

1. PURPOSE

- 1.1 This Standard Operating Procedure (SOP) outlines activities that must be completed prior to site activation authorization on behalf of Division of Microbiology and Infectious Diseases (DMID).

2. SCOPE

- 2.1 This SOP pertains to DMID staff with a role or responsibility in readiness activities for site activation for trials funded by NIAID/DMID and either the clinical trial is sponsored by NIAID or utilizes DMID clinical support contracts.
- 2.2 This policy applies to:
- Clinical trials where DMID is the Investigational New Drug Application (IND)/ Investigational Device Exemption (IDE) sponsor (regardless of funding type).
 - Non-IND/IDE clinical trials funded under contract.
 - Non-IND/IDE clinical trials funded under grant or cooperative agreement and utilizing DMID clinical support contracts.

3. DEFINITIONS

- 3.1 **International Equivalent (IE):** This term refers to the equivalent regulatory approvals required in countries outside the United States. Each country has its own regulatory body and requirements for approving clinical trials involving investigational drugs or devices.

For other definitions, see [DMID glossary](#).

4. RESPONSIBILITIES

- 4.1 Clinical Project Manager (CPM): Establishes all appropriate and necessary site start-up activities, reviews documentation that activities are complete, and then authorizes site activation in accordance with this SOP.
- 4.2 Contracting Officer Representative (COR) or Program Officer (PO), e.g., VTEU, as applicable: Reviews and concurs on the overall budget for the protocol that will be implemented and confirms all appropriate funding awards are in place.
- 4.3 Essential Document Collection Organization (EDCO): Performs a quality review to determine that all required essential regulatory documents have been obtained and reviewed for completeness, accuracy, and compliance with all applicable regulations and DMID requirements. The EDCO sends the notification of activation to the site on behalf of DMID.
- 4.4 The Office of Clinical Research Affairs (OCRA): May be consulted in the activation process to determine the acceptability of documents for the DMID files, to confirm that site visit action items required for activation have been appropriately addressed, or to provide guidance as needed.

5. PROCEDURE

5.1 All activities required to start the conduct the trial must be completed at the time of the site activation request.

5.1.1 This list of activities is based on requirements that are applicable to clinical trials conducted under a DMID-held IND. It is the responsibility of the CPM, in discussion with other DMID Study Team members as appropriate, to determine which requirements may not apply to a particular study (e.g., low-resource studies).

5.2 Protocol-Specific Activity completed as required:

5.2.1 DMID-approved versions of the following documents have been posted in the DMID-CROMS Document Library:

- Version of protocol to be implemented (i.e., no significant safety or study design issues).
- Template Informed Consent (and Assent, if applicable) Forms.
- Version of Manual of Operational Procedures to be implemented.
- Plan for Clinical Site Monitoring services to be implemented.
- Other study-specific documents, such as memory aids or recruitment information.

5.2.2 If applicable, National Library of Medicine (NLM) ClinicalTrials.gov registration has occurred.

5.2.3 The safety oversight committee (e.g., Safety Monitoring Committee [SMC]/Data and Safety Monitoring Board [DSMB]) organizational meeting has occurred, per NIAID policies and according to the charter.

5.2.4 The SMC/DSMB recommendations have been reviewed by the Protocol Team and any recommendations required for enrollment have been implemented.

5.2.5 As applicable, the safety oversight committee and/or Protocol Safety Review Team charters are finalized.

5.2.6 The data management system for data collection is fully built to support study conduct.

5.2.7 Any central lab(s) used in, as confirmed by Central Lab COR or OCRR oversight (as applicable).

5.2.8 Appropriate agreements with outside collaborators have been fully executed and are on file with the Office of Regulatory Affairs (ORA), as applicable.

5.2.9 For studies where DMID is responsible for providing product to sites, arrangements to ensure product availability for completion of the study have been made and all products are in storage at the DMID-supported clinical agent repository.

5.2.10 An IND, IDE, or IE is in effect, if applicable, and the status has been confirmed by ORA as required.

5.2.11 Laboratories supporting assays procedures that need to be conducted in parallel with screening, dosing or follow-up phases of the protocol (e.g., safety or screening labs, Primary/Secondary Endpoints - PK, immunogenicity assays performed on live cells) have been identified and funded. Assay procedures have been finalized and are ready to be performed as required.

5.2.12 For any specialized protocol-specific procedures/processes/tasks, the training plan has been agreed to by the DMID Subject Matter Experts (SME)s.

