

Trial Master File and Essential Documents

Standard Operating Procedure

Western Health

SOP reference	002
Version:	4.0 dated September 2024
Effective Date	September 2024
Next Review Date	September 2029
Approved by	Mr Bill Karanatsios, Research Program Director
Signature and date	<i>Bill Karanatsios</i> 13/09/2024

Amendment History

VERSION	DATE	AMENDMENT DETAILS
2.0	04 Dec 2015	
3.0	June 2019	Updated to align with MACH SOPs
4.0	September 2024	Updated the documentation requirement as per the Australian Code for the Responsible Conduct of Research (2018) re Guide - Management of data and information .in research 2019. Updated to align with the NHMRC National Statement on Ethical Conduct in Human Research (2023 and updates).

1. AIM

To describe the procedures related to the maintenance of the Study Site Master File/Trial Master File (TMF) and associated essential documents.

2. SCOPE

Applicable to all clinical research projects undertaken at Western Health (WH), including Investigator initiated research, collaborative research and all phases of clinical investigation for medicinal products, medical devices and diagnostics for which WH is responsible for the conduct of the trials as a site study.

3. APPLICABILITY

Principal Investigator, Associate Investigator(s) research coordinators and other staff delegated to research related activities at WH.

4. PROCEDURE

For investigator initiated trials where WH is also the sponsor, obligations to or from sponsor should be interpreted to mean WH.

4.1. The Trial Master File (TMF) and Essential Documents

The investigator(s) should:

STEP	ACTION
4.1.1	File essential documents at the site in a timely manner. All site-related materials should be made available for review by the sponsor's representatives (monitors and auditors) or regulatory authority(ies). ICH GCP 4.9.4
4.1.2	Keep a minimum list of essential documents from the following stages of the study. ICH GCP 8.1 <ul style="list-style-type: none"> • Before the clinical phase of the study • During the clinical conduct of the study • After completion or termination of the study (As per WH Trial Master File Checklists)
4.1.3	In Victoria, the minimum recommended period of retention of health information is 7 years after the last occasion on which a health service was provided to the individual (Health Records Act (2001)). The minimum recommend period of retention of research data is 5 years from the date of publication – whichever is the later. Documentation should be maintained as specified in the Australian Code for Responsible Conduct of Research 2018 - Guide – Management of data and information in research 2019) as indicated below: <ul style="list-style-type: none"> • For short-term research projects that are for assessment purposes only, such as research projects completed by students, retaining research data for 12 months after the completion of the project may be sufficient. • for most clinical trials, retaining research data for 15 years or more may be necessary. • for areas such as gene therapy, research data must be retained permanently (e.g. data in the form of patient records).

	<ul style="list-style-type: none"> if the work has community, cultural or historical value, research data should be kept permanently, preferably within a national collection. <p>For legal reasons, sites may consider indefinite archiving periods.</p> <p>The Therapeutic Goods Administration (TGA) position on document retention states:</p> <p><i>“The TGA requires records to be retained by the sponsor for 15 years following the completion of a clinical trial. However, in Australia the overriding consideration for sponsors with respect to record retention is the issue of product liability and the potential need for sponsors of products to produce records at any time during, and possibly beyond, the life of a product in the event of a claim against the sponsor as a result of an adverse outcome associated with the use of the product.”</i></p>
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4.2. Documentation of Investigational Site Qualifications and Training Records

The investigator(s) should:

STEP	ACTION
4.2.1	Main evidence in the Study Site Master File of Investigational Site, Adequacy of Resources and Training Records as describe in WH GCP SOP 001.

4.3. The Site File

STEP	ACTION
4.3.1	The site file should contain all the essential documents referred to in the TMF Checklists (Appendix 1-4) for the particular type of trial being undertaken. ICH GCP 8.1
4.3.2	The site file must be retained within a secure place, with appropriate environmental protections. Access should be restricted to authorised personnel only.
4.3.3	For commercially sponsored studies, sponsoring companies usually provide site file complete with tab separators for ease and consistency of filing, but departments may reorganise these site files to comply with their specific requirements as necessary
4.3.4	For studies conducted on behalf of smaller companies or for investigator-initiated studies, the site file should be structured in accordance with the WH TMF Checklists (Appendix 1 & 2) as deemed appropriate for your study.
4.3.5	Financial documentation such as the clinical trial agreement may be filed in a separate location to the Trial Master File. ICH GCP 8.2.6
4.3.6	The site pharmacy will usually keep investigational product shipping, receipt and accountability documents in the study Pharmacy Folder. The site itself does not have to replicate these documents. However, the records must be made available to sponsors, monitors and auditors. ICH GCP 5.18.4 (iv)

5. GLOSSARY

Auditors

Persons charged with the responsibility of auditing project/clinical trial processes and procedures and who can validate project/trial regulatory compliance.

Associate Investigator

Any individual member of the project team designated and supervised by the investigator at a study site to perform critical study-related procedures and/or to make important study-related decisions (e.g., associates, residents, research fellows). Also referred to as “Sub-Investigator”

Chronological Filing

Organising and ordering documents and records in a dated sequence. This sequence can be according to their date of receipt, or date and time of their creation. The item youngest-by-date is usually in front of or on top of the previous items.

Clinical Research Coordinators

A research worker who works at a clinical research site under the immediate direction of a Principal Investigator, whose research activities are conducted under Good Clinical Practice guidelines. May also be called “Clinical Trial Coordinator”, “Research Coordinator” or “Study Coordinator”.

Essential Documents

Documents which individually and collectively permit evaluation of the conduct of a study and the quality of the data produced.

Good Clinical Practice (GCP)

A standard for the design, conduct, performance, monitoring, auditing, recording, analyses, and reporting of clinical trials that provides assurance that the data and reported results are credible and accurate, and that the rights, integrity, and confidentiality of trial participants are protected.

Human Research Ethics Committee (HREC)

A body which reviews research proposals involving human participants to ensure that they are ethically acceptable and in accordance with relevant standards and guidelines. The National Statement requires that all research proposals involving human participants be reviewed and approved by an HREC and sets out the requirements for the composition of an HREC.

International Conference on Harmonisation (ICH)

International Conference on Harmonisation of Technical Requirements for Registration of Pharmaceuticals for Human Use is a joint initiative involving both regulators and research-based industry focusing on the technical requirements for medicinal products containing new drugs.

Investigator initiated trial

A clinical trial that is undertaken by the investigator whereby the investigator and/or their institution takes on the role of the sponsor in addition to their role as investigator.

Monitor

Person responsible for overseeing the progress of a clinical trial, and of ensuring that it is conducted, recorded, and reported in accordance with the protocol, Standard Operating Procedures (SOPs), Good Clinical Practice (GCP), and the applicable regulatory requirement(s).

Principal Investigator (PI)

An individual responsible for the conduct of a clinical trial at a trial site and ensures that it complies with GCP guidelines. If a trial is conducted by a team of individuals at a trial site,

the investigator is the responsible leader of the team and may be called the Principal Investigator. In this instance they may delegate tasks to other team members.

Research Governance Office (RGO)

Site/institutional office that are accountable for the research activities conducted at their site to ensure that research is conducted according to established ethical principles, guidelines for responsible research conduct, relevant legislation and regulations and institutional policy.

Sponsor

An individual, company, institution or organisation which takes responsibility for the initiation, management, and/or financing of a clinical trial.

Therapeutic Goods Administration (TGA)

Authority responsible for regulating medicines, medical devices, blood, and tissues.

Trial Master File (TMF)

A file that contains all the applicable essential documents that demonstrate that the study/trial has been conducted in accordance with regulatory requirements and ICH GCP, enabling both the conduct of a project and the quality of the data produced to be evaluated. The preparation and maintenance of the Study File resides with the Site Investigator and set up at the start of a trial and is archived at the end of the trial. This may also be called the "Study Site Master File" or "Investigator Site File".

