Trial Master File – Table of Contents Document Filing Guideline

Section	Contents *Template Index page*	Document Filing Guideline / Available Templates
1.0	**Central Trial Coordination Team**	
1.1	Contact List	**Documents to be filed in this Section include:** • **Central Trial Site Contact List –** current and superseded *Note: Include all key research team staff, i.e. Sponsor-Investigator/CPI, Country Lead Investigators, Lead Clinical Trial Coordinator, Trial Statistician, Data Manager, IP Supply Vendor, Trial Steering Committee, Data Safety Monitoring Committee, Approving HREC, Medical Monitors, Translational Research Laboratory Personnel etc.*
1.2	Signature and Delegation of Duties Log	**Documents to be filed in this Section include:** • **MCTC CRDO_Signature and Delegation of Duties Log -** Include all key research team personnel from the Central Trial Coordinating Team. TEMPLATE Signature Log & Delegation of Duties *Note: The Signature and Delegation of Duties Log should list all key research team personnel from the Central Trial Coordinating Team involved with the trial – i.e. the Sponsor-Investigator, all Associate-Investigators named in the protocol, Trial Coordinator, Statistician, Database Manager, Members of the Trial Management Group.* *Note: Completed Site-Specific Signature & Delegation of Duties Logs must be filed in Section 1.2 of the corresponding Site Investigator File (SIF).*
1.3	CVs	**Documents to be filed in this Section include:** • **Original Curriculum Vitae – CVs must be signed and dated within the last two years.** TEMPLATE Investigator Short CV • **Copies of Medical Licenses, if applicable** *Note: Include CV's from all key research personnel from the Central Trial Coordinating Team. CVs must include details of qualifications, training and previous appointments of all staff involved in the study.*

1.4	GCP Training Certificates	**Documents to be filed in this Section include:** • **GCP Certificates** *Include GCP training certificates from all key research team personnel from the Central Trial Coordinating Team. GCP Training is required for all staff listed on the delegation log. Please contact CRDO for further information. GCP training must be completed every three years to remain current.* *Related Link:* You can organise GCP training here.
1.5	Other Training Certificates	**Documents to be filed in this section include:** • **Other training certificates** from all other key research team personnel from the Central Trial Coordinating Team.
2.0	**Project Management**	
2.1	Trial Start-Up Checklist	**Documents to be filed in this Section include:** • **MCTC CRDO_Trial Start-Up Checklist** TEMPLATE Trial start-up checklist
2.2	Site Selection Documentation	**Documents to be filed in this Section include:** • **CRO/Vendor Selection Criteria Form –** completed and signed. • **Drug Distribution and Storage Facility Questionnaire** – completed with details of any follow-up actions clearly documented. • **Pre-Trial Site Visit Agenda** • **Pre-Trial Site Visit Checklist –** completed to reflect visit • **Pre-Trial Site Selection Visit Report** – completed and reviewed • **Site Feasibility Questionnaire Template** TEMPLATE Feasibility questionnaire • **Site Feasibility Questionnaire –** completed • **Site Feasibility Assessments** - completed • **Clinical CRO/ Vendor Assessment Form** – completed • Vendor Assessment Form – completed with details of any follow-up actions clearly documented • **CRO Vendor Assessment Report** – completed post assessment • **Vendor Acceptance/Rejection Letter** • **Study Vendor Log –** maintained by Trial Coordinator throughout study • **Any significant correspondence relating to Site Feasibility and Site Selection**

		• **Site Feasibility Tracker**
2.3	Administration	**Documents to be filed in this Section include:** • **Roles and Responsibilities Matrix** • **Any significant correspondence**
2.4	Trial Meeting Agenda/Minutes, Notes, etc.	**Documents to be filed in this Section include:** • **Trial meeting agenda's and minutes of every meeting with the Sponsor-Investigator and/or research team i.e. internal team meetings**
2.5	Significant Team Correspondence & Communication including Emails, etc.	**Documents to be filed in this Section include:** • **All other significant correspondence**
3.0	**Protocol/Protocol Amendments**	
3.1	Protocol Version Tracker	**Documents to be filed in this Section include:** • **Protocol Version Tracker**
3.2	Current HREC Approved Study Protocol Signed Protocol Signature Page / Investigator Agreement Page	**Documents to be filed in this Section include:** • **Study Protocol –** current HREC approved and signed Final Protocol • **Signed Protocol Signature Pages –** signed by Sponsor-Investigator or Sponsor Representative only. • **Previous protocol versions Signed Protocol Signature Pages** *Note: If study is sponsored by MCRI, protocol should be based on MCRI Protocol Template.* *Protocol signature pages which are also signed by Site Investigators are filed in Section 3.2 and 3.3 of the corresponding Site Investigator File (SIF).*
3.3	Superseded Study Protocols	**Documents to be filed in this Section include:** • **All superseded Protocols** – ensure the cover page is stamped with 'Superseded'.
3.4	Protocol – Evidence of review and approval by Sponsor	**Documents to be filed in this Section include:** • **Protocol Review Checklist – Study Coordinator** • **Protocol Review Checklist – Statistician** • **Protocol Approval and Sign-Off Form** – signed by Trial Coordinator, Statistician and Sponsor Investigator prior to HREC submission. *Note: It is expected that with each protocol amendment a review checklist and protocol approval and sign-off form is completed, signed and filed.*
3.5	Peer Review – Evidence of Review	**Documents to be filed in this Section include:**

