**Trial Master File Review Checklist**

The Trial Master File review should be completed periodically by the trial team, as per JRO/INV/S02/07 SOP for the Preparation and Maintenance of the Trial Master File (TMF) / and Investigator Site File (ISF) for CTIMPs Sponsored by UCL.

Note: Contents of the TMF may vary depending on trial specifics. Indicate (i.e. NA) where an item is not applicable to the trial and add a reason in the comments column if necessary.

|  |  |  |  |
| --- | --- | --- | --- |
| **UCL Sponsor Number:** |  | **Date of Review:** |  |
| **Trial Short Title / Acronym:** |  | **Reason for Review:** | [ ]  Trial Initiation [ ]  Periodic Review [ ]  End of Trial |
| **Name of Reviewer:** |  |

| **SECTION NAME** | **DOCUMENT NAME** | **FILED?** ***Yes/No/NA*** | **COMMENTS** ***(including date and version if applicable)*** |
| --- | --- | --- | --- |
| 1. **TRIAL ADMINISTRATION & MANAGEMENT**
 |
| * 1. **Contact Information**
 | UCL JRO Trial Contact Sheet |  |  |
| * 1. **Training**
 | Staff CVs (signed and dated) |  |  |
| Staff Training Records (e.g., GCP Certificates, Protocol and trial specific training)  |  |  |
| * 1. **Statistician CV**
 | Statistician CV |  |  |
| * 1. **Site Contact Information**
 | Site Contact Information |  |  |
| * 1. **TMF Review**
 | TMF Review Checklist |  |  |
| * 1. **Central Trial Responsibilities Log**
 | Central Trial Responsibilities Log |  |  |
| * 1. **Trial Management Plans**
 | Contract Research Organisation (CRO)/Clinical Trial Unit (CTU)/Sponsor Oversight/ Project Management Plan *(if applicable)* |  |  |
| * 1. **Newsletters**
 | Newsletters *(if applicable)* |  |  |
| * 1. **Trial Close Out & Archiving**
 | Confirmation of Trial Close & Archiving Email / Letter |  |  |
| * 1. **Correspondence**
 | General correspondence |  |  |
| 1. **UCL SPONSORSHIP**
 |
| * 1. **Sponsor Letters**
 | Sponsorship Letter(s) - In principle/ Final |  |  |
| Legal Representative Letter of Engagement *(if applicable)* |  |  |
| Other |  |  |
| * 1. **Insurance**
 | Insurance Certificate/ Policy |  |  |
| * 1. **Peer Review**
 | Peer Review *(if applicable)* |  |  |
| * 1. **Conflict of Interest**
 | Conflict of Interest Management Plan *(if applicable)* |  |  |
| * 1. **Trial Registry Confirmation**
 | Trial Registration Confirmation (e.g., Clinicaltrials.gov, ISRCTN) |  |  |
| * 1. **Correspondence**
 | General correspondence |  |  |
| 1. **AGREEMENTS**
 |
| * 1. **IMP**
 | Investigational Medicinal Product (IMP) Supply/ Manufacture/ Import Agreement |  |  |
| Quality and Technical Agreements (i.e., manufacturing/ QP release, packaging, radiolabelling, IMP importation) |  |  |
| Other |  |  |
| * 1. **Laboratory**
 | Central Laboratory Services Agreement/ Material Transfer Agreement if not with the model Non-Commercial Agreement (mNCA) *(if applicable)* |  |  |
| * 1. **Service Provider**
 | CTU/ CRO Agreement/ Service Level Agreement *(if applicable)* |  |  |
| * 1. **Randomisation System**
 | Randomisation/ Code Break System Agreement *(if applicable)* |  |  |
| * 1. **Sponsor-CI Agreement**
 | Sponsor- Chief Investigator (CI) Agreement  |  |  |
| * 1. **Clinical Trial Site Agreement**
 | Sample model Non-Commercial Agreement (mNCA) |  |  |
| Signed mNCA (including pharmacy/ laboratory and material transfer agreement *if applicable*) |  |  |
| * 1. **Other Agreements**
