---|
| Created: | 2024-02-23 |
| By: | Tania Leeder (tleeder@mgb.org) |
| Status: | Signed |
| Transaction ID: | CBJCHBCAABAA_ETcrdHetemAJXuI5O0cPnVhnGMOBp1j |
| Number of Documents: | 1 |
| Document page count: | 7 |
| Number of supporting files: | 0 |
| Supporting files page count: | 0 |

## "NN GA 101 Development and Maintenance of SOPs v4.0 clean " History

Document created by Tania Leeder (tleeder@mgb.org)
2024-02-23 - 6:45:15 PM GMT

Document emailed to cscoffey@iowa.uiowa.edu for signature
2024-02-23 - 6:46:58 PM GMT

Document emailed to cudkowicz.merit@mgh.harvard.edu for signature
2024-02-23 - 6:46:58 PM GMT

Document emailed to Marianne Chase (mchase@mgh.harvard.edu) for signature
2024-02-23 - 6:46:58 PM GMT

Document emailed to dixie-ecklund@uiowa.edu for signature
2024-02-23 - 6:46:58 PM GMT

Document emailed to Stacey Grabert (SGrabert@mgh.harvard.edu) for signature
2024-02-23 - 6:46:58 PM GMT

Document emailed to ohayonj@ninds.nih.gov for signature
2024-02-23 - 6:46:59 PM GMT

Tania Leeder (tleeder@mgb.org) added alternate signer ecklundd@uiowa.edu. The original signer dixie-ecklund@uiowa.edu can still sign.
2024-02-23 - 7:06:57 PM GMT

Document emailed to ecklundd@uiowa.edu for signature

2024-02-23 - 7:06:57 PM GMT

Email viewed by cscoffey@iowa.uiowa.edu

2024-02-23 - 7:14:10 PM GMT

Email viewed by cudkowicz.merit@mgh.harvard.edu

2024-02-23 - 7:56:59 PM GMT

cudkowicz.merit@mgh.harvard.edu authenticated with Adobe Acrobat Sign.

Challenge: The user opened the agreement.

2024-02-23 - 7:58:07 PM GMT

Email viewed by Stacey Grabert (SGrabert@mgh.harvard.edu)

2024-02-23 - 8:20:57 PM GMT

Stacey Grabert (SGrabert@mgh.harvard.edu) authenticated with Adobe Acrobat Sign.

Challenge: The user opened the agreement.

2024-02-23 - 8:21:42 PM GMT

Document e-signed by Stacey Grabert (SGrabert@mgh.harvard.edu)

Signing reason: I approve this document

Signature Date: 2024-02-23 - 8:22:02 PM GMT - Time Source: server

Email viewed by ecklundd@uiowa.edu

2024-02-24 - 11:00:28 PM GMT

ecklundd@uiowa.edu authenticated with Adobe Acrobat Sign.

Challenge: The user opened the agreement.

2024-02-24 - 11:00:42 PM GMT

Signer ecklundd@uiowa.edu entered name at signing as Dixie Ecklund

2024-02-24 - 11:01:02 PM GMT

Document e-signed by Dixie Ecklund (ecklundd@uiowa.edu)

Signing reason: I approve this document

Signature Date: 2024-02-24 - 11:01:04 PM GMT - Time Source: server

Marianne Chase (mchase@mgh.harvard.edu) authenticated with Adobe Acrobat Sign.

Challenge: The user opened the agreement.

2024-02-26 - 11:48:00 PM GMT

Document e-signed by Marianne Chase (mchase@mgh.harvard.edu)

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Signature Date: 2024-02-26 - 11:48:17 PM GMT - Time Source: server

Email viewed by ohayonj@ninds.nih.gov

2024-02-28 - 10:48:08 PM GMT

Email viewed by cudkowicz.merit@mgh.harvard.edu

2024-03-01 - 3:51:20 AM GMT

cudkowicz.merit@mgh.harvard.edu authenticated with Adobe Acrobat Sign.

Challenge: The user opened the agreement.

2024-03-01 - 3:51:38 AM GMT

Signer cudkowicz.merit@mgh.harvard.edu entered name at signing as Merit Cudkowicz

2024-03-01 - 3:51:48 AM GMT

Document e-signed by Merit Cudkowicz (cudkowicz.merit@mgh.harvard.edu)

Signing reason: I approve this document

Signature Date: 2024-03-01 - 3:51:50 AM GMT - Time Source: server

Email viewed by cscoffey@iowa.uiowa.edu

2024-03-07 - 8:30:06 PM GMT- IP address: 128.255.113.139

cscoffey@iowa.uiowa.edu authenticated with Adobe Acrobat Sign.

Challenge: The user opened the agreement.

2024-03-07 - 8:30:19 PM GMT

Signer cscoffey@iowa.uiowa.edu entered name at signing as Christopher S. Coffey

2024-03-07 - 8:30:35 PM GMT- IP address: 128.255.113.139

Document e-signed by Christopher S. Coffey (cscoffey@iowa.uiowa.edu)

Signing reason: I approve this document

Signature Date: 2024-03-07 - 8:30:37 PM GMT - Time Source: server- IP address: 128.255.113.139

Email viewed by ohayonj@ninds.nih.gov

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ohayonj@ninds.nih.gov authenticated with Adobe Acrobat Sign.

Challenge: The user opened the agreement.

2024-03-11 - 1:38:42 PM GMT

Signer ohayonj@ninds.nih.gov entered name at signing as Joan Ohayon

2024-03-11 - 1:38:54 PM GMT- IP address: 72.83.187.43

Document e-signed by Joan Ohayon (ohayonj@ninds.nih.gov)

Signing reason: I approve this document

Signature Date: 2024-03-11 - 1:38:56 PM GMT - Time Source: server- IP address: 72.83.187.43

Agreement completed.

2024-03-11 - 1:38:56 PM GMT