		• **Evidence of Peer Review** *Related Links:* RCH Template *Note: this may not be applicable if the trial underwent MCRI Sponsorship approval process.*
3.6	Non-Compliance Reports and Central Non-Compliance Log	**Documents to be filed in this Section include:** • **Non-Compliance Report Form –** Template only • **Non-Compliance Review Form** – Template only • **Non-Compliance Log** – Template only *Note: Non-compliance report forms completed by Sites are filed in section 3.5 of the corresponding Site Investigator File (SIF).* *A complete list of non-compliance event/protocol deviations must be printed out and filed in this section of the TMF at the end of study.*
3.7	Sponsor-level Serious Breaches and CAPAs	**Documents to be filed in this Section include:** • **Sponsor-level Corrective and Preventive Action Plans –** to be completed and signed by Sponsor-Investigator and submitted to the MCRI Sponsorship Committee for review, detailing any corrective and preventative action to be taken in addressing the serious breach encounted at sponsor level. • **Sponsor-level Corrective and Preventive Action Plan Reviews –** completed and assessed by the MCRI Sponsorship Committee detailing any corrective and preventative action to be taken in addressing serious breaches encountered at sponsor-level. *Related Links:* SOP - Corrective And Preventative Action (CAPA) Plan
3.8	Copy of all Serious Breach reports to Sponsor-Investigator/HREC or Regulatory Authorities, if applicable	**Documents to be filed in this Section include:** • **Copies of all Serious Breach Reports submitted to Ethics, including supporting ERM documentation and any return acknowledgment** • **Copies of all Serious Breach Reports submitted to Regulatory Authorities any return acknowledgment** *Related Links:NHMRC guidance Reporting of Serious Breaches of Good Clinical Practice (GCP)*

3.9	Related Correspondence	**Documents to be filed in this Section include:** • **All significant correspondence relating to protocol development, protocol amendments, sponsor-level serious breaches and CAPAs** •
4.0	**Participant Information & Consent Forms** (Generic / Master templates)	
4.1	PGICF & PICF Version Tracker	**Documents to be filed in this Section include:** • **PGICF & PICF Version Tracker -** to be completed and maintained by Trial Coordinator to track the history of the Master PICFs and subsequent amendments. Ensure the tracker document is appropriately labelled with the correct version numbers and approval dates. Consider country-specific master version trackers if your trial operates in global areas.
4.2	Master PGICF & PICF – Current HREC Approved Version(s)	**Documents to be filed in this Section include:** • **Template Master PGICF & PICF** RCH PGICF & PICF Guidelines and Templates *Note: For multi-centre studies, file the Master PGICF & PICF here. Site-specific PGICF & PICF documents to be filed in section 4.1 of the Site Information File (SIF).*
4.3	Other Approved Participant Information	**Documents to be filed in this Section include:** • **Master copies of advertisements, participant diaries, telephone scripts, GP letters, templates, participant newsletters, cards and questionnaires (eg, QoL) as applicable to study.**
4.4	Master PGICF & PICF - Superseded Versions	**Documents to be filed in this Section include:** • **Superseded copies of Master PGICF & PICF** – ensure the first page is stamped with 'Superseded'
4.5	PGICF & PICF – Evidence of Review and Approval by Sponsor	**Documents to be filed in this Section include:** • **PGICF / PICF Review Checklist – Study Coordinator** • **PGICF / PICF Approval and Sign-Off Form** – signed by Trial Coordinator and Sponsor Investigator prior to HREC submission. *Note: It is expected that with each protocol amendment a review checklist and protocol approval and sign-off form is completed, signed and filed.*

4.6	Other Participant Information - Superseded versions	**Documents to be filed in this Section include:** • **Superseded copies of other Participant Information** – ensure the first page is stamped with 'Superseded'.
5.0	**Regulatory Documents**	
5.1	Site Green Light Approval form(s)	**Documents to be filed in this Section include:** • **Site Green Light Approval Form Template –** current and superseded *Note: This is a **mandatory** requirement for all participating sites and must be completed prior to officially activating a site to recruitment/randomisation. Prior to authorising the start of a clinical trial and the initiation of research sites, the sponsor must ensure that all approvals, contracts and necessary documentation are in place. Records must be available to verify that all necessary essential documents have been received by the sponsor prior to the authorisation to start the clinical trial at each site. This should include confirmation that they have been reviewed by an appropriately delegated representative of the sponsor. Once this check is complete, trial activities at site can commence. This process is referred to as the **'regulatory green light'.*** *Note: In the Comments column of the TMF Table of Contents, indicate that site-specific Green Light Approval Forms are filed in section 5.3 of the corresponding Site Investigator File (SIF).*
5.2	TGA Acknowledgement Clinical Trial Notification (CTN) or Clinical Trial Exemption (CTX)	**Documents to be filed in this Section include:** • **Copy of the CTN Acknowledgement listing all participating sites** – current and superseded • **Copy of the CTX Acknowledgement listing all participating sites** – current and superseded
5.3	CTN/CTX Submission(s)	**Documents to be filed in this Section include:** • **Copy of the electronic CTN Submission to the TGA listing participating sites** – current and superseded • **Copy of the eBS Submission Document from the TGA, if available** • **Copy of the TGA CTN Invoice, if available** • **Proof of CTN Payment, if available** *Related Links:*

