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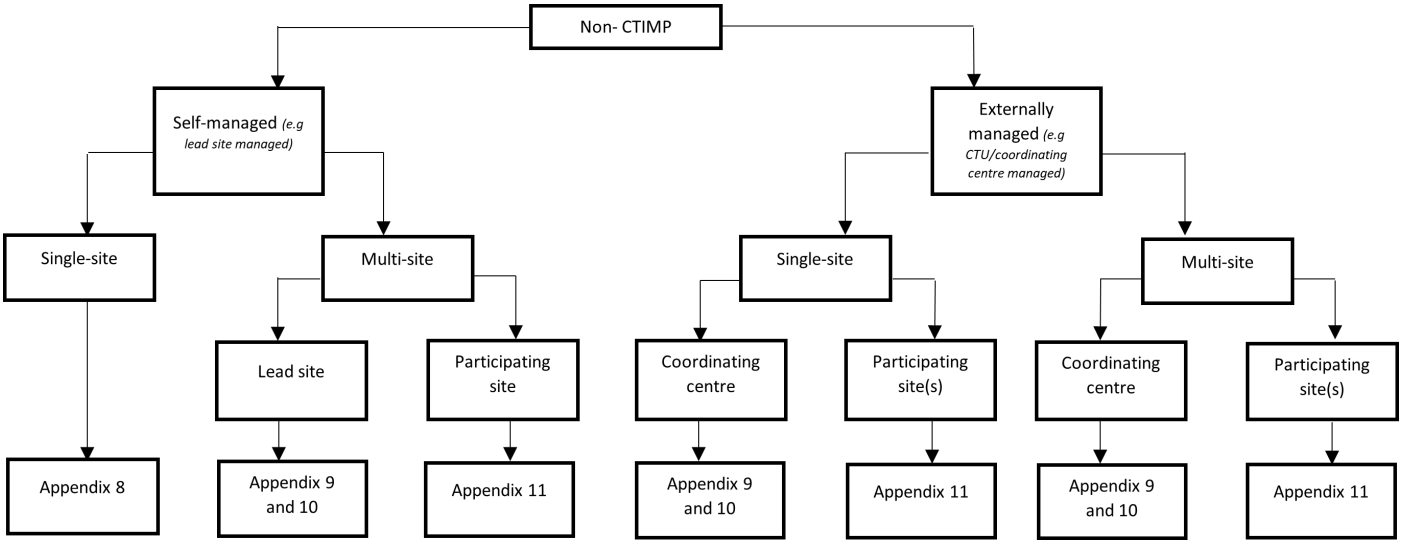
Multi-Site/External Coordinating Centre Trial Master File (TMF) Contents List for studies not involving Investigational Medicinal Products (non-CTIMP) – Guidance Page

This contents list should be used by the lead site in a self-managed multi-site non-CTIMP, or by the external coordinating centre for a single or multi-site non-CTIMP to create a TMF. In addition to this TMF, a Site-Specific File (SSF) should be created and maintained per participating (research) site using Appendix 10.

Please use the decision tree below to check which contents list(s) is/are required for your study



Useful definitions

- **Single site – self managed study;** A study which involves only one research site and where the management of the study takes place at the same site.
- **Single site – externally managed study;** A study which involves only one research site but where the management of the study sits outside of the research site e.g. with a Clinical Trials Unit (CTU).
- **Multi-site – self managed study;** A study which involves two or more research sites and where the management of the study takes place at the lead site.
- **Multi-site – externally managed study**; A study which involves two or more research sites but where the management of the study sits outside of the research sites e.g. with a CTU.
- **Lead Site/Coordinating Centre;** The site/centre which takes responsibility for the management of the study, this may be the lead research site or an external coordinating centre e.g. a CTU.
- **Participating site;** Any other research site(s) involved in a study which do not meet the definition of the lead site listed above.
- **Investigational Medicinal Product;** the active substance or placebo being tested or used as a reference product in a clinical trial.

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Tips for using this contents list:

1. Not all documents/sections listed below will be applicable to all studies.
   Where an entire section is **not applicable**, it should be marked as such, but the original numbering of the section should be retained, this ensures a consistent filing system across all University of Leicester sponsored studies.

2. If a listed document is stored elsewhere, a note to file should be included to record its location and confirm how access can be gained. Where a document is stored electronically, please include the file path.

3. Documents should be filed in reverse chronological order (newest on top) with superseded documents marked as such.

4. To supersede a document you should;
   - Strike a single line through the front page of the document
   - Write superseded by and add the version and date of the updated document i.e. Superseded by v2.3 01/01/2023
   - Initial or sign and date next to the annotation (please note that anybody undertaking TMF maintenance should be delegated this task on the Delegation of Authority and Signature Log)

5. A copy of the relevant contents list should be placed at the front of each TMF/ISF folder. The guidance pages do not require filing.

