**Protocol Document**

1. The protocol title page must clearly identify the assigned NCI Formulary Protocol number, participating institution and NCI registered Clinical Investigator and sub-investigators (along with the CTEP site ID code and NCI Investigator registration number of all participants), the NCI Formulary agents included in the protocol, and the IND Number and IND sponsor for the protocol.
2. The protocol must contain instructions for research personnel registration with CTEP/NCI for the purposes of trial conduct:

# REGISTRATION PROCEDURES

## 

## Investigator and Research Associate Registration with CTEP

CTEP Physician Investigator Registration Procedures

Food and Drug Administration (FDA) regulations require IND sponsors to select qualified investigators. In accordance with current National Cancer Institute (NCI) policy, all participating physician investigators and sub-investigators must register and renew their registration annually.

To register, all individuals must obtain Cancer Therapy Evaluation Program (CTEP) credentials necessary to access secure NCI Clinical Oncology Research Enterprise (CORE) systems. Investigators and clinical site staff who are significant contributors to research must register in the Registration and Credential Repository (RCR) at <https://ctepcore.nci.nih.gov/rcr/>. The RCR is a self-service online person registration application with electronic signature and document submission capability.

Documentation requirements per registration type are outlined in the table below.

| **Documentation Required** | **IVR** | **NPIVR** | **AP** | **A** |
| --- | --- | --- | --- | --- |
| FDA Form 1572 | ✔ | ✔ |  |  |
| Financial Disclosure Form | ✔ | ✔ | ✔ |  |
| NCI Biosketch (education, training, employment, license, and certification) | ✔ | ✔ | ✔ |  |
| HSP/GCP training | ✔ | ✔ | ✔ |  |
| Agent Shipment Form (if applicable) | ✔ |  |  |  |
| CV (optional) | ✔ | ✔ | ✔ |  |

Additional information can be found on the CTEP website at <https://ctep.cancer.gov/investigatorResources/default.htm>.

For questions, please contact the RCR ***Help Desk*** by email at [RCRHelpDesk@nih.gov](mailto:RCRHelpDesk@nih.gov).

Clinical Investigator and identified sub-investigators are required to register with the NCI for the purposes of identifying Clinical Investigators qualified to participate on the NCI Formulary Study and for the purpose of trial conduct using NCI’s clinical trial infrastructure but are also required to complete and maintain their own Form FDA 1572 and Form FDA 3455 as sponsor-investigator in accordance with 21CFR312 and 21CFR54, respectively. Clinical Investigator as a sponsor-investigator must maintain an accurate list of sub-investigators participating in the clinical investigation and their identified roles and responsibilities on the NCI Formulary protocol.

1. The protocol must contain instructions for submitting regulatory documents to CTEP/NCI:

Submitting Protocol-related Documents to NCI

The following items must be submitted to the NCI throughout the course of study:

* Notification of any changes in protocol status, IND status and notification of any amendments to the Formulary Protocol that may affect Formulary Agent(s) supply needs or add new participating investigators: Submit to [***CTEP Protocol and Information Office***](mailto:pio@ctep.nci.nih.gov).
* Copies of continuing IRB review approvals (and IBC review approval if applicable) Submit to [***CTEP Protocol and Information Office***](mailto:pio@ctep.nci.nih.gov)***.***
* Copies of any abstracts, manuscripts, proposed clintrials.gov submissions and publications: Submit to [***NCI CTEP Publications***](mailto:NCICTEPpubs@mail.nih.gov).

1. The protocol must contain instructions for expedited and routine adverse event reporting as agreed upon with the Pharmaceutical Collaborator and in accordance with 21CFR312 as the IND sponsor.
2. The investigator-developed pharmaceutical information section for the NCI Formulary Agent must contain the following information and ordering instructions:

**Availability**

*[Agent Name]* is supplied by *[NCI Formulary Pharmaceutical Collaborator]* and distributed by the Pharmaceutical Management Branch, CTEP, DCTD, NCI.

*[Agent Name]* is provided to the NCI for the NCI Formulary under a Collaborative Agreement between the Pharmaceutical Collaborator and the DCTD, NCI.

