**Clinical Trial Monitoring Plan**

|  |  |  |  |
| --- | --- | --- | --- |
| **Title of Research:** |  | | |
| **Chief Investigator:** |  | **Name of Lead Trust:** |  |
| **REC Reference:** |  | **Lead Trust Reference:** |  |
| **ISRCTN Reference:** |  | **Sponsor Reference:** |  |
| **UKCRN Reference:** |  | **IRAS Reference:** |  |
| **EudraCT Reference:** |  | **Other References:** |  |
| **Start Date:** |  | **Proposed End Date:** |  |

|  |  |
| --- | --- |
| **Date of Release** |  |
| **Version Number** |  |

|  |  |  |
| --- | --- | --- |
| **Author (print name and title)** | **Signature** | **Date of Approval** |
|  |  |  |
| **Authorised by (print name and title)** | **Signature** | **Date** |
|  |  |  |

(add additional signatories as required)

**This template should be used in conjunction with SOP011 (Monitoring of University Sponsored CTIMPs).**

**Blue text is provided as guidance and should be reviewed and deleted before finalisation of the document.**

**Highlighted text is suggested content and should be reviewed and delated before finalisation of the document.**

**Contents table must be updated before finalisation**

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## Introduction

Trial monitoring is carried out to ensure that the rights, safety and well-being of human subjects are protected during the course of a clinical study. Also, that the reported trial data are accurate, complete and verifiable from source documents. It is also essential to ensure that the trial is conducted in compliance with the current approved protocol, SOPs, ICH GCP and regulatory guidelines.

The purpose of this trial monitoring plan is to outline the procedures that will be undertaken during the monitoring of the xxx Trial to ensure adherence to the requirements stated above.

This plan will be a working document and will be updated throughout the course of the trial should amendments become necessary. This will be the responsibility of the Trial Co-ordinator (TC) and will be reviewed annually alongside the trial specific risk assessment. Amendments made to the plan will be made through [describe process] to ensure accurate version control, archiving and the distribution of current documents.

**Protocol Summary (add additional sections as required)**

|  |  |
| --- | --- |
| **Full Title** |  |
| **Short Title** |  |
| **Phase** |  |
| **Sample Size** |  |
| **Main Inclusion Criteria** |  |
| **Main Exclusion Criteria** |  |
| **Study Duration** |  |
| **Description of Agent/Intervention** |  |
| **Objectives** |  |

**Key Trial Contacts (add additional rows as required)**

|  |  |  |
| --- | --- | --- |
| **Trial role** | **Name** | **Contact details** |
| **Chief Investigator** |  |  |
| **Trial Coordinator** |  |  |
| **Trial Monitor** |  |  |

**Reference Documentation to be used for this trial (add additional rows as required)**

|  |  |
| --- | --- |
| **SOP reference and title** | **Author department** |
|  |  |
|  |  |
|  |  |
|  |  |

## Extent of Monitoring

With respect to the extent and nature of monitoring ICH GCP states that:

*“The sponsor should ensure that the trials are adequately monitored. The sponsor should determine the appropriate extent and nature of monitoring. The determination of the extent and nature of monitoring should be based on considerations such as the objective, purpose, design, complexity, blinding, size and endpoints of the trial. In general there is a need for on-site monitoring, before, during and after the trial; however in exceptional circumstances the sponsor may determine that central monitoring in conjunction with procedures such as investigators’ training and meetings, and extensive written guidance can assure appropriate conduct of the trial in accordance with GCP. Statistically controlled sampling may be an acceptable method for selecting the data to be verified.”*

***ICH E6 (1996, Section 5.18.3)***

Trial Steering Committees, Data Monitoring Committees and similar, as oversight committees, can also be considered as a form of monitoring (MRC/DH 2004).

As per standard Sponsor standard practice a structured risk assessment (insert reference) was carried out for the xxx Trial in order to assess the extent of monitoring required relative to the risk. It was agreed between the Sponsor and the trial team that xxx trial is a;

* Type A – No higher than the risk of standard medical care
* Type B – Somewhat higher than the risk of standard medical care
* Type C – Markedly higher than the risk of standard medical care

In order to ensure safety and compliance to the trial protocol, whilst taking into account resources, it was determined that a strategy of on-site monitoring, centralised monitoring and triggered monitoring visits would be the most appropriate for this trial.

## Central Monitoring

This section should include process information for production of central monitoring reports, oversight committee review of reports and metrics for review.

The TC is mainly responsible for the central monitoring processes, although this could be delegated as appropriate.

The TC will produce central monitoring reports on a xxx basis and will be reviewed by the TMG.

The main aims for central monitoring are to review data collected with regards to the trial to assess site performance in relation to data returns and quality, compliance with GCP, safety reporting and translational sample collection and to identify problems early and direct monitoring resources appropriately.

The central monitoring report will record consent issues, recruitment and screening, safety, protocol deviations, potential and actual serious breaches, missing CRFs and samples collection.

Tables for the central monitoring report will be generated from the trial database by the TC. The TC will review the reports and present any findings to the TMG for discussion and agreement of strategies/actions for resolution of issues, which may include further remote / on- site training and unscheduled monitoring visits (triggered) to identify the extent of the issues. All actions will be tracked on the site status database and followed up to resolution.

## On-Site Monitoring

This section should include process information for scheduling and preparing for onsite visits [both scheduled and triggered], reporting and recording visits, managing cancelled visits and post monitoring activities.

