

Trial Master File / Investigator Site File Index

Clinical Trials of Investigational Medicinal Products

This Trial Master File/ Investigator Site file index template has been produced with regards to the documentation required by UHL, as Sponsor, for the completion of both single and multi-centre CTIMP studies. This index can be modified to suit individual study requirements.

The documentation detailed in plain text is for individual Site, Investigator Site Files. The additional documentation detailed in italic is with regards to the requirement for the Trial Master File only, held and maintained by the Chief Investigator.

SECTION	TITLE	DOCUMENTS
1.	Contact List	<p>Including details of relevant study site staff, responsible HRA/REC, R&I contacts, pharmacy, laboratory and other relevant departments involved in the study</p> <p><i>At Trial Master File level: Copies of contact lists from all collaborating centres</i></p>
2.	Protocol	<p>Current protocol signed and dated by PI</p> <p>Signed and dated protocol signature page(s) for all protocol versions.</p> <p>Superseded protocol(s)</p> <p>Completed protocol read log/s for all relevant study personnel</p> <p>Protocol deviation log master template</p> <p>Completed protocol deviation log</p> <p>File note template</p> <p><i>At Trial Master File level:</i></p> <p>Signed protocol signature page for current and all superseded protocols for all collaborating sites</p> <p>Copy of signed and dated protocol deviation logs for collaborating sites.</p> <p>Completed protocol read log/s for all relevant study personnel</p>

<p>3.</p>	<p>Health Research Authority / Ethics Committee</p>	<p>Signed and dated IRAS application</p> <p>Statement of activities / Organisational Information Document/ schedule of events</p> <p>HRA initial assessment letter (where applicable)</p> <p>REC letter of acknowledgement</p> <p>REC letter of provisional /full favourable opinion</p> <p>HRA approval letter</p> <p>Substantial Amendments:</p> <p>Substantial amendment application form (via IRAS) to HRA/REC</p> <p>HRA /REC confirmation of submission email</p> <p>HRA categorisation email</p> <p>HRA approval letter / REC favourable opinion letter</p> <p>Non Substantial Amendments:</p> <p>Minor amendments application form (via IRAS) to HRA/REC</p> <p>HRA /REC confirmation of submission email</p> <p>HRA approval /REC favourable opinion</p> <p>GCP compliance / REC constitution /composition / list of members (Evidence that list of data monitoring committee members (where applicable) has been sent to REC) (forms part of REC favourable opinion)</p> <p>HRA / Ethics correspondence</p> <p><u>At Trial Master File level:</u> <i>Completed feasibility form</i></p> <p><i>Copy of completed / statements of activities/ organisational information document/schedule of events and relevant HRA approvals / REC favourable opinion.</i></p> <p><i>Evidence of receipt of amendment from all collaborating centres</i></p> <p><i>Correspondence where appropriate with Sponsor / HRA & REC</i></p>
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4.	Competent Authority	<p>Clinical Trial Authorisation (CTA) application</p> <p>CTA acceptance letter</p> <p>Submission / acknowledgement / approval of amendment/s letter/s</p> <p>MHRA Correspondence</p> <p><i>At Trial Master File level:</i> <i>CTA and acknowledgement letters for all relevant amendments for all collaborating centres</i></p> <p><i>Correspondence with MHRA with regards to collaborating centres</i></p>
5.	R&I	<p>R & I application/capability assessment</p> <p>R & I approval / authorisation</p> <p>Submission / notification and R&I acknowledgement/approval / authorisation of all Substantial and Non-Substantial Amendments</p> <p>R & I correspondence</p> <p><i>At Trial Master File level:</i> <i>Collaborating sites R&I/R&D submission and approval/ authorisation documentation.</i></p> <p><i>Notification / receipt of all subsequent amendments/approvals / authorisation</i></p> <p><i>Local R&I / R&D correspondence</i></p>
6.	Investigator Site Personnel	<p>Template of Delegation of Authority Log</p> <p>Template signature log (eDOA only)</p> <p>Completed Delegation of Authority Log(s)</p> <p>Completed signature log (e DOA only)</p> <p>Original signed and dated current CVs for all study personnel named on the delegation log/eDOA, covering the period of the study</p> <p>Evidence of GCP training/consent training e.g. certificate / email, covering the total period of the study</p>

