

DF/HCC Operations for Human Research  
Subject Registration Procedures**1. BACKGROUND:**

This document outlines the appropriate procedures for subject registration and other registration situations that may arise. To quickly locate a specific topic, please use the hyperlinks below:

<a href="#">Registration at Institutions using Epic</a>	<a href="#">Co-Enrollment to Multiple Protocols</a>
<a href="#">Subject Registration (De-centralized)</a>	<a href="#">Re-registration to the Same Protocol</a>
<a href="#">Centralized Registration</a>	<a href="#">Subject Transfers between Sites</a>
<a href="#">External Site Subject Registration</a>	<a href="#">Subject Replacement</a>
<a href="#">Updating Subject Status (Off-Treatment/Off-Study)</a>	<a href="#">Summary Accrual Reporting</a>

**2. ASSOCIATED DF/HCC POLICIES:**2.1. [REGIST-101](#)**3. PROCEDURE:****3.1. Registration at institutions using Epic:**

- 3.1.1. Once informed consent is obtained, the registering person will enter the subject into OnCore on the Consent Tab.
- 3.1.2. The study team is responsible for updating OnCore (or notifying ODQ for Centralized Registration protocols) should the subject later be determined ineligible.
- 3.1.3. If a subject is determined to be 'Eligible', the applicable registration process below is followed to place the subject 'On study and 'On treatment' in OnCore.

**3.2. Subject Registration (De-centralized)**

- 3.2.1. The designated research team member registering the subject is responsible for ensuring that the treatment information in OnCore matches the treatment assignment recorded on the eligibility checklist.
- 3.2.2. If there is any change to the treatment being administered (example: an escalated dose, crossover to another treatment arm, etc.), the designated research team member is also responsible for updating a subject's record to reflect this change.
- 3.2.3. The designated research team member registering the subject must verify the success of the subject registration in all DF/HCC systems, to ensure that treatment orders may be processed.

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3.3. Research teams are responsible for maintaining subject status information in OnCore when participants come Off Treatment and Off Study. If this is not updated in a timely manner, subjects may be blocked from enrolling on other clinical trials at any other DF/HCC member institution.

### 3.4. Centralized Registration

3.4.1. REGIST-101 specifies when Centralized Registration will be used. The Overall PI or designated research team member provides the completed eligibility checklist, all pages of the informed consent document, and, if applicable, sponsor registration confirmation to ODQ.

3.4.1.1. For protocols without eligibility checklists (see REGIST-100), a Protocol Registration Form must accompany the signed subject consent form.

3.4.2. When ODQ receives the registration materials, the documents are reviewed to ensure that all fields are complete and that all values are within the acceptable range allowed by the protocol. If any information is missing, the ODQ Protocol Systems Coordinator contacts the Overall PI or designated research team member.

3.4.3. The ODQ Protocol Systems Coordinator verifies the following to assure that a new subject should be registered to the protocol: the status of the protocol, the accrual level, and that the subject is being registered to an open arm or dose escalation level.

3.4.4. The ODQ Protocol Systems Coordinator is responsible for randomizing subjects to treatment arms for investigator-sponsored research:

3.4.4.1. The statistician in the Department of Biostatistics and Computational Biology provides ODQ with any necessary randomization sheets and instructions specific to the protocol.

3.4.4.2. For non-blinded protocols: The ODQ Protocol Systems Coordinator documents the randomization assignment in Oncore.

3.4.4.3. For blinded protocols: The ODQ Protocol Systems Coordinator conveys the randomization assignment to the appropriate departments as directed by the randomization instructions.

3.4.5. Once all information has been received, the ODQ Protocol Systems Coordinator registers the subject in OnCore. Protocol registration and confirmation is required before protocol orders can be written.

3.4.6. Electronic confirmation of registration is automatically sent to the registering person, Overall PI, Treating Physician and study contacts at DF/HCC. Hard copies may be generated upon request.

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### 3.5. External Site Subject Registration

- 3.5.1. External site subjects are only registered in OnCore for DF/HCC Investigator-sponsored research.
- 3.5.2. Research staff are only able to register external site subjects in OnCore once they have completed additional OnCore training on the external site registration process. Users must email the site contact designated on the [DF/HCC New Researcher Checklist](#) to request OnCore user access to the external sites and be assigned any necessary training.
- 3.5.3. External sites must be added to OnCore and activated prior to the registration of any subjects to the site. Please refer to OHRS information on submitting an add site amendment.
- 3.5.4. The DF/HCC coordinating center is responsible for ensuring external site subjects are registered in OnCore as required. The coordinating center will ensure external sites have a copy of the DF/HCC External Site Subject Registration form and understand subject registration procedures. The coordinating center may opt to provide additional registration tools (e.g., a checklist of source documentation to be submitted) to external sites.
- 3.5.5. The external site study team is responsible for consenting and screening their local subjects. An appropriately qualified member of the research team at the external site will complete the DF/HCC External Site Subject Registration Form. The completed form, along with any additional documentation indicated in the protocol, will be submitted by the external site to the coordinating center.
- 3.5.6. The OnCore WIKI contains specific data entry steps for registering external site participants. The Coordinating Center is responsible for ensuring that these steps are followed and data entry is accurate. The DF/HCC coordinating center will notify the external site once registration has occurred.