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Multi-Site/External Coordinating Centre Trial Master File (TMF) Contents List for studies not involving Investigational Medicinal Products (non-CTIMP)

Study Title:	
Chief Investigator name:	

Section 1: Study Management	
1.1	List of relevant generic contacts *e.g. Sponsor, CTU (if applicable) REC/HRA etc.*
1.2	Gantt Chart *(Current and Superseded (if applicable))*
1.3	Study Documentation version control log/tracker *(S-1015 Appendix 3)*
Section 2: Protocol and Associated Documents	
2.1	Current Protocol *signed and dated by the Chief Investigator and Sponsor*
2.2	Superseded Protocol(s) *signed and dated by the Chief Investigator and Sponsor*
2.3	Data Flow Diagram *(if separate to protocol)*
2.4	Template Protocol Deviation Log *(S-1013 Appendix 2)*
2.5	Template File Note *(S-1013 Appendix 3)*
2.6	Evidence of peer review *(where applicable)* *(S-1002 – Appendix 2)*
Section 3: Study Documentation	
3.1	Current template (non-localised) study documents *e.g. Participant Information Sheets, Template Informed Consent Forms, Letters, Posters, Questionnaires etc*
3.2	Superseded template (non-localised) study documents *e.g. Participant Information Sheets, Template Informed Consent Forms, Letters, Posters, Questionnaires etc (where applicable)*
Section 4: Initial Regulatory Approvals	
4.1	All initial REC approvals/correspondence *e.g. emails/letters confirming Valid Application, Provision Opinion, Favourable Opinion*
4.2	All initial HRA approvals/correspondence *e.g. emails/letters confirming Initial Assessment, Provision Opinion, Approval*
4.3	Any other applications and approvals *e.g. CAG/ARSAC etc. (if applicable)*
4.4	Evidence of NIHR CRN portfolio adoption *(where applicable)*
4.5	Confirmation/Evidence of Study registration *e.g. ISRCTN, clincialtrials.gov etc.*
4.6	IRAS Application
4.7	Relevant Correspondence
Section 5: Amendments	
5.1	**Substantial Amendment Documents (repeat per substantial amendment)** • All REC approvals/correspondence *e.g. emails/letters confirming Valid Application, Provision Opinion, Favourable Opinion* • All HRA approvals/correspondence *e.g. emails/letters confirming Initial Assessment, Provision Opinion, Approval)* • Any other approvals and supporting documentation *e.g. CAG/ARSAC (where applicable)* • IRAS submission confirmation email • Tracked changed amendment documents and cover letter *(where applicable)* • Locked amendment tool • Relevant correspondence

5.2	**Non substantial Amendment Documents (repeat per non-substantial amendment)** • REC/HRA approval/correspondence *(where applicable)* • Any other approvals and supporting documentation *e.g. CAG/ARSAC (where applicable)* • IRAS submission email • Tracked changed amendment documents *(where applicable)* • Locked amendment tool • Relevant correspondence
Section 6: Annual Reports	
6.1	**Annual Progress Report (APR) Documentation (repeat per APR)** • Sponsor Acknowledgement of APR • REC Acknowledgement of APR • Evidence of submission to REC • Copy of signed report
6.2	Any other annual reports and supporting documents *e.g. CAG/funder (if applicable)*
6.3	Relevant correspondence
Section 7: Coordinating Centre Documents (if applicable)	
7.1	Template Delegation of Authority and Signature Log (DoA) *(S-1010 Appendix 2)*
7.2	Coordinating Centre Delegation of Authority and Signature Log
7.3	Coordinating Centre personnel documents *(covering the duration of involvement with the study)* *The following documents should be filed as relevant per person listed on the DoA;* • Signed and dated research CV *(HRA template recommended)* • Evidence of GCP training • Evidence of consent training *(if applicable)* • Evidence of study specific training *e.g. Logs showing protocol training (S-1020, Appendix 1)* • Sponsor SOP read logs *(S-1011, Appendix 3)* • Study Specific SOP read logs *(if applicable)*
7.4	Coordinating Centre personnel tracking log *(A spreadsheet should be maintained which lists all the individuals involved in the study at the site and the dates of relevant documents and training) (S-1015 Appendix 13)*
7.5	Any other coordinating centre documents *(if applicable)*
Section 8: Participant Documentation	
8.1	Template Screening Log *(S-1011 Appendix 5)*
8.2	Template Participant Enrolment Log *(S-1011 Appendix 6)*
Section 9: Standard Operating Procedures (SOPs)	
9.1	Note to file signposting the location of the most current Sponsor SOPs. *e.g. web address/electronic quality management system*
9.2	Current study specific SOPs *or note to file signposting the location (if applicable)*
9.3	Superseded study specific SOPs *(if applicable)*
Section 10: Statistics and Analysis	
10.1	Statistical Analysis Plan *(must be in place prior to database lock)*
10.2	Procedure for randomisation/code break *(if applicable)*
10.3	Master Randomisation List or location *e.g. in Sealed Envelope (if applicable)*
10.4	Any other Supporting Documents
Section 11: Data Management	
11.1	Current CRF Templates
11.2	Superseded CRF Templates *(if applicable)*

