ECTU Central Office SOP ECTU_SOP_TM_14: End of Trial Notification and Close Out

Version No:	4.0
Issue Date:	19 Dec 2024
Effective Date:	27 Jan 2025

Authorship and Approval			
Name and Designation	Author/Reviewer/ Approval/ Authorisation	Date	Signature
Sîan Irvine, Trial Manager	Author	19-Dec-2024	
Annabel Giddings, Assistant Trial Manager	Reviewer	19-Dec-2024	Annabel Giddings (Dec 19, 2024 15:43 GMT)
Gina Cranswick, Trial Management Team Lead	Approver	19-Dec-2024	Gina Cranswick (Dec 19, 2024 15:45 GMT)
Tanya Tharakan, QA Manager	QA Authorisation	19-Dec-2024	Tanya Tharakan (Dec 19, 2024 15:46 GMT)

Document Revision History		
Version No.	Effective Date	Summary of Revisions
1.0	27 Sep 2017	Initial creation
2.0	21 Oct 2019	Updates after scheduled review. Content moved to new ECTU SOP template v 2.0. Minor changes throughout, updated section 4.
3.0	15 Jun 2022	Updates after scheduled review. Content moved to new ECTU SOP template v 3.0. Minor changes throughout, updated section 4.
4.0	27 Jan 2025	Updates after scheduled review. Clarification of responsibilities and timelines throughout. Addition of new procedures, including Project Closure Plan and Database Lock Checklist. Minor changes throughout.

1.0 PURPOSE

This SOP outlines the procedures for preparing to close out trials where this task has been assigned to Edinburgh Clinical Trials Unit (ECTU).

2.0 SCOPE

This SOP applies to all clinical studies adopted by ECTU where trial close out has been delegated to the Trial Manager (TM) or a Trial Management designee within ECTU, as detailed in the Risk Assessment/ SDV Plan/ Monitoring Plan, where appropriate. This SOP should be used in conjunction with any relevant Sponsor SOPs relating to trial close out.

3.0 RESPONSIBILITIES

End of trial responsibilities are detailed in the Co-Sponsorship Agreement. These may be delegated to the TM or designee who is responsible for coordinating this process. Trial Management responsibilities may include some or all of those listed below:

- Ensure that all relevant Sponsor/ECTU guidance and SOPs are followed during the close out process
- Ensure that all End of Trial notifications are sent to the relevant bodies in a timely manner.
- Timelines for data cleaning/ database lock/ data analysis are agreed
- A plan for dissemination of results, including to trial participants where appropriate/ specified in the protocol, has been determined by the Chief Investigator after discussions with the Trial Steering Committee and documented.
- Ensure that a final Study report is generated and submitted to the Sponsor, relevant Ethics Committee(s), Regulatory Authority(ies) and Funder within the required timeframes
- Prepare and upload the end of trial summary results to the clinical trial register within the required timeframe
- Relevant final meetings e.g. Trial Steering Committee (TSC)/ Data Monitoring Committee (DMC) are organised and reports are submitted to relevant bodies.
- Ensure that all finances have been reconciled before the grant end date.
- Prepare and archive the Trial Master File.

4.0 PROCEDURE

There are a number of actions to be performed as part of the trial close out. These will vary according to the type of trial and the requirements of the Sponsor and Funder. The TM or designee is responsible for identifying the specific actions for each trial.

The TM or designee should organise an End of Trial meeting, or series of meetings, in advance of the end of recruitment/final follow up, as appropriate. The purpose of the End of Trial meeting(s) is to facilitate a successful close out of a trial, and database lock where appropriate, by highlighting the required actions and responsibilities and their timings.

4.1 Preparation for End of Trial Meeting

4.1.1 The trial end date should be defined in the latest version of the trial protocol. If this is not specified in the protocol the date of the Last Patient, Last Visit (LPLV) should be used.

4.1.2 The TM should discuss with the Data Manager an estimated timeline for data cleaning and reconciliation (based on current outstanding data, volume and type of queries) prior to the (initial) End of Trial Meeting and/or before the end of recruitment. See ECTU SOP_DM_11: Data Cleaning for minimum timeline guidelines and where possible include a buffer period between the end of data cleaning and database lock.