		Information Required For Submitting CTN form
5.4	Other TGA Correspondence	**Documents to be filed in this Section include:** **All significant correspondence to and from the TGA**
5.5	International Regulatory Submissions (e.g. MHRA, HPRA, FDA, etc)	**Documents to be filed in this Section include:** • **Relevant International Regulatory Submissions (e.g. IND applications), if available –** current and superseded
5.6	International Regulatory Approvals	**Documents to be filed in this Section include:** • **Copies of International Regulatory Certificates of Approvals –** current and superseded
5.7	International Regulatory Related Correspondence	**Documents to be filed in this Section include:** • **All significant correspondence to and from any Regulatory Agency**
5.8	Supplementary FDA Documents	**Documents to be filed in this Section include:** • **Financial Disclosure Form (FDA 3454 Form), if applicable** • **Statement of Investigator Form (FDA 1572 Form), if applicable** *Note: FDA Forms 3454 and 1572 only need to be completed by the Principal Investigator at each participating site.* *Note: FDA Form 1572 only needs to be completed for studies which fall under an IND in the USA. Always obtain the most recent version of the form directly from the FDA website; available online.* . *The FDA also produce a Set of Instructions to assist Investigators with completion of the 1572 form as well as a FAQ.* *Note: Form 3454 needs to be completed for all studies which have sites bases within the USA, regardless of whether the study falls under an IND or not; i.e.* ***Is clinical investigator financial disclosure information required in IND or IDE applications?*** ***A:** No, IND/IDE Sponsors are not required to submit information regarding clinical investigator financial*

		interests or arrangements in IND or IDE applications. They are, however, required to collect this information before a clinical investigator participates in a clinical study and clinical investigators are required to disclose financial information to Sponsors. *Always obtain the most recent version of the form directly from the FDA website; available online.* *The FDA also produce a Guidance Document to assist Sponsors with Financial Disclosure forms.* *Note: In the Comments column of the TMF Table of Contents, indicate that completed site-specific 1572 and 3454 forms are filed in section 5.2 of the corresponding Site Investigator File (SIF).*
6.0	**Sponsorship**	
6.1	Sponsor Authorisation Letter	**Documents to be filed in this Section include:** • **A copy of the MCRI Certificate of Sponsorship** • **Subsequent copies of MCRI Certificates of Sponsorship**
6.2	Completed Risk Assessment/Management Tool	**Documents to be filed in this Section include:** • **A copy of the completed MCRI Sponsorship Application including completed Risk Management Table** • **Copies of any subsequent submissions to the MCRI Sponsorship Committee i.e. in relation to protocol amendments.** *Related Links:* SOP in applying for a Certificate of Sponsorship Application form and Risk Assessment matrix
6.3	Related Correspondence and Meeting Minutes	**Documents to be filed in this Section include:** • **All significant correspondence to and from the Sponsor regarding initial and subsequent submissions.**
7.0	**Ethics Committee**	
7.1	Ethics Committee Approval Letters, Certificates and Acknowledgements	**Documents to be filed in this Section include:** • **Ethics Committee Aproval Letters/ Acknowledgement relating to the original Protocol/PICF/IB etc**

		• **Subsequent Amendment approvals/acknowledgement from the Ethics Committee** • **Ethics Aproval Letters/Acknowledgements relating to ALL other project submissions.** *Note: Only **LEAD HREC** approval letters/acknowledgements need to be filed here. For local country specific approvals, in the Comments column of the TMF Table of Contents, indicate that these documents are filed in section 6.2 of the corresponding Site Investigator Files (SIF).*
7.2	Ethics Submission Documentation Initial & Amendments Including responses to HREC queries	**Documents to be filed in this Section include:** • **Complete copy of the initial Ethics Committee application relating to the original Protocol/PICF/IB etc, including a copy of the HREA** • **A copy of the Responses to HREC Queries, if applicable** • **Complete copy of any Protocol Amendments submitted to Ethics, including supporting ERM documentation** • **Copies of all additional Amendments or Project Notifications submitted to Ethics, including supporting ERM documentation.** *Note: Download submissions from the submissions tab in ERM. This will generate a PDF of the completed HREA form and list of submitted documents. The document will have a date generated field (in the footer), indicating the date of submission.* *Ethics submission resources and information*
7.3	Ethics Committee Composition, Constitution & Statement of Compliance	**Documents to be filed in this Section include:** • **Ethics Committee Composition** • **Statement of Compliance of Leading EC** *Note: If Ethics Committee Composition is not provided by the Lead HREC, then evidence documenting this decision must be filed in this section of the TMF relevant to this communication.*
7.4	Annual Project Progress Reports and Final Project Report	**Documents to be filed in this Section include:** • **Copies of all Annual Project Progress Reports submitted to Ethics, including supporting ERM documentation**

		• **Copy of the Final Project Progress Report submitted to Ethics, including supporting ERM documentation.** *Note: Annual Safety Reports to HREC are to be filed in Section 13.3*
7.5	Related Correspondence	**Documents to be filed in this Section include:** • **All significant correspondence to and from the Ethics Committee regarding initial and subsequent submissions.**
8.0	**Study-Specific Procedures/SOPs (applicable to either the Central Trial Coordination Team or all sites)**	
8.1	Current MoP / SoP	**Documents to be filed in this Section include:** • **Manual of Procedures Document** – current version • **Any Manual of Procedures associated documents, if applicable** • **Study-Specific SOPs** – current version • **Imaging Manual** – current version • **Imaging Charter** – current version • **Central Review Manual** – current version • **Nuclear Medicine Manual** – current version • **Ophthalmology Manual -** current version • **Radiotherapy Manual -** current version • **Any Study Specific SOP associated documents, if applicable** *Related Links:* SOP creation, implementation and revision guideline
8.2	Superseded MoP / SoP	**Documents to be filed in this Section include:** • **Manual of Procedures Document** – superseded version • **Any Manual of Procedures associated documents, if applicable** – superseded versions • **Study-Specific SOPs** – superseded version • **Imaging Manual** – superseded version • **Imaging Charter** – superseded version • **Central Review Manual** – superseded version • **Nuclear Medicine Manual** – superseded version • **Ophthalmology Manual -** superseded version • **Radiotherapy Manual -** superseded version • **Any Study Specific SOP associated documents, if applicable -** superseded version/s

