1 PURPOSE
This procedure describes the activities performed to close out a study at an investigative site. In investigator/sponsor studies, the investigator will be responsible for the sponsors’ duties and should assign/designate a monitor to reconcile data and regulatory documents, and ensure all outstanding issues have been addressed at time of study closure.

2 GENERAL INSTRUCTIONS AND RESPONSIBILITIES
a) The Sponsor is responsible for final review and determination that the Investigator’s obligations have been met and that all applicable study and regulatory requirements have been fulfilled at the conclusion of a clinical study.

b) The Sponsor’s designated Monitor is responsible for completing and documenting all study closeout activities and obligations.

c) The objectives of the closeout visit are to:
   • Review the Investigator’s file to ensure all documents and records are on file
   • Confirm the disposition of the investigational product and other ancillary items
   • Review records retention and study reporting requirements
   • Ensure that all outstanding items previously noted have been addressed and resolved

3 SPECIFIC PROCEDURES
3.1 Site Closeout for Completion of Enrollment
a) A study site closeout is conducted when the requirements of the protocol have been satisfied, the sponsor has enrolled the number of subjects that were specified in the protocol, and the investigator has followed the subjects for the duration of time specified...
in the protocol. A site may also be closed for failure to meet enrollment goals, non-compliance, approval of the study drug has been received, lack of funding, etc.

b) The Monitor will contact the participating site Investigator to arrange for a closeout visit according to the Data and Safety Monitoring Plan after the last subject has concluded his/her participation.

c) The Monitor will review previous Monitoring Reports to assess the scope of documentation that must be available for review and collection.

d) When a Sponsor designates that a closeout visit can be conducted without their participation, the site will complete the closeout documentation internally.

3.1.1 Site Responsibilities Prior to Closeout

At the investigative site, all the following activities should be completed by the site personnel prior to the study closeout visit:

a) All subjects must complete all study visits.

b) The Investigator or designee reviews all case report forms (CRFs) and source documents to verify accuracy and completion.

c) The Investigator or designee completes all requests for data corrections or verifications (query resolution) on CRFs, and returns them to the Sponsor.

d) All unused investigational products are collected from all subjects.

e) All used and unused investigational products are inventoried.

f) The used and unused investigational products are returned to the Sponsor in the specified manner, or destroyed in accordance with local regulations.

g) Copies of the investigational product logs, final inventory, and return documents are filed in the Trial Master File.

h) All other Sponsor-required reports are completed, with copies filed in the study file and sent to the Sponsor e.g. protocol deviation reports, SAE reports.

i) The Investigator compiles information for Institutional Review Board (IRB) study closure, sends a final report to the IRB, and sends a copy of this report to the Sponsor, and retains a copy in the study file.

j) The Investigator or designee reviews the study file and recovers any missing documents or places an explanation in the file.

k) The designee stores CRFs, source documents, and study files, and informs the Sponsor of the storage location (per SOP 503).

l) The PI or designee should review previous monitoring visit letters and requests to ensure that all outstanding issues have been resolved.

m) All regulatory essential documents filed in the Trial Master File should be current and up to date (CVs, medical licenses, CITI certification, lab certification and accreditation) or the location of the most current version of the document noted in a Memo To File placed in the TMF.
n) Once a final study closeout letter has been received from the monitor, the finance and regulatory departments are notified to reconcile budgets and to close-out the study in the CTMS.

o) Once a study has been closed at IRB, the site will no longer address data queries from the sponsor.

### 3.1.2 Monitor Responsibilities

At the investigative site, all the following activities are completed by the Monitor to close out the study:

a) Collect all remaining CRFs and update any outstanding data corrections tabulations.

b) Review the Investigator's study files to ensure that all study documentation is current and complete.

c) Review signed informed consent forms for all subjects enrolled since the last monitoring visit and compare with the Investigator's subject enrollment records, as well as any screening failures, if required by protocol.

d) Reconcile and collect original investigational product accountability logs.

e) Ensure that copies of accountability records are made and maintained by the site.

f) Arrange to have remaining unused investigational product and other study incidentals and accessories shipped back to the Sponsor if the site has not already done so.

g) Verify that all specimens for laboratory studies have been shipped to the appropriate location.

h) Remind the Investigator to inform the IRB of the completion of the study and file the appropriate final report, if the Investigator has not already done so.

i) Instruct the Investigator to submit a final report of the study to the Sponsor within 90 days, if the Investigator has not already done so.

j) Discuss the requirements for maintaining clinical study documentation after the completion of the study for the period of time specified in applicable regulations (See SOP 503).

k) Confirm that documentation exists of all prior visits by Monitors and other authorized parties (See SOP 401 Attachment B, Site Visit Log, and SOP 504 Attachment A, Monitoring Visit Report).

l) The Monitor will forward all pertinent data and other information to the Sponsor.

m) Complete a Close-out Visit Report to document the closeout visit (See Attachment A as reference/guide when document has not been provided by the Sponsor) and send a closeout letter summarizing the findings to the sponsor, Investigator, and relevant site personnel.

Once the site has been closed out by the sponsor and the IRB, no changes to the data will be made, including any outstanding queries as these should have been addressed prior to study closure. If the sponsor requires the site to verify or make changes, the contract will have to be reviewed, the study re-opened at the IRB, and the budget revisited.
4 REFERENCES TO OTHER APPLICABLE SOPS

- 401 Site Initiation Visit
- 502 Investigational Product Inventory Management
- 503 Documentation and Records Retention
- 504 Routine Monitoring Visits
- 605 Adverse Event Recognition and Reporting

5 ATTACHMENTS

A. Close-Out Visit Report

6 APPLICABLE REGULATIONS AND GUIDELINES

- Review of Ongoing Investigations (21 CFR 312.56)
- Disposition of Unused Supply of Investigational Drug (21 CFR 312.59)
- General Responsibilities of Investigators (21 CFR 312.60)
- Investigator Recordkeeping and Record Retention (21 CFR 312.62)
- Investigator Reports (21 CFR 312.64)
- Inspection of Investigator’s Records and Reports (21 CFR 312.68)
- Monitoring Investigations (21 CFR 812.46)
- Specific Responsibilities of Investigators (21 CFR 812.110)
- Premature Termination or Suspension of a Trial (ICH E6, Section 4.12)
- Final Reports by Investigator (ICH E6, Section 4.13)
- Monitoring (ICH E6, Section 5.18)
- Noncompliance (ICH E6, Section 5.21)
- Premature Termination of a Trial (ICH E6, Section 5.21)
- Clinical Trial/Study Reports (ICH E6, Section 5.22)