

Section Clinical Research Center

Date Created: November 1, 2010

Title: Closeout (Termination) Visit

Date Reviewed/Modified: July 21, 2021

SOP Number: SOP-5

Version Number: 5

PURPOSE: This standard operating procedure (SOP) describes the processes followed to facilitate a closeout visit. This visit is the final visit performed to ensure that all data has been collected and verified, the final accounting has been completed, investigational product has been destroyed or returned to sponsor, and to verify that the investigator's files are complete and accurate after all subjects have completed the study. The visit is usually scheduled after submission of all clinical data from a site.

SCOPE: The SOP applies to all sponsored clinical trials at University of Nebraska Medical Center (UNMC)/Nebraska Medicine (NM).

PERSONNEL RESPONSIBLE: All members of the clinical research team, as delegated by the Principal Investigator (PI) may be involved in arranging, managing, participating in, or following up after the study closeout/termination visit.

DEFINITIONS:

- **Case Report Form (CRF)**-A printed, optical, or electronic document to record all of the protocol required information to be reported to the sponsor on each study subject.
- **Institutional Review Board (IRB)**- An independent group made up of medical, scientific, and non-scientific members, whose responsibility is to ensure the protection of the rights, safety and well-being of human subjects involved in a trial by reviewing and approving the clinical protocol, informed consent forms, and the methods and materials used in the trial.
- **Investigational Product (IP)** -A pharmaceutical form of an active ingredient or placebo being tested or used as a reference in a clinical trial, including a product with a marketing authorization when used or assembled (formulated or packaged) in a way different from the approved form, or when used for an unapproved indication, or when used to gain further information about an approved use.
- **Monitoring:** The act of overseeing the progress of a clinical trial, and of ensuring that it is conducted, recorded, and reported in accordance with the protocol, SOPs, GCP, and the applicable regulatory requirement(s).
- **Source Documents:** Original documents, data, and records (e.g., hospital records, clinical and office charges, laboratory results, memoranda, subjects' diaries or evaluation checklists, pharmacy dispensing records) that contain the first recording of pertinent information.

PROCEDURES:

- The PI or his/her designee will schedule and arrange the closeout visit as requested by the sponsor representative. Attendees will include all pertinent staff (if available).

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- Closeout visit will be scheduled at mutually convenient time and every attempt will be made to accommodate monitoring deadline.
- Prior to the visit, the PI designee will confirm with the sponsor representative what materials will be reviewed so that appropriate documentation and files will be made readily available. These materials may include:
 - Subject source documents and corresponding CRFs
 - Regulatory binder
 - Safety reports and/or Adverse event documentation
 - Access to investigational product storage and accountability documentation
- The PI designee will make sure that an appropriate work area is available for the monitoring visit.
- The PI designee will schedule time to work with the monitor during the visit to review and complete any data clarifications as necessary.
- The PI designee will give the monitor links to enable them to submit a request for an AD account to gain access to the electronic medical record, Vestigo, Advarra EDC and/ or Advarra eReg. Advarra EDC and/ or Advarra eReg
- The PI designee will arrange for IP review of accountability, reconciliation and final disposition. All unused or returned test articles will be returned to the sponsor (either shipped or picked up) for final disposition unless written otherwise in sponsor procedures.
- CRFs and study related documents will be submitted to the sponsor according to sponsor SOPs. All documents will only include the subjects study number for identification.
- Any final issues of record retention, publication policies, and final payments will be discussed at this meeting however these items should be included in the original contract language

All financials pertaining to subject visits and procedures must be reconciled prior to study closure at the IRB. Contracts should be reviewed to determine timing of any holdback payments as well as their dependence on closure with the IRB.

- The clinical trial will be closed at the IRB by submission of the IRB Study Completion Report. Once a study is closed at the IRB, PHI can no longer be accessed.
- In some cases, the final electronic CRFs for the study will be provided to the investigator in an electronic format (USB, CD, etc.). If this is the case the investigator will verify that the information is complete. This should be stored with all other study related documents keeping in mind this contains subject's Protected Health Information (PHI)
- All research records will be maintained on site until all sponsor queries are resolved. The research records will be prepared for storage. Study documents will be placed in boxes with contents labeled on the outside of the box. A study document box storage list will be prepared with one copy saved electronically in a designated file in each department.

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ASSOCIATED FORMS:

Box storage list



SOP-5

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RESOURCES:

- UNMC IRB #3.5 Retention of Research Records
- Title 21 CFR 312.62- Investigator Record Keeping and Record Retention for Clinical Drug or Biological Trials
- Title 21 CFR 812.140-Investigator Record Keeping and Record Retention for Device Trials
- Title 21 CFR 54 Proposed Obligations of Clinical Investigators.

Monitor AD request form: <https://www.unmc.edu/cctr/resources/crc/studymonitor.html>

Staff Accountability:

Developed By: Director of Clinical Research Operations, Clinical Research Center
Associate Vice Chancellor for Clinical Research, Clinical Research Center

Reviewed By: Research Nurse, Clinical Research Center

Department Approval

Signed *LuAnn Larson* Date: Jul 21, 2021
Director of Clinical Research Operations

Signed *Matt Lunning* Date: Aug 2, 2021
Medical Director of Clinical Research Center

Box Storage List

SOP 5: Long Term Storage of Study Documents

Study Pet Name:

PI:

Sponsor:

IRB #:

IRB Closure Date:

Total # of Study Boxes:

Box 1:

Box 2:

Box 3:

Box 4:

Box 5:










SOP-5 Closeout (Termination) Visit- Final Edits

Final Audit Report

2021-08-02

Created:	2021-07-21
By:	Charles Miller (charles.miller@unmc.edu)
Status:	Signed
Transaction ID:	CBJCHBCAABAAAdn3ZvZbu5vj_2zWOObOTdTPW8kMUXEuM0

"SOP-5 Closeout (Termination) Visit- Final Edits" History

-  Document created by Charles Miller (charles.miller@unmc.edu)
2021-07-21 - 9:33:05 PM GMT- IP address: 192.94.102.5
-  Document emailed to LuAnn Larson (llarson@unmc.edu) for signature
2021-07-21 - 9:33:57 PM GMT
-  Email viewed by LuAnn Larson (llarson@unmc.edu)
2021-07-21 - 10:48:45 PM GMT- IP address: 35.230.107.0
-  Document e-signed by LuAnn Larson (llarson@unmc.edu)
Signature Date: 2021-07-21 - 10:48:59 PM GMT - Time Source: server- IP address: 35.230.107.0
-  Document emailed to Matt Lunning (mlunning@unmc.edu) for signature
2021-07-21 - 10:49:01 PM GMT
-  Email viewed by Matt Lunning (mlunning@unmc.edu)
2021-07-21 - 10:50:13 PM GMT- IP address: 184.97.174.53
-  Email viewed by Matt Lunning (mlunning@unmc.edu)
2021-07-26 - 5:55:32 PM GMT- IP address: 192.94.102.11
-  Document e-signed by Matt Lunning (mlunning@unmc.edu)
Signature Date: 2021-08-02 - 4:07:08 PM GMT - Time Source: server- IP address: 35.230.6.182
-  Agreement completed.
2021-08-02 - 4:07:08 PM GMT