### 3.6. Procedures for Summary Accrual Reporting

- 3.6.1. REGIST-101 specifies the requirements for use of the summary accrual functionality. Once the decision is made to use summary accrual, and accrual data has been entered into OnCore, a protocol cannot revert to individual subject registration. Protocols using summary accrual are identified by a “Yes” in the “Summary Accrual Info Only” field in OnCore (Main > Details).
- 3.6.2. Summary accrual information must be entered into OnCore at least monthly while the protocol is open to accrual, regardless of the number of subjects accrued. Each combination of institution/gender/race/ethnicity must be entered as a separate row.

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3.6.2.1. If no subjects were accrued during a certain time period, the research team must enter at least one row of zero accrual (gender, race, ethnicity can be set to Unknown in this case). This is necessary in order to verify that all accruals are being captured in a timely manner.

3.6.3. To enter summary accrual in OnCore follow the steps below:

1. In the PC Console, enter the Protocol number and go to the Accrual section.
2. Click Update and enter the following data fields: <ul style="list-style-type: none"> <li>a. From date: Date of first accrual</li> <li>b. Through date: Date of last accrual</li> <li>c. Accrual: Total number of accruals within the above timeframe for the selected combination of institution/gender/race/ethnicity</li> <li>d. *Institution: Select the institution responsible for accruing subjects.</li> <li>e. *Institution type: Automatically populates based on chosen institution</li> <li>f. *Gender: If known, select male or female</li> <li>g. *Race: If known, select the appropriate race</li> <li>h. *Ethnicity: If known, select the appropriate ethnicity</li> </ul>
3. Click Add
4. Repeat the steps above for each group of accruals. Previous entries can be copied or edited as necessary.

\* Required field

### 3.7. Updating Subject Status and Subject Removal

3.7.1. A subject's OnCore registration must be updated immediately to reflect a change to the subject's status when the subject has reached the end of a protocol intervention/treatment phase (Off-Treatment), or when the subject has concluded participation on the protocol/reached the end of a protocol follow-up phase (Off-Study).

3.7.2. The Off-Treatment Date is the date a decision was made to discontinue protocol treatment (or the end of the treatment phase if otherwise defined in the protocol). The Off-Study Date is entered as the last date patient was being followed on protocol or Date of Death.

3.7.3. Via the Centralized Subject Registration process: The research team submits a completed Off Treatment/Off Study form to ODQ. ODQ updates the subject's record in OnCore with the relevant

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information.

3.7.4. Via the Decentralized Subject Registration process: The research team updates the relevant information in OnCore.

### 3.8. Co-Enrollment to Multiple Therapeutic Protocols

3.8.1. The investigator and research team are responsible for assessing the clinical and/or safety implications of allowing co-enrollment and ensuring the protocol and all applicable DF/HCC and institutional policies are followed.

3.8.2. OnCore prevents a subject from being active on more than one protocol that has the 'Involves Therapy' field set to 'Yes'. ODQ is responsible for setting the 'Involves Therapy' field.

3.8.3. To concurrently enroll a subject on two therapeutic protocols (or a therapeutic protocol and a BMT Treatment Plan), the Overall PIs of both protocols/treatment plans must agree and provide written approval to ODQ. Email is acceptable.

3.8.4. In some cases, the Overall PI(s) may provide blanket approval to allow co-enrollment of future subjects to a specific combination of protocols/treatment plans. In this case, ODQ will enter a notation in the applicable protocol record in OnCore.

3.8.5. Upon receipt of the required approvals, ODQ will perform a temporary toggling of the 'Involves Therapy' field in order to allow the second registration to proceed. ODQ will immediately return the 'Involves Therapy' field to 'Yes' to ensure this safety mechanism is in place for future enrollments.

### 3.9. Re-registration of a Subject to a Protocol

3.9.1. By default, OnCore will not allow duplicate registration of a subject to the same protocol. ODQ is responsible for setting the 'Allow Duplicate Enrollment?' field.

3.9.2. Ultimately, the investigator and research team are responsible for ensuring the protocol and all applicable DF/HCC and institutional policies are followed. While ODQ may facilitate this process with the proper approvals, ODQ will not independently assess the clinical and/or safety implications of allowing re-registration.

