

GLOSSARY

Term	Definition
Adverse Drug Reaction (ADR)	<p>1. Pre-approval clinical experience with a new medicinal product or its new usages, particularly as the therapeutic dose(s) may not be established ~ all noxious and unintended responses to a medicinal product related to any dose; a causal relationship between a medicinal product and an adverse event is at least a reasonable possibility, i.e., the relationship cannot be ruled out.</p> <p>2. In marketed medicinal products ~ a noxious and unintended response to the product; occurs at doses normally used in man for prophylaxis, diagnosis, or therapy of diseases of form modification of physiological function (see the ICH Guideline for Clinical Safety Data Management: Definitions and Standards for Expedited Reporting).</p>
Adverse Experience (AE)	<p>An untoward medical occurrence in a study participant administered an investigational product and which may or may not have a causal relationship with this treatment. An adverse experience can therefore be any unfavorable and unintended sign (including an abnormal laboratory finding), symptom, or disease.</p>
Ancillary Study	<p>Ancillary studies or “sub-studies” are defined as secondary investigations conducted in conjunction with a primary or “main” HPTN study. Ancillary studies may involve HPTN investigators and/or non-HPTN investigators and may be initiated by one or more individuals or by the primary study team. They may involve all sites participating in a primary HPTN study or a subset of sites. Ancillary studies may involve the use of data, biological specimens, or other information obtained through a primary HPTN study and may be either prospective or retrospective in nature. Ancillary studies may include, but are not limited to, surveys or focus groups among study participants and laboratory-based investigations using specimens obtained from participants in a primary HPTN study.</p>
Award	<p>The provision of funds by NIH, based on an approved application and budget, to an organizational entity or individual to carry out an activity or project.</p>
Blind	<p>1. In reference to clinical trials, describes individuals who do not know the participant’s treatment assignments. Thus:</p> <ul style="list-style-type: none"> • single blind trial ~ the participant does not know • double blind trial ~ the participant, the clinical staff, investigators and sponsors do not know • triple blind trial ~ in addition to those described above, the protocol statistician does not have access to the treatment assignments <p>2. The term <i>blind</i> is also used to describe trial data that is not presented by treatment arm</p>
Case Report Form (CRF)	<p>A form designed to capture research data required by the protocol.</p>

Term	Definition
Certificate of Confidentiality (COC)	<p>Issued by the National Institutes of Health (NIH) to protect the privacy of research subjects by protecting investigators and institutions from being compelled to release information that could be used to identify subjects with a research project. Certificates of Confidentiality are issued to institutions or universities where the research is conducted. They allow the investigator and others who have access to research records to refuse to disclose identifying information in any civil, criminal, administrative, legislative, or other proceeding, whether at the federal, state, or local level within the US.</p> <p>Identifying information is broadly defined as any item or combination of items in the research data that could lead directly or indirectly to the identification of a research subject.</p>
Clarification Memo (CM)	A short document written by the protocol team after a full version number of the protocol has gone to the field. It provides further explanation or details to some area of the clinical research that is already described in the protocol.
Clinical Site Monitor	The group to whom DAIDS has delegated the responsibility for conducting periodic on-site monitoring visits to all sites conducting HPTN research, and reporting findings to DAIDS. The Clinical Site Monitor for the HPTN is PPD.
Clinical Research Manager/ Protocol Specialist (CRM/PS)	A CORE staff member assigned primary responsibility for fulfilling CORE obligations for a specific study. Manages the protocol development and review process, working closely with the Protocol Chair and the study team to develop the protocol and prepare review responses. Coordinates the protocol development and study implementation teams throughout study development and conduct.
Clinical Research Site (CRS)	A CRS is a clinical research site that is in the US or outside the US
Clinical Trials Agreement (CTA)	An agreement negotiated between a pharmaceutical collaborator providing an investigational agent for an HPTN study and DAIDS (as the study sponsor), describing respective responsibilities and rights. Includes, but is not limited to, IND sponsorship, safety and data monitoring, and access to data. In general, terms in the CTA covering data access and sharing conform to policies developed jointly by the PMG and DAIDS.
Clinical Trials Unit (CTU)	HPTN research requires access to populations for study participation and the availability of experienced staff, adequate space, and equipped facilities. HPTN studies are conducted by staff of NIH funded CTUs, which will include an administrative component and one or more clinical research sites (CRS). A CTU may have multiple CRSs in the US, outside the US, or both. NIAID provides resources to fund research infrastructure and study conduct through cooperative agreements with the primary CTU grantee.