 | Confidentiality Agreements *(if applicable)* |  |  |
| Other agreements *(If applicable)* |  |  |
| * 1. **Correspondence**
 | General correspondence |  |  |
| 1. **FUNDING AND FINANCE**
 |
| * 1. **Grant Award**
 | Funding – Grant Application  |  |  |
| Funding – Grant Award Letter/ Agreement |  |  |
| * 1. **Funding Agreement**
 | Funding Agreement |  |  |
| * 1. **Other Funding**
 | Other |  |  |
| * 1. **Invoices**
 | Invoices |  |  |
| * 1. **Correspondence**
 | General correspondence |  |  |
| 1. **RESEARCH ETHICS COMMITTEE, HEALTH RESEARCH AUTHORITY & NATIONAL INSTITUTE FOR HEALTH RESEARCH (REC, HRA & NIHR)**
 |
| * 1. **REC**
 |
| * + 1. Application
 | Initial Signed Application, supporting documentation and cover letter to REC |  |  |
| Response to Conditions of Approval *(if applicable)* |  |  |
| * + 1. Approvals
 | REC / Gene Therapy Advisory Committee (GTAC) Validation Letter, Favourable/ Provisional/ with Conditions Letter  |  |  |
| * + 1. Annual Progress Reports
 | Annual Progress Report to REC and acknowledgement |  |  |
| * + 1. End of Trial to REC
 | End of Trial Notification to REC and acknowledgement |  |  |
| Final Report Notification and supporting documents |  |  |
| * + 1. Other Notifications
 | Serious Breach Notifications and acknowledgement *(if applicable)* |  |  |
| Notification of Urgent Safety Measures *(if applicable)* |  |  |
| Other |  |  |
| * + 1. Correspondence
 | General correspondence  |  |  |
| * 1. **HRA**
 |
| * + 1. Application
 | Statement of Activities/ Organisation Information Document (OID) |  |  |
| Schedule of Events/ Schedule of Events Cost Attribution Template (SoECAT) |  |  |
| * + 1. Assessment & Approval
 | HRA Initial Assessment Letter |  |  |
| HRA Final Assessment/ Approval Letter |  |  |
| * + 1. Correspondence
 | General correspondence  |  |  |
| * 1. **NIHR**
 |
| * + 1. Portfolio Adoption
 | Portfolio Adoption Confirmation |  |  |
| * + 1. Correspondence
 | General correspondence  |  |  |
| 1. **MEDICINES AND HEALTHCARE REGULATORY AGENCY (MHRA)**
 |
| * 1. **CTA Application**
 | Clinical Trial Authorisation (CTA) Initial signed application and supporting documentation to MHRA (including Cover Letter, Response to Conditions of Approval/ Non-acceptance) |  |  |
| * 1. **Approvals**
 | MHRA Validation Letter/ Acceptance Letter/ with Conditions Letter/ Grounds for Non-acceptance Letter |  |  |
| * 1. **Other Notifications**
 | Serious Breach Notifications *(if applicable)* |  |  |
| Notification of Urgent Safety Measures *(if applicable)* |  |  |
| * 1. **End of Trial**
 | End of Trial Notification to MHRA  |  |  |
| Final Report Notification and supporting documents |  |  |
| * 1. **Correspondence**
 | General correspondence  |  |  |
| 1. **AMENDMENTS**
 |
| * 1. **Amendment #**
 |
| * + 1. Submission
 | Substantial and Non-Substantial Amendments (including where applicable, completed Amendment Tool, cover letter, supporting documents, response to conditions of approval) |  |  |
| * + 1. Approvals
 | Amendment HRA/ REC/ GTAC/ MHRA Approval Letter(s)/ Substantial and Non-substantial Amendments Favourable Opinion Letter/ with Conditions Letter |  |  |
| Trust R&D NHS Permission Letter / acknowledgement for Trial Amendments |  |  |
| * + 1. Correspondence
 | General correspondence |  |  |
| 1. **PROTOCOL**
 |
| * 1. **Current**
 | Current approved Protocol & signature page |  |  |
