MONITORING VISIT REPORT

VISIT INFORMATION

Protocol Title: A Randomized, Open-Label, Multicenter, Phase 3 Trial Comparing Veliparib Plus Carboplatin and Paclitaxel Versus Investigator's Choice of Standard Chemotherapy in Subjects Receiving First Cytotoxic Chemotherapy for Metastatic or Advanced Non-Squamous Non-Small Cell Lung Cancer (NSCLC) and Who Are Current or Former Smokers

Protocol Name: M14-359

Site Name / Site #: Highlands Oncology Group / SITE-055

Site Address: Springdale, USA

Site Activation Date: 2024-05-06

Monitoring Visit Date: 2024-11-08

Visit Type: On-Site

CRA: CRA-003

SUMMARY OF MONITORING VISIT

Interim Monitoring Visit (IMV) 4 was conducted at Highlands Oncology Group (SITE-055) on 08-Nov-2024 to review study progress, data quality, and regulatory compliance for Protocol M14-359. The monitor arrived at 09:00 and met with the Study Coordinator (SC), Sarah Jenkins. The primary focus of the visit was Source Document Verification (SDV) for Subjects 055-004 and 055-005, review of the Investigator Site File (ISF), and accountability of Investigational Product (IP). 100% SDV was completed for the current monitoring interval. Data quality remains generally high, with only minor transcription errors noted.

Principal Investigator (PI) Dr. Alistair Thorne was briefly available at the start of the visit to greet the CRA but was unable to participate in the bulk of the monitoring questions or the detailed medical review due to conflicting clinical duties. Consequently, Sub-Investigator Dr. Ravi Patel covered the majority of the monitoring activities, including the safety review and protocol adherence discussions. Dr. Patel demonstrated adequate knowledge of the protocol, though this marks a shift in engagement compared to previous visits where Dr. Thorne was highly visible.

Three (3) routine findings were identified during the visit, related to a minor ALCOA documentation error, a filing delay in the ISF, and a transcription discrepancy in the eCRF. These were discussed during the exit interview with the SC and Sub-I. No critical compliance issues or unreported SAEs were identified. The site remains active, though screening activity has plateaued since the last visit.

Overall Impression:

The site continues to perform well operationally, though PI availability has notably decreased, shifting oversight responsibilities heavily to the Sub-Investigator.

Exit Interview Comments:

Exit interview conducted with SC Sarah Jenkins and Sub-I Dr. Ravi Patel. Dr. Thorne joined for the final 5 minutes to sign the visit log but did not participate in the detailed findings review. Findings 1-3 were reviewed and acknowledged. SC committed to resolving data queries by 15-Nov-2024.

URGENT ISSUES

No

PERSONS PRESENT

Name	Position/Title
Dr. Alistair Thorne	Principal Investigator

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Dr. Ravi Patel	Sub-Investigator
Sarah Jenkins	Study Coordinator

ENROLLMENT STATUS

Screened:	6
Consented:	5
Pre Randomization Failure:	1
Randomized:	5
Completed:	5
Ongoing:	0
Withdrawn:	0

Recruitment Plan Notes:

The site has randomized 5 subjects against a target of 28. While the retention rate is excellent (100% completion of randomized subjects), no new subjects have been screened since the previous monitoring visit. The recruitment rate is marginally adequate but requires renewed focus to meet the target of 28.

Recruitment Rate Adequate? Yes

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MONITORING CHECKLIST

Informed Consent

1	Is the current IRB/EC-approved ICF version being used?	Yes	No
2	Was the ICF signed prior to any study-specific procedures?	Yes	No
3	Did the subject/LAR date the ICF personally?	Yes	No
4	Is re-consent required and has it been obtained?	N/A	No

Site Staff/Facilities

5	Is the PI available for supervision and oversight?	Yes	No
6	Are Sub-Investigators qualified and delegated appropriately?	Yes	No
7	Is the Study Coordinator trained and familiar with the protocol?	Yes	No
8	Are pharmacy facilities and staff adequate?	Yes	No
9	Is the Delegation of Authority Log current?	Yes	No
10	Are laboratory facilities certified/accredited?	Yes	No
11	Is equipment calibrated and maintained?	Yes	No
12	Is the Training Log complete for all staff?	Yes	No
13	Are CVs current for all key staff?	Yes	No

Investigator Site File / Monitoring Activities

14	Is the Investigator Site File (ISF) complete and organized?	No	Yes
15	Are essential documents current?	Yes	No
16	Is the Site Visit Log signed by the monitor and site staff?	Yes	No
17	Have prior visit follow-up items been completed?	Yes	No

Research Ethics Board

18	Is IRB/EC approval current for protocol and ICF?	Yes	No
19	Are protocol amendments approved?	N/A	No
20	Have safety reports been submitted to the IRB/EC?	Yes	No
21	Is annual renewal current?	Yes	No
22	Is site-specific consent approved?	Yes	No
23	Is SAE reporting compliant with IRB requirements?	Yes	No

Safety

24	Are Adverse Events (AEs) reported in a timely manner?	Yes	No
25	Are SAEs followed to resolution?	N/A	No
26	Is pregnancy reporting compliant?	N/A	No
27	Are protocol deviations documented?	Yes	No
28	Is the safety database reconciled with the site source?	Yes	No
29	Are SUSAR notifications timely?	Yes	No
30	Are DSMB recommendations implemented?	N/A	No
31	Is the risk-benefit assessment current?	Yes	No

Compliance

32	Is protocol compliance acceptable?	Yes	No
33	Is GCP compliance maintained?	Yes	Yes
34	Is regulatory compliance current?	Yes	No

Study Investigational Product

35	Is IP storage adequate?	Yes	No
36	Is IP accountability current?	Yes	No
37	Is IP dispensing correct?	Yes	No
38	Are IP returns documented?	Yes	No
39	Is temperature monitoring compliant?	Yes	No

Study Supplies/Vendors

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40	Are lab kits/supplies adequate?	Yes	No
Source Document Verification & Review			
41	Are source documents available?	Yes	No
42	Was SDV completed per the monitoring plan?	Yes	No
43	Were data discrepancies identified?	Yes	Yes
44	Does CRF data match source?	Yes	No
45	Is query resolution timely?	Yes	No
46	Are data corrections documented?	Yes	No

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SOURCE DOCUMENT VERIFICATION & CHART REVIEW

Subject	Visits Reviewed	Comments	Action Required
055-004	Visit 4 (Cycle 2 Day 1)	Discrepancy: Source document indicates S	SC to correct eCRF.
055-005	Visit 2	Stop date for Omeprazole missing in sour	SC to update source.
N/A	N/A	Updated Lab Normal Ranges (dated 01-Nov-	SC filed document during visit. Clo

CRA ASSESSMENT

Highlands Oncology Group continues to execute Protocol M14-359 with a high degree of data quality and regulatory compliance. The Study Coordinator is well-organized and responsive to queries. However, a shift in Investigator involvement was observed during this visit. While Dr. Thorne has previously been very hands-on, his availability was significantly limited today, with Sub-Investigator Dr. Patel assuming the majority of the oversight responsibilities and medical review discussions. While Dr. Patel is fully qualified and delegated, I will continue to monitor the PI's engagement level to ensure adequate oversight is maintained, particularly if recruitment activity increases. The site has met its initial enrollment burst but has stalled on screening new patients; the SC indicated they are reviewing their database for new candidates. No critical issues were identified.