Term	Definition
CTU Principal Investigator (PI)	The CTU PI is the individual with legal and financial responsibility for a CTU cooperative agreement with NIAID. The institution that was awarded the cooperative agreement is considered the “main unit” of the CTU and an administrative site; thus the CTU PI is also termed the main unit PI. CTU investigators are expected to contribute to the HPTN scientific mission from initiation of study concepts through protocol development, implementation, and reporting of study findings in scientific reports, presentations, and manuscripts of studies in which their CTUs are participating. The CTU PI may delegate responsibilities to other investigators affiliated with the CTU but is expected to play a leadership role for the CTU and the Network.
Code of Federal Regulations (CFR)	The codification of the general and permanent rules published in the US Federal Register by the executive departments and agencies of the US federal government. It is divided into 50 titles that represent broad areas subject to US federal regulation. Each volume of the CFR is updated once each calendar year and is issued on a quarterly basis.
Continuing Review	Continuing review of human subjects research by an Institutional Review Board/Ethics Committee (IRB/EC) at intervals appropriate to the degree of risk but not less than once per year as specified by US Department of Health and Human Services regulations (DHHS), 45 CFR 46.109(e). Continuing review of research must be substantive and meaningful. DHHS regulations at 45 CFR 46.111 set forth the criteria that must be satisfied in order for the IRB/EC to approve research. These criteria include, among other things, determinations by the IRB regarding risks, potential benefits, informed consent, and safeguards for human subjects. The IRB/EC must ensure that these criteria are satisfied at the time of both initial and continuing review.
Cooperative Agreement	A financial assistance mechanism used when substantial federal programmatic involvement with the recipient during performance is anticipated by the NIH Institute or Center.
DataFax	A proprietary data capture and management software.
Electronic Data	Digital values that can be stored, retrieved, or transmitted by a computer system.
Endpoint	The measurement (laboratory test, response, event) chosen to represent the trial result. The primary and secondary objectives are each measured by a single (preferably) endpoint. Assessment of the occurrence of that endpoint as specified in the statistical analysis plan, yields the major results of the trial.
Essential Documents	Documents that individually and collectively permit evaluation of the conduct of a study and the quality of data produced.

Term	Definition
Federal Wide Assurance (FWA)	As regulated by the Department of Health and Human Services (DHHS), 45 CFR. 46.103, an assurance of compliance approved by the Office for Human Research Protections (OHRP). This assurance formalizes the institution's commitment to protect human subjects and must be obtained by every institution engaged in human subjects research supported or conducted by DHHS (which includes HPTN and other DAIDS-sponsored research).
Food and Drug Administration (FDA) Form 1572	A regulatory document required by the FDA in which the clinical investigator participating in the IND study agrees to conduct the clinical trial according to the US Code of Federal Regulations. The Form 1572 is signed and submitted to the IND sponsor by the clinical investigator (through the CORE) at the initiation of the clinical trial and is resubmitted if the information on the form changes during the course of the clinical trial.
Financial Status Report (FSR)	A standard NIH Form (SF-269 or SF-269A) that must be completed by awardees (in the HPTN: CORE, SDMC, NL, and CTUs) within 90 days of the last day of each (annual) budget period. The FSR includes information on carryover (funds obligated to the CTU but not expended) and must be submitted and approved by NIH prior to approval of a request to use carryover funds.
Forms Instructions	Descriptive information regarding the proper use/completion of case report forms.
Good Clinical Practices (GCP)	A standard for the design, conduct, performance, monitoring, auditing, recording, analyses, and reporting of clinical trials that provides assurance that the data and reported results are credible and accurate and that the rights, integrity, and confidentiality of trial subjects are protected.
Hyperlink	An electronic link providing direct access from one distinctively marked place in a hypertext or hypermedia document to another in the same or a different document.
In-country Principal Investigator (PI)	The terms or "In-country PI" or "Site PI" are often used — sometimes interchangeably — for investigators present at HPTN research sites, although these terms are not official titles. For some CTUs that have a US-based main unit and clinical research sites in another country, an on-site counterpart to the CTU PI will have general oversight responsibility at the site; this investigator is referred to as the Site PI or In-country PI. These terms are also often used to refer to the onsite lead investigator or Investigator of Record for a specific study
Informed Consent	A process by which a participant voluntarily confirms his or her willingness to participate in a particular study after having been informed of all aspects of the trial that are relevant to the participant's decision to participate. In HPTN trials, informed consent is documented by means of a written, signed, and dated informed consent document.