| * 1. **Superseded**
 | Superseded Protocol versions |  |  |
| * 1. **Protocol Development**
 | Protocol development documentation - draft versions and correspondence |  |  |
| * 1. **Correspondence**
 | General correspondence |  |  |
| 1. **PARTICIPANT INFORMATION**
 |
| * 1. **Participant Information Sheet (PIS) & Informed Consent Form (ICF)**
 |
| * + 1. Current
 | Current approved Template Participant Information Sheet (PIS) / Informed Consent Form (ICF) |  |  |
| * + 1. Superseded
 | Superseded Template Participant Information Sheet (PIS) / Informed Consent Form (ICF) |  |  |
| * 1. **GP Letter**
 |
| * + 1. Current
 | Current approved Template GP letter |  |  |
| * + 1. Superseded
 | Superseded versions of Template GP letters |  |  |
| * 1. **24hrs Contact Card**
 | 24 hrs contact card *(if applicable)* |  |  |
| * 1. **Questionnaires**
 |
| * + 1. Current
 | Current Template Quality of Life Questionnaires (*validated / trial specific if applicable)* |  |  |
| * + 1. Superseded
 | Superseded versions of Template Quality of Life Questionnaires (*validated / trial specific if applicable)* |  |  |
| * 1. **Patient Diary**
 |
| * + 1. Current
 | Current Template Patient Diaries (*if applicable*) |  |  |
| * + 1. Superseded
 | Superseded versions of Patient Diaries (*if applicable*) |  |  |
| * 1. **Other**
 | Other (e.g., posters, leaflets) (*if applicable*) |  |  |
| * 1. **Correspondence**
 | General correspondence |  |  |
| 1. **INVESTIGATIONAL MEDICINAL PRODUCT (IMP)**
 |
| * 1. **SODA/ ATIMP Management Plan**
 |
| * + 1. Current
 | Current Summary of Drug Arrangements (SODA)/ Advanced Therapy Investigational Medicinal Product (ATIMP) Management Plan and associated documents |  |  |
| * + 1. Superseded
 | Superseded SODA/ ATIMP Management Plan and associated documents |  |  |
| * 1. **IMPD**
 |
| * + 1. Current
 | Current Product Information (Full/ Simplified Investigational Medicinal Product Dossier (IMPD)) |  |  |
| * + 1. Superseded
 | Superseded Product Information (Full/ Simplified IMPD) |  |  |
| * 1. **Safety Document (IB / SmPC)**
 |
| * + 1. Current
 | Current IMP Safety Information document (Investigator Brochure (IB) or Summary of Product Characteristics (SmPC)) |  |  |
| * + 1. Superseded
 | Superseded version of IMP Safety Information document (IB or SmPC) |  |  |
| * + 1. Review
 | JRO and CI review of IB/ SmPC updates |  |  |
| * + 1. nIMP
 | Safety document for unlicensed non-Investigational Medicinal Product (nIMP) *(if applicable)* |  |  |
| * 1. **GMS Approval (if applicable)**
 | Genomic Medicine Service (GMS) Approval *(if applicable)* |  |  |
| * 1. **IMP Label**
 |
| * + 1. Current Labelling Form
 | Current IMP Label Regulatory Approval Form |  |  |
| * + 1. Superseded Labelling Form
 | Superseded IMP Label Regulatory Approval Form |  |  |
| * + 1. Current Label Artwork
 | Current Label Artwork |  |  |
| * + 1. Superseded Label Artwork
 | Superseded Label Artwork |  |  |
| * 1. **QP release**
 | Certified Qualified Person (QP) Release Statement *(if applicable)* |  |  |
| QP Statement on EU GMP Compliance *(if applicable)* |  |  |
| QP Declaration *(if applicable)* |  |  |
| IMP Certificate of Analysis *(if applicable)* |  |  |
| TSE Certificate *(if applicable)* |  |  |
| * 1. **Recalls**
 | IMP Recalls *(if applicable)* |  |  |
| * 1. **IMP Accountability Log**
