**APPENDIX 1**

**UHL Site Close Down Report**

**for UHL CTIMP Studies**

**Site Information**

|  |
| --- |
| **Sponsor Number [EDGE number]:**  |
| **Study Name:** |
| **Study Site:** |
| **Investigator name:**  |
| **Date of visit:**  |

 **List of site and monitoring personnel in attendance**

|  |  |
| --- | --- |
| Name | Position |
|  |  |
|  |  |
|  |  |

**Study Status**

|  |  |
| --- | --- |
| Planned patient number |  |
| Number of patients randomised |  |
| Number of patients completed |  |
| Number of patients withdrawn |  |
| Number of patients lost to follow up |  |
|  | Comments: |

|  |  |  |  |
| --- | --- | --- | --- |
| **Items discussed /verified** | **Yes** | **No** | **Comments** |
| Is there a current contact list on file?  |[ ] [ ]   |
| Is there a superseded contact list on file? |[ ] [ ]   |

**1. Contacts List**

**2. Protocol**

|  |  |  |  |
| --- | --- | --- | --- |
| **Items Discussed/verified** | **Yes** | **No** | **Comments** |
| Is the current approved protocol on file? |[ ] [ ]   |
| Is the protocol signed and dated? |[ ] [ ]   |
| Are superseded protocols on file? |[ ] [ ]   |
| Is there a completed protocol deviation log on file? |[ ] [ ]   |
| Have all protocol deviations been reported and reviewed by PI? |[ ] [ ]   |

**3. Ethics/HRA/MHRA**

|  |  |  |  |
| --- | --- | --- | --- |
| **Items Discussed/verified** | **Yes** | **No** | **Comments** |
| Are all original applications/submissions/approvals on file? |[ ] [ ]   |
| Are all substantial amendment/s complete and on file? |[ ] [ ]   |
| Are all non-substantial amendment/s complete and on file? |[ ] [ ]   |
| Is there REC/HRA/MHRA correspondence on file? |[ ] [ ]   |
| Is the notification of trial completion (end of study declaration) on file? |[ ] [ ]   |
| Is the acknowledgement of end of study declaration on file? |[ ] [ ]   |

**4. R&I**

|  |  |  |  |
| --- | --- | --- | --- |
| **Items Discussed/verified** | **Yes** | **No** | **Comments** |
| Are all original copies of relevant applications/ authorisations on file  |[ ] [ ]   |
| Are all substantial amendment/s complete and on file? |[ ] [ ]   |
| Are all non-substantial amendment/s complete and on file? |[ ] [ ]   |
| Is there R&I correspondence on file? |[ ] [ ]   |

**5. Investigator Site Personnel**

|  |  |  |  |
| --- | --- | --- | --- |
| **Items Discussed/verified** | **Yes** | **No** | **Comments** |
| Is the Delegation of Authority and signature log updated to reflect end of study |[ ] [ ]   |
| Confirm that all CVs/GCP/training records are up to date and on file |[ ] [ ]   |

**6. Standard Operating Procedures**

|  |  |  |  |
| --- | --- | --- | --- |
| **Items Discussed/verified** | **Yes** | **No** | **Comments** |
| Are the Standard Operating Procedures read logs completed for all study team members? |[ ] [ ]   |

**7. Study Documentation**

|  |  |  |  |
| --- | --- | --- | --- |
| **Items Discussed/verified** | **Yes** | **No** | **Comments** |
| Is the current approved subject documentation on file? |[ ] [ ]   |
| Are all superseded subject documents on file? |[ ] [ ]   |
| Are previous versions of study documentation marked as Superseded? |[ ] [ ]   |
| Is there a copy of the current Case Report Form on file? |[ ] [ ]   |
| Are all superseded Case Report Forms on file? |[ ] [ ]   |

**8. Subject Documentation**

|  |  |  |  |
| --- | --- | --- | --- |
| **Items Discussed/verified** | **Yes** | **No** | **Comments** |
| Is there a current screening log template on file? |[ ] [ ]   |
| Is the subject screening log complete? |[ ] [ ]   |
| Is there a current enrolment log template on file? |[ ] [ ]   |
| Is the enrolment log complete, including an outcome for each subject?  |[ ] [ ]   |

**9. Randomisation**

|  |  |  |  |  |
| --- | --- | --- | --- | --- |
| **Items Discussed/verified** | **Yes** | **No** | **N/A** | **Comments** |
| Is there documentation of the randomisation process on file? |[ ] [ ] [ ]   |
| Are details of where the master randomisation list held on file |[ ] [ ] [ ]   |
| Is there evidence of correct blinding as per study protocol? |[ ] [ ] [ ]   |
| **Comments/Findings** |