9.0	**Site Training**	
9.1	SIV Presentation	**Documents to be filed in this Section include:** • **Site Initiation Visit Presentation slide set** – generic master version of site initation presentation, current and superseded • **Site Initiation Agenda** – generic master version, current and superseded • **Site Initiation Booking Letter** – generic master version • **Essential Document Request Letter** – generic master version • **Site Initiation Attendance Log** – generic master version, current and superseded • **Site Initiation Follow Up letter**– generic master version, current and superseded • **Site Activation Letter** – generic master version *Related Links:* SOP on monitoring visit activities Section: Site Initiation Visit (SIV) training presentation. *Note: In the Comments column of the TMF Table of Contents, indicate that Site-Specific versions of the SIV presentation, agenda and attendance log are filed in the in section 9.1 of the corresponding Site Investigator File (SIF).*
9.2	Investigator Meeting	**Documents to be filed in this Section include:** • **Investigator Meeting Presentation slide set** • **Investigator Meeting Attendance Log** – completed and signed by all attendees *Note: If applicable, file all relevant documents e.g. logistics of meetings, all relevant correspondence etc.*
9.3	Other Presentations	**Documents to be filed in this Section include:** • **File presentations other than the generic Master Site Initiation Visit presentation used for site training purposes here.** For example, presentations used for site re-training, training presentations on the study database etc.
9.4	Training Logs	**Documents to be filed in this Section include:** • **Study-Specific Training Log -** generic master version TEMPLATE Training Log • **Other Training Attestation Forms, if applicable -** generic master version

		Note: In the Comments column of the TMF Table of Contents, indicate that completed versions of the Site-Specific versions of the Training Logs/Forms are filed in the in section 10.3 of the corresponding Site Investigator File (SIF).
9.5	Other training resources	**Documents to be filed in this Section include:** **Copies of other site-specific training resources/ materials provided to sites.**generic master version
10.0	**Participant Recruitment**	
10.1	Pre-Screening Log Template	**Documents to be filed in this Section include:** • **Pre-Screening Log -** generic master template TEMPLATE – Pre-screening log *Related Links:* Recruitment Guideline
10.2	Consent, Screening & Enrolment Log Template	**Documents to be filed in this Section include:** • **Consent, Screening & Enrolment Log -** generic master template TEMPLATE- consent, screening & enrolment log *Note: In the Comments column of the TMF Table of Contents, indicate that completed participant screening logs are filed in section 11.2 of the corresponding SIF during accrual. At the end of accrual the completed screening logs must be moved to TMF Section 10.2.*
10.3	Participant ID Log Template	**Documents to be filed in this Section include:** • **Participant ID Log -** generic master template
11.0	**Participant Randomisation and Registration Procedures**	
11.1	Randomisation Manual or Participant Registration Procedure	**Documents to be filed in this Section include:** • **Randomisation Manual** • **Participant Registration Procedure**
11.2	Records of Unblinding (all participants)	**Documents to be filed in this Section include:** • **All records of Unblinding during study conduct and reasons for unblinding**
11.3	Related Correspondence	**Documents to be filed in this Section include:** • **All significant correspondence** relating to participant randomisation and unblinding procedures.

12.0	**Data Management – Forms & Procedures**	
12.1	Blank Sample CRF	**Documents to be filed in this Section include:** • **For eCRFs; annotated* CRFs** – current version • **For Paper CRFs; blank CRFs** – current version *Related Links:* SOP for CRF creation, including a sample document. *Note: Completed paper CRFs are considered part of the TMF but must be filed separately from the TMF.* **Annotated Case Report Form Definition:* *An annotated case report form (CRF) is a blank CRF with annotations that document the location of the data with the corresponding names of the datasets and the names of those variables included in the submitted datasets. The annotated CRF is a blank CRF that includes forms and maps each item on the CRF to the corresponding variables in the database. The annotated CRF should provide the variable names and coding for each CRF item included in the data tabulation datasets. All of the pages and each item in the CRF should be included. The annotated CRF should be provided as a PDF file. Name the file blankcrf.pdf.*
12.2	Superseded CRF	**Documents to be filed in this Section include:** • **For eCRFs; annotated CRFs** – superseded versions • **For Paper CRFs; blank CRFs** – superseded versions
12.3	CRF Completion Guidelines	**Documents to be filed in this Section include:** • **CRF Completion Guidelines** – current version • **CRF Completion Guidelines** – superseded versions
12.4	Trial-Specific Data Management Plan	**Documents to be filed in this Section include:** • **Data Management Plan** – current version • **Data Management Plan** – superseded versions • **Data Validation Plan** - current version • **Data Validation Plan** - superseded version • **Data Sharing Plan** - current version • **Data Sharing Plan** - superseded version • **Source Document Plan** - generic master template Source Document Plan Guidance and Template

		• **Medical Review Plan and associated Review Forms** – current and superseded versions. File template review forms here. Complete review forms are filed separately. • **Other Data Review Committees and/or Plans –** current and superseded versions *Related Links:* Data Management Plan Template *Note: In the Comments column of the TMF Table of Contents, indicate that completed Source Document Plans are filed in section 13.4 of the corresponding Site Investigator File (SIF).*
12.5	Database Management Documentation • DB Specification • DB Testing • Database Version Tracker	**Documents to be filed in this Section include:** • **Database Specifications** • **Database Review and Testing Log** • **Database Version Tracking Log** – to be completed by the Database Manager (if applicable) or Trial Coordinator to track the history of the database and any subsequent amendments to the database. Ensure the tracker document is appropriately labelled and the footer contains study acronym/name. • **Transfer of Data Forms** *Related Links:* MCRI provides technical support and advice for REDcap. Please contact CEBU for instructions on Database management.
12.6	Trial Database Design Approval Form	**Documents to be filed in this Section include:** • **Database Approval Form** – to be completed by the Database Manager (if applicable) or Trial Coordinator at the time of database release from demo mode into production mode. Form signed by Database Manager (if applicable), Trial Coordinator, Statistician and Sponsor-Investigator. *Note: It is expected that with each database amendment a Database Approval Form is completed, signed and filed.*
12.7	Electronic Data Capture (EDC) System Application Form - Template	**Documents to be filed in this Section include:** • **Electronic Data Capture (EDC) System Account Application Form** – generic master template; current and superseded *Note: Ensure the first page is stamped with 'Superseded' when filing superseded documents.*