5.2.13 Estimated timelines for study conduct have been updated in appropriate DMID tracking system (e.g., NIAID Clinical Research Management System [CRMS]).

5.3 Site-Specific Activity

5.3.1 All required essential regulatory documents have been obtained, reviewed for appropriateness, and determined to be complete by designated EDCO and DMID has been notified (OCRA processes).

At a minimum, the following documents are required for the activation of a site:

- Institutional Review Board (IRB)/Single Institutional Review Board (sIRB) Approval Letter(s) approving:
 - Version of protocol to be implemented.
 - Template Informed Consent and site-specific Informed Consent (and Assent, if applicable) Forms.
 - Other study-specific participant facing documents such as memory aids or recruitment information.
- An FDA Form 1572 or Investigator of Record Form
- Principal Investigator qualification documentation (e.g. CV and professional license).

5.3.2 A DMID accepted Clinical Quality Management Plan (CQMP) or equivalent documentation.

5.3.3 A DMID approved Study Product Management Plan (SPMP).

5.3.4 The Clinical Site Monitoring Study Initiation Visit (SIV) has been conducted.

- If the SIV has occurred outside of 30 days at the time of site activation or if the SIV occurred on a different protocol version than the version that will be implemented, documentation of refresher training is on file for verification at the first monitoring visit.

5.3.5 All findings, action items, and issues critical for study conduct, as agreed to by the CPM and OCRA NC, from final SIV report have been addressed and documented as appropriate.

5.3.6 If applicable, for any specialized protocol-specific procedures/processes/tasks:

- Staff training has been completed successfully including any site staff technical training activities outside the scope of DMID-CROMS supported site training services.
- Training records have been updated according to the protocol training plan.

5.3.7 The site budget for the protocol that will be implemented has been approved by the COR or PO and all appropriate funding is in place.

- If the site is receiving funding from a separate unit (is not the direct recipient of NIH funds) the funding unit approves.

5.3.8 The site has staff with appropriately documented training (protocol-specific and general clinical research – e.g. NIH-, NIAID-, DMID-required) to conduct human subject research and complete all study procedures at the time of activation.

5.3.9 All critical reagents and study-specific supplies (including specimen labeling systems) and treatment assignment key (as applicable) are at the clinical site.

5.4 Site Activation Request

5.4.1 Once all required activities have been completed, the CPM will respond to the appropriate EDCO request to confirm that the site is ready for activation.

5.4.2 Upon receipt of approval for site activation from designated DMID staff, the EDCO will send the Clinical Site Activation Notification e-mail to the respective clinical site copying the appropriate data coordinating center and designated DMID staff including at a minimum the CPM, Medical Officer as well as the assigned representatives from OCRR, ORA, and OCRA.

5.4.3 The completed Site Activation Checklist is placed in DMID sponsor files.

5.5 Requests for exceptions to this procedure

5.5.1 Requests for exceptions to any of the required activities must be directed in writing to the office responsible for the requirement. If a specific office is not listed, the OCRR Director or designee assumes responsibility for assigning/reviewing/granting exceptions. In the latter case, requests for exceptions to this guidance must be submitted in writing to the OCRR Director or designee for review and approval. (Director, Office of Clinical Research Resources DMID/NIAID/NIH OCRRPolicyQuery@mail.nih.gov)

- The request will include a statement regarding the Protocol Team's rationale for the exception. The request will also describe the actions that will be taken by the team to verify the excepted requirements are met prior to initiation of study conduct.

6. REFERENCES

- 6.1 DMID-SM-SOP-00006 Essential Document Collection Organization Process
- 6.2 DMID-SM-SOP-00009 Clinical Quality Management Plan
- 6.3 DMID-IP-POL-00001 DMID Clinical Investigation Study Product Management Plan Requirements for Clinical Research Sites
- 6.4 DMID-SM-SOP-00003 Site Initiation Visit (SIV)
- 6.5 DMID-SM-POL-00004 Training Requirements for Clinical Site Staff
- 6.6 [U.S. Code of Federal Regulations 45 CFR 46](#)
- 6.7 [U.S. Code of Federal Regulations 21 CFR 312](#)
- 6.8 [U.S. Code of Federal Regulations 21 CFR 11 Electronic Records; Electronic Signatures – Scope and Application, Section 5](#)
- 6.9 [E6\(R2\) Good Clinical Practice: Integrated Addendum to ICH E6\(R1\): ICH E6 Good Clinical Practice \(R2\)](#)