6. REFERENCES

1. Based on VMIA GCP SOP No.002 Version: 1.0 Dated 17 September 2007
2. Based on MACH GCP SOP No.002 Version: 1.0
3. Note for guidance on Good Clinical Practice (CPMP/ICH/135/96) annotated with TGA comments DSEB, July 2000
4. Health Records Act (2001) (Vic) – Schedule 1 The Health Privacy Principles
5. NHMRC Australia Code for the Responsible Conduct of Research (2018)
6. NHMRC Guide – Management of data and information in research 2019
7. NHMRC National Statement on Ethical Conduct in Human Research (2023)

7. APPENDICES

- Appendix 1: Trial Master File Interventional Investigator Initiated Contents Checklist
- Appendix 2: Trial Master File Observational Investigator Initiated Contents Checklist
- Appendix 3: Trial Master File Interventional Sponsored Trial Contents Checklist
- Appendix 4: Trial Master File Observational Sponsored Trial Contents Checklist
- Appendix 5: Combined Site/Sponsor Master File Contents Checklist
- Appendix 6: Note to File
- Appendix 7: Subject Code List

8. AUTHORS/CONTRIBUTORS

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9. PRIMARY PERSON/DEPARTMENT RESPONSIBLE FOR DOCUMENT

Western Health Office for Research

APPENDIX 1: TRIAL MASTER FILE INTERVENTIONAL INVESTIGATOR INITIATED CONTENTS CHECKLIST

SOP No.002 Appendix 1 Version 4.0 Dated September 2024

**SITE MASTER FILE CONTENTS CHECKLIST
INVESTIGATOR INITIATED TRIAL
GCP ICH SECTION 8**

8.2 PRE TRIAL DOCUMENTATION FOR TRIAL MASTER FILE

During this planning stage the following documents should be generated and should be on file before the trial formally starts

GCP REF	File Document	Purpose	Doc in file
8.2.1	INVESTIGATOR'S BROCHURE (For marketed product use product brochure or equivalent)	To document that relevant and current scientific information about the investigational product has been provided to the investigator	
8.2.2	SIGNED PROTOCOL AND AMENDMENTS, IF ANY, AND SAMPLE CASE REPORT FORM (CRF)	To document investigator and sponsor agreement to the protocol/amendment(s) and CRF	
8.2.3	INFORMATION GIVEN TO TRIAL SUBJECT - INFORMED CONSENT FORM (including all applicable translations) - ANY OTHER WRITTEN INFORMATION - ADVERTISEMENT FOR SUBJECT RECRUITMENT (if used)	To document informed consent To document that subjects will be given appropriate written information (content and wording) to support their ability to give fully informed consent To document that recruitment measures are appropriate and not coercive	
8.2.4	FINANCIAL ASPECTS OF THE TRIAL - Trial contract including budget - Financial Disclosure Forms - Form FDA 1572 (where applicable) (Please also include any contingency financing plans if grant submission is not successful or if the full amount is not secured)	To document the financial agreement between the investigator/institution and the sponsor for the trial	
8.2.5	INSURANCE STATEMENT (where required)	To document that compensation to subject(s) for trial-related injury will be available	
8.2.6	SIGNED AGREEMENT BETWEEN INVOLVED PARTIES (For all multisite IIT studies or when WH is not both Sponsor and Site)	To document agreements	
8.2.7	DATED, DOCUMENTED APPROVAL/FAVOURABLE OPINION OF HREC OF THE FOLLOWING: protocol and any amendments, CRF, informed consent form(s), any other written information to be provided to the subject(s), advertisement for subject recruitment, subject compensation (if any) any other documents given approval/ favourable opinion	To document that the trial has been subject to HREC review and given approval/favourable opinion. To identify the version number and date of the document(s)	

GCP REF	File Document	Purpose	Doc in file
8.2.8	INSTITUTIONAL HREC COMPOSITION	To document that the HREC is constituted in agreement with GCP	
8.2.9	REGULATORY AUTHORITY(IES) AUTHORISATION/APPROVAL/ NOTIFICATION OF PROTOCOL TGA CTN ACKNOWLEDGEMENT LETTER OR CTX APPROVAL	To document appropriate authorisation/approval/notification by the regulatory authority(ies) has been obtained prior to initiation of the trial in compliance with the applicable regulatory requirement(s)	
8.2.10	CURRICULUM VITAE AND/OR OTHER RELEVANT DOCUMENTS EVIDENCING QUALIFICATIONS OF INVESTIGATOR(S) AND SUB-INVESTIGATOR(S) INCL MEDICAL REGISTRATION UPDATE.	To document qualifications and eligibility to conduct trial and/or provide medical supervision of subjects	
8.2.11	NORMAL VALUE(S)/RANGE(S) FOR MEDICAL/ LABORATORY/TECHNICAL PROCEDURE(S) AND/OR TEST(S) INCLUDED IN THE PROTOCOL	To document normal values and/or ranges of the tests	
8.2.12	MEDICAL/LABORATORY/TECHNICAL PROCEDURES /TESTS -certification or accreditation or established quality control and/or external quality assessment or other validation (where required)	To document competence of facility to perform required test(s), and support reliability of results. Institute to obtain standing certificate from provider (to circumvent repeated requests) and issued to research team as required.	
8.2.13	SAMPLE OF LABEL(S) ATTACHED TO INVESTIGATIONAL PRODUCT CONTAINER(S)). PLEASE ALSO PROVIDE SAMPLE FOR MARKETED PRODUCT(S) DISPENSED FROM PHARMACY THAT HAVE STUDY SPECIFIC LABELLING.	To document compliance with applicable labelling regulations and appropriateness of instructions provided to the subjects	
8.2.14	INSTRUCTIONS FOR HANDLING OF INVESTIGATIONAL PRODUCT(S) AND TRIAL-RELATED MATERIALS IF NOT INCLUDED IN PROTOCOL OR IB	To document instructions needed to ensure proper storage, packaging, dispensing and disposition of investigational products and trial-related materials	
8.2.15	SHIPPING RECORDS FOR INVESTIGATIONAL PRODUCT(S) AND TRIAL-RELATED MATERIALS	To document shipment dates, batch numbers and method of shipment of investigational product(s) and trial-related materials. Allows tracking of product batch, review of shipping conditions, and accountability	
8.2.16	CERTIFICATE(S) OF ANALYSIS OF INVESTIGATIONAL PRODUCT(S) SHIPPED. FOR MARKETED PRODUCT RECORD BATCH/LOT NUMBER FOR QC AUDIT TRAIL	To document identity, purity, and strength of investigational product(s) to be used in the trial	
8.2.17	DECODING PROCEDURES FOR BLINDED TRIALS	To document how, in case of an emergency, identity of blinded investigational product can be revealed without breaking the blind for the remaining subjects' treatment	

8.2.20	TRIAL INITIATION MONITORING REPORT	To document that trial procedures were reviewed with the investigator and the investigator's trial staff.	
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8.3 DURING THE CONDUCT OF THE TRIAL

In addition to having all files under section 8.2, the following should be added to the file during the trial as evidence that all new relevant information is documented as it becomes available.

GCP REF	File Document	Purpose	Doc In File
8.3.1	UPDATE 8.2.1 (INVESTIGATOR'S BROCHURE)	To document that investigator is informed in a timely manner of relevant information as it becomes available	
8.3.2	UPDATE 8.2.2 (PROTOCOL, AMENDMENTS, CRF)	To document revisions of these trial related documents that take effect during trial	
8.3.3	UPDATE 8.2.7 (HREC APPROVAL)	To document that the amendment(s) and/or revision(s) have been subject to HREC review and were given approval/favourable opinion. To identify the version number and date of the document(s).	
8.3.4	UPDATE 8.2.9 (TGA NOTIFICATION)	To document compliance with applicable regulatory requirements	
8.3.5	UPDATE 8.2.10 (UPDATE CVs OF NEW PIs AND OTHER STAFF)		
8.3.6	UPDATE 8.2.11 (NORMAL TEST VALUES AND REFERENCE RANGES)	To document normal values and ranges that are revised during the trial (see 8.2.11)	
8.3.7	UPDATE 8.2.12 (MEDICAL/LABORATORY/TECHNICAL PROCEDURES/TEST)	To document that tests remain adequate throughout the trial period (see 8.2.12)	
8.3.8	UPDATE 8.2.15 (SHIPPING RECORDS FOR INVESTIGATIONAL PRODUCT AND TRIAL RELATED MATERIALS)		
8.3.9	UPDATE 8.2.16 (CERTIFICATES OF ANALYSIS INVESTIGATIONAL PRODUCTS SHIPPED)		
8.3.10	MONITORING VISIT REPORTS. (Where WH is both Site and Sponsor, monitoring can be done by a suitably experienced WH employee who is not related to the research project)	To document site visits by, and findings of, the monitor.	
8.3.11	RELEVANT COMMUNICATIONS OTHER THAN SITE VISITS - letters, meeting notes & notes of telephone calls	To document any agreements or significant discussions regarding trial administration, protocol violations, trial conduct, adverse event (AE) reporting	
8.3.13	SOURCE DOCUMENTS Define type of documents and their location	To document the existence of the subject and substantiate integrity of trial data collected. State which source documents have been sighted to substantiate intent of this requirement.	
8.3.15	ORIGINAL DOCUMENTATION OF CRF CORRECTIONS (Not Applicable for eCRFs)	To document all changes/additions or corrections made to CRF after initial data were recorded	