12.8	Completed Electronic Data Capture (EDC) SystemApplication Forms	**Documents to be filed in this Section include:** • **Electronic Data Capture (EDC) System Account Application Form** – completed and signed forms from key research personnel requiring database access from the Central Trial Coordinating Team. *Note: Completed site-level EDC Account Application Forms must be filed in Section 13.3of the corresponding Site Investigator File (SIF).*
12.9	Related Correspondence	**Documents to be filed in this Section include:** • **All significant correspondence relating to data management.**
13.0	**Safety Monitoring & Reporting (all sites)** *Please note that the RSI is filed in section 24.1*	
13.1	Blank Expedited Safety Report Form Template (i.e. SAE Form) and Safety Reporting Guidelines	**Documents to be filed in this Section include:** • **Safety Monitoring Plan –** current and superseded • **Safety Reporting Guidelines for Sites Example** – current and superseded • **Expedited Safety (SAE) Report Coversheet Template** – current and superseded • **Expedited Safety (SAE) Report Form Template** – current and superseded TEMPLATE - Expedited Safety Report form • **Expedited Safety (SAE) Report Completion Instructions** – current and superseded • **Expedited Pregnancy Coversheet** – current and superseded *(for drug trials, if applicable)* • **Expedited Pregnancy Report Form** – current and superseded *(for drug trials, if applicable)* • **Expedited Pregnancy Report Completion Instructions** – current and superseded *(for drug trials, if applicable)* • **Instructions for Medical Monitors** – current and superseded • **Safety Event (SAE) Review Form Template –** current and superseded • **SAE Form for Non-MCRI-Sponsored Studies** – this would be filed when MCRI is the Coordinating Lead site for a collaborative group trial and has been delegated task of managing the TMF. • **Review of Safety Events: Instructions for Trial Coordinator** – current & superseded

		Related Links: SOP - Safety monitoring & reporting for products with IMDs/IMPs *Note:* For all documents ensure that headers and footers are labelled appropriately and contain the study acronym or short title name, version number and date.
13.2	Copy of Completed Expedited Safety Report Forms (all SAEs, suspected SUSARs and USMs) and associated correspondence from all Sites	**Documents to be filed in this Section include:** • **Completed Expedited Safety (SAE) Report Forms** – completed, signed and dated by Site PIs • **Completed Safety Event (SAE) Review Form** – completed, signed and dated by Medical Monitor *Note: In the Comments section of the TMF Table of Contents note that all submitted Expedited Safety Report forms received from Sites and their corresponding Safety Event Review form received from Medical Monitors will be filed in a separate SAE Folder throughout study conduct and all filed in Section 13.2 of the TMF at the end of the study.*
13.3	Copy of all Safety Reports sent to HREC, TGA, Regulatory Authorities and Participating Sites. i.e. SUSARs, SSIs, USMs, Annual Safety Reports, etc.	**Documents to be filed in this Section include:** • **Copies of Annual Safety Reports submitted to Ethics, including supporting ERM documentation** • **Copies of SUSARs/URSAEs, SSIs and USMs submitted to Ethics, including supporting ERM documentation** • **Copies of trial SUSARs/URSAEs, SSIs and USMs including evidence that they have been appropriately actioned** • **Copies of the submission of SUSARs/URSAEs, SSIs and USMs to appropriate regulatory bodies, as applicable, i.e. TGA** • **Evidence of notification of all trial SUSARs/URSAEs, SSIs and USMs to participating sites** • **6-monthly SUSAR Line-Listing received from Drug Companies, including evidence they have been actioned accordingly.** *Related Links:* RCH Reporting Guidelines Sponsor-Investigator Safety Reporting Flow Chart (IIT) Site PI Safety Reporting Flow Chart (IIT)

13.4	Written Procedure for Unblinding in either: • The case of a medical emergency For safety reporting purposes	**Documents to be filed in this Section include:** • **Emergency Procedures for Unblinding Manual** – current and superseded
13.5	Other related correspondence	**Documents to be filed in this Section include:** • **All significant correspondence relating to safety monitoring and reporting requirements.** *Note: DSMB related correspondence is filed in Section 14.6.4 of the TMF.*
14.0	**Study Quality Assurance, Monitoring, Audits & Inspections**	
14.1	Clinical Monitoring Plan	**Documents to be filed in this Section include:** • **Clinical Monitoring Plan** – current and superseded TEMPLATE - Clinical Monitoring Plan • **Risk Assessment and Risk Management Tool for Clinical Trials** – current and superseded Risk Assessment & Risk Management Template • **An other monitoring associated documents** *Related Links: SOP Safety Monitoring and Reporting Procedure for MCRI-sponsored investigator-Initiated Trials of Medicines/Medical Devices*
14.2	Clinical Monitoring Plan – Evidence of Review and Approval by Sponsor-Investigator	**Documents to be filed in this Section include:** • **Clinical Monitoring Plan Approval and Sign-Off Form** – signed by Sponsor Investigator. *Note: It is expected that with each Clinical Monitoring Plan revision and up-version, an approval and sign-off form is completed, signed and filed.*
14.3	Monitoring Log	**Documents to be filed in this Section include:** • **Site Monitoring and Visit Log** – Record all site visits completed, whether Site Monitoring or Site Audit visits are performed, on this Log.
14.4	Monitoring Visit Reports, including Evidence of Review and Approval by Sponsor/Delegate	**Documents to be filed in this Section include:** • **SIV Report** (template) • **Site Monitoring Visit Report Template –** current and superseded Site Monitoring Vist Report Template *Note: In the Comments column of the TMF Table of Contents, indicate that completed Site-Specific Monitoring*