**Agent Ordering and Agent Accountability**

The CTEP-assigned protocol number must be used for ordering all CTEP-supplied investigational agents. The eligible participating investigators at each participating institution must be registered with CTEP, DCTD through an annual submission of FDA Form 1572 (Statement of Investigator), NCI Biosketch, Agent Shipment Form, and Financial Disclosure Form (FDF). If there are several participating investigators at one institution, CTEP-supplied investigational agents for the study should be ordered under the name of one lead participating investigator at that institution.

Submit agent requests through the PMB AURORA application. Access to AURORA requires the establishment of credentials necessary to access secure NCI Clinical Oncology Research Enterprise (CORE) systems, maintenance of an “active” account status, a “current” password, and active person registration status. For questions about drug orders, transfers, returns, or accountability, call or email PMB any time or use the dialog function in AURORA to communicate with PMB staff. Refer to the PMB’s website for specific policies and guidelines related to agent management.

Agent Inventory Records – The investigator, or a responsible party designated by the investigator, must maintain a careful record of the receipt, dispensing and final disposition of all agents received from the PMB using the appropriate NCI Investigational Agent (Drug) Accountability Record (DARF) available on the CTEP forms page. Store and maintain separate NCI Investigational Agent Accountability Records for each agent, strength, formulation and ordering investigator on this protocol.

**Material Safety Data Sheets**

The current versions of the material safety data sheets (MSDS or SDS) for PMB-distributed agents will be accessible to site investigators and research staff through the PMB AURORA application. Questions about MSDS access may be directed to the PMB at [PMBAfterHours@mail.nih.gov](mailto:PMBAfterHours@mail.nih.gov) or by using the dialog function in AURORA to communicate with PMB staff.

**Investigator Brochure Availability**

The current versions of the IBs for the agents will be accessible to site investigators and research staff through the PMB AURORA application. Access to AURORA requires the establishment of credentials necessary to access secure NCI Clinical Oncology Research Enterprise (CORE) systems, maintenance of an “active” account status, a “current” password and active person registration status. Questions about IB access may be directed to the PMB IB Coordinator via email.

**Useful Links and Contacts**

* CTEP Forms, Templates, Documents: <http://ctep.cancer.gov/forms/>
* NCI CTEP Investigator Registration: [RCRHelpDesk@nih.gov](mailto:RCRHelpDesk@nih.gov)
* PMB policies and guidelines: <http://ctep.cancer.gov/branches/pmb/agent_management.htm>
  + PMB AURORA application: <https://ctepcore.nci.nih.gov/aurora/login>
* CTEP Identity and Access Management (IAM) account: <https://ctepcore.nci.nih.gov/iam/>
* CTEP IAM account help: [ctepreghelp@ctep.nci.nih.gov](mailto:ctepreghelp@ctep.nci.nih.gov)
* IB Coordinator: [IBCoordinator@mail.nih.gov](mailto:IBCoordinator@mail.nih.gov)
* PMB email: [PMBAfterHours@mail.nih.gov](mailto:PMBAfterHours@mail.nih.gov)
* PMB phone and hours of service: (240) 276-6575 Monday through Friday between 8:30 am and 4:30 pm (ET)

1. The protocol must contain language regarding study oversight and data reporting as agreed upon with the Pharmaceutical Collaborator.

## Study Oversight

The Protocol Clinical Investigator is responsible for monitoring the conduct and progress of the clinical trial, including the ongoing review of accrual, patient-specific clinical and laboratory data, and routine and serious adverse events; reporting of expedited adverse events; and accumulation of reported adverse events from other trials testing the same drug(s). The Institution/Clinical Investigator sponsor is responsible for reporting all IND required documentation to the FDA in accordance with Sponsor responsibilities per 21 CFR Part 312.