4.1.3 The timeline for data cleaning and database lock should be finalised with both the Data Management team and Trial Statistical team to avoid unachievable dates being set.

4.1.4 The Project Closure Plan (see ECTU_SOP_21 Project Closure Planning and OP-T05 Project Closure Plan Template) should be drafted and circulated for review to the applicable teams at least 6 months before the grant end date and prior to the End of Trial Meeting, where possible (see section 4.2 below).

4.1.5 The primary members of the trial team who should be invited by the TM or designee and attend the End of Trial Meeting(s) are:

- TM or designee
- Chief Investigator
- Trial Statistical team
- Sponsor representative e.g. Clinical Trials monitor (if applicable)
- Data Management
- IT Programmer
- Any other appropriate trial team member (e.g. Research Nurse)

4.1.6 The TM or designee should prepare an agenda to cover the main end of trial actions and close out procedures (see Section 4.2). ECTU End of Trial Meeting Agenda Template (TM-T28) should be used and adapted as required.

4.2 End of Trial Meeting(s)

The TM is responsible for ensuring that minutes are taken during the End of Trial Meeting(s) and circulated after the meeting to all members of the team who attended or who were invited but unable to attend. The minutes should be filed in section 10 of the Trial Master File.

The following topics should be discussed at the End of Trial Meeting(s). This list is not exhaustive and may vary according to the nature of the trial.

4.2.1 End of Trial Notifications

4.2.1.1 There may be several different organisations who require a formal End of Trial Notification procedure to be followed when the trial ends. These will often require notification from the Chief Investigator but the TM will be responsible for ensuring these requirements are identified and discussed at the End of Trial Meeting and co-ordinating the submission in a timely manner as required.

4.2.1.2 The main organisations that will need to be informed are listed below, however, this is not an exhaustive list and will vary from trial to trial.

- Trial Sponsor
- MHRA (for CTIMP/device studies)
- Research Ethics Committee (REC)
- NHS Research and Development
- Trial Funder(s)

4.2.1.3 End of Trial notifications should be carried out following the Sponsor's appropriate study closure and archiving SOPs.

4.2.2 Data Cleaning

4.2.2.1 Progress delivering the agreed timelines for data cleaning should be discussed at the End of Trial Meeting(s). The TM should also request that the final QC check of the data is performed as agreed if this applies to the trial. Additional checks for identifiable data, e.g., initials and date of birth are not present for non-recruited patients, may be required.

4.2.2.2 The IT Programmer should be made aware that there may be requests for additional reports or amendments to the database during the final data cleaning process, e.g. primary outcome reports, AE reports, reports for QC checks, uploading spreadsheets.
4.2.2.3 The data should be cleaned and ready to be handed over to the Trial Statistical team approximately two weeks prior to the database lock date to allow for any final queries or anomalies that may require resolution. Any informal discussion regarding data cleaning should be documented via email/minutes.

4.2.3 Database Lock

The Trial Statistical team should advise on a date for the database lock based on the length of time required to carry out the data analysis in relation to any reporting and publication deadlines and individual schedules.

This should be agreed upon by the Chief Investigator, Data Management team, Trial Management team, Trial Statistical team and Health Economics team, as applicable.

For trial databases held within ECTU, the TM or designee will facilitate the completion of OP-F04 ECTU Study Database Lock Checklist with the Trial Statistical team to request database lock.

4.2.4 Final Data Monitoring Committee (DMC) and/or Trial Steering Committee (TSC)

Trial-specific TSC and/or DMC Charters should be followed, along with the current protocol and Funder requirements, paying particular attention to the requirements for the release of trial results and dissemination.

4.2.5 Publications and Dissemination of Trial Results

The TM should discuss the publication plan with the Chief Investigator including establishing the authorship of the final paper, which publications the final paper will be submitted to, any

conference presentations, etc. The Trial Manager should make the CI aware of ECTU POL02 Publication and Acknowledgement Policy

The process of dissemination of trial results to participants and uploading results to relevant protocol registration databases (e.g. ISRCTN, EudraCRT, clinicaltrials.gov) should be established and responsibilities agreed. The timeline should be discussed with the Chief Investigator and Trial Statistical team to ensure as much reporting as possible is achieved before the grant end date and formally agreed via the Project Closure Plan.