8.3.16	NOTIFICATION BY ORIGINATING INVESTIGATOR TO SPONSOR OF SERIOUS ADVERSE EVENTS AND RELATED REPORTS	Notification by originating investigator to sponsor of serious adverse events and related reports in accordance with 4.11	
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GCP REF	File Document	Purpose	Doc In File
8.3.17	NOTIFICATION BY SPONSOR AND/OR INVESTIGATOR, WHERE APPLICABLE, TO REGULATORY AUTHORITY(IES) AND HREC OF UNEXPECTED SERIOUS ADVERSE DRUG REACTIONS AND OF OTHER SAFETY INFORMATION	Notification by sponsor and/or investigator, where applicable, to regulatory authorities and HREC of unexpected serious adverse drug reactions in accordance with 5.17 and 4.11.1 and of other safety information in accordance with 5.16.2 and 4.11.2	
8.3.18	NOTIFICATION BY SPONSOR TO INVESTIGATORS OF SAFETY INFORMATION	Notification by sponsor to investigators of safety information in accordance with 5.16.2	
8.3.19	INTERIM OR ANNUAL REPORTS TO IRB/IEC AND AUTHORITY(IES)	Interim or annual reports provided to HREC in accordance with 4.10 and to authority(ies) in accordance with 5.17.3	
8.3.20	SUBJECT SCREENING LOG	To document identification of subjects who entered pre-trial screening	
8.3.21	SUBJECT IDENTIFICATION CODE LIST	To document that investigator/institution keeps a confidential list of names of all subjects allocated to trial numbers on enrolling in the trial. Allows investigator/institution to reveal identity of any subject	
8.3.22	SUBJECT ENROLMENT LOG	To document chronological enrolment of subjects by trial number	
8.3.23	INVESTIGATIONAL PRODUCTS ACCOUNTABILITY AT THE SITE	To document that investigational product(s) have been used according to the protocol	
8.3.24	DELEGATION LOG	To document signatures and initials of all persons authorised to make entries and/or corrections on CRFs and trial tasks assigned to individuals	
8.3.25	RECORD OF RETAINED BODY FLUIDS/ TISSUE SAMPLES (IF ANY)	To document location and identification of retained samples if assays need to be repeated	

8.4 AFTER COMPLETION OR TERMINATION OF THE TRIAL

After completion or termination of the trial, all of the documents identified in sections 8.2 & 8.3 should be in the file together with the following.

GCP REF	File Document	Purpose	Doc In File
8.4.1	INVESTIGATIONAL PRODUCT(S) ACCOUNTABILITY AT SITE	To document that the investigational product(s) have been used according to the protocol. To documents the final accounting of investigational product(s) received at the site, dispensed to subjects, returned by the subjects, and returned to sponsor	
8.4.2	DOCUMENTATION OF INVESTIGATIONAL PRODUCT DESTRUCTION	To document destruction of unused investigational products by sponsor or at site	
8.4.3	COMPLETED SUBJECT IDENTIFICATION CODE LIST	To permit identification of all subjects enrolled in the trial in case follow up is required. List should be kept in a confidential manner and for agreed upon time.	
8.4.4	AUDIT CERTIFICATE (if available)	To document that audit was performed	
8.4.5	FINAL TRIAL CLOSE-OUT MONITORING REPORT	To document that all activities required for trial close-out are completed, and copies of essential documents are held in the appropriate files	
8.4.6	TREATMENT ALLOCATION AND DECODING DOCUMENTATION	Returned to sponsor to document any decoding that may have occurred	
8.4.7	FINAL REPORT BY INVESTIGATOR TO HREC WHERE REQUIRED, AND WHERE APPLICABLE TO THE REGULATORY AUTHORITY	To document completion of trial.	
8.4.8	CLINICAL STUDY REPORT	To document results and interpretation of trial	
Originally 8.3.14	VALIDATED, DATED AND COMPLETED ELECTRONIC CASE REPORT FORMS (eCRF) TO BE PROVIDED ON APPROPRIATE DATA STORAGE MEDIA	To document that the investigator or authorised member of the investigator's staff confirms the observations recorded	
Extn of 8.3.25	DATA/ TISSUE RETENTION & DESTRUCTION AND ACCOUNTABILITY	To document what tissue and data will be retained for future studies and what data and tissue has been destroyed and the person responsible for the conduct of this.	

APPENDIX 2: TRIAL MASTER FILE OBSERVATIONAL INVESTIGATOR INITIATED CONTENTS CHECKLIST

SOP No.002 Appendix 2 Version 4.0 Dated September 2024

**SITE MASTER FILE CONTENTS CHECKLIST
OBSERVATIONAL IIT
GCP ICH SECTION 8**

8.2 PRE TRIAL DOCUMENTATION

During this planning stage the following documents should be generated and should be on file before the trial formally starts

GCP REF	File Document	Purpose	Doc In File
8.2.2	SIGNED PROTOCOL AND AMENDMENTS, IF ANY, AND SAMPLE CASE REPORT FORM (CRF)	To document investigator and sponsor agreement to the protocol/amendment(s) and CRF	
8.2.3	INFORMATION GIVEN TO TRIAL SUBJECT - INFORMED CONSENT FORM (including all applicable translations) - ANY OTHER WRITTEN INFORMATION - ADVERTISEMENT FOR SUBJECT RECRUITMENT (if used)	To document informed consent. Note verbal intent by phone for participation if applicable To document that subjects will be given appropriate written information (content and wording) to support their ability to give fully informed consent To document that recruitment measures are appropriate and not coercive	
8.2.4	FINANCIAL ASPECTS OF THE TRIAL (Please also include any contingency financing plans if grant submission is not successful or full amount not secured)	To document the financial agreement between the investigator/institution and the sponsor for the trial	
8.2.5	INSURANCE STATEMENT (where required)	To document that compensation to subject(s) for trial-related injury will be available	
8.2.6	SIGNED AGREEMENT BETWEEN INVOLVED PARTIES (For all multisite IIT studies or when WH is not both Sponsor and Site)	To document agreements	
8.2.7	DATED, DOCUMENTED APPROVAL/FAVOURABLE OPINION OF HREC OF THE FOLLOWING: protocol and any amendments, CRF, informed consent form(s),any other written information to be provided to the subject(s),advertisement for subject recruitment, subject compensation (if any) any other documents given approval/ favourable opinion	To document that the trial has been subject to HREC review and given approval/favourable opinion. To identify the version number and date of the document(s)	
GCP REF	File Document	Purpose	Doc In File
8.2.10	CURRICULUM VITAE AND/OR OTHER RELEVANT DOCUMENTS EVIDENCING QUALIFICATIONS OF INVESTIGATOR(S) AND SUB-INVESTIGATOR(S) INCL MEDICAL REGISTRATION UPDATE	To document qualifications and eligibility to conduct trial and/or provide medical supervision of subjects	
8.2.11	NORMAL VALUE(S)/RANGE(S) FOR MEDICAL/ LABORATORY/TECHNICAL PROCEDURE(S) AND/OR TEST(S) INCLUDED IN THE PROTOCOL	To document normal values and/or ranges of the tests	

GCP REF	File Document	Purpose	Doc In File
8.2.12	MEDICAL/LABORATORY/TECHNICAL PROCEDURES /TESTS -certification or accreditation or established quality control and/or external quality assessment or other validation (where required)	To document competence of facility to perform required test(s), and support reliability of results. Institute to obtain standing certificate from provider (to circumvent repeated requests) and issued to research team as required.	
8.2.20	TRIAL INITIATION MONITORING REPORT	To document that trial procedures were reviewed with the investigator and the investigator's trial staff For remote sites where physical site visit is not possible webinar or other means of communication can be evidenced	

8.3 DURING THE CONDUCT OF THE TRIAL

In addition to having all files under section 8.2, the following should be added to the file during the trial as evidence that all new relevant information is documented as it becomes available.

