Monitoring Report

1. General information	
Study ID:	**H-34 DELTA REVISION**
Principal Investigator:	**Dr. Jerzy Białecki**
Study site ID:	**101**
Study site:	**Samodzielny Publiczny Szpital Kliniczny im. Prof. Adama Grucy CMKP** **Księdza Stanisława Konarskiego, 13 - 05-400 Otwock, Poland**

Attendees, Site/Role		Attendees, Monitor (Sponsor/CRO/other)
Dr Jerzy Białecki (PI) **Dr Julia Macias (SI)**		**Adam Kogut**
Visit #: **1**	Date of Visit: **18 Nov 2021**	Date of previous visit: **11 June 2021**

SUBJECT ENROLMENT INFORMATION

Target Number of subjects:

Number Screened from logs (including failures)	Number Screened failure	Number Enrolled	Number Ongoing	Number Completed	Number withdrawn	
					AE	Other
7	0	7	7	0	0	0

Is the recruitment rate satisfactory?	Yes	No	NA
	☒	☐	☐
Comments	In general yes, however, the enrolment was delayed due to the holiday period.		

2. Site Staff			
Changes to SSDDL since previous visit (if “Yes”, please specify below)?	Yes	No	NA
	☐	☒	☐
Comments	There were no changes in site staff since the previous visit.		
Has the assignment of all study personnel remained consistent and the Responsibilities /Signature Log been maintained?	Yes	No	NA
	☒	☐	☐
Comments			
Are training logs completed and available at the site? (if “No”, please specify below)	Yes	No	NA
	☒	☐	☐
Comments	The training logs ale present in the ISF.		
Are CV and GCP certificates completed and available at the	Yes	No	NA
	☐	☒	☐

site? (if “No”, please specify below)			
Comments	CVs are present for the whole study staff, however, the site staff did not provide the current GCP certificates for filling. The GCP certificates will be provided to CRA after the visit. See CAPA #5		
Are Financial Disclosure (if applicable) completed and available at the site? (if “No”, please specify below)	Yes	No	NA
	☐	☐	☒
Comments			

3. Administration & Regulatory			
Confirm adequate storage space for site records			
Location of Investigator Site File (ISF)	Locked shelf in the medical office available to the study site staff..		
Is the ISF up-to-date (list below the new documents in the ISF if applicable)?	Yes	No	NA
	☐	☒	☐
Comments	The following documents were filed during the visit: SIV report, follow-up letter and correspondence with the site. The initial insurance policy no. ITLSCC13149 is filed in the ISF, however, as per previously received information the insurance is renewed each year. The confirmation of extension needs to be filed in the ISF. See CAPA #4		
Has the Site Monitoring Log been updated?	Yes	No	NA
	☒	☐	☐
Comments			
Is the current protocol filled in the ISF?	Yes	No	NA
	☒	☐	☐
Comments			
Has the PI signed the protocol signature page and amendments (if applicable)?	Yes	No	NA
	☒	☐	☐
Comments	All protocol signature pages are filed in ISF. The most current protocol version is 1.1 dated 28 Sep 2020.		
Is the current ICF filled in the ISF?	Yes	No	NA
	☒	☐	☐
Comments	The current ICF version 1.0 dated 4 Feb 2020..		
Has EC approval of the protocol and amendments (if available) been filed in the ISF?	Yes	No	NA
	☒	☐	☐
Comments	The initial EC approval granted on 9 Sep 2020. A protocol non substantial amendment sent to EC on 26 Nov 2020. The confirmation of receipt dated 26 Nov 2020 filed in the ISF.		
Is the insurance current and filed	Yes	No	NA

in the ISF?	☐	☒	☐
Comments	The initial insurance policy no. ITLSCC13149 is filed in the ISF. As per previously received information the insurance is renewed each year. The confirmation of extension needs to be filed in the ISF. See CAPA #4		

4. Medical Device			
Study Medical Device:			
Is the Declaration of Conformity current and filed in the ISF?	Yes	No	NA
	☐	☒	☐
Comments			
Is the IDE/510(k) or CE certificate current and filed in the ISF?	Yes	No	NA
	☒	☐	☐
Comments			
Is the device accountability reviewed?	Yes	No	NA
	☐	☐	☒
Comments			No accountability required since this study is post market.