Term	Definition
International Conference on Harmonization (ICH) Guidelines	Developed, through a collaboration between the FDA and regulatory agencies in Japan and the European Union, to “harmonize” regulatory requirements to produce marketing applications acceptable to the United States, Japan, and the countries of the European Union.
Investigator of Record (IoR)	The Investigator of Record (IoR) is the investigator who is responsible for the conduct of a study at one or more CRSs. The IoR signs the FDA Form 1572 (for studies conducted under an IND) or DAIDS Investigator of Record Agreement form (for non-IND studies), as well as the protocol specific Investigator Signature Page form, and thereby obligates himself or herself, and by delegation, all study staff, to conduct the study in accordance with the responsibilities enumerated on the forms. An IoR must be onsite.
Investigator of Record Agreement	Documentation required by DAIDS for non-IND studies. The Agreement contains the same information as the FDA Form 1572 without the legal language pertaining to studies conducted under an IND and thus subject to FDA regulations.
IT Staff/System Administrator	An Information Technology (IT) staff member responsible for installation and maintenance of computer hardware and operating systems.
Institutional Review Board/Ethics Committee (IRB/EC)	Any board, committee, or other group formally designated by an institution to review, to approve the initiation of, and to conduct periodic review of research involving human subjects. The primary purpose of such review is to assure the protection of the rights and welfare of participants in research.
Investigational New Drug Application (IND)	Application required by the US FDA before clinical trials of a new drug or new biological agent may be initiated. An IND is also required if the US FDA has not approved the route of administration, dosage level, or patient population for the drug or biological agent.
Key Personnel	Individuals who contribute in a substantive way to the scientific development or execution of a project, whether or not they receive compensation from the grant supporting that project. The Principal Investigator and collaborators are included in this category.
Lead Protocol Statistician	A SCHARP faculty statistician who participates in development, review and approval of study protocols developed and managed by SCHARP and is responsible for writing the Statistical Considerations section of protocols. In addition, the Lead Protocol Statistician directs and is responsible for all work done by the Statistical Research Associate(s) on the protocol.
Letter of Amendment (LoA)	A short letter written by the protocol team that replaces a full-version protocol amendment. It contains significant information related to the conduct of the protocol.
Manual of Operations (MOP)	Document containing policies and procedures that govern a common approach to network operations and study implementation.

Term	Definition
Medical Officer (MO)	A DAIDS staff member assigned to each HPTN protocol to monitor the safety and efficacy of the intervention(s) for ongoing studies and those in development. An institute, other than DAIDS, from the NIH Coordinating Committee (i.e., NICHD, NIDA, NIMH) may assign their own medical representatives to conduct these monitoring activities. Medical officers must be medical doctors.
Monitoring	The act of overseeing the progress of a study and of ensuring that it is conducted, recorded, and reported in accordance with the protocol, SSPs, GCP, and applicable regulatory requirements.
NIH Consortium	Committee consisting of representatives from National Institute of Allergy and Infectious Diseases (NIAID), National Institute of Child Health and Development (NICHD), National Institute of Drug Abuse (NIDA), National Institute of Mental Health (NIMH), the Office of AIDS Research (OAR), and the Fogarty International Center (FIC). The role of the committee is to ensure that the HPTN receives consistent advice and optimal assistance from NIH. The VPRP Director serves as chair of this committee.
Nonaffiliated Laboratory	Laboratories (often commercial laboratories) that are contracted and paid by a CTU to perform tests on specimens collected during an HPTN study.
Notice of Grant Award (NGA)	The legally binding document that notifies the grantee and others that an award has been made. It contains or references all terms and conditions of the award, and documents the obligation of US federal funds.
Official Study Communication	Study communication, particularly that with regulatory importance, distributed by CORE, SDMC, or DAIDS that should be retained at the site and communicated to all pertinent site staff working on the study.
Operational Components	CORE, SDMC, NL, and CTUs.
Participant Data	Alphanumeric values that represent the personal, social, medical, laboratory, and treatment information for study participants.
Participant Identification Number (PTID or PID)	A unique identification number, specific to site and protocol, assigned to each participant in HPTN studies. Lists of PTIDs are generated by the SDMC and provided to each research site at the beginning of a study.
Principal Investigator (PI)	The individual with legal and financial responsibility for a CTU cooperative agreement with NIAID.
Proficiency Panels	Samples that test a laboratory's analytical skills as well as its instrumentation. The samples are compared, evaluated, and scored as acceptable or unacceptable.
Protocol	A descriptive document that presents a synopsis of the science supporting the study, details the scientific objectives, and describes the methods to achieve these objectives. A protocol outlines the specific requirements for the trial in a concise, organized, and comprehensive manner.