1. The protocol must contain the Standard Collaborative Agreement Language.

**Collaborative Agreement(s)**

The NCI Formulary Agent(s) supplied by CTEP, DCTD, NCI used in this protocol is/are provided to the NCI under a Cooperative Research and development Agreement CRADA between the Pharmaceutical Company(ies) (hereinafter referred to as “Collaborator(s)”) and the NCI Division of Cancer Treatment and Diagnosis. Therefore, in addition to the terms of the NCI Formulary Material Transfer Agreement, including the provisions in the “Intellectual Property Option to Collaborator” the following [***obligations/guidelines***](http://ctep.cancer.gov/industryCollaborations2/intellectual_property.htm) apply to the use of the Formulary Agent(s) in this study:

Formulary Agent(s) may not be used for any purpose outside the scope of this protocol, nor can Formulary Agent(s) be transferred or licensed to any party not participating in the clinical study. Collaborator(s) data, including but not limited to the Investigator Brochure, for Formulary Agent(s) are confidential and proprietary to Collaborator(s) and shall be maintained as such by the investigators. The protocol documents for studies utilizing Formulary Agents contain confidential information and should not be shared or distributed without the permission of the NCI. If a copy of this protocol is requested by a patient or patient’s family member participating on the study, the individual should sign a confidentiality agreement. A suitable model agreement can be downloaded from: http://ctep.cancer.gov.

For a clinical protocol where there is a Formulary Agent used in combination with (an)other Formulary Agent(s), each the subject of different CRADAs, the access to and use of data by each Collaborator shall be as follows (data pertaining to such combination use shall hereinafter be referred to as "Multi-Party Data”):

* NCI will provide all Collaborators with prior written notice regarding the existence and nature of any agreements governing their collaboration with NCI, and the design of the proposed combination protocol.
* Each Collaborator has agreed to permit use of the Multi-Party Data from the clinical trial by any other Collaborator solely to the extent necessary to allow said other Collaborator to develop, obtain regulatory approval or commercialize its own Formulary Agent.

Clinical Trial Data and Results and Raw Data developed under a Formulary CRADA will be made available to Collaborator(s), the NCI, and the FDA, as appropriate and unless additional disclosure is required by law or court order as described in the IP Option to Collaborator (http://ctep.cancer.gov/industryCollaborations2/intellectual\_property.htm). Additionally, all Clinical Data and Results and Raw Data will be collected, used and disclosed consistent with all applicable federal statutes and regulations for the protection of human subjects, including, if applicable, the *Standards for Privacy of Individually Identifiable Health Information* set forth in 45 C.F.R. Part 164.

Any manuscripts or other documents reporting the results of this clinical trial must be provided to CTEP by the principal investigator for immediate delivery to Collaborator(s) for advisory review and comment prior to submission for publication. Collaborator(s) will have 30 days from the date of receipt for review. Collaborator shall have the right to request that publication be delayed for up to an additional 30 days in order to ensure that Collaborator’s confidential and proprietary data, in addition to Collaborator(s)’s intellectual property rights, are protected. Copies of abstracts must be provided to CTEP for forwarding to Collaborator(s) for courtesy review as soon as possible and preferably at least seven (7) days prior to submission, but in any case, prior to presentation at the meeting or publication in the proceedings. Press releases and other media presentations must also be forwarded to CTEP prior to release. Copies of any manuscript, abstract and/or press release/ media presentation must be sent to [***NCI CTEP Publications***](mailto:ncicteppubs@mail.nih.gov).

The Regulatory Affairs Branch will then distribute them to Collaborator(s). No publication, manuscript or other form of public disclosure shall contain any of Collaborator’s confidential/ proprietary information.

**Informed Consent Document**

1. The informed consent document must contain language regarding cost information related to the NCI Formulary agents:

The (NCI Formulary agent) will be supplied at no charge while you take part in this study. The cost of getting the (NCI Formulary agent) ready and giving it to you (As appropriate, add: “…is also provided at no charge.” Or “…is not paid by the study sponsor so you or your insurance company may have to pay for this.”) It is possible that the (NCI Formulary agent) may not continue to be supplied while you are on the study. Although not likely, if this occurs, your study doctor will talk to you about your options.

1. The informed consent must contain language related to sharing of information.

The informed consent must clearly state the NCI and the NCI Pharmaceutical Company Collaborator will have access to all study data for regulatory purposes.