On site monitoring will take place routinely at xxx time point [describe process]

On-site visits will be conducted primarily by xxx.

The main aims for onsite monitoring include;

* Ensure patient safety and rights are protected by confirming and encouraging adherence to the protocol in terms of patient eligibility, drug administration and study specific procedures.
* Ensure that the study IMP is being stored according to the corresponding IB, and dispensed correctly with accurate accountability.
* Ensure that the study is being conducted in accordance with ICH/GCP guidelines.
* Verify that the study is being performed according to the protocol, SOPs and regulatory requirements.
* Ensure appropriate patient selection and verify that recruitment strategy is consistent.
* Verify that proper informed consent procedures have been followed and that patients have been provided with copies of the current patient information sheet and the signed consent forms.
* Ensure all trial activity is correctly recorded in patient notes.
* Verify CRF entries and eligibility criteria against source data.
* Ensure Serious Adverse Event (SAE) reporting is in compliance with the trial Pharmacovigilance Plan and that all SAEs reported in the patient’s source data have been reported to the coordinating department in a timely manner in accordance with the protocol.
* Reconcile SAE reports with CRFs.
* Provide the investigator and staff with feedback on the progress of the study and quality of their work.
* Ensure timely input of CRFs.
* Ensure timely resolution of queries.
* Identify any obstacles to patient enrolment or site performance; communicate issues to Trial Co-ordinator with proposed resolutions or requests for assistance.
* Provide any required / additional training (i.e. for new study staff members / refresher training) if required.
* Ensure that samples are collected in accordance with the protocol/informed consent form and lab manual.
* Ensure that kits are stored correctly and that there is sufficient stock for future patients.
* Ensure that the Investigator Site File (ISF) is complete and up to date.
* Advance the purpose of the study by the following methods:
  + Serve as a resource for advice with regard to scientific rationale, study execution and data quality assurance
  + Process questions and concerns from site staff about the study

## Site initiation

Recruitment sites have been selected based on their expertise in xxx

Prior to site opening a site initiation visit, teleconference or webinar will be conducted which will include an overview of the trial protocol and an explanation of site responsibilities including pharmacy, safety reporting and trial-specific training. The site will be initiated according to SOP xxx. Post initiation a check of essential documents is conducted and green light to recruitment will be granted as per SOP xxx.

## Site close out

Sites should be closed if patient enrolment and study participation is completed, all CRFs are completed and collected, and all data queries are resolved and all IMP is accounted for. The site may also be closed if the site has not enrolled any patients for a considerable amount of time and the enrolment rate is not acceptable, if the site is non-compliant with study procedures or regulatory requirements, or the study is terminated for any reason.

The purpose of a site closure is, but not limited to, the following:

* Perform a final review of the regulatory documents, study data (CRFs and data queries), to make sure that the site’s records are sufficient.
* Ensure that all AEs and SAEs have been followed-up to completion.
* Ensure that final drug accountability is complete and destruction of study drug is documented in the site file and that all study IMP and study-specific equipment has been removed from the site.
* Ensure that the centre has complied with/is aware of the need to comply with any ICH-GCP, EC & local regulatory requirements.
* Ensure the ISF is complete and contains current documentation, including the Pharmacy Site File.
* That all patient logs are up to date.
* That the ISF documentation mirrors the site specific TMF.
* Ensure that all site data has been entered, validated and all data queries resolved where feasible. This includes queries resulting from reconciliation of the clinical and safety database.
* All queries from previous monitoring procedures are resolved and documented.
* Ensure that the investigator is aware of, and has implemented, relevant ongoing requirements such as site archiving, subsequent audit/inspection procedures and any ongoing reporting requirements.

## Roles and Responsibilities

The xxx Trial has a dedicated trial co-ordinator who will be supported by the xxx Trial Management Group (TMG) and xxxxx.

On site monitoring visits should be organised as outlined in 2.2. They will be carried out by xxx. Central monitoring reports will be produced by xxx who will pull together key data metrics for review. The central monitoring reports will be reviewed by the Trial Management Group (TMG) and any significant findings highlighted to the Trial Steering Committee (TSC) and the Sponsor.

**Sponsor:** The xxx Trial is sponsored by the University of Liverpool who will retain ultimate responsibility for trial monitoring. They will review all monitoring reports in accordance with their procedures to ensure that the trial is being conducted in accordance with current legislation.

**Trial Co-ordinator (TC)**: is responsible for the following:

* Review and sign off of the on-site monitoring reports and follow-up within the required timeframes
* Producing the central monitoring reports and organising and documenting their review by the Trial Management Group.
* Producing the onsite and central monitoring schedule in accordance with this plan
* Liaising directly with the Trial Monitor to request onsite monitoring visits as required by the schedule
* Assisting with data query resolution
* Conducting site initiations, on-site training and providing any study updates to site when required
* Organising, carrying out, and reporting the monitoring visit according to this procedure, in the absence of the TM

**Trial Monitor (TM)**: is responsible for organising, carrying out and reporting on-site monitoring visits according to this procedure, and to assist with data query resolution, provide on-site training resources and any study updates to site when required.

**Data Manager (DM):** It is the responsibility of the DM to perform central monitoring procedures according to the plan, and highlight any issues to the TC. The DM is responsible for the entry of trial data and the production and resolution of data queries. In the event of extensive workload or where appropriate, the TC may delegate responsibility to the DM to organise, carry out and report the monitoring visit according to this procedure subject to qualifications and training.

## Abbreviations

[Insert all abbreviations]