4.3 Notification to sites and trial teams

The following teams should be notified in advance as appropriate:

- Sponsor Pharmacovigilance

The TM should inform the Pharmacovigilance team, by email, of the agreed database lock date and the date the analysis is to start. The Pharmacovigilance team will be responsible for reconciling and locking their database in accordance with this timeline.

- Principal Investigators and Site Teams

The TM should inform the Principal Investigators and Site Teams via email of the final data deadlines and database lock dates. They should advise them of the final data cleaning process and trial-specific close out procedures and what that will entail. The sites should also be informed of any final actions they are responsible for (e.g. final sample shipments for post-award analysis, archiving, etc.).

4.4 Site and Pharmacy Close Out

4.4.1 Trial Sites should be closed out as soon as it is practical to do so.

4.4.2 For any site that has recruited participants to the trial and has collected data for the final analysis, the site should remain open until the database lock is complete in case any further action is required during this time.

4.4.3 Clarification of requirements should be sought from the Sponsor for any sites that did not receive SATO, did not screen any patients, etc. For sites closing early, due to lack of resource, etc, requests to remove ability to randomise or add new participants to a live ECTU trial database should be made via email and documented clearly and saved in the TMF..

4.4.4 Sites and Pharmacies should be closed out according to the Sponsor guidelines. The Sponsor, or if delegated to the Trial Management team, will arrange for a final COV, if required, according to the study's Monitoring Plan.

4.4.5 In studies that are monitored by Clinical Trial Monitors, Close Out Visits (COVs) should be scheduled prior to database lock with sufficient time to ensure that any site-specific data related issues identified during close out are addressed prior to statistical analysis.

4.4.6 The Principal Investigator is responsible for ensuring that all actions are completed in accordance with Sponsor close out procedures. The TM will have oversight of this process as

delegated. The appropriate Sponsor study closure documentation should be used to document these actions have been completed.

4.4.7 The ECTU TM-T24 Close Out Tracker should be adapted and used to aid the close out of sites.

4.4.8 The TM or designee should ensure that arrangements are made for any final sample shipments if this applies to the trial. This includes liaising with the receiving site to ensure they can accept the samples, arranging a timeframe for shipments and arranging courier services. Timing of sample shipments should take into consideration whether analysis of samples is required for database lock (e.g. results to be entered into the database), or post award analysis/ future research.

4.4.9 The TM or designee should also ensure final invoices have been received from the site if appropriate.

4.4.10 Once sites have closed out, contact information for study contacts, e.g., site investigators, TSC, DMC, etc, should be deleted from external mailing services, e.g. Dotmailer, to comply with GDPR requirements. Contact information should be retained in the TMF only.

4.5 Archiving

4.5.1 The table of responsibilities in the site agreement and/or Co-Sponsorship Agreement will specify who is responsible for archiving which documentation (e.g. sites may be responsible for archiving their own data or this may have been delegated to ECTU). The Sponsor guidelines on archiving should be followed.

4.5.2 The protocol should state the archiving period (the Funder may have specific requirements for this). If not stated in the protocol, the data should be archived according to the Sponsor’s requirements and Funder Terms & Conditions as detailed in their archiving guidelines.

4.5.3 Where the grant is inclusive of costs for archiving, this must be paid in advance. The TM or designee should ensure the invoice for archiving costs of the TMF and any other essential documentation is submitted before the grant end date.

4.6 Financial Close Out

4.6.1 The UoE will officially close down the trial grant three months after the trial end date. The TM will be responsible for requesting that all finances have been reconciled by that point.

4.6.2 If any further expenses are expected after the grant closure, the TM should escalate where appropriate for discussion regarding possible arrangements. If applicable, the ECTU Business team should be notified to close or cancel any contracts associated with the trial, e.g. mobile phone contracts, business reply envelopes.