GCP REF	File Document	Purpose	Doc In File
8.3.2	UPDATE 8.2.2 (PROTOCOL, AMENDMENTS, CRF)	To document revisions of these trial related documents that take effect during trial	
8.3.3	UPDATE 8.2.7 (HREC APPROVAL)	To document that the amendment(s) and/or revision(s) have been subject to HREC review and were given approval/favourable opinion. To identify the version number and date of the document(s).	
8.3.5	UPDATE 8.2.10 (UPDATE CVs OF NEW PIs AND OTHER STAFF)		
8.3.6	UPDATE 8.2.11 (NORMAL TEST VALUES AND REFERENCE RANGES)	To document normal values and ranges that are revised during the trial (see 8.2.11)	
8.3.7	UPDATE 8.2.12 (MEDICAL/LABORATORY/TECHNICAL PROCEDURES/TEST)	To document that tests remain adequate throughout the trial period (see 8.2.12)	
8.3.10	MONITORING VISIT REPORTS. (Where WH is both Site and Sponsor, monitoring can be done by a suitably experienced WH employee who is not related to the research project)	To document site visits by, and findings of, the monitor.	
8.3.11	RELEVANT COMMUNICATIONS OTHER THAN SITE VISITS - letters, meeting notes & notes of telephone calls	To document any agreements or significant discussions regarding trial administration, protocol violations, trial conduct, adverse event (AE) reporting	
8.3.12	SIGNED INFORMED CONSENT FORMS	To document that consent is obtained in accordance with GCP and protocol and dated prior to participation of each subject in trial. Also to document direct access permission (see 8.2.3)	

GCP REF	File Document	Purpose	Doc In File
8.3.15	ORIGINAL DOCUMENTATION OF CRF CORRECTIONS (Not Applicable for eCRFs)	To document all changes/additions or corrections made to CRF after initial data were recorded	
8.3.16	NOTIFICATION BY ORIGINATING INVESTIGATOR TO SPONSOR OF SERIOUS ADVERSE EVENTS AND RELATED REPORTS	Notification by originating investigator to sponsor of serious adverse events and related reports in accordance with 4.11	
8.3.17	NOTIFICATION BY SPONSOR AND/OR INVESTIGATOR, WHERE APPLICABLE, TO REGULATORY AUTHORITY(IES) AND HREC OF UNEXPECTED SERIOUS ADVERSE DRUG REACTIONS AND OF OTHER SAFETY INFORMATION	Notification by sponsor and/or investigator, where applicable, to regulatory authorities and HREC of unexpected serious adverse drug reactions in accordance with 5.17 and 4.11.1 and of other safety information in accordance with 5.16.2 and 4.11.2	
8.3.18	NOTIFICATION BY SPONSOR TO INVESTIGATORS OF SAFETY INFORMATION	Notification by sponsor to investigators of safety information in accordance with 5.16.2	
8.3.19	INTERIM OR ANNUAL REPORTS TO HREC AND AUTHORITY(IES)	Interim or annual reports provided to HREC in accordance with 4.10 and to authority(ies) in accordance with 5.17.3	
8.3.20	SUBJECT SCREENING LOG	To document identification of subjects who entered pre-trial screening	
8.3.21	SUBJECT IDENTIFICATION CODE LIST	To document that investigator/institution keeps a confidential list of names of all subjects allocated to trial numbers on enrolling in the trial. Allows investigator/institution to reveal identity of any subject	
8.3.22	SUBJECT ENROLMENT LOG	To document chronological enrolment of subjects by trial number	
8.3.24	SIGNATURE & DELEGATION LOG	To document signatures and initials of all persons authorised to make entries and/or corrections on CRFs and trial tasks assigned to individuals	
8.3.25	RECORD OF RETAINED BODY FLUIDS/ TISSUE SAMPLES (IF ANY)	To document location and identification of retained samples if assays need to be repeated	

8.4 AFTER COMPLETION OR TERMINATION OF THE TRIAL

After completion or termination of the trial, all of the documents identified in sections 8.2 & 8.3 should be in the file together with the following.

GCP REF	File Document	Purpose	Doc In File
8.4.3	COMPLETED SUBJECT IDENTIFICATION CODE LIST	To permit identification of all subjects enrolled in the trial in case follow-up is required. List should be kept in a confidential manner and for agreed upon time	
8.4.4	AUDIT CERTIFICATE (if available)	To document that audit was performed	
8.4.5	FINAL TRIAL CLOSE-OUT MONITORING REPORT	To document that all activities required for trial close-out are completed, and copies of essential documents are held in the appropriate files	
8.4.6	TREATMENT ALLOCATION AND DECODING DOCUMENTATION	Returned to sponsor to document any decoding that may have occurred	
8.4.8	CLINICAL STUDY REPORT	To document results and interpretation of trial	
Originally 8.3.14	VALIDATED, DATED AND COMPLETED ELECTRONIC CASE REPORT FORMS (eCRF) TO BE PROVIDED ON APPROPRIATE DATA STORAGE MEDIA	To document that the investigator or authorised member of the investigator's staff confirms the observations recorded	
	DATA/ SAMPLE RETENTION & DESTRUCTION AND ACCOUNTABILITY	To document what samples and data will be retained for future studies and what data and samples has been destroyed and the person responsible for the conduct of this.	

APPENDIX 3: TRIAL MASTER FILE INTERVENTIONAL SPONSORED TRIAL CONTENTS CHECKLIST

SOP No.002 Appendix 3 Version 4.0 Dated September 2024

**SPONSOR MASTER FILE CONTENTS CHECKLIST
INVESTIGATOR INITIATED TRIAL
GCP ICH SECTION 8**

8.2 PRE TRIAL DOCUMENTATION

During this planning stage the following documents should be generated and should be on file before the trial formally starts

GCP REF	File Document	Purpose	Doc In File
8.2.1	INVESTIGATOR’S BROCHURE (For marketed product use product brochure or equivalent)	To document that relevant and current scientific information about the investigational product has been provided to the investigator	
8.2.2	SIGNED PROTOCOL AND AMENDMENTS, IF ANY, AND SAMPLE CASE REPORT FORM (CRF)	To document investigator and sponsor agreement to the protocol/amendment(s) and CRF	
8.2.3	INFORMATION GIVEN TO TRIAL SUBJECT - INFORMED CONSENT FORM (including all applicable translations) -ANY OTHER WRITTEN INFORMATION -ADVERTISEMENT FOR SUBJECT RECRUITMENT (if used)	To document informed consent To document that subjects will be given appropriate written information (content and wording) to support their ability to give fully informed consent To document that recruitment measures are appropriate and not coercive	
8.2.4	FINANCIAL ASPECTS OF THE TRIAL(Please also include any contingency financing plans if grant submission is not successful or not full amount secured)	To document the financial agreement between the investigator/institution and the sponsor for the trial	
8.2.5	INSURANCE STATEMENT (where required)	To document that compensation to subject(s) for trial-related injury will be available	
8.2.6	SIGNED AGREEMENT BETWEEN INVOLVED PARTIES (For all multisite IIT studies or when WH is not both Sponsor and Site)	To document agreements	
8.2.7	DATED, DOCUMENTED APPROVAL/FAVOURABLE OPINION OF HREC OF THE FOLLOWING: protocol and any amendments, CRF, informed consent form(s),any other written information to be provided to the subject(s),advertisement for subject recruitment, subject compensation (if any) any other documents given approval/favourable opinion	To document that the trial has been subject to HREC review and given approval/favourable opinion. To identify the version number and date of the document(s)	
8.2.8	INSTITUTIONAL REVIEW BOARD/INDEPENDENT ETHICS COMMITTEE COMPOSITION	To document that the HREC is constituted in agreement with GCP	