**10.. Informed Consent**

|  |  |  |  |
| --- | --- | --- | --- |
| **Items Discussed/verified** | **Yes** | **No** | **Comments** |
| Are all consent forms present and correctly completed? |[ ] [ ]   |
| Has consent audit been undertaken and documentation of the audit on file? |[ ] [ ]   |
| Is informed consent process properly documented in the medical/trial records for all subjects? |[ ] [ ]   |

**11. Data Management**

|  |  |  |  |
| --- | --- | --- | --- |
| **Items Discussed/verified** | **Yes** | **No** | **Comments** |
| Are computer records and files containing identifiable data stored on a remote and secure server? |[ ] [ ]   |
| Is the emergency recovery procedure for retrieving data available  |[ ] [ ]   |
| Is access to electronic study records and files password protected? |[ ] [ ]   |
| Are electronic data files for analysis anonymised? |[ ] [ ]   |
| Confirmation that all personnel data will be removed according to the timespan stated within the ethical application?  |[ ] [ ]   |
| Is there provision in place for suitable archiving? If yes are details logged with the Sponsor office? |[ ] [ ]   |

**12. Source Data Verification**

|  |  |  |  |
| --- | --- | --- | --- |
| **Items Discussed/verified** | **Yes** | **No** | **Comments** |
| Are all CRFs complete and all data queries resolved? |[ ] [ ]   |
| Has all patient identifiable data been removed?  |[ ] [ ]   |
| Confirmation that Data Lock point has been achieved? |[ ] [ ]   |
| Confirmation that a Statistical Analysis Plan (SAP) is in place? |[ ] [ ]   |

**13. Safety Reporting/Pharmacovigilance**

|  |  |  |  |
| --- | --- | --- | --- |
| **Items discussed/verified** | **Yes** | **No** | **Comments** |
| Are SAE reporting guidelines on file? |[ ] [ ]   |
| Is there a current SAE form template on file? |[ ] [ ]   |
| Are complete SAE reports and associated acknowledgement correspondence from Sponsor on file? |[ ] [ ]   |
| Have all SAEs been reviewed against the current Reference Safety Information |[ ] [ ]   |
| Are SUSAR reporting guidelines on file |[ ] [ ]   |
| Are SUSAR reports and associated acknowledgement correspondence from Sponsor/ MHRA/R&D on file? |[ ] [ ]   |
| Are all signed and dated annual Development Safety Update Report(s) on file? |[ ] [ ]   |
| **Comments/Findings** |[ ] [ ]   |

**14. Reference Safety Information**

|  |  |  |  |
| --- | --- | --- | --- |
| **Items discussed/verified** | **Yes** | **No** | **Comments** |
| Have there been any changes to the Reference Safety Information? |[ ] [ ]   |
| If changes have been made to the reference safety information are all relevant substantial amendments on file?  |[ ] [ ]   |
| Is there a current Signed and dated Investigator Brochure (IB) on file? |[ ] [ ]   |
| Are all superseded IB brochures on file? |[ ] [ ]   |
| Is there a current signed and dated Summary of Product Characteristics (SmPC) on file? |[ ] [ ]   |
| Are all Superseded SPCs on file? |[ ] [ ]   |
| Are all Safety alert updates on file? |[ ] [ ]   |

**15. Monitoring**

|  |  |  |  |
| --- | --- | --- | --- |
| **Items Discussed/verified** | **Yes** | **No** | **Comments** |
| Is study initiation and all subsequent monitoring/audit visit documentation on file? |[ ] [ ]   |
| Are all versions of the study specific monitoring plan on file?  |[ ] [ ]   |
| Is the monitoring visit log complete and on file? |[ ] [ ]   |

**16. Clinical Laboratory/Specimen Collections**

|  |  |  |  |
| --- | --- | --- | --- |
| **Items Discussed/verified** | **Yes** | **No** | **Comments** |
| Have central labs been used? |[ ] [ ]   |
| Are the current and previous central lab accreditations on file? |[ ] [ ]   |
| Are current and superseded central lab normal reference ranges on file? |[ ] [ ]   |
| Have local labs been used? |[ ] [ ]   |
| Are the local laboratories current and superseded accreditation certificates on file? |[ ] [ ]   |
| Are the current/ superseded local normal reference ranges on file? |[ ] [ ]   |
| Are current and superseded sampling and sample handling procedure documents/lab manuals on file? |[ ] [ ]   |
| Are all specimen results reviewed and signed and dated by PI/ delegated medic? |[ ] [ ]   |
| Are all specimen results that are out of range marked as clinically significant or not clinically significant? |[ ] [ ]   |
| Are all sample logs/records complete and on file? |[ ] [ ]   |
| Is there clear evidence that all specimens/samples which are not being retained under the original REC application following study closure have been destroyed as per relevant laboratory SOP? |[ ] [ ]   |
| Is there on going storage of samples for future research? |[ ] [ ]   |
| If yes; Are storage conditions monitored and recorded? |[ ] [ ]   |
| Are details of where samples are to be held for future research complete and on file together with the relevant contact details of personnel responsible for sample/specimen maintenance?Copy of document to be provided for sponsor records as part of end of Sponsor Green lLight processPlease be aware that once specimens /samples are not covered by this ethical application, they must be stored in a HTA licensed area. |  |  |  |