4.6.3 All financial reporting will be compliant with the research funders' requirements and relevant UoE policy and procedures.

4.6.4 The TM should remind UoE Finance at least 3 months before the financial reconciliation report is due to ensure they have it scheduled.

4.7 Project Closure Plan

The Project Closure Plan should be checked to ensure that the progress of TM actions are updated as appropriate prior to formal handover of the study to the Chief Investigator. ECTU staff actions should be documented to resolution on the study's section 2.4 on the ECTU drive.

5.0 RELEVANT DOCUMENTS AND REFERENCES

ACCORD SOPs for UoE/NHSL Sponsored studies

- CR009 Study Closure and Archiving
- GS005 Archiving Essential Study Documentation
- CM003 Close Out Visits and associated templates
- CR009-F01 Study Closure Checklist
- CR011 Research Study Reports & Publication of Results

On ECTU Website

- ECTU SOP_OP_21: Project Closure Planning
- ECTU SOP_DM_11: Data Cleaning
- ECTU SOP_OP_20: Requests to Lock and Unlock a Study Database
- ECTU SOP_TM_04 Publication and Dissemination of Trial Results
- ECTU POL02 Publication and Acknowledgement Policy.

ECTU Shared Drive

- TM-T24 ECTU Close Out Tracker
- TM-T28 ECTU End of Trial Meeting Agenda
- OP-F04 ECTU Study Database Lock Checklist
- OP-T05 Project Closure Plan Template

ECTU_SOP_TM_14 End of Trial Notification and Trial Close-Out v4.0

Final Audit Report 2024-12-19

Created:	2024-12-19 (Greenwich Mean Time)
By:	Tanya Tharakan (tanya.tharakan@ed.ac.uk)
Status:	Signed
Transaction ID:	CBJCHBCAABAAkQJ6aJUvtQBwbrXecriESojAshu1hWPU

"ECTU_SOP_TM_14 End of Trial Notification and Trial Close-Out v4.0" History

Document created by Tanya Tharakan (tanya.tharakan@ed.ac.uk)
2024-12-19 - 15:38:15 GMT- IP address: 192.41.114.230

Document emailed to Sian Irvine (sian.irvine@ed.ac.uk) for signature
2024-12-19 - 15:41:39 GMT

Document emailed to Annabel Giddings (Annabel.Giddings@ed.ac.uk) for signature
2024-12-19 - 15:41:39 GMT

Document emailed to Gina Cranswick (gina.cranswick@ed.ac.uk) for signature
2024-12-19 - 15:41:39 GMT

Document emailed to Tanya Tharakan (tanya.tharakan@ed.ac.uk) for signature
2024-12-19 - 15:41:39 GMT

Email viewed by Sian Irvine (sian.irvine@ed.ac.uk)
2024-12-19 - 15:42:08 GMT- IP address: 109.155.166.41

Document e-signed by Sian Irvine (sian.irvine@ed.ac.uk)
Signature Date: 2024-12-19 - 15:42:37 GMT - Time Source: server- IP address: 109.155.166.41

Email viewed by Annabel Giddings (Annabel.Giddings@ed.ac.uk)
2024-12-19 - 15:42:51 GMT- IP address: 104.47.11.62

Document e-signed by Annabel Giddings (Annabel.Giddings@ed.ac.uk)
Signature Date: 2024-12-19 - 15:43:07 GMT - Time Source: server- IP address: 82.69.76.4

Email viewed by Gina Cranswick (gina.cranswick@ed.ac.uk)
2024-12-19 - 15:45:25 GMT- IP address: 104.47.11.254

Document e-signed by Gina Cranswick (gina.cranswick@ed.ac.uk)

Signature Date: 2024-12-19 - 15:45:34 GMT - Time Source: server- IP address: 151.224.224.52

Document e-signed by Tanya Tharakan (tanya.tharakan@ed.ac.uk)

Signature Date: 2024-12-19 - 15:46:23 GMT - Time Source: server- IP address: 192.41.114.230

Agreement completed.

2024-12-19 - 15:46:23 GMT