GCP REF	File Document	Purpose	Doc In File
8.2.9	REGULATORY AUTHORITY(IES) AUTHORISATION/APPROVAL/ NOTIFICATION OF PROTOCOL TGA CTN ACKNOWLEDGEMENT LETTER OR CTX APPROVAL	To document appropriate authorisation/approval/notification by the regulatory authority(ies) has been obtained prior to initiation of the trial in compliance with the applicable regulatory requirement(s)	
8.2.10	CURRICULUM VITAE AND/OR OTHER RELEVANT DOCUMENTS EVIDENCING QUALIFICATIONS OF INVESTIGATOR(S) AND SUB-INVESTIGATOR(S) INCL MEDICAL REGISTRATION UPDATE	To document qualifications and eligibility to conduct trial and/or provide medical supervision of subjects	
8.2.11	NORMAL VALUE(S)/RANGE(S) FOR MEDICAL/ LABORATORY/TECHNICAL PROCEDURE(S) AND/OR TEST(S) INCLUDED IN THE PROTOCOL	To document normal values and/or ranges of the tests	
8.2.12	MEDICAL/LABORATORY/TECHNICAL PROCEDURES /TESTS -certification or accreditation or established quality control and/or external quality assessment or other validation (where required)	To document competence of facility to perform required test(s), and support reliability of results. Institute to obtain standing certificate from provider (to circumvent repeated requests) and issued to research team as required.	
8.2.13	SAMPLE OF LABEL(S) ATTACHED TO INVESTIGATIONAL PRODUCT CONTAINER(S)). PLEASE ALSO PROVIDE SAMPLE FOR MARKETED PRODUCT(S) DISPENSED FROM PHARMACY THAT HAVE STUDY SPECIFIC LABELLING.	To document compliance with applicable labeling regulations and appropriateness of instructions provided to the subjects	
8.2.14	INSTRUCTIONS FOR HANDLING OF INVESTIGATIONAL PRODUCT(S) AND TRIAL-RELATED MATERIALS IF NOT INCLUDED IN PROTOCOL OR IB	To document instructions needed to ensure proper storage, packaging, dispensing and disposition of investigational products and trial-related materials	
8.2.15	SHIPPING RECORDS FOR INVESTIGATIONAL PRODUCT(S) AND TRIAL-RELATED MATERIALS	To document shipment dates, batch numbers and method of shipment of investigational product(s) and trial-related materials. Allows tracking of product batch, review of shipping conditions, and accountability	
8.2.16	CERTIFICATE(S) OF ANALYSIS OF INVESTIGATIONAL PRODUCT(S) SHIPPED. FOR MARKETED PRODUCT RECORD BATCH/LOT NUMBER FOR QC AUDIT TRAIL	To document identity, purity, and strength of investigational product(s) to be used in the trial	
8.2.17	DECODING PROCEDURES FOR BLINDED TRIALS	To document how, in case of an emergency, identity of blinded investigational product can be revealed without breaking the blind for the remaining subjects' treatment	

GCP REF	File Document	Purpose	Doc In File
8.2.18	MASTER RANDOMISATION LIST (If Applicable)	To document method for randomisation of trial population	
8.2.19	PRE-TRIAL MONITORING REPORT	To document that the site is suitable for the trial (may be combined with 8.2.20) A Site Specific Assessment submission may be applicable	
8.2.20	TRIAL INITIATION MONITORING REPORT	To document that trial procedures were reviewed with the investigator and the investigator's trial staff (may be combined with 8.2.19) For remote sites where physical site visit is not possible webinar or other means of communication can be evidenced	

8.3 DURING THE CONDUCT OF THE TRIAL

In addition to having all files under section 8.2, the following should be added to the file during the trial as evidence that all new relevant information is documented as it becomes available.

GCP REF	File Document	Purpose	Doc In File
8.3.1	UPDATE 8.2.1 (INVESTIGATOR'S BROCHURE)	To document that investigator is informed in a timely manner of relevant information as it becomes available	
8.3.2	UPDATE 8.2.2 (PROTOCOL, AMENDMENTS, CRF)	To document revisions of these trial related documents that take effect during trial	
8.3.3	UPDATE 8.2.7 (HREC APPROVAL)	To document that the amendment(s) and/or revision(s) have been subject to HREC review and were given approval/favourable opinion. To identify the version number and date of the document(s).	
8.3.4	UPDATE 8.2.9 (TGA NOTIFICATION)	To document compliance with applicable regulatory requirements	
8.3.5	UPDATE 8.2.10 (UPDATE CVs OF NEW PIs AND OTHER STAFF)		
8.3.6	UPDATE 8.2.11 (NORMAL TEST VALUES AND REFERENCE RANGES)	To document normal values and ranges that are revised during the trial (see 8.2.11)	
8.3.7	UPDATE 8.2.12 (MEDICAL/LABORATORY/TECHNICAL PROCEDURES/TEST)	To document that tests remain adequate throughout the trial period (see 8.2.12)	
8.3.8	UPDATE 8.2.15 (SHIPPING RECORDS FOR INVESTIGATIONAL PRODUCT AND TRIAL RELATED MATERIALS)		
8.3.9	UPDATE 8.2.16 (CERTIFICATES OF ANALYSIS INVESTIGATIONAL PRODUCTS SHIPPED)		

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8.3.10	MONITORING VISIT REPORTS. (Where WH is both Site and Sponsor, monitoring can be done by a suitably experienced WH employee who is not related to the research project)	To document site visits by, and findings of, the monitor.	
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GCP REF	File Document	Purpose	Doc In File
8.3.11	RELEVANT COMMUNICATIONS OTHER THAN SITE VISITS - letters, meeting notes & notes of telephone calls	To document any agreements or significant discussions regarding trial administration, protocol violations, trial conduct, adverse event (AE) reporting	
8.3.15	ORIGINAL DOCUMENTATION OF CRF CORRECTIONS (not relevant for eCRFs as audit trail is automatically captured)	To document all changes/additions or corrections made to CRF after initial data were recorded	
8.3.16	NOTIFICATION BY ORIGINATING INVESTIGATOR TO SPONSOR OF SERIOUS ADVERSE EVENTS AND RELATED REPORTS	Notification by originating investigator to sponsor of serious adverse events and related reports in accordance with 4.11	
8.3.17	NOTIFICATION BY SPONSOR AND/OR INVESTIGATOR, WHERE APPLICABLE, TO REGULATORY AUTHORITY(IES) AND HREC OF UNEXPECTED SERIOUS ADVERSE DRUG REACTIONS AND OF OTHER SAFETY INFORMATION	Notification by sponsor and/or investigator, where applicable, to regulatory authorities and HREC of unexpected serious adverse drug reactions in accordance with 5.17 and 4.11.1 and of other safety information in accordance with 5.16.2 and 4.11.2	
8.3.18	NOTIFICATION BY SPONSOR TO INVESTIGATORS OF SAFETY INFORMATION	Notification by sponsor to investigators of safety information in accordance with 5.16.2	
8.3.19	INTERIM OR ANNUAL REPORTS TO IRB/IEC AND AUTHORITY(IES)	Interim or annual reports provided to HREC in accordance with 4.10 and to authority(ies) in accordance with 5.17.3	
8.3.20	SUBJECT SCREENING LOG	To document identification of subjects who entered pre-trial screening	
8.3.23	INVESTIGATIONAL PRODUCTS ACCOUNTABILITY AT THE SITE	To document that investigational product(s) have been used according to the protocol	
8.3.24	SIGNATURE & DELEGATION LOGs	To document signatures and initials of all persons authorised to make entries and/or corrections on CRFs and trial tasks assigned to individuals	
8.3.25	RECORD OF RETAINED BODY FLUIDS/ TISSUE SAMPLES (IF ANY)	To document location and identification of retained samples if assays need to be repeated	

8.4 AFTER COMPLETION OR TERMINATION OF THE TRIAL

After completion or termination of the trial, all of the documents identified in sections 8.2 & 8.3 should be in the file together with the following.