 | IMP Accountability Log Template *(if applicable)* |  |  |
| * 1. **IMP Destruction & Transfer**
 | IMP Destruction Log Template *(if applicable)* |  |  |
| * 1. **IMP Temperature Deviations**
 | Temperature Log Template *(if applicable)* |  |  |
| Temperature Deviation Log Template *(if applicable)* |  |  |
| * 1. **IMP Shipment & Orders**
 | IMP Shipment Records |  |  |
| IMP Orders |  |  |
| * 1. **IMP Prescription Template**
 | IMP Prescription Master Template  |  |  |
| * 1. **Other**
 | Other |  |  |
| * 1. **Correspondence**
 | General correspondence |  |  |
| 1. **DATA MANAGEMENT**
 |
| * 1. **Data Protection**
 |
| * + 1. UCL Data Protection Registration
 | UCL Data Protection Registration Application Form |  |  |
| Data Protection Impact Assessment (DPIA) *(if applicable)* |  |  |
| UCL Data Protection Registration Confirmation |  |  |
| * + 1. Data Protection Breaches
 | Data Protection Breach Reports *(if applicable)* |  |  |
| * 1. **CRF**
 |
| * + 1. Current
 | Current approved CRF |  |  |
| * + 1. Superseded
 | Superseded versions of CRF |  |  |
| * + 1. CRF Approval
 | CRF Sign-off Form – CI and Statistician approval |  |  |
| * 1. **Data Management Plan**
 |
| * + 1. Current
 | Current Data Management Plan/ SOP |  |  |
| * + 1. Superseded
 | Superseded Data Management Plan/ SOP |  |  |
| * 1. **Database / eCRF / Randomisation system**
 | User manuals |  |  |
| Database validation documentation *(if applicable)* |  |  |
| User Acceptance Testing (UAT) *(if applicable)* |  |  |
| * 1. **Completed CRFs**
 | Completed CRFs |  |  |
| Completed Diaries *(if applicable)* |  |  |
| Completed Quality of Life Questionnaires *(if applicable)* |  |  |
| * 1. **Correspondence**
 | General correspondence |  |  |
| 1. **PHARMACOVIGILANCE**
 |
| * 1. **SAE Log/ Listings**
 |
| * + 1. [Trial Site Name]
 | Completed SAE Recording Logs/ Listings from sites |  |  |
| * 1. **Unblinding (if applicable)**
 | Documentation of Emergency Un-blinded cases *(if applicable)* |  |  |
| * 1. **DSUR**
 |
| * + 1. [DSUR#\_Year]
 | Development Safety Update Report (DSUR)  |  |  |
| Submission to MHRA and REC |  |  |
| * 1. **End of trial SAE reconciliation**
 | Documented reconciliation between JRO SAE list and trial database |  |  |
| * 1. **Correspondence**
 | General correspondence |  |  |
| 1. **MONITORING**
 |
| * 1. **Monitoring Plan**
 |
| * + 1. Current
 | Current Monitoring Plan |  |  |
| * + 1. Superseded
 | Superseded Monitoring Plan |  |  |
| * 1. **Central Coordinating Centre Initiation (if applicable)**
 | Central Coordinating Centre Initiation Pack |  |  |
| Central Coordinating Centre Initiation Slides |  |  |
| Central Coordinating Centre Initiation Report |  |  |
| Central Coordinating Centre Initiation Attendance Log |  |  |
| * 1. **Central Coordinating Centre Monitoring Visits (if applicable)**
 | Letter/ Email of Intent to Monitor Central Coordinating Centre |  |  |
| Central Coordinating Centre Monitoring Reports |  |  |
| Central Coordinating Centre Monitoring Visit Log |  |  |
| * 1. **Central Coordinating Centre Close Out (if applicable)**
 | Central Coordinating Centre Close Out Report  |  |  |
| * 1. **Correspondence**
 | General correspondence |  |  |
| 1. **STATISTICS**
 |
| * 1. **Statistical Analysis Plan**
 |
| * + 1. Current
 | Current Statistical Analysis Plan |  |  |
| * + 1. Superseded