3.9.3. To re-register a subject the same protocol, written approval from the Overall PI and Sponsor must be provided to ODQ. Email is acceptable.

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3.9.4. Upon receipt of the required approvals, ODQ will toggle the 'Allow Duplicate Enrollment?' field.

### 3.10. Transfer of a Subject between Institutions/Sites

3.10.1. Subject transfers can occur when another IRB-approved institution accepts responsibility for the care of that subject in the conduct of a clinical trial. Details of a subject transfer to or from an external (non-DF/HCC) institution or within DF/HCC institutions must be recorded on the [Subject Transfer Form](#).

3.10.2. A subject transfer, for protocol procedures or follow-up, is allowed only if the following criteria are met:

- Both institutions have received Institutional Review Board (IRB) approval for the protocol.
- The sponsor has approved the arrangement.
- The Treating Physicians at the accepting and receiving institutions approve the arrangement.
- All appropriate documentation requested by the receiving institution has been transferred by the original institution (including any relevant research records and the completed Subject Transfer Form).

3.10.3. When a DF/HCC institution is receiving the transferred subject, the receiving institution will request copies of relevant medical and research records from the original institution, as well as a copy of the informed consent document signed by the subject. The original institution is responsible for submitting all available data required by protocol up to the date of transfer. The receiving institution is responsible for all subsequent data entry and follow up.

3.10.4. When a DF/HCC institution is receiving the transferred subject from a non-DF/HCC site, the subject must sign a copy of the most current IRB-approved informed consent document available on the Oncology Protocol System (OncPro) and be registered in OnCore prior to the start of research activities at the receiving institution.

Note: For subjects that are registered with the sponsor and have begun receiving protocol treatment, it is not necessary to complete the DF/HCC eligibility checklist or re-assess eligibility unless otherwise required per protocol.

3.10.1. The designated research team at any involved DF/HCC institution(s) (original institution, accepting institution or both, or the lead site), must make relevant updates to the study and subject record in OnCore according to the table below.

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Note: For externally-sponsored studies, if a subject is transferred from a non-DF/HCC site they will not have an initial registration in OnCore to update. In this case, please contact ODQ for help facilitating the transfer as it may require the addition of “Transfer from External Institution” to the protocol in DF/HCC’s OnCore system.

Protocol Status in OnCore	Registration Method	Study Team Action	ODQ Action
Open to accrual	De-centralized	<p><b>Change the Subject’s Registering Institution in OnCore and add a note in the On-Study comment field: &lt;Old Site Name&gt; to &lt;New Site&gt; &lt;Date&gt;</b></p> <p><a href="https://wiki.dfc.harvard.edu:8443/oncore/faqs/subject-registration/how-to-complete-a-subject-transfer">See further instruction on subject transfer entry process in OnCore, as needed):</a>  <a href="https://wiki.dfc.harvard.edu:8443/oncore/faqs/subject-registration/how-to-complete-a-subject-transfer">https://wiki.dfc.harvard.edu:8443/oncore/faqs/subject-registration/how-to-complete-a-subject-transfer</a></p>	None
Closed to accrual	De-centralized	<ol style="list-style-type: none"> <li>1. Send an <del>eEmail to ODQ at: odq@partners.org to the responsible HRC for the study</del> requesting to re-open the study to new accrual.</li> <li>2. Change the Subject’s Registering Institution in OnCore and add a note in the On-Study comment field: &lt;Old Site Name&gt; to &lt;New Site Name&gt; &lt;Date&gt;</li> <li>3. Send an <del>eEmail to ODQ at: odq@partners.org the responsible HRC for the study</del> requesting to re-close the study to new accrual.</li> </ol>	<ol style="list-style-type: none"> <li>1. Re-Open the Study to new Accrual.</li> <li>2. Re-Close the study to Accrual after the subject is transferred.</li> </ol>
Open to accrual	Centralized	Send a copy of the Subject Transfer Form to <del>the Office for Data Quality (ODQ).</del>	<del>Transfers the subject in OnCore.</del> None
Closed to accrual	Centralized	<u>1. Send an email to ODQ at: odq@partners.org requesting to re-open the study to new accrual</u>	<u>1. At the request of ODQ, OHRs will Re-Open the Study to new Accrual in order to facilitate the subject transfer.</u>

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		2. Send a copy of the Subject Transfer Form to the Office of <del>for</del> Data Quality (ODQ).	2. <u>Re-Close the study to Accrual after the subject is transferred.</u>
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### 3.11. Subject Replacement

3.11.1. Subject replacement occurs when a subject registered to the protocol is determined to be unevaluable, and a decision is made to enroll a different subject in their place (i.e., to replace the unevaluable subject’s “slot”).

3.11.2. The sponsor must approve all subject replacements. For DF/HCC Investigator-sponsored trials, approval from the protocol biostatistician is also required.