		Visit Reports are filed in section 15.3 of the corresponding Site Investigator File (SIF).
14.5	Related Monitoring Correspondence	**Documents to be filed in this Section include:** • **All significant correspondence relating to site monitoring.**
14.6	**Data Safety Monitoring Board (DSMB)**	
14.6.1	DSMB Charter	**Documents to be filed in this Section include:** • **DSMB Charter –** current and superseded. The members of the DSMC must sign the charter to indicate their approval of the content and agreement to adhere to the terms of the charter. TEMPLATE – DSMB Charter *Related Links:* GUIDANCE – Data Safety Monitoring Board *Note: Ensure the first page is stamped with 'Superseded' when filing superseded documents.*
14.6.2	Charter – Evidence of Review and Approval by Sponsor-Investigator	**Documents to be filed in this Section include:** • **DSMB Charter Approval and Sign-Off Form** – signed by Trial Coordinator, Statistician, Sponsor Investigator and Sponsor Representative. Furthermore, the members of the DSMC must sign the Charter to indicate their approval of the content and agreement to adhere to the terms of the charter. *Note: It is expected that with each DSMB Charter revision and up-version, an approval and sign-off form is completed, signed and filed in the TMF.*
14.6.3	DSMB Meeting Minutes	**Documents to be filed in this Section include:** • **All minutes from DSMB meetings held throughout trial conduct** *Note: The DSMB may have minutes taken for both the Open and Closed meetings. Meeting minutes should be reviewed, approved and signed by the DSMB Chair and distributed as soon as possible after the DSMB meeting. The person taking minutes for the closed meeting will be independent of the trial team and must ensure that the minutes of the closed meeting remain confidential until the completion of the study. Minutes from the closed DSMB meeting are not filed in the TMF until the end of the study.*
14.6.4	Related Correspondence	**Documents to be filed in this Section include:**

		• **All significant correspondence to and from the DSMB** • **All other DSMB related correspondence.**
14.7	Trial Steering Committee (TSC)/Trial Management Committee (TMC)/Other Committees	
14.7.1	Steering Committee Charter(s)	**Documents to be filed in this Section include:** • **Trial Steering Committee Charter –** current and superseded *Related links*: Trial Steering Committee Charter
14.7.2	Documentation/Approval by Sponsor-Investigator	**Documents to be filed in this Section include:** • **Charter Approval and Sign-Off Form** – signed by Trial Coordinator, Statistician, Sponsor Investigator and Sponsor Representative. *Note: It is expected that with each Charter revision and up-version, an approval and sign-off form is completed, signed and filed in the TMF.*
14.7.3	Committee Meeting Minutes	**Documents to be filed in this Section include:** • **All minutes from Trial Steering Committee/Other Trial Committee meetings held throughout trial conduct** *Note: Meeting minutes should be reviewed, approved and signed by the Committee Chair and distributed as soon as possible after the scheduled meeting.*
14.8	Local Research Governance Office Documentation – all sites: • Copy of all Audit Reports	**Documents to be filed in this Section include:** • **Copies of all Audit Reports sent to Local Research Governance Offices** *Note: RGO Acknowledgements of submitted Audit reports should be filed in Section 7.3 of the corresponding Site Investigator File (SIF).*
14.9	Regulatory Inspections: • Reports • Related Correspondence	**Documents to be filed in this Section include:** • **Copies of all Regulatory Inspection Reports** • **Any correspondence related to Regulatory Inspections**
15.0	**Statistics**	
15.1	Statistical Analysis Plan (SAP)	**Documents to be filed in this Section include:** • **Statistical Analysis Plan (SAP)** – current and superseded

		Related Links: Book an appointment with CEBU to arrange a consultation to discuss your Statistical Analysis Plan (SAP).
15.2	Statistical Analysis Plan – Evidence of review and approval from Sponsor-Investigator	**Documents to be filed in this Section include:** • **Statistical Analysis Plan (SAP) Approval and Sign-Off Form** – signed by Statistician and Sponsor Investigator. *Note: It is expected that with each SAP revision and up-version, an approval and sign-off form is completed, signed and filed in the TMF.*
15.3	Statistical Reports • Reports to DSMB • Other Analyses	**Documents to be filed in this Section include:** • **Copy of the reports to DSMB Committee** TEMPLATE – DSMB Open Report Template • **Copy of any Interim Analyis Statistical Reports** • **Copy of any Other Protocol-Defined Analysis** *Note: The DSMB may have reports generated for both the Open and Closed meetings, depending on you're the requirements outlined in your Charter. Reports generated for the the closed DSMB meeting are generally confidential and not filed in the TMF until the end of the study.*
15.4	Related Correspondence	**Documents to be filed in this Section include:** • **All significant correspondence relating to statistics or the statistical plan for the study**
16.0	**Centralised Laboratory**	
16.1	Research Sample Lab Manual (If applicable)	**Documents to be filed in this Section include:** **Research Sample Lab Manual** – current and superseded • **Research Sample Lab Manual Approval and Sign-Off Form** – signed by Trial Coordinator, Research Sample Representative/PI, Sponsor-Investigator • **Biospecimen Collection Forms Template** – current and superseded • **Biospecimen Sample Labels** - if applicable • **Other Research Sample Related Manuals** – current and superseded. *Note: Ensure the first page is stamped with 'Superseded' when filing superseded documents.*
16.2	Centralised Lab Certification - If applicable	**Documents to be filed in this Section include:**

