



National Institute of
Allergy and
Infectious Diseases

TMF SYSTEM OVERSIGHT METRICS AND SUMMARY ANALYSIS REQUIREMENTS

**For Electronic System Owners
housing DAIDS TMF Documents**

Version 1.0, November 6, 2023

DAIDS TMF Sponsor Oversight

As a Sponsor, DAIDS must account for all electronic systems that make up the Sponsor TMF and demonstrate oversight of these systems throughout the lifecycle of the TMF.

Metric Reports and Summary Documents (i.e., TMF Review Tools) are one way to do this.

- They provide the Sponsor with insight into the status and quality of each electronic system.
- These review tools demonstrate overall awareness and ‘control’ by the Electronic System Owner of the activities within their electronic system.

These tools allow for the Sponsor to monitor the entire Sponsor TMF infrastructure across decentralized systems and address issues in real time, thus, ensuring compliance with GCP and reconstruction of the trial by an inspector.

Requirements

Electronic System Owners must provide the following:

1. TMF Metrics Reports

Reports covering completeness, timeliness, and access. The TMF Metric reports will be sent to the DAIDS TMF Team (NIAIDDAIDSTMf@mail.nih.gov) twice per year, expected 1 week prior to DAIDS TMF Oversight meetings.

2. Summary Analysis Document

Summary analysis detailing the metrics noted above. Any critical findings, trends, and pertinent issues should be summarized, and proposed resolutions provided. These summary document(s) will be sent to the DAIDS TMF Team twice per year, expected 1 week prior to DAIDS TMF Oversight meetings.

3. Meeting with Sponsor (‘TMF Oversight Meetings’)


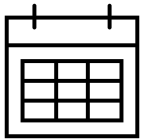
Electronic System Owners will meet with the Sponsor twice a year to discuss issues/trends noted within the Summary Analysis Document(s), complete a quality spot-check of documents in the system, and discuss/document any concerns.


Note: *This demonstrates to the Sponsor that each applicable electronic system is being properly maintained — i.e. documents are organized, complete and readily accessible at all times - and allows the Sponsor to review documents and critical issues and confirm they are being addressed within a timely manner. This is one component to ensuring the Sponsor TMF is inspection ready.*

TMF Metrics Reports, Summary Analysis Requirements, and Applicable Timelines

Three core metrics to track and measure in the DAIDS electronic trial master file (eTMF) are completeness, timeliness, and quality, as noted in Table 1 below. The following table provides further details on the metric report types and summary document requirements.

Table 1 - Core TMF Metric Report Types and Summary Document Requirements

Metric Type	Definition	Purpose	How To Assess	Summary Document Requirement	Delivery Frequency
Completeness Report 	Extent to which the eTMF contains all documents that are expected, at a current point in the study.	Confirm the TMF is complete so Regulatory Authorities can reconstruct the trial and ensure GCP compliance.	Determination of what is missing within the eTMF. Compare anticipated documents expected (per DAIDS Index) to what is filed in the eTMF.	Any document requests outstanding for ≥ 60 days should be summarized. See section on Summary Document Requirements for further details.	Per study Milestones (e.g. 1 year following first participant enrolled, at 'Closed to Accrual', and at 'POS / PAC')
Timeliness Report 	Documents are being filed per established timelines and are available when expected.	Ensure the TMF is contemporaneous.	Determination that eTMF is up to date, and that documents are placed in eTMF in timely manner (i.e. within 10 business days (BDs)). Count between document finalization date and when the document was uploaded into the eTMF.	Highlight any TMFs where filing is $< 90\%$ contemporaneous. See section on Summary Document Requirements for further details.	Bi-Annually

Metric Type	Definition	Purpose	How To Assess	Summary Document Requirement	Delivery Frequency
Quality Oversight 	Indication of whether document content, metadata and indexing are complete and accurate.	Ensure the TMF is accurate.	<ol style="list-style-type: none"> 1. Access Report listing all users with access to DAIDS TMF documents within system by study. 2. Summary analysis of Quality Issues identified during QC Process. 3. During call with DAIDS, perform QC spot-check within system. 	<p>Trends with quality issues should be summarized.</p> <p>See section on Summary Document Requirements for further details.</p>	Bi-Annually

Overview and Requirements

TMF Metrics Reports

On a bi-annual basis, Electronic System Owners will need to provide the DAIDS TMF Team with TMF Metric Reports covering completeness, timeliness and access and a Summary Analysis Document highlighting high-level analyses of these metrics, any trends and/or pertinent issues, and planned resolutions.