GCP REF	File Document	Purpose	Doc In File
8.4.1	INVESTIGATIONAL PRODUCT(S) ACCOUNTABILITY AT SITE	To document that the investigational product(s) have been used according to the protocol. To documents the final accounting of investigational product(s) received at the site, dispensed to subjects, returned by the subjects, and returned to sponsor	
8.4.2	DOCUMENTATION OF INVESTIGATIONAL PRODUCT DESTRUCTION	To document destruction of unused investigational products by sponsor or at site	
8.4.4	AUDIT CERTIFICATE (if available)	To document that audit was performed	
8.4.5	FINAL TRIAL CLOSE-OUT MONITORING REPORT	To document that all activities required for trial close-out are completed, and copies of essential documents are held in the appropriate files	
8.4.6	TREATMENT ALLOCATION AND DECODING DOCUMENTATION	Returned to sponsor to document any decoding that may have occurred	
8.4.7	FINAL REPORT BY INVESTIGATOR TO HREC WHERE REQUIRED, AND WHERE APPLICABLE TO THE REGULATORY AUTHORITY	To document completion of trial.	
8.4.8	CLINICAL STUDY REPORT	To document results and interpretation of trial	
Originally 8.3.14	VALIDATED, DATED AND COMPLETED ELECTRONIC CASE REPORT FORMS (eCRF) TO BE PROVIDED ON USB OR CD	To document that the investigator or authorised member of the investigator’s staff confirms the observations recorded	

APPENDIX 4: TRIAL MASTER FILE OBSERVATIONAL SPONSORED TRIAL CONTENTS CHECKLIST

SOP No.002 Appendix 4 Version 4.0 Dated September 2024

**SPONSOR MASTER FILE CONTENTS CHECKLIST
OBSERVATIONAL IIT
GCP ICH SECTION 8**

8.2 PRE TRIAL DOCUMENTATION

During this planning stage the following documents should be generated and should be on file before the trial formally starts

GCP REF	File Document	Purpose	Doc In File
8.2.2	SIGNED PROTOCOL AND AMENDMENTS, IF ANY, AND SAMPLE CASE REPORT FORM (CRF)	To document investigator and sponsor agreement to the protocol/amendment(s) and CRF	
8.2.3	INFORMATION GIVEN TO TRIAL SUBJECT - INFORMED CONSENT FORM (including all applicable translations) - ANY OTHER WRITTEN INFORMATION - ADVERTISEMENT FOR SUBJECT RECRUITMENT (if used)	To document informed consent. Note verbal intent by phone for participation if applicable To document that subjects will be given appropriate written information (content and wording) to support their ability to give fully informed consent To document that recruitment measures are appropriate and not coercive	
8.2.4	FINANCIAL ASPECTS OF THE TRIAL (Please also include any contingency financing plans if grant submission is not successful or not full amount secured)	To document the financial agreement between the investigator/institution and the sponsor for the trial	
8.2.5	INSURANCE STATEMENT (where required)	To document that compensation to subject(s) for trial-related injury will be available	
8.2.6	SIGNED AGREEMENT BETWEEN INVOLVED PARTIES (For all multisite IIT studies or when WH is not both Sponsor and Site)	To document agreements	
8.2.7	DATED, DOCUMENTED APPROVAL/FAVOURABLE OPINION OF HREC OF THE FOLLOWING: protocol and any amendments, CRF, informed consent form(s),any other written information to be provided to the subject(s),advertisement for subject recruitment, subject compensation (if any) any other documents given approval/ favourable opinion	To document that the trial has been subject to HREC review and given approval/favourable opinion. To identify the version number and date of the document(s)	
8.2.10	CURRICULUM VITAE AND/OR OTHER RELEVANT DOCUMENTS EVIDENCING QUALIFICATIONS OF INVESTIGATOR(S) AND SUB-INVESTIGATOR(S) INCL MEDICAL REGISTRATION UPDATE	To document qualifications and eligibility to conduct trial and/or provide medical supervision of subjects	

GCP REF	File Document	Purpose	Doc In File
8.2.11	NORMAL VALUE(S)/RANGE(S) FOR MEDICAL/ LABORATORY/TECHNICAL PROCEDURE(S) AND/OR TEST(S) INCLUDED IN THE PROTOCOL	To document normal values and/or ranges of the tests	
8.2.12	MEDICAL/LABORATORY/TECHNICAL PROCEDURES /TESTS -certification or accreditation or established quality control and/or external quality assessment or other validation (where required)	To document competence of facility to perform required test(s), and support reliability of results. Institute to obtain standing certificate from provider (to circumvent repeated requests) and issued to research team as required.	
8.2.17	DECODING PROCEDURES FOR BLINDED TRIALS	To document how, in case of an emergency, identity of blinded investigational product can be revealed without breaking the blind for the remaining subjects' treatment	
8.2.18	MASTER RANDOMISATION LIST (If Applicable)	To document method for randomisation of trial population	
8.2.19	PRE-TRIAL MONITORING REPORT	To document that the site is suitable for the trial (may be combined with 8.2.20) Site survey assessing suitability of PI and research staff, ability to recruit and access to required equipment.	
8.2.20	TRIAL INITIATION MONITORING REPORT	To document that trial procedures were reviewed with the investigator and the investigator's trial staff (may be combined with 8.2.19) For remote sites where physical site visit is not possible webinar or other means of communication can be evidenced	

8.3 DURING THE CONDUCT OF THE TRIAL

In addition to having all files under section 8.2, the following should be added to the file during the trial as evidence that all new relevant information is documented as it becomes available.

GCP REF	File Document	Purpose	Doc In File
8.3.2	UPDATE 8.2.2 (PROTOCOL, AMENDMENTS, CRF)	To document revisions of these trial related documents that take effect during trial	
8.3.3	UPDATE 8.2.7 (HREC APPROVAL)	To document that the amendment(s) and/or revision(s) have been subject to HREC review and were given approval/favourable opinion. To identify the version number and date of the document(s).	

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8.3.5	UPDATE 8.2.10 (UPDATE CVs OF NEW PIs AND OTHER STAFF)		
8.3.6	UPDATE 8.2.11 (NORMAL TEST VALUES AND REFERENCE RANGES)	To document normal values and ranges that are revised during the trial (see 8.2.11)	

GCP REF	File Document	Purpose	Doc In File
8.3.7	UPDATE 8.2.12 (MEDICAL/LABORATORY/TECHNICAL PROCEDURES/TEST)	To document that tests remain adequate throughout the trial period (see 8.2.12)	
8.3.10	MONITORING VISIT REPORTS. (Where WH is both Site and Sponsor, monitoring can be done by a suitably experienced WH employee who is not related to the research project)	To document site visits by, and findings of, the monitor.	
8.3.11	RELEVANT COMMUNICATIONS OTHER THAN SITE VISITS - letters, meeting notes & notes of telephone calls	To document any agreements or significant discussions regarding trial administration, protocol violations, trial conduct, adverse event (AE) reporting	
8.3.15	ORIGINAL DOCUMENTATION OF CRF CORRECTIONS (not relevant for eCRFs as audit trail is automatically captured)	To document all changes/additions or corrections made to CRF after initial data were recorded	
8.3.16	NOTIFICATION BY ORIGINATING INVESTIGATOR TO SPONSOR OF SERIOUS ADVERSE EVENTS AND RELATED REPORTS	Notification by originating investigator to sponsor of serious adverse events and related reports in accordance with 4.11	
8.3.17	NOTIFICATION BY SPONSOR AND/OR INVESTIGATOR, WHERE APPLICABLE, TO REGULATORY AUTHORITY(IES) AND HREC OF UNEXPECTED SERIOUS ADVERSE DRUG REACTIONS AND OF OTHER SAFETY INFORMATION	Notification by sponsor and/or investigator, where applicable, to regulatory authorities and HREC of unexpected serious adverse drug reactions in accordance with 5.17 and 4.11.1 and of other safety information in accordance with 5.16.2 and 4.11.2	
8.3.18	NOTIFICATION BY SPONSOR TO INVESTIGATORS OF SAFETY INFORMATION	Notification by sponsor to investigators of safety information in accordance with 5.16.2	
8.3.19	INTERIM OR ANNUAL REPORTS TO HREC AND AUTHORITY(IES)	Interim or annual reports provided to HREC in accordance with 4.10 and to authority(ies) in accordance with 5.17.3	
8.3.20	SUBJECT SCREENING LOG	To document identification of subjects who entered pre-trial screening	
8.3.24	SIGNATURE & DELEGATION LOG	To document signatures and initials of all persons authorised to make entries and/or corrections on CRFs and trial tasks assigned to individuals	
8.3.25	RECORD OF RETAINED BODY FLUIDS/ TISSUE SAMPLES (IF ANY)	To document location and identification of retained samples if assays need to be repeated	

8.4 AFTER COMPLETION OR TERMINATION OF THE TRIAL

After completion or termination of the trial, all of the documents identified in sections 8.2 & 8.3 should be in the file together with the following.