		• **Copy of the Central Lab Accreditation** – i.e. NATA Accreditation Certificate, only if a Central Lab is completing the analysis on behalf of all sites. *Note: In the Comments column of the TMF Table of Contents, indicate that Laboratory Accreditation for Local Laboratories are filed in section 16.2 of the corresponding Site Investigator File (SIF).*
16.3	Centralised Lab Reference Ranges - If applicable	**Documents to be filed in this Section include:** • **Copy of the Central Lab Reference Ranges** – current and superseded, only if a Central Lab is completing the analysis on behalf of all sites. *Note: In the Comments column of the TMF Table of Contents, indicate that Local Lab Reference Ranges for participating sites are filed in section 16.3 of the corresponding Site Investigator File (SIF).*
16.4	Biospecimen Log - If applicable	**Documents to be filed in this Section include:** • **Biospecimen Collection Log Template** – current and superseded *Note: In the Comments column of the TMF Table of Contents, indicate that site-specific Biospecimen Collection Logs are filed in section 16.4 of the corresponding Site Investigator File (SIF).*
16.5	Biospecimen Storage Monitoring Documentation - If applicable	**Documents to be filed in this Section include:** • **Any documentation relating to the monitoring of biospecimen storage at the Central Research Laboratory** • **Biospecimen Reconcilation Process –** current and superseded *Note: Ensure the first page is stamped with 'Superseded' when filing superseded documents.*
16.6	Biospecimen Shipment Receipt Tracking	**Documents to be filed in this Section include:** • **Copies of courier shipping documents, invoices, receipts, custom declarations, consignment notes, import permits etc.**
16.7	Related Correspondence	**Documents to be filed in this Section include:**

		• **All significant correspondence to and from the Central Lab or relating to the Biospecimen Research aspects of the study.**
17.0	**Legal Documentation**	
17.1	Master Clinical Trial Research Agreement (CTRA)	**Documents to be filed in this Section include:** • **Copy of the Master Clinical Trial Research Agreement (CTRA)** *Related Links: Governance and Regulatory Documents* *Related Links: Book an appointment with the Legal Team to arrange a consultation to discuss your Clinical Trial Research Agreement.*
17.2	Other Agreements as applicable: e.g. Material Transfer Agreement (MTA), Confidentiality Agreement (CDA), Pharma Agreements, Data Sharing Agreements	**Documents to be filed in this Section include:** **Copy of other agreements as applicable:** • **Material Transfer Agreements (MTA)** • **Data Sharing/Transfer Agreements** • **Pharma Contract for provision of Drug and/or Funding** • **Insurance/Indemnity (as applicable)** • **Expressions of Interest (EoI)** • **Other Service/Vendor Agreements** *Note: only copies of fully executed agreements should be filed in the TMF.*
17.3	Correspondence with MCRI Legal	**Documents to be filed in this Section include:** • **All significant correspondence to and from the MCRI Legal Team or relating to any Agreements pertaining to the study.**
18.0	**Finance Documentation**	
18.1	Budget Tracking – Forecasts and Actuals	**Documents to be filed in this Section include:** • **A copy of the a trial budget, forecast and actuals** – current and superseded TEMPLATE - Budget *Related Links:* Guideline – Setting up a research budget Sign up to CRDO's ´Budgeting for Research´ workshop here

18.2	Invoices/Receipts	**Documents to be filed in this Section include:** • **Copies of relevant invoices and receipts pertaining to the study, including per patient payments**
18.3	Related Correspondence	**Documents to be filed in this Section include:** • **All significant correspondence regarding the study budget, invoice tracking, per patient payments, etc.**
19.0	**Other Communication**	
19.1	Newsletters to Sites	**Documents to be filed in this Section include:** • **Copies of Newsletters sent to participating sites**
19.2	Other General Correspondence	**Documents to be filed in this Section include:** • **Other significant general correspondence**
20.0	**Publications/Abstracts**	
20.1	Publications	**Documents to be filed in this Section include:** • **Copies of accepted publications arising from the study**
20.2	Abstracts	**Documents to be filed in this Section include:** • **Copies of any accepted abstracts arising from the study**
21.0	**Clinical Study Report**	
21.1	Clinical Study Report - If applicable	**Documents to be filed in this Section include:** • **Copy of the Final Clinical Study Report**
21.2	Statistical report	**Documents to be filed in this Section include:** • **Copy of the Statistical Report** • **Copy of the Final Statistical Presentation,** if applicable
22.0	**Study Register – Registration and Results Posting**	
22.1	Initial Registration with a Trial Registry • Copy of Protocol Registration Receipt	**Documents to be filed in this Section include:** • **Copy of the registration release/receipt of the entry from the Registry** *Related Links:* Contact CRDO at crdo.info@mcri.edu.au for assistance with registering your trial
22.2	Updates to Trial Registry: • Annual updates	**Documents to be filed in this Section include:**