3.11.3. If the protocol specifically allows for subject replacement, ~~and the conditions for replacement have been met,~~ follow the procedures outlined in the table below.

<u>Study team action</u>	<u>ODQ Action</u>
Submit a subject replacement request at:  <a href="http://www.dfhcc.harvard.edu/research/clinical-research-support/office-of-data-quality/services-support/subject-registration/subject-replacement-request/">http://www.dfhcc.harvard.edu/research/clinical-research-support/office-of-data-quality/services-support/subject-registration/subject-replacement-request/</a>	Approves the request or contacts the study team for further information as needed. When the request is approved, increases accrual # by (x) in OnCore, and updates protocol status as applicable in OnCore to allow for the subject replacement registration.
After receiving ODQ approval, register the subject in OnCore.	For DF/HCC, PI-initiated randomized trials only, registers the subject in OnCore.

<del>Protocol Status in OnCore</del>	<del>Registration Method</del>	<del>Study Team Action</del>	<del>OHSR Action</del>
Open to new accrual	Decentralized	<ol style="list-style-type: none"> <li>1. Increase the local accrual goal by 1 in OnCore</li> <li>2. Register the replacement subject</li> <li>3. Update the Front Sheet local accrual goal with the next submission to OHSR. <u>1. Submit an amendment in iRIS to</u></li> </ol>	None

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		<p><u>increase over accrual goal by (x):</u>  <u>2. Register the replacement subject in OnCore when the amendment is activated.</u></p>	
Closed to new accrual	Decentralized	<p>1. Send an Email to the responsible HRC for the study requesting to re-open the study to new accrual.                  2. Increase the local accrual goal by 1 in OnCore                  3. Register the replacement subject.                  4. Send an Email to the responsible HRC for the study requesting to re-close the study to new accrual.                  5. Update the Front Sheet local accrual goal with the next submission to OHRS. <u>1. Submit an amendment in iRIS to increase over accrual goal by (x):</u>  <u>2. Register the replacement subject in OnCore when the amendment is activated.</u></p>	<p>1. Re-Open the Study to new Accrual.                  2. Re-Close the study to Accrual after the subject is registered.</p>
Open to new accrual	Centralized	<p><u>1. Submit an amendment in iRIS to increase over accrual goal by (x):</u>                  1. Send an Email to the responsible HRC for the study requesting to update the local accrual goal.                  2. Register the replacement subject with the Office for Data Quality (ODQ).                  3. Update the Front Sheet local accrual goal with the next submission to OHRS.</p>	Increase the Local Accrual Goal

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<p><del>Closed to new accrual</del></p>	<p><del>Centralized</del></p>	<p><del>1. Submit an amendment in iRIS to increase over accrual goal by (x):</del>  <del>1. Send an Email to the responsible HRC for the study requesting to update the local accrual goal and to re-open the study to New Accrual.</del>  <del>2. Register the replacement subject with the Office for Data Quality (ODQ).</del>  <del>3. Send an Email to the responsible HRC for the study requesting to re-close the study to new accrual</del>  <del>4. Update the Front Sheet local accrual goal with the next submission to OHRS.</del></p>	<p><del>1. Increase the Local Accrual Goal</del>  <del>2. Re-Open the Study to New Accrual</del>  <del>3. Re-Close the study to Accrual after the subject is registered.</del></p>
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3.11.4. If the protocol **does not contain language allowing** for subject replacement, follow the procedures outlined in the table below ~~prior to registering the replacement subject.~~

<p><b>Protocol Status in OnCore</b></p>	<p><b>Study Team Action</b></p>	<p><b>OHRS Action— With SRC/IRB Approval and Activation Approval</b></p>
<p><del>Open to new accrual</del></p>	<p><del>1. Submit an Amendment to increase the Overall Accrual</del></p>	<p><del>Increase the Overall Accrual Goal (and Local if appropriate)</del></p>

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	<del>2. Register the replacement subject.</del>	
Closed to new accrual	<del>1. Submit an Amendment to increase the Overall Accrual and re-open the study</del> <del>2. Register the replacement subject.</del> <del>3. Submit an Amendment requesting to re-close the study to new accrual.</del>	<del>1. Increase the Overall Accrual Goal (and Local if appropriate)</del> <del>2. Re-Open the Study to New Accrual in OnCore</del>

<u>Study team action</u>	<u>ODQ Action</u>
<u>Submit an amendment via iRIS to increase accrual by (x) or add language to the protocol to specifically allow replacements.</u>	<u>Reviews and activates the amendment once approved. Updates protocol status at activation, when necessary. (OHRS will update the Accrual goal in OnCore).</u>
<u>After amendment activation, register the subject in OnCore.</u>	<u>For DF/HCC, PI-initiated randomized trials only, registers the subject in OnCore.</u>