GCP REF	File Document	Purpose	Doc In File
8.4.4	AUDIT CERTIFICATE (if available)	To document that audit was performed	
8.4.5	FINAL TRIAL CLOSE-OUT MONITORING REPORT	To document that all activities required for trial close-out are completed, and copies of essential documents are held in the appropriate files	
8.4.6	TREATMENT ALLOCATION AND DECODING DOCUMENTATION	Returned to sponsor to document any decoding that may have occurred	
8.4.8	CLINICAL STUDY REPORT	To document results and interpretation of trial	
Originally 8.3.14	VALIDATED, DATED AND COMPLETED ELECTRONIC CASE REPORT FORMS (eCRF)	To document that the investigator or authorised member of the investigator’s staff confirms the observations recorded	

**APPENDIX 5: COMBINED SITE/SPONSOR MASTER FILE
CONTENTS CHECKLIST**

SOP No.002 Appendix 5 Version 4.0 Dated September 2024

**INVESTIGATOR INITIATED TRIAL
GCP ICH SECTION 8**

8.2 PRE TRIAL DOCUMENTATION FOR TRIAL MASTER FILE

During this planning stage the following documents should be generated and should be on file before the trial formally starts

GCP REF	File Document	Purpose	Doc In File
8.2.1	INVESTIGATOR'S BROCHURE (For marketed product use product brochure or equivalent)	To document that relevant and current scientific information about the investigational product has been provided to the investigator	
8.2.2	SIGNED PROTOCOL AND AMENDMENTS, IF ANY, AND SAMPLE CASE REPORT FORM (CRF)	To document investigator and sponsor agreement to the protocol/amendment(s) and CRF	
8.2.3	INFORMATION GIVEN TO TRIAL SUBJECT - INFORMED CONSENT FORM (including all applicable translations) - ANY OTHER WRITTEN INFORMATION - ADVERTISEMENT FOR SUBJECT RECRUITMENT (if used)	To document informed consent To document that subjects will be given appropriate written information (content and wording) to support their ability to give fully informed consent To document that recruitment measures are appropriate and not coercive	
8.2.4	FINANCIAL ASPECTS OF THE TRIAL (Please also include any contingency financing plans if grant submission is not successful or if the full amount is not secured)	To document the financial agreement between the investigator/institution and the sponsor for the trial	
8.2.5	INSURANCE STATEMENT (where required)	To document that compensation to subject(s) for trial-related injury will be available	
8.2.6	SIGNED AGREEMENT BETWEEN INVOLVED PARTIES (For all multisite IIT studies or when WH is not both Sponsor and Site)	To document agreements	
8.2.7	DATED, DOCUMENTED APPROVAL/FAVOURABLE OPINION OF HREC OF THE FOLLOWING: protocol and any amendments, CRF, informed consent form(s), any other written information to be provided to the subject(s), advertisement for subject recruitment, subject compensation (if any) any other documents given approval/ favourable opinion	To document that the trial has been subject to HREC review and given approval/favourable opinion. To identify the version number and date of the document(s)	
8.2.8	INSTITUTIONAL HREC COMPOSITION	To document that the HREC is constituted in agreement with GCP	

GCP REF	File Document	Purpose	Doc In File
8.2.9	REGULATORY AUTHORITY(IES) AUTHORISATION/APPROVAL/ NOTIFICATION OF PROTOCOL TGA CTN ACKNOWLEDGEMENT LETTER OR CTX APPROVAL	To document appropriate authorisation/approval/notification by the regulatory authority(ies) has been obtained prior to initiation of the trial in compliance with the applicable regulatory requirement(s)	
8.2.10	CURRICULUM VITAE AND/OR OTHER RELEVANT DOCUMENTS EVIDENCING QUALIFICATIONS OF INVESTIGATOR(S) AND SUB-INVESTIGATOR(S) INCL MEDICAL REGISTRATION UPDATE.	To document qualifications and eligibility to conduct trial and/or provide medical supervision of subjects	
8.2.11	NORMAL VALUE(S)/RANGE(S) FOR MEDICAL/ LABORATORY/TECHNICAL PROCEDURE(S) AND/OR TEST(S) INCLUDED IN THE PROTOCOL	To document normal values and/or ranges of the tests	
8.2.12	MEDICAL/LABORATORY/TECHNICAL PROCEDURES /TESTS -certification or accreditation or established quality control and/or external quality assessment or other validation (where required)	To document competence of facility to perform required test(s), and support reliability of results. Institute to obtain standing certificate from provider (to circumvent repeated requests) and issued to research team as required.	
8.2.13	SAMPLE OF LABEL(S) ATTACHED TO INVESTIGATIONAL PRODUCT CONTAINER(S)). PLEASE ALSO PROVIDE SAMPLE FOR MARKETED PRODUCT(S) DISPENSED FROM PHARMACY THAT HAVE STUDY SPECIFIC LABELLING.	To document compliance with applicable labelling regulations and appropriateness of instructions provided to the subjects	
8.2.14	INSTRUCTIONS FOR HANDLING OF INVESTIGATIONAL PRODUCT(S) AND TRIAL-RELATED MATERIALS IF NOT INCLUDED IN PROTOCOL OR IB	To document instructions needed to ensure proper storage, packaging, dispensing and disposition of investigational products and trial-related materials	
8.2.15	SHIPPING RECORDS FOR INVESTIGATIONAL PRODUCT(S) AND TRIAL-RELATED MATERIALS	To document shipment dates, batch numbers and method of shipment of investigational product(s) and trial-related materials. Allows tracking of product batch, review of shipping conditions, and accountability	
8.2.16	CERTIFICATE(S) OF ANALYSIS OF INVESTIGATIONAL PRODUCT(S) SHIPPED. FOR MARKETED PRODUCT RECORD BATCH/LOT NUMBER FOR QC AUDIT TRAIL	To document identity, purity, and strength of investigational product(s) to be used in the trial	

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GCP REF	File Document	Purpose	Doc In File
8.2.17	DECODING PROCEDURES FOR BLINDED TRIALS	To document how, in case of an emergency, identity of blinded investigational product can be revealed without breaking the blind for the remaining subjects' treatment	
8.2.18	MASTER RANDOMISATION LIST To Be Held at Separate File Location As Only for Sponsor Access and not PI or trial staff	To document method for randomisation of trial population	
8.2.19	PRE-TRIAL MONITORING REPORT	To document that the site is suitable for the trial (may be combined with 8.2.20) A Site Specific Assessment submission may be applicable	
8.2.20	TRIAL INITIATION MONITORING REPORT	To document that trial procedures were reviewed with the investigator and the investigator's trial staff.	

8.3 DURING THE CONDUCT OF THE TRIAL

In addition to having all files under section 8.2, the following should be added to the file during the trial as evidence that all new relevant information is documented as it becomes available.

GCP REF	File Document	Purpose	Doc In File
8.3.1	UPDATE 8.2.1 (INVESTIGATOR'S BROCHURE)	To document that investigator is informed in a timely manner of relevant information as it becomes available	
8.3.2	UPDATE 8.2.2 (PROTOCOL, AMENDMENTS, CRF)	To document revisions of these trial related documents that take effect during trial	
8.3.3	UPDATE 8.2.7 (HREC APPROVAL)	To document that the amendment(s) and/or revision(s) have been subject to HREC review and were given approval/favourable opinion. To identify the version number and date of the document(s).	
8.3.4	UPDATE 8.2.9 (TGA NOTIFICATION)	To document compliance with applicable regulatory requirements	
8.3.5	UPDATE 8.2.10 (UPDATE CVs OF NEW PIs AND OTHER STAFF)		
8.3.6	UPDATE 8.2.11 (NORMAL TEST VALUES AND REFERENCE RANGES)	To document normal values and ranges that are revised during the trial (see 8.2.11)	
8.3.7	UPDATE 8.2.12 (MEDICAL/LABORATORY/TECHNICAL PROCEDURES/TEST)	To document that tests remain adequate throughout the trial period (see 8.2.12)	
8.3.8	UPDATE 8.2.15 (SHIPPING RECORDS FOR INVESTIGATIONAL PRODUCT AND TRIAL RELATED MATERIALS)		
8.3.9	UPDATE 8.2.16 (CERTIFICATES OF ANALYSIS INVESTIGATIONAL PRODUCTS SHIPPED)		
8.3.10	MONITORING VISIT REPORTS. (Where WH is both Site and Sponsor, monitoring can be done by a suitably experienced WH employee who is not related to the research project)	To document site visits by, and findings of, the monitor.	
8.3.11	RELEVANT COMMUNICATIONS OTHER THAN SITE VISITS - letters, meeting notes & notes of telephone calls	To document any agreements or significant discussions regarding trial administration, protocol violations, trial conduct, adverse event (AE) reporting	
8.3.13	SOURCE DOCUMENTS Define type of documents and their location	To document the existence of the subject and substantiate integrity of trial data collected. State which source documents have been sighted to substantiate intent of this requirement.	