7. APPENDICES

- 7.1 Sample Worksheet for Tracking Site Activation Activities

Division of Microbiology and Infectious Diseases

Effective Date:
11 Jul 2025Page:
5 of 7Document Title: **DMID-SM-SOP-00010 Site Activation****8. REVISION HISTORY**

8.1 DMID-SM-00010 Site Activation is the original version of this procedure within the eQMS. It replaces Guidance-001.

9. ADDITIONAL INFORMATION

9.1 Document Lead: Office of Clinical Research Resource (OCRR)

9.2 Posting externally: Yes

Sample Worksheet for Tracking Site Activation Activities

Site Name:

Site MI Code:

	Activity		Target Date	Completion Date
PROTOCOL SPECIFIC	5.2.1	- DMID-approved versions of the following documents have been posted in the DMID-CROMS Document Library: - Protocol (version to be implemented) - Template Informed Consent (and Assent, if applicable) Forms - Manual of Operational Procedures (version to be implemented) - Plan for Clinical Site Monitoring services to be implemented. - Other study-specific documents, such as memory aids or recruitment information.		
	5.2.2	NLM ClinicalTrials.gov registration has occurred.		
	5.2.3	The safety oversight committee (SOC) review has occurred according to the charter for the study (e.g., SMC/DSMB).		
	5.2.4	The SMC/DSMB recommendations have been reviewed by the Protocol Team and accepted recommendations have been implemented, if applicable.		
	5.2.5	SOC/PSRT charters are finalized, as applicable.		
	5.2.6	The data management system for data collection is fully built to support study conduct.		
	5.2.7	Any central lab(s) used are in place.		
	5.2.8	Appropriate agreements with outside collaborators have been fully executed and are on file with ORA, as applicable.		
	5.2.9	Arrangements to ensure product availability for completion of the study have been made and all products are in storage at the DMID-supported clinical agent repository.		
	5.2.10	An IND, IDE, or IE is in effect and the status has been confirmed by ORA as applicable.		
	5.2.11	- Labs supporting assay procedures are identified and funded. - Assay validation procedures have been finalized and are ready to be performed.		
	5.2.12	For any specialized protocol-specific procedures/processes/tasks, the training plan has been agreed to.		
	5.2.12	The timelines for study conduct have been finalized; this includes the target date to begin study conduct		
	Other (as needed)			
	Other (as needed)			

		Activity	Target Date	Completion Date
SITE SPECIFIC	5.3.1	All required essential regulatory documents have been obtained, reviewed for appropriateness, and determined to be complete by designated EDCO.		
	5.3.1	- IRB Approval Letter(s) approving the following documents have been posted to the DMID-CROMS Document Library under the corresponding site: - Version of protocol to be implemented. - Template Informed Consent (and Assent, if applicable) Forms. - Other study-specific documents such as memory aids or recruitment information.		
	5.3.1	An FDA Form 1572 or Investigator of Record Form with PI qualification documents (e.g. CV and professional license)		
	5.3.2 & 5.3.3	The Clinical Quality Management Plan and Study Product Management Plan have been approved by DMID as required for the study.		
	5.3.4	- The Clinical Site Monitoring Study Initiation Visit (SIV) has been conducted. - If the SIV has occurred outside of 30 days at the time of site activation or if the SIV occurred on a different protocol version than the one that will be implemented, documentation is on file that a refresher training was conducted.		
	5.3.5	All findings, action items, and/or issues critical for study conduct have been addressed and documented as appropriate.		
	5.3.6	- For any specialized protocol-specific procedures/processes/tasks: - Training plan has been approved by the COR, - Staff training has been completed successfully, and individuals have demonstrated the required level of proficiency, and - Training records have been updated according to protocol training plan.		
	5.3.7	The site budget for the protocol that will be implemented has been approved by the COR or PO and funding is in place.		
	5.3.8	The site staff has the appropriately documented training to conduct human subject research and complete all study procedures i.e., Confirmed by respective responsible contractor (e.g. Emmes, Fisher, etc.)		
	5.3.9	All critical reagents and study-specific supplies (including specimen labeling systems) and treatment assignment key (as applicable) are onsite.		
	Other (as needed)			
	Other (as needed)			

Essential Document Collection Organization (EDCO) Representative

Date