		<p>Evidence of study specific training</p> <p><u>At Trial Master File level:</u> <i>Collaborating centre: copy of current completed delegation of duties / authorised signatures forms. Signed and dated CVs for PI and all staff named on delegation log.</i></p> <p><i>Trial training documentation:-</i></p> <ul style="list-style-type: none"> - GCP training evidence for all staff named on delegation log - Consent training evidence where required. - Pharmacovigilance Training where appropriate - Protocol-related training / Investigator meeting documentation
7.	Standard Operating Procedures	<p>Details of where and how to access current Sponsor SOPs</p> <p>Complete Standard Operating Procedures Read Log for all study staff members. All relevant Sponsor standard operating procedures must be read by all research team members.</p> <p><u>At Trial Master File level:</u> <i>Completed SOP read log for all staff named on collaborating centres delegation logs.</i></p>
8.	Study Documentation	<p>Template of all current approved participant information sheets and informed consent forms printed on UHL headed paper (make sure the version and date number is entered)</p> <p>Superseded documentation e.g. participant information sheets and informed consent forms</p> <p>Template of GP letter</p> <p>Template of any other study related material e.g. invitation letters/posters/questionnaires)</p> <p>Sample Case Report Form</p> <p><u>At Trial Master File level:</u> <i>Evidence that collaborating sites are utilising the current approved version of all study documentation.</i></p>

9.	Subject Documentation	<p>Template screening log (where applicable)</p> <p>Completed screening log/s containing non identifiable participant data only (where applicable)</p> <p>Template subject enrolment/identification log</p> <p>Completed subject enrolment/identification log (not to be removed from site).</p> <p><i><u>At Trial Master File level:</u></i> <i>Details of subject enrolment numbers utilised for individual collaborating sites. No patient identifiable data.</i></p>
10.	Randomisation	<p>Documentation of randomisation process</p> <p>Details of randomisation process and all relevant guidance documentation if utilised.</p> <p>Master randomisation list (in sealed envelope) and details of electronic randomisation process/details of where master randomisation list is held and relevant contact details.</p> <p>Evidence (where applicable) of randomisation i.e. envelopes / email / IVRS</p> <p>Location of code breaker.</p> <p><i><u>At Trial Master File level:</u></i> <i>Details of randomisation process and relevant contact details for all collaborating centres.</i></p>
11.	Data Management	<p>Statistical Analysis Plan- <i>TMF only</i></p> <p>Details of electronic/paper case report form storage/security</p> <p>Data Management Plan- <i>TMF only</i></p> <p>Superseded data management plan/statistical analysis plan where applicable</p> <p>Electronic Data Capture (EDC)/ eCase Report Form (eCRF) training records</p>

12.	Source Data	<p>Source Data Schedule</p> <p>Data query/response documentation</p> <p><u>At Trial Master File level:</u> Site/s source data schedule/s Site data query/response document</p>
13.	Informed Consent	<p>Original copies of all completed consent forms including all re consent forms where applicable, with associated patient information sheets</p> <p>Copy of 100% consent form audit record where applicable</p> <p><u>At Trial Master File level:</u> Copies of 100% consent form audit records where applicable for all collaborating centres</p>
14.	Pharmacovigilance/Safety Reporting	<p>SAE reporting guidelines/pharmacovigilance/governance contact details. Please refer to the SOP relating to safety reporting Current SAE form template and SAE form completion guidance document.</p> <p>Completed Serious Adverse Event/ Serious Adverse Reaction report forms and Sponsor /R&I/R&D acknowledgement documentation.</p> <p>SUSAR reporting guidelines</p> <p>Completed SUSAR reports and acknowledgements from Sponsor/MHRA/R&I/R&D</p> <p>SAE/SAR/SUSAR tracking log</p> <p>Annual Development Safety Update Report/Short format DSUR (where applicable) and acknowledgement correspondence (MHRA & REC)</p> <p>Evidence of Data Monitoring Committee meetings - agenda/minutes</p> <p><u>At Trial Master File level:</u></p> <p>Copies of all collaborating centre SAE/SUSARs reports and acknowledgements/adjudication</p> <p>Evidence of provision/receipt of DSUR/Short format DSUR for all collaborating centres</p> <p>Correspondence</p>

15.	Reference Safety Information	<p>Investigator Brochure / Summary of Products Characteristics with evidence of annual review and update by CI/PI(signed and dated) Investigational Medicinal Product Dossier (where applicable)</p> <p>Superseded IB/IMPD/SMPC documents</p> <p>Safety alert updates</p> <p><i>At Trial Master File level: Evidence of receipt of IB/SMPC/ IMPD safety alert updated for all collaborating centres Correspondence</i></p>
16.	Monitoring	<p>Agenda and minutes from initiation/ pre-trial meeting</p> <p>Study specific monitoring plan</p> <p>Initiation visit/site/pharmacy report Monitoring Log Template</p> <p>Completed monitoring log</p> <p>Interim monitoring documentation e.g.site/pharmacy monitoring visit reports and CI/PI responses</p> <p>Final trial close out/site/pharmacy monitoring reports</p> <p>External audit reports and responses</p> <p>Associated correspondence</p> <p><i>At Trial Master File level: Copies of all site/pharmacy monitoring reports and associated responses for all centres. External audits and responses.</i></p>