5. Subject Logs			
Has the Screening/Enrolment Log been checked and is it up-to-date?	Yes	No	NA
	☒	☐	☐
Comments			
Has the Identification Log up-to-date?	Yes	No	NA
	☒	☐	☐
Comments			

6. Consent Form			
Is there a signed, and dated consent form for each subject enrolled?	Yes	No	NA
	☐	☒	☐
Comments	Subject 101-01 correctly signed and personally dated the ICF and enclosures on 14Sep2021. No issues were noted.		

	Subject 101-02 signed the ICF on 30Sep2021, however no printed name was written by the subject. The date of signature was written by SI instead of the subject. The site staff was retrained and instructed to collect a statement from the subject confirming that the subject agreed to participate in the study. The statement should be signed with the current date by the subject. See CAPA #3 Subject 101-03 signed the ICF on 11Oct2021, however no printed name was written by the subject on ICF enclosures. The date of signature was written by SI instead of the subject. The site staff was retrained and instructed to collect a statement from the subject confirming that the subject agreed to participate in the study. The statement should be signed with the current date by the subject. See CAPA #3 Subject 101-04 – no signature was placed by the subject. The subject personally printed his/her name on the ICF, however, the date was written by SI instead of the subject. The site staff was retrained and instructed to collect a statement from the subject confirming that the subject agreed to participate in the study. The statement should be signed with the current date by the subject. See CAPA #2 Subject 101-05 signed the ICF on 26Oct2021, however the date of signature was written by SI instead of the subject. The site staff was retrained and instructed to collect a statement from the subject confirming that the subject agreed to participate in the study. The statement should be signed with the current date by the subject. See CAPA #3 Subject 101-06 signed the ICF on 25Oct2021, however the date of signature was written by SI instead of the subject. The site staff was retrained and instructed to collect a statement from the subject confirming that the subject agreed to participate in the study. The statement should be signed with the current date by the subject. See CAPA #3Subject 101-07 signed the ICF on 11Nov2021, however the date of signature and subject's printed name was written by SI instead of the subject. The site staff was retrained and instructed to collect a statement from the subject confirming that the subject agreed to participate in the study. The statement should be signed with the current date by the subject.

	See CAPA #3		
Has consent been documented in the subject notes?	Yes	No	NA
	☐	☒	☐
Comments	The site staff was retrained and asked to provide supplementary notes with the current date documenting the whole consenting process. See CAPA #7		
Has a consent form been signed and dated by the subject/s before or on the day that any study-related procedures were performed?	Yes	No	NA
	☐	☒	☐
Comments	Subject 101-4 – no signature was present in the ICF. The subject personally printed his/her name on the ICF, however, the date was written by SI instead of the subject. See CAPA #2. The only ICF that is in good shape is the ICF of subject 101-1. In many cases the study staff placed the date instead of the subject. The site staff was retrained. See CAPA #3 Please see above comments for more information.		
Is the Informed Consent Process conducted by site staff delegated per SSDDL (if "No", please provide a comment below)?	Yes	No	NA
	☒	☐	☐

7. Source Data Review: Confirm subject eligibility

New patients since previous MV

Subject #	ICF V.#	Date of consent	Surgery Date	ICP appropriate	Subject meets all Inclusion criteria	Subject does not meet all Exclusion criteria	Comments
101-1	1.0	14Sep2021	14Sep2021	☒	☒	☒	
101-2	1.0	30Sep2021	01Oct2021	☐	☒	☒	
101-3	1.0	11Oct2121	12Oct2021	☐	☒	☒	
101-4	1.0	Not signed	20Oct2021	☐	☒	☒	**See CAPA #2**
101-5	1.0	26Oct2021	27Oct2021	☐	☒	☒	
101-6	1.0	25Oct2021	26Oct2021	☐	☒	☒	
101-7	1.0	11Nov2021	12Nov2021	☐	☒	☒	