These reports will cover all documents for each DAIDS TMF. Electronic System Owners can decide to provide these reports in aggregate or individual reports for each study based on their system capabilities and organizational processes. These reports will be sent to the DAIDS TMF Team 1 week (5 business days) prior to DAIDS TMF Oversight meetings (bi-annual).

The following are the minimum data points to include within each type of report.

1. **COMPLETENESS REPORT AND SUMMARY ANALYSIS**

NOTE: Frequency of TMF Completeness Reports is based on study milestones as defined in the table above. The delivery of these completeness reports is expected at the next TMF Oversight Meeting following a study milestone. If no TMFs have met a study milestone between TMF Oversight Meetings, no completeness report would be expected.

Sample Completeness Report – Protocol-Specific

Required Columns for Report

- **Study** (Protocol Number)
- **TMF Location and Document Type** (Per DAIDS Index - Zone, Subsection, Document/Artifact, Source Location and System Owner).
- **Document Count** (# of Final Documents and # of Expected Documents)
- **Completeness Status** (Not started, In Progress, Complete)
- **Study** (Start, Conduct, Close) or **Document Milestones**
- **Comments**

2. **TIMELINESS REPORT AND SUMMARY ANALYSIS**

Sample Timeliness Report – include all applicable protocols

Required Columns for Report

- **Study** (Protocol Number)
- **TMF Location and Document Type** (Per DAIDS Index - Zone, Subsection, Document/Artifact, Source Location and System Owner).
- **Document Information** (Document Name, Document Identification Number (within system as applicable), Document Status (Approved Documents only), Document Date, Upload Date, Business Days between Document and Upload Dates)

3. ACCESS REPORT

Sample Access Report – include all users for each DAIDS TMF within System

Required Columns for Report

- **Complete Name** (First and Last)
- **Role within the System** (reader, inspection, admin, etc.)
- **Organization**
- *If available* **Date of Last Access to system**
- **List of Studies each person has access to**

Summary Analysis Document(s)

The following sections must be included within the Summary Analysis Document(s) provided by each Electronic System Owner.

Overall Analysis

Highlight issues that affect each core metric and note any outstanding issues or trends.

1. **Completeness Metric (when applicable)**

Include the following:

- The total number of missing documents (document types not received/filed based on EDL) for each protocol.
- Overall % of TMF Completeness (based on EDL) – Total number of final documents / total number of expected documents.

Also note:

- Documents that have been received/filed but are not listed within the Index.
- Potential Index updates based on how documents were provided.
- Anything else deemed pertinent for the Sponsor to be aware of.

2. **Timeliness Metric**

Include the following:

- The total number of documents uploaded outside the 10 BD timeline for all studies for the reporting time period.
- Overall % of documents uploaded contemporaneously – Total number of documents filed contemporaneously / total number of documents filed.

3. **Quality Issues**

Include the following:

- The total number of documents that had QC issues for each protocol.
- Overall % of documents that had QC Issues – Total number of documents with QC Issues / total number of documents QC'd.

Planned Resolution

Resolution of issues noted within the Overall Analysis for each metric. Documentation of this resolution must be filed into the TMF.

Note for Completeness Metric:

- Requests for missing documents should be sent out to Authoritative Sources, as appropriate. Follow-up regarding any open requests for documents should be done.
- Any documents requests that have been outstanding for more than 60 days (e.g., identified as missing and still not filed after 60 days of identification) need to be brought to the DAIDS TMF Team's attention.

Bi-Annual TMF Oversight Meetings

On a bi-annual basis, the DAIDS TMF Team and each Electronic System Owner will meet to review the Metric Reports, Summary Analysis Documents, perform a quality spot-check of documents within the system, and discuss any open issues or questions as needed. One week prior to each meeting, Electronic System Owners will provide the metric reports and summary analysis documents covering the time period since the last TMF Oversight Meeting (i.e., past 6 months). A brief overview of these documents will be discussed during the meeting and captured in minutes which will be filed into Zone 9 of the TMF in the RSC Veeva Vault (VV) system or the NIAID eTMF system.

In addition, during the meeting the DAIDS TMF Team will bring a list of artifacts to spot-check in the system to ensure quality. Electronic System Owners will navigate the system to review the documents together on the call. The DAIDS TMF Team will create a final report to summarize this spot-check, any findings, and resolution which will be filed into Zone 9 of the TMF in the RSC VV system or the NIAID eTMF system.