1. Purpose

To outline the protocol close-out or closure process. In most instances, the protocol is considered closed after the finalization of the clinical study report post database lock.

2. Scope

2.1. Center for Cancer Research (CCR) clinical trial protocols conducted under the Office of Sponsor and Regulatory Oversight (OSRO) oversight are within the scope.

2.2. The Close-out process includes confirming that all activities at all locations associated with the clinical trial are appropriately reconciled, recorded, and reported at the end of the clinical trial in accordance with the protocol, relevant SOPs, and applicable regulatory and Good Clinical Practices (GCP) guidelines. The final clinical study report has been submitted to the Food and Drug Administration (FDA).

3. Responsibilities

3.1. The Principal Investigator (PI) oversees the conduct of the protocol and determines when per-protocol criteria for closure have been met. As appropriate, the PI notifies the Sponsor and the Institutional Review Board (IRB).

3.1.1. For multicenter protocols, the CCR PI will determine when per-protocol criteria for closure of the site(s) and the protocol closure have been met, respectively. As appropriate, in a multicenter protocol, the site PI will notify the IRB when site monitoring closeout occurs, and the CCR PI will notify the Sponsor when the protocol meets criteria for closeout.

3.2. The Sponsor conducts an ongoing assessment of study progress and if determined that the study should be suspended for any issues that may undermine the integrity of the clinical trial or for futility, then, the study will be terminated/closed early.

3.3. OSRO Operations confirms that all applicable study and regulatory requirements have been fulfilled at the conclusion of the clinical study.

3.4. OSRO Sponsor and Regulatory Oversight Support (SROS) contractor staff assist OSRO Functional Groups as needed.

4. References

4.1. 205 Clinical Site Monitoring Policy

4.2. 410 Final Clinical Study Reports for Studies under CCR-held INDs or IDEs Policy

4.3. ICH E6(R2) Good Clinical Practice: Integrated Addendum to ICH E6(R1) Guidance for Industry (FDA), March 2018

4.4. 21 CFR Part 312 Investigational New Drug Application

4.5. 21 CFR Part 812 Investigational Device Exemptions

5. Definitions

Refer to the OSRO Lexicon.

6. Procedure

6.1. OSRO Operations directs the SROS monitoring team to conduct the Site Monitoring Close-Out Visit (COV).

6.2. The SROS monitoring team conducts the site COV per activities outlined in the protocol Clinical Monitoring Plan.

6.3. An SROS Clinical Site Monitor writes the site COV final report.

6.3.1. The site COV final report confirms that the site PI obligations have been met, future study related responsibilities have been reviewed and confirms that site-specific monitoring activities are closed.

6.4. The SROS team confirms (as applicable):

6.4.1. The pharmacy investigational product accountability records have been monitored, retrieved, and posted to the Sponsor electronic trial master file (eTMF).

6.4.2. The study Investigational Device Exemption (IDE) or Non-significant Risk (NSR) device or assay product records have been monitored, retrieved, and posted to the Sponsor eTMF.

6.4.3. The Imaging product records have been monitored, retrieved, and posted to the Sponsor eTMF.

6.4.4. The Center for Cellular Engineering (CCE) investigational product accountability records have been monitored, retrieved, and posted to the Sponsor eTMF.

6.4.5. The research biological samples taken from participants who have withdrawn their consent have been destroyed.

6.5. OSRO Safety confirms that all adverse events have been closed and reported to the FDA.

6.6. OSRO Regulatory confirms that the final clinical study report has been submitted to the FDA.

6.6.1. The final clinical study report is submitted with the next annual report.

6.7. The SROS team confirms the clinical trial status has been updated in ClinicalTrials.gov and the study results are submitted to ClinicalTrials.gov.

6.8. OSRO Operations conducts the final review of SROS confirmation that all action items have been completed and that all applicable study and regulatory requirements have been fulfilled.

6.9. The Sponsor approval for Protocol Closure is provided to the PI.

6.10. In the case of a multicenter protocol, a clinical site may be closed prior to protocol closure if Steps 6.2 through 6.4 as they pertain to the clinical site are complete.

7. Associated Documents

N/A

8. Change Summary

Revision Number	Effective Date	Description of Change
1	19SEP2022	New Document