**17. Pharmacy**

|  |  |  |  |
| --- | --- | --- | --- |
| **Items Discussed/verified** | **Yes** | **No** | **Comments** |
| Are pharmacy staff GCP and CVs up to date and on file?  |[ ] [ ]   |
| Is the delegation of authority and signature log updated to reflect end of study? |[ ] [ ]   |
| Are instructions in place with regards to handling trial medication and trial related materials. Dispensing procedureRandomisation/resupply/returns and destruction?IMP packaging samples |[ ] [ ]   |
| Is there a pharmacy approved prescription template on file? |[ ] [ ]   |
| Records of drug dispensing on file and has the drug been correctly dispensed with all completed prescriptions on file? |[ ] [ ]   |
| Have drug accountability records been completed? |[ ] [ ]   |
| Are their adequate collection, recording and maintenance of temperature monitoring records for all locations storing IMPs? |[ ] [ ]   |
| Have any drug excursions been recorded? |[ ] [ ]   |
| Have any drug been quarantined? |[ ] [ ]   |
| Are all required GMP, certificate of analysis and QP release documents on file? |[ ] [ ]   |

**18. Financial/Legal agreements**

|  |  |  |  |
| --- | --- | --- | --- |
| **Items Discussed/verified** | **Yes** | **No** | **Comments** |
| Are all completed documents relating to contracts, finance, funding, indemnity and sponsorship on file? |[ ] [ ]   |

**19. Study Related Supplies**

|  |  |  |  |
| --- | --- | --- | --- |
| **Items Discussed/verified** | **Yes** | **No** | **Comments** |
| Are all study related supplies documents completed and on file? |[ ] [ ]   |
| Are all maintenance and calibration records completed and on file? |[ ] [ ]   |

**20. Annual Reports**

|  |  |  |  |
| --- | --- | --- | --- |
| **Items Discussed/verified** | **Yes** | **No** | **Comments** |
| Are annual progress and safety reports to the Ethics Committee on file? |[ ] [ ]   |
| Are Sponsor confirmations of annual report receipt on file? |[ ] [ ]   |

**21. Final Study Report/ Publication**

|  |  |  |  |
| --- | --- | --- | --- |
| **Items Discussed/verified** | **Yes** | **No** | **Comments** |
| Are copies of any interim study analysis/publications on file? |[ ] [ ]   |
| The Investigator understands the process for submitting the final report to the HRA and will provide a copy of the acknowledgement email from the HRA, which includes details of the final report, to the sponsor. A copy of the report will be filed in the Trial Master File/Site file.  |[ ] [ ]   |
| The Investigator understands the requirement to update the relevant public research databases and provide a final report as required. |[ ] [ ]   |
| The Investigator understands that archiving of both paper and electronic TMF/ISF and electronic records must be undertaken as per the sponsor SOP S-1029. |[ ] [ ]   |

**22. Correspondence**

|  |  |  |  |
| --- | --- | --- | --- |
| **Items Discussed/verified** | **Yes** | **No** | **Comments** |
| Is all study related correspondence on file? |[ ] [ ]   |

**Additional Comments/Overview**

**Confirmation by Sponsor/Sponsors delegate that study ready for closure.**

**Name (Print) …………………………………………………………..**

**Signature ……………………………………………………..**

**Role …………………………………………………………..**

**Date: …………………………………………………………**

UHL Site close down Final Outstanding Findings Sign Off

**Date of Visit: Study Title:**

**Sponsor Reference: Principal Investigator: Date Responses Due Back:**

|  |  |  |  |  |
| --- | --- | --- | --- | --- |
| **Finding** **Number** | **Outstanding Findings** | **Action required** | **Action Taken** | **Principal Investigator/ delegate Signature** |
|  |  |  |  |  |
|  |  |  |  |  |
|  |  |  |  |  |
|  |  |  |  |  |
|  |  |  |  |  |
|  |  |  |  |  |
|  |  |  |  |  |

**Chief Investigator Signature ………………………………………. Date ………………………………………………….**