8. Source Data Verification

Confirm source documents are accurate, complete and current

Nature of source data (electronic vs. paper; access; etc.)	The SD verified during the visit was in electronic version. As CRA had no possibility to get account with access limited only to the study subject, the SD review was performed with Dr Macias on her account. The site staff will print the SD for the

	next visit to be able for CRA to review all the data. Due to a limited availability and planned surgeries of the site staff only a partial SD review was performed.		
Are the source documents adequate, available and up-to-date?	Yes	No	NA
	☐	☒	☐
Comments	No consenting process documented as requested. The site staff was retrained and asked to provide supplementary notes with the current date documenting the whole consenting process. See CAPA #7		
Source data entries are consistent with SSDDL? (if "No", please provide a comment below)	Yes	No	NA
	☒	☐	☐
Comments			
Is each subject in compliance with the protocol and amendments (if applicable)?	Yes	No	NA
	☐	☒	☐
Comments	Subject 101-4 – ICF not signed prior to the enrolment. See CAPA #2		
Are the CRFs properly completed, in compliance with CRF guidelines and are they up-to-date?	Yes	No	NA
	☐	☒	☐
Comments	Due to lack of SI's time no all queries were resolved and CRF corrected during the visit. The SI was asked to correct the CRF as soon as possible after the visit.		
Have CRF corrections been made in the proper manner by authorised personnel?	Yes	No	NA
	☒	☐	☐
Comments			
Has SDV been performed as agreed (and documented)?	Yes	No	NA
	☒	☐	☐
Comments	As CRA had no possibility to get local account with access limited only to the study subject, the SD review was performed with Dr Macias on her account. The site staff will print the SD for the next visit to be able for CRA to review all the data. Due to a limited availability and planned surgeries of the site staff only a partial SD review was performed. The review of ICF was performed and subjects' eligibility were reviewed during the visit.		
Have SDV discrepancies been noted? Please list in the comment box if any.	Yes	No	NA
	☒	☐	☐
Comments	Subject 101-2: the ICF consent date was incorrect Subject 101-4: did not sign the ICF, however, as per SI the subject agreed to participate and the statement will be signed by the subject to confirm that. See CAPA #2 Due to a limit of availability of SI and lack of printed out SD,		

	the eligibility and ICF review were the priority.		
Have any withdrawals been noted in the subject notes?	Yes	No	NA
	☐	☒	☐
Comments			
Have any data queries been addressed at this visit?	Yes	No	NA
	☒	☐	☐
Comments	Due to a limited availability of SI only 19 queries from 42 open queries were addressed during the visit. All other open queries will be resolved after the visit.		

Verify overall data reported is reflective of source data			
Subject #	Visit	Checked	Comment
101-1	Pre-operative Visit	☒	Partial review due to limited availability of SI and lack of printed out SD. Eligibility review.
101-2	Pre-operative Visit	☒	Partial review due to limited availability of SI and lack of printed out SD. Eligibility review.
101-3	Pre-operative Visit	☒	Partial review due to limited availability of SI and lack of printed out SD. Eligibility review.
101-4	Pre-operative Visit	☒	Partial review due to limited availability of SI and lack of printed out SD. Eligibility review.
101-5	Pre-operative Visit	☒	Partial review due to limited availability of SI and lack of printed out SD. Eligibility review.
101-6	Pre-operative Visit	☒	Partial review due to limited availability of SI and lack of printed out SD. Eligibility review.
101-7	Pre-operative Visit	☒	Partial review due to limited availability of SI and lack of printed out SD. Eligibility review.