11.3	Evidence or CRF sign off by Chief Investigator, Study Manager and Statistician *(where applicable)*
11.4	DPIA and/or ROPA
11.5	Data Management Plan
11.6	Any other data management documents *e.g. overarching data management queries/privacy notices/CRF correction procedures*
Section 12: Safety Reporting	
12.1	Template Serious Adverse Event (SAE) reporting form *(S-1009 Supporting document 1)*
12.2	Superseded template Serious Adverse Event (SAE) reporting form(s) *(if applicable)*
12.3	Evidence of SUSAR notification to all participating sites *(if applicable)*
12.4	Safety alert updates *with evidence of notification to all participating sites (if applicable)*
Section 13: Clinical Laboratory (if applicable)	
13.1	Lab Manual/Sample Processing Manual
13.2	List of all laboratories used
13.3	Certificates of Accreditation for central laboratories
13.4	Normal Reference Ranges for central laboratories *(including revisions)*
Section 14: Monitoring	
14.1	Study specific Risk Assessment *(if applicable)*
14.2	Study specific Monitoring Plan *(if applicable)*
14.3	Template Monitoring Visit Log *(S-1007 Appendix 3)*
14.4	Coordinating Centre Site Initiation Visit (SIV) documentation *e.g. agenda, signed closed SIV report and outstanding actions list, signed SIV log and relevant correspondence (if applicable)*
14.5	Coordinating Centre Monitoring documentation *e.g. signed closed monitoring visit report(s)/CAPAs and relevant correspondence(if applicable)*
14.6	Coordinating Centre External Audit documentation *e.g. signed closed monitoring visit report(s)/CAPAs and relevant correspondence(if applicable)*
14.7	Coordinating Centre Close Out Visit (CoV) documentation *e.g. signed closed CoV report/CAPA and relevant correspondence*
14.8	Vendor monitoring documentation *e.g. signed closed CoV report/CAPA and relevant correspondence (if applicable)*
Section 15: Financial/Legal	
15.1	Grant Application *(if applicable)*
15.2	Funding Letter(s)/Financial Agreement(s)
15.3	Licence Agreements *e.g. for validated questionnaires (if applicable)*
15.4	Evidence of Vendor selection/assessments *(where applicable)*
15.5	Evidence of procurement *(where applicable)*
15.6	Contracts/Contract Addendums (and any relevant correspondence/documents) with all investigators and Sub-contractors/vendors *(where applicable)* e.g. research agreements, service level agreements, collaboration agreements, safety data exchange agreements, division of responsibilities
15.7	Participant Identification Centre (PIC) documents *(if applicable)* • Sponsor to PIC site tracker *(S-1015, Appendix 12)* Sponsor to PIC site documents *(repeat per PIC site)* • Sponsor to PIC site(s) Sponsor Green Light • PIC site Confirmation of Capacity and Capability *(if applicable)*

	• Signed agreement(s) *e.g. Sponsor-PIC mNCA* • Relevant Correspondence
15.8	Study Specific Indemnity *(including updates where applicable)*
15.9	Sponsor Insurance Certificates covering the duration of the study
15.10	Other financial/legal documents/correspondence
Section 16: Meetings (where applicable)	
16.1	Trial Steering Committee (TSC) documentation *e.g. Charters, Conflict of Interest Forms, Meeting agendas, reports, minutes and correspondence*
16.2	Data Safety Monitoring Committee (DSMC) documentation *e.g. Charters, Conflict of Interest Forms, Meeting agendas, reports, minutes and correspondence*
16.3	Investigator meeting documentation *e.g. Meeting agendas, reports, minutes and correspondence*
16.4	Trial Management Meeting (TMG) meeting documentation *e.g. Meeting agendas, reports, minutes and correspondence*
Section 17: Publications	
17.1	Copies of all study analysis publications *including poster presentations/abstracts*
Section 18: End of Study Reporting/Close out activities	
18.1	Signed End of Study Declaration Form
18.2	End of study correspondence *e.g. Evidence of End of Study Declaration submission to and acknowledgement by the Sponsor/REC/HRA and R&D/I offices*
18.3	Final report
18.4	Final report correspondence *e.g. Evidence of final report submission to and acknowledgement by the Sponsor/REC/HRA/CAG/ARSAC/R&D/I offices*
18.5	End of Study Lay Summary for participants
18.6	Completed End of Study Sample Declaration Form and correspondence *(if applicable)*
18.7	Confirmation of completion of publicly accessible database entries *e.g. ISRCTN, clinicaltrials.gov*
18.8	Completed End of Sponsor Green Light Checklist
18.9	Archiving documentation *e.g. archiving checklist, details of archiving location and contact*
Section 19: Correspondence	
19.1	Important correspondence with CI/Sponsor and internal site correspondence
19.2	Newsletters *(where applicable)*
19.3	Any other study specific correspondence *(where applicable)*
Section 20: Miscellaneous	
20.1	