	• Updates following change in recruitment status • Posting results	• **Copy of any update to the registration record** (annual and changes to recruitment status, protocol elements) • **Copy of results posted to the registration record** (if applicable)
22.3	Related Correspondence	**Documents to be filed in this Section include:** • **All significant correspondence regarding trial registration**
23.0	**Archiving**	
23.1	Archiving Details	**Documents to be filed in this Section include:** • **Investigator Agreement to Archive Template**
23.2	Related Correspondence	**Documents to be filed in this Section include:** • **All significant correspondence regarding trial achiving**
FOR DRUG & DEVICE TRIALS ONLY		
24.0	**Reference Safety Information for each Investigational Product (Drug/Device Trials Only)** *For IMPs this may be the Investigator's Brochure or approved Product Information.* *For IMDs this may be a risk analysis report, Investigator's Brochure, Instructions for Use or Clinical Investigation Plan or protocol*	
24.1	Current Reference Safety Information e.g. Current IB or PI	**Documents to be filed in this Section include:** • **Full copy of the Investigator Brochure (IB); or** • **Full copy of the Product Information (PI)** • **Copies of any Associated Documents e.g. IB Addendums etc** *Related documents: SOP: Investigator's Brochure Content, Design, Amendments, Filing & Distribution*
24.2	IB Version Tracker and PI Signature Pages (if applicable)	**Documents to be filed in this Section include:** • **IB Version Tracker** • **IB Signature Pages signed by Sponsor-Investigator –** if applicable *Note: The IB Version Tracker is maintained by the Trial Coordinator and is used to identify the current version of the IB, date of the IB and distribution of the document to all participating sites. If your trial involves multiple drugs/agents, then maintain one tracker per drug/agent.* *Note: Some IBs require the Sponsor-Investigator to acknowledge receipt of the current IB by signing the*

		signature page contained within the IB. In some instances, a separate Acknowledgement of Receipt may require signing by the Sponsor-Investigator. If applicable, file fully executed documents here.
24.3	Superseded Reference Safety Information e.g. IB or PI	**Documents to be filed in this Section include:** • **Superseded copies of the Investigator Brochure (IB)** • **Superseded copies of the Product Information (PI)** • **Superseded Copies of any Associated Documents e.g. IB Addendums etc**
25.0	**Investigational Product**	
25.1	Product Manufacturing Records: (if using an unregistered (new) IP) - Related Correspondence with IP Manufacturer/Importer - Certificates of Analysis (CoA) - Quality Control Release	**Documents to be filed in this Section include:** • **Any correspondence with Drug Company relating to IP manufacturing or importation, if applicable** • **IP Quality Control Release Documentation relating to the batch of IP supplied for the trial**
25.2	IP Ordering Information / Drug Order Form	**Documents to be filed in this Section include:** • **Instructions/Process for ordering IP i.e. via IWRS, if applicable** – current and superseded • **Copy of the Drug Order form used by participating sites to order IP, if applicable –** current and superseded
25.3	IP Packaging and Labelling	**Documents to be filed in this Section include:** • **Copy of the Primary Label, if applicable** • **Copy of the Secondary Label** • **Secondary Label Approval Form – signed by Sponsor-Investigator, Pharmacy Representative and Sponsor Representative** *Related Links:* Guide to Good Manufacturing Practice (GMP) for medicinal products annexes *Note: The generation of Secondary Labels for IPs used in clinical investigations are the responsibility of the Sponsor. Secondary Labels need to be generated in accordance with Annex 13 of the Guide to Good Manufacturing Practice for Medicinal Products – Manufacture of Investigational Medicinal Products.*
25.4	Instructions for Handling IP and Trial Related Materials	**Documents to be filed in this Section include:**

	- Pharmacy Manual	• **Copy of the Pharmacy Manual** – current and superseded • **Copies of any other IP handling instructions** – current and superseded
25.5	Documentation of Central IP Shipment	**Documents to be filed in this Section include:** • **Import Permits e.g. AQIS Import Permit, if applicable** • **Shipping Records – usually located in Pharmacy Folder** • **Import Letter – study specific, signed by Sponsor/ Sponsor-Investigator** *Note: These tasks are generally delegated to the Distribution Group/Third Party assigned with shipping the drug/IP from the Drug Company to either a "Central Pharmacy" or the participating site themselves.* *Note: In the Comments column of the TMF Table of Contents write "All IMP related activities have been delegated by Sponsor to Central Pharmacy or Site Pharmacy – documents located in Central or Site Pharmacy folder."*
25.6	Documentation of Central IP: - Quarantines - Returns - Destructions/Drug Destruction Form	**Documents to be filed in this Section include:** • **Process for the reporting of any IP Deviations (i.e. temperature excursions, IP complaints, IP quarantines) and associated forms** – current and superseded • **Process for the Return/Destruction of any unused IP at the end of the study** • **Drug Destruction Form Template –** current and superseded *Note: In the Comments column of the TMF Table of Contents, indicate that site-specific Drug Destruction Forms are filed in section 22.5 of the corresponding Site Investigator File (SIF), but not until the end of the study, as they will be filed in Pharmcy until the study end.* *Note: Ensure the first page is stamped with 'Superseded' when filing superseded documents.*
25.7	Documentation of IP Dispensing: - Accountability and Reconciliation (used/unused/destroyed) - Drug Accountability Log Templates	**Documents to be filed in this Section include:** • **Bulk Drug Accountability Log Template –** current and superseded • **Individual Drug Accountability Log Template –** current and superseded

		Note: In the Comments column of the TMF Table of Contents, indicate that site-specific Accountability Logs are filed in section 22.3 of the corresponding Site Investigator File (SIF), but not until the end of the study, as they will be filed in Pharmcy until the study end.
25.8	Copies of Material Safety Data Sheets (MSDS)	**Documents to be filed in this Section include:** • **Copy of the Material Safety Data Sheet (MSDS) for each drug/IP used in the study** *Note: Copies obtained directly from the Drug Company.*
25.9	Related Correspondence	**Documents to be filed in this Section include:** • **All significant correspondence relating to the Investigational Product/s.**