 | Superseded Statistical Analysis Plan |  |  |
| * 1. **Randomisation List**
 | Master Randomisation List *(if applicable)*  |  |  |
| * 1. **Analysis**
 |
| * + 1. Interim
 | Interim Data Analysis *(if applicable)* |  |  |
| * + 1. Final
 | Final Data Analysis / End of Trial Report |  |  |
| * 1. **Correspondence**
 | General correspondence |  |  |
| 1. **PUBLICATIONS**
 |
| * 1. **Conferences**
 | Conference slides/ abstracts |  |  |
| * 1. **Publications**
 | Related publications/ abstracts |  |  |
| * 1. **Correspondence**
 | General correspondence |  |  |
| 1. **TRIAL OVERSIGHT COMMITTEES**
 |
| * 1. **TMG**
 | Trial Management Group (TMG) Terms of Reference/Charters |  |  |
| TMG reports/minutes |  |  |
| * 1. **DMC / IDMC**
 | Data Monitoring Committee/Independent Data Monitoring Committee (DMC)/(IDMC) Terms of Reference/Charters |  |  |
| DMC/IDMC reports/minutes |  |  |
| * 1. **TSC**
 | Trial Steering Committee (TSC) Terms of Reference/Charters |  |  |
| TSC reports/minutes |  |  |
| * 1. **Correspondence**
 | General correspondence |  |  |
| 1. **AUDITS & INSPECTIONS**
 |
| * 1. **Letters**
 | Letter of Intent to Audit by Sponsor or External Representative / Audit plan |  |  |
| * 1. **Audit Certificate / Report**
 | Audit Summary Report |  |  |
| Audit Summary Report for Site (*where applicable to that site*) |  |  |
| Audit Certificate |  |  |
| * 1. **Follow up**
 | Follow up from Audit |  |  |
| * 1. **Inspections**
 | Regulatory Inspections documentation |  |  |
| * 1. **Correspondence**
 | General correspondence |  |  |
| 1. **CENTRAL LABORATORIES & SAMPLES**
 |
| * 1. **[Lab Name]**
 |
| * + 1. Accreditation Certificates
 | Accreditation Certificates/ Conformity Documentation |  |  |
| * + 1. Sample Analysis Plan
 | Sample Analysis Plan *(if applicable)* |  |  |
| * + 1. Deviations
 | Notification of deviations *(if applicable)* |  |  |
| * 1. **Laboratory /Sample Processing Manual**
 | Laboratory/ Sample Processing Manual  |  |  |
| * 1. **Sample Shipment / Receipt**
 | Sample Shipment / Receipt Documentation |  |  |
| * 1. **Correspondence**
 | General correspondence |  |  |
| 1. **PROCEDURAL DOCUMENTS**
 |
| * 1. **Trial SOPs/ Plans**
 |
| * + 1. Current
 | Current Trial Specific SOPs / Plans (e.g., Randomisation Plan, Unblinding Plan, Sample Management Plan, Dose Decision and Dose Escalation Plan) |  |  |
| * + 1. Superseded
 | Superseded Trial Specific SOPs / Plans  |  |  |
| * 1. **JRO SOPs**
 | JRO SOPs (e.g. SOP for the Recording, Management and Reporting of Adverse Events by Investigators, SOP for the Recording & Reporting of Deviations, Violations, Potential Serious Breaches, Serious Breaches and Urgent Safety Measures) |  |  |
| * 1. **JRO SOP training logs**
 | JRO SOP training logs |  |  |
| * 1. **Correspondence**
 | General correspondence |  |  |
| 1. **SITE SPECIFIC DOCUMENTS**
 |
| * 1. **[Add Site Name]**
 |
| * + 1. NHS Permissions
 | Site R&D Confirmation of Capacity & Capability / NHS Permission Letter |  |  |
| * + 1. Open to Recruitment
 | Open to Recruitment Letter  |  |  |
| * + 1. Deviations (Protocol, GCP, SOP)
 | Completed Log of Deviations, Violations, Potential Serious Breaches, Serious Breaches, Urgent safety measures |  |  |
| * + 1. Delegation Log
 | Completed Staff Signature and Delegation of Tasks Log |  |  |
| * + 1. Correspondence
 | General correspondence |  |  |