GCP REF	File Document	Purpose	Doc In File
8.3.15	ORIGINAL DOCUMENTATION OF CRF CORRECTIONS (Not Applicable for eCRFs)	To document all changes/additions or corrections made to CRF after initial data were recorded	
8.3.16	NOTIFICATION BY ORIGINATING INVESTIGATOR TO SPONSOR OF SERIOUS ADVERSE EVENTS AND RELATED REPORTS	Notification by originating investigator to sponsor of serious adverse events and related reports in accordance with 4.11	
8.3.17	NOTIFICATION BY SPONSOR AND/OR INVESTIGATOR, WHERE APPLICABLE, TO REGULATORY AUTHORITY(IES) AND HREC OF UNEXPECTED SERIOUS ADVERSE DRUG REACTIONS AND OF OTHER SAFETY INFORMATION	Notification by sponsor and/or investigator, where applicable, to regulatory authorities and HREC of unexpected serious adverse drug reactions in accordance with 5.17 and 4.11.1 and of other safety information in accordance with 5.16.2 and 4.11.2	
8.3.18	NOTIFICATION BY SPONSOR TO INVESTIGATORS OF SAFETY INFORMATION	Notification by sponsor to investigators of safety information in accordance with 5.16.2	
8.3.19	INTERIM OR ANNUAL REPORTS TO IRB/IEC AND AUTHORITY(IES)	Interim or annual reports provided to HREC in accordance with 4.10 and to authority(ies) in accordance with 5.17.3	
8.3.20	SUBJECT SCREENING LOG	To document identification of subjects who entered pre-trial screening	
8.3.21	SUBJECT IDENTIFICATION CODE LIST	To document that investigator/institution keeps a confidential list of names of all subjects allocated to trial numbers on enrolling in the trial. Allows investigator/institution to reveal identity of any subject	
8.3.22	SUBJECT ENROLMENT LOG	To document chronological enrolment of subjects by trial number	
8.3.23	INVESTIGATIONAL PRODUCTS ACCOUNTABILITY AT THE SITE	To document that investigational product(s) have been used according to the protocol	
8.3.24	SIGNATURE & DELEGATION LOGs	To document signatures and initials of all persons authorised to make entries and/or corrections on CRFs and trial tasks assigned to individuals	
8.3.25	RECORD OF RETAINED BODY FLUIDS/ TISSUE SAMPLES (IF ANY)	To document location and identification of retained samples if assays need to be repeated	

8.4 AFTER COMPLETION OR TERMINATION OF THE TRIAL

After completion or termination of the trial, all of the documents identified in sections 8.2 & 8.3 should be in the file together with the following.

GCP REF	File Document	Purpose	Doc In File
8.4.1	INVESTIGATIONAL PRODUCT(S) ACCOUNTABILITY AT SITE	To document that the investigational product(s) have been used according to the protocol. To documents the final accounting of investigational product(s) received at the site, dispensed to subjects, returned by the subjects, and returned to sponsor	
8.4.2	DOCUMENTATION OF INVESTIGATIONAL PRODUCT DESTRUCTION	To document destruction of unused investigational products by sponsor or at site	
8.4.3	COMPLETED SUBJECT IDENTIFICATION CODE LIST	To permit identification of all subjects enrolled in the trial in case follow up is required. List should be kept in a confidential manner and for agreed upon time.	
8.4.4	AUDIT CERTIFICATE (if available)	To document that audit was performed	
8.4.5	FINAL TRIAL CLOSE-OUT MONITORING REPORT	To document that all activities required for trial close-out are completed, and copies of essential documents are held in the appropriate files	
8.4.6	TREATMENT ALLOCATION AND DECODING DOCUMENTATION	Returned to sponsor to document any decoding that may have occurred	
8.4.7	FINAL REPORT BY INVESTIGATOR TO HREC WHERE REQUIRED, AND WHERE APPLICABLE TO THE REGULATORY AUTHORITY	To document completion of trial.	
8.4.8	CLINICAL STUDY REPORT	To document results and interpretation of trial	
Originally 8.3.14	VALIDATED, DATED AND COMPLETED ELECTRONIC CASE REPORT FORMS (eCRF) TO BE PROVIDED ON APPROPRIATE DATA STORAGE MEDIA	To document that the investigator or authorised member of the investigator's staff confirms the observations recorded	
Extn of 8.3.25	DATA/ TISSUE RETENTION & DESTRUCTION AND ACCOUNTABILITY	To document what tissue and data will be retained for future studies and what data and tissue has been destroyed and the person responsible for the conduct of this.	

APPENDIX 6: NOTE TO FILE

SOP No.002 Appendix 6 Version 4.0 Dated September 2024

[insert logo]

NOTE TO FILE

Date: <Date that the Note to the Study File is written>
To: <WH Protocol number followed by "Study File">
From: <Name, title, and the site or institutional affiliation of the person authoring the Note to the Study File, and this individual's signature>

Issue: <Brief description or outline of the topic/process/problem being documented; can be formatted as a paragraph, numbered list, or bulleted items>

Root Cause: <The reason(s) that the issue arose>

Corrective Action: <Description of the corrective actions taken or planned by the site personnel. If the site was instructed to perform these corrective actions (i.e., by the sponsor or monitor), indicate by whom and as of what date. If status of reports, records, or data will remain incomplete or unavailable, make a statement regarding your failed attempts or describe when/how the records will be retrieved or completed.>

Resolution: <Description of the procedures used to document resolution of the problem.>

Effective date of resolution: <Effective date for corrective action (may be the same date as in the memo header)>

Comments: <Any additional comments or information not noted above>

[insert version number and date in footer]

APPENDIX 7: SUBJECT CODE LIST
SOP No.002 Appendix 7 Version 4.0 Dated September 2024

[Insert Logo]

Tool Summary Sheet

Tool: Subject Code List

Purpose: To document subjects by Subject ID and Subject Name.

Audience/User: Study Coordinators, Principal Investigators (PI), other site staff, clinical monitor

Details: Used to document the subject/participant study identification number, name, and other identifying information. Must be stored securely and separate from research records since it is the link between a study ID and subject’s name.

The set of columns are suggestions and can be customised to meet the needs of the study.

Best Practice Recommendations:

- Record subjects as they are enrolled, to ensure completeness and accuracy of the data.
- **This log is for site use only, as it contains private health information (Protect the confidentiality of this log accordingly.)**
- Number each page and maintain this log securely and separate from research records.
- Store pages in reverse chronological order, with the newest pages of the log placed at the front of the section.
- At the conclusion of the study, identify the final page of the log by checking the box in the footer.
- Remove this Tool Summary Sheet before use of the log.

Tool Revision History:

Version		
Number	Date	Summary of Revisions Made:

APPENDIX 7: SUBJECT CODE LIST

SOP No.002 Appendix 7 Version 4.0 September 2024

Investigator Name:	Protocol:	Site Number:
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Subject ID	Subject Name	Subject Initials

Page _____

Check if final page of log:

<Insert version and date>






WH GCP SOP 002 SITE TMF v4 Sep24_FINAL

Final Audit Report

2024-09-13

Created:	2024-09-13
By:	Kaiyan Mak (kaiyan.mak@wh.org.au)
Status:	Signed
Transaction ID:	CBJCHBCAABAAAn8RlcW17OOOWK9dSXYQW7Zh-zKA9zdDt

"WH GCP SOP 002 SITE TMF v4 Sep24_FINAL" History

-  Document created by Kaiyan Mak (kaiyan.mak@wh.org.au)
2024-09-13 - 2:50:10 AM GMT
-  Document emailed to Bill Karanatsios (bill.karanatsios@wh.org.au) for signature
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-  Email viewed by Bill Karanatsios (bill.karanatsios@wh.org.au)
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Signature Date: 2024-09-13 - 4:27:46 AM GMT - Time Source: server
-  Agreement completed.
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