9. Adverse Events (AE)			
New Adverse Events occurred since last MVR?	Yes	No	NA
	☐	☒	☐

Subject #	Description (i.e. diagnosis, onset & end date, outcome, therapy, MD relationship, comments)

10. Serious Adverse Events (SAE)			
Has a New Serious Adverse Events occurred since last MVR? (please provide information in table **below**)	Yes	No	NA
	☐	☒	☐
Was the Sponsor notified within the timelines as per protocol?	Yes	No	NA
	☐	☐	☒
Comment			
Was the EC/IRB notified by clinical site?	Yes	No	NA
	☐	☐	☒
Comment			
Is there appropriate documentation regarding SAEs (how to report them, blank forms and any completed forms) contained within the ISF and SD?	Yes	No	NA
	☐	☐	☒
Comment			

Subject #	Description (e.g.: onset & end date, outcome, diagnosis, therapy, comments)

Onset date	End date	Status	Intensity	Relation with MD

Diagnosis	
Therapy	
Sponsor notified	
Comment	

10.1 New Information on previous Serious Adverse Events (SAE)			
	Yes	No	NA
New information available for previous SAEs (please provide information in section **10.1**)?	☐	☐	☒

#	Description

Reference MVR	Reference SAE #

Onset date	End date	Status	Intensity	Relation with MD

Diagnosis	
Therapy	
Sponsor notified	
Comment	

11. Corrective and preventive actions (Follow-up Items)

Ensure appropriate corrections, additions, or deletions are made, dated, explained and signed

Are issues identified during the MV? Please update the table below with the issues	Yes	No	NA
	☒	☐	☐

#	Issue Date	Finding	Action Required	Action Taken	Status (closed/open)
1	**18Nov2021**	**Subject 101/3 doubled in the e-CRF**	**Subject 101/3 should be removed from e-CRF**	**Informing the Sponsor to remove the subject from the list of subjects**	**Open**
2	**18Nov2021**	**Subject 101/4 did not sign ICF**	**To collect from the subject a statement confirming that the subject agreed to participate in the study. The statement should be signed with the current date by the subject.**	**The site staff was retrained and instructed to collect a statement from the subject.**	**Open**
3	**18Nov2021**	**Subjects 101-2 – 101-7 did not personally date the ICF**	**To collect from the subject a statement confirming that the subject agreed to participate in the study. The statement should be signed with the current date by the subject.**	**The site staff was retrained and instructed to collect a statement from the subject.**	**Open**

4	**18Nov2021**	**Updated insurance policy not filed in the ISF**	**To file the updated version of the insurance policy**	**Sponsor was informed about the need of the copy of updated insurance policy.**	**Open**
5	**18Nov2021**	**Lack of copies of current GCP certificates from the site staff**	**To file the current GCP certificates in ISF**	**Site staff was asked to provide the GCP certificates.**	**Open**
6	**18Nov2021**	**Lack of printed out SD**	**To print out the SD of all subjects**	**The site staff was asked to provide printed out SD**	**Open**
7	**18Nov2021**	**Consent process not documented in subjects notes**	**To provide supplementary notes with the current date documenting the whole consenting process.**	**The site staff was retrained and instructed to provide supplementary notes.**	**Open**

12. Discussion with Principal investigator	
Ensure appropriate corrections, additions, or deletions are made, dated, explained and signed	
Topics	The current open issues including lack of ICF signature and dates personally completed by the subjects were discussed with PI.

13. Closure of Monitoring Visit Report	
Comment	The purpose of this monitoring visit was to perform SDV on completed CRFs as well as consenting procedures and overall site performance with respect to ICH-GCP and ISO 14155 requirement. During the visit the consenting process was verified, subjects' eligibility was checked and partial SDV was performed due to lack of site's staff time and no SD printed out. The following documents were collected from the site during this MV: • A copy of the Site Visit Log • A copy of the Screening and Enrollment Log

	Role	Name and Surname	Date	Signature
Written by:	CRA	Adam Kogut		
Approved by:	CMCL	Fabiana Pavan		