<p>17.</p>	<p>Clinical Laboratory</p>	<p>Central laboratories certificates of accreditation, where applicable</p> <p>Central laboratories normal reference ranges (including revisions) where applicable</p> <p>Local laboratories certificates of accreditation, where applicable</p> <p>Local laboratories normal reference ranges (including revisions) where applicable</p> <p>Lab manual/sample processing instructions, where applicable</p> <p>Details of sample storage facilities/ processes/relevant personnel contact details</p> <p>Sample shipment receipt/ tracking logs, where applicable</p> <p>Temperature logs for sample storage</p> <p>Sample storage instructions/Inventory of samples/specimens, where applicable</p> <p>Inventory/destruction log of all samples/specimens</p> <p>Details of sample storage arrangements (where applicable) for all samples held for future research</p> <p><i>At Trial Master File level:</i> <i>Certificates of accreditation and normal reference ranges for local labs of all participating sites</i></p> <p><i>Inventory of samples/specimens storage and temperature logs as applicable</i></p> <p><i>Contact details of all relevant personnel responsible for sample management</i></p>
<p>18.</p>	<p>Pharmacy</p>	<p>Evidence of GCP training e.g. certificate/email covering the period of the study</p> <p>Original signed and dated current CVs for all pharmacy personnel named on the Delegation Log, covering the period of the study</p> <p>Sponsor Green Light approval documents</p>

		<p>Investigational Medicinal Product packaging (label specification, copies of labels)</p> <p>Instructions for handling and storage of trial medication and trial related materials (randomisation, re-supply, return / destruction.</p> <p>Code breaking (unblinding) documentation (IVRS if applicable)</p> <p>Master template prescription form</p> <p>Completed prescription forms</p> <p>Template of Accountability forms / Inventory Forms / Dispensing logs / Temperature logs for all sites. Drug Destruction documentation. (completed documents will be filed in the pharmacy file)</p> <p>The following is applicable when Pharmacy is involved with Investigational Medicinal Product Manufacturing:</p> <ul style="list-style-type: none"> - GMP certificate - Certificate of Analysis - Authorisation of release by Qualified Person <p>The above documents will be filed in the pharmacy file)</p> <p><i>At Trial Master File level:</i> <i>For all collaborating centres:</i></p> <p><i>Sponsor green light documentation</i> <i>Confirmation of drug receipt/ Drug Accountability/IMP destruction.</i> <i>Pharmacy correspondence</i></p>
19.	Financial / Legal	<p>Contracts / contract addendums with all investigators and sub-contractors</p> <p>Chief Investigator Agreement, where applicable</p> <p>Confirmation of sponsorship</p> <p>Evidence of peer review, where applicable</p> <p>Funding Letter(s)/ financial agreement</p> <p>Insurance and indemnity statement for all investigators</p>

		<p>Clinical trial agreement with all investigators</p> <p>Financial correspondence</p> <p>Records of subject expenses</p> <p><u>At Trial Master File level:</u></p> <p><i>Copies of all contacts and agreements/ amendments with collaborating centres and external vendors</i></p>
20.	Study Related Supplies	<p>Shipment/delivery</p> <p>Collection/return</p> <p>Supplies re-order form templates</p> <p>Completed supply request forms</p> <p>Evidence of maintenance/calibration certification of all applicable equipment</p> <p><u>At Trial Master File level:</u></p> <p><i>Copies of all relevant supply documentation and evidence of equipment maintenance/calibration for all collaborating centres</i></p>
21.	Annual /End of study declaration/Final report	<p>Annual reports to HRA / REC and Sponsor</p> <p>Notice to HRA / REC, MHRA and R&I / R&D of trial completion (end of study declaration)-<i>TMF only</i></p> <p>Final study report and acknowledgement from HRA/REC/ MHRA/Sponsor</p> <p>Confirmation that the final report/study publication has been uploaded to EudraCT and any public databases as detailed in the ethical application.</p> <p><u>At Trial Master File level:</u></p> <p><i>Confirmation that all reports have been received and acknowledged by collaborating centres</i></p>
22.	Publications	<p>Copies of all study analysis publications</p>

23.	Correspondence	<p>Correspondence with CI / Sponsor and internal site correspondence, including newsletters and other study specific correspondence.</p> <p>Meeting agendas and minutes</p> <p>General correspondence</p> <p><u>At Trial Master File level:</u></p> <p><i>Relevant trial related correspondence with all collaborating centres</i></p>
24.	Miscellaneous (detail documents where applicable)	