Term	Definition
Protocol Amendment	Significant changes to the protocol that result in a new version number of the protocol. These changes may or may not affect the informed consent.
SDMC Project Manager (PM)	A SDMC staff member assigned to primary responsibility for coordinating SDMC responsibilities for a specific study. The PM is the primary liaison between the SDMC and CORE, investigators, site staff, and protocol teams. The PM manages the CRF design process, participates in study specific site staff training, conducts data management site visits, tracks site data management performance, answers site staff questions regarding CRF completion, and communicates with protocol teams about SMC and DSMB data management priorities and timelines.
Protocol Registration	The process established by DAIDS RAB to ensure that all sites participating in DAIDS-sponsored research (including the HPTN) conduct the research in accordance with requirements for human subjects protection and the use of investigational new drugs (where applicable). All documents required to register a site to a protocol are submitted to the Protocol Registration Office.
Quality Assurance	The planned and systematic actions that are established to ensure that a study is performed and the data are generated, documented (recorded), and reported in compliance with GCP and the applicable regulatory requirements.
Quality Control	The operational techniques and activities undertaken within the quality assurance system to verify that the requirements for quality of the study related activities have been fulfilled.
Quality Control (QC) Query	A DataFax record requesting data clarification or correction.
Quality Control (QC) Report	A report generated by the SDMC Data Coordinator using DataFax and sent to sites on a regular basis during implementation of a study. The QC report lists all missing, out-of-range, or inconsistent data items; missing CRF pages; and overdue study visits. Site data management respond to QC reports by correcting and clarifying data items and re-faxing CRF pages.
Quality Management Plan (QMP)	A plan, encompassing both QA and QC procedures, that addresses the key aspects of clinical research conduct at the research site to assess the quality of the operational procedures and recording of the research data. A QMP must be in place at each site. These plans are subject to approval by the DAIDS and apply to all clinical research sites where research subjects are seen.
Sample Informed Consent Document	The informed consent included in the protocol that is submitted and must be approved through the DAIDS and HPTN protocol review and approval processes.

Term	Definition
Serious Adverse Experience (SAE)	An adverse experience occurring at any dose of an investigational product that results in any of the following outcomes: death, life-threatening adverse drug experience, inpatient hospitalization or prolongation of existing hospitalization, a persistent or significant disability/incapacity, or a congenital anomaly/birth defect (21 CFR 312.32).
Site Number	A unique, cross-network, identifier assigned by DAIDS to all DAIDS affiliated clinical research sites. Site numbers are used to facilitate compliance with sponsor responsibilities and management of DAIDS-sponsored trials. Branches within DAIDS and several of its contractors use the site numbers in their network-associated operations. For the HPTN, these include the DAIDS Prevention Sciences Branch (tracking), the DAIDS Pharmaceutical Affairs Branch (site pharmacy establishment plans and oversight), the DAIDS Clinical Research Products Management Center (shipment and tracking of study products), the DAIDS Regulatory Affairs Branch and Regulatory Compliance Center (protocol registration, SAE tracking, and safety report distribution) and the Clinical Site Monitor– PPD (site monitoring and tracking).
Site-Specific Informed Consent Form	Form(s) adapted by site staff from the sample informed consent form(s) to reflect local procedures and IRB requirements, site-specific information (e.g., amount of participant reimbursement in local currency), and local contact information.
Source Data	All information in original records and certified copies of original records of clinical findings, observations, or other activities in a study necessary for the reconstruction and evaluation of the trial. Source data are contained in source documents.
Source Documents	Original documents, data, and records (for example, hospital records, clinical and office charts, laboratory notes, participants' diaries or evaluation checklists, pharmacy dispensing records, x-rays, participant files, and records kept at the pharmacy and laboratories). Source documentation serves to substantiate the integrity of trial data, confirm observations that are recorded, and confirm the existence of study participants.
Sponsor	An individual or entity that takes responsibility for and initiates a study, but that does not actually conduct the investigation. The sponsor may be an individual or pharmaceutical company, governmental agency, academic institution, private organization, or other organization (e.g., DAIDS for the HPTN).
Study-Specific Procedures Manual (SSP)	Written procedures that document data collection or protocol implementation methods and procedures that are specific to a protocol. These procedures may supersede those contained in the HPTN Manual of Operations.

Term	Definition
Standard Operating Procedures (SOPs)	Written procedures designed to ensure data and analysis quality by requiring uniform performance of specific functions by the group(s) that fall within their scope. An SOP is designed to provide a high level overview of tasks or functions performed. An SOP, by definition, must be followed unless a documented exception is approved.
Statistical Analysis Plan	A comprehensive and detailed description of the methods for and presentation of, data analyses for a study protocol. The plan ensures that analyses are conducted in a scientifically valid manner and that decisions are documented.
Study Reporting Plan	Document that provides detailed descriptions of the study-specific routine reports used to monitor study activities.
Unblinding	This term can refer to both participants and data. For study participants, it refers to the procedure used to inform participants about their treatment assignment. For data, it refers to data that are presented by treatment arm.
Uniform Resource Locator (URL)	The address of a computer or a document on the Internet that consists of a communications protocol followed by a colon and two slashes (as http://), the identifier of a computer (as www.m-w.com) and usually a path through a directory to a file.
Visit Checklists	A data collection tool that details protocol-specific procedures for a specific study visit.