

CTSUS

Cancer Trials Support Unit

OPEN Person Types and Business Rules

Revision 2

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Document Information

Revision Information for the OPEN Person Types and Business Rules

Revision History

#	Date	By	Description
1	2017/07/25	Mark Stauffer	2017/07/20: Created the initial version of the document, based on "OPEN_Person_Types_and_Access_Rules.docx". 2017/07/25: Added the OPEN crediting rules.
2	2017/08/21	Mark Stauffer	Added the DTL rules.

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1. OPEN Person Types and Business Rules

The following table outlines the OPEN person types and business rules. It should be noted that the rules apply for patient enrollments as well as transfers through the Transfer and Update Module (T&UM) in OPEN.

Table 1: OPEN Person Types and Business Rules

N/A	Treating Investigator	Crediting Investigator	Consenting Investigator	Drug Shipment Investigator
Description	<p>The Treating Investigator is the investigator who will have contact with the patient throughout the course of the study.</p> <p>NOTE: Information from FAQ posted on the OPEN website.</p>	<p>The Credit Investigator is the investigator who will receive payment, and will have the ultimate responsibility for the patient and audit activities for the study.</p> <p>When the Treating Investigator is not a member of the group the site would like to credit for the enrollment, the site will need to choose an investigator who is affiliated with the site and is a member of the credited group.</p> <p>NOTE: Information from FAQ posted on the OPEN website.</p>	<p>The Consenting Investigator is the person responsible for obtaining patient consent.</p>	<p>The Drug Shipment Investigator can be used if the drug associated with the protocol is to be shipped to an address other than the address associated with the Treating Investigator.</p> <p>The Drug Shipment Investigator is typically an optional field; however, it may be required for some protocols.</p> <p>Section 2 on the 'Create New' Screen in OPEN will include protocol specific instructions regarding the requirements for persons associated with the enrollment. This information is driven from the Protocol Logistics Screen in RSS.</p> <p>NOTE: second paragraph from the FAQ on the OPEN website.</p>
Required in OPEN? (Applies to all Rules)	Yes	Yes	Yes (Only for RCR/DTL rules)	No (default) But can be Yes (Depends on Protocol)

Table 1: OPEN Person Types and Business Rules (continued)

N/A	Treating Investigator	Crediting Investigator	Consenting Investigator	Drug Shipment Investigator
<p>Number allowed in OPEN (Applies to all Rules)</p>	<p>Only one Treating Investigator can be selected per enrollment.</p>	<p>Only one Crediting Investigator can be selected per enrollment.</p>	<p>Only one Consenting Investigator can be selected per enrollment. (Only for RCR/DTL rules)</p>	<p>Only one Drug Shipment Investigator can be selected per enrollment.</p>
<p>RCR Rules</p>	<p>Registration Types Allowed:</p> <ul style="list-style-type: none"> • IVR (default). • NPIVR – if there is a protocol exception to allow this. <p>Rules:</p> <ul style="list-style-type: none"> • Must have an “Active” CTEP Registration. • Be Active at the enrolling site on the Lead Protocol Organization (LPO), or any participating group roster for the protocol. • 1572 IRB must match the approved site’s IRB (If person has re-registered after RCR launch date). 	<p>Registration Types Allowed:</p> <ul style="list-style-type: none"> • IVR (default). • NPIVR – if there is a protocol exception to allow this. <p>Rules:</p> <ul style="list-style-type: none"> • Must have an “Active” CTEP Registration. • Be Active at the enrolling site on the credited group. The credited group could be LPO, or any participating group roster for the protocol. • 1572 IRB must match the approved site’s IRB (If person has re-registered after RCR launch date). 	<p>Registration Types Allowed:</p> <ul style="list-style-type: none"> • IVR (default). • NPIVR – if there is a protocol exception to allow this. • Associate Plus – if there is a protocol exception to allow this. <p>Rules:</p> <ul style="list-style-type: none"> • Must have an “Active” CTEP Registration. • Be Active at the enrolling site on LPO, or any participating group roster for the protocol. • 1572 IRB must match the approved site’s IRB, if registration type of the person is either IVR or NPIVR (If person has re-registered after RCR launch date). 	<p>Registration Types Allowed:</p> <ul style="list-style-type: none"> • IVR. <p>Rules:</p> <ul style="list-style-type: none"> • Must have an “Active” CTEP Registration. • Be Active at the enrolling site on the LPO, or any participating group roster for the protocol. • 1572 IRB must match the approved site’s IRB (If person has re-registered after RCR launch date).

Table 1: OPEN Person Types and Business Rules (continued)

N/A	Treating Investigator	Crediting Investigator	Consenting Investigator	Drug Shipment Investigator
DTL Rules (In addition to RCR Rules)	Must be on the enrolling site’s site DTL assigned to the “Enrolling Person/Treating Investigator” task.	Must be on the enrolling site’s site DTL assigned to the “Enrolling Person/Treating Investigator” task or is the Clinical Investigator on the site DTL.	Must be on the enrolling site’s site DTL assigned to the “Consenting Person” task.	Must be on the enrolling site’s site DTL assigned to the “Drug Shipment Investigator” task.

Registration Types: IVR = Investigator, NPIVR = Non-physician Investigator

2. OPEN Crediting Rules

Below are the list of crediting rules for OPEN enrollments:

- 1) US sites may credit any participating Network Group to which the site and credited investigator are affiliated and participating on the protocol.
- 2) Canadian sites must credit the NCTN Group that holds the CTA.
- 3) International sites must credit the LPO if they are a member of the LPO.
- 4) International sites that are not members of the LPO must receive approval from their credited group and consistently credit the same group for the protocol.

3. OPEN Access

The following table outlines the access rules for site staff and registrars.

Table 2: Access Rules for Site Staff and Site Registrars

	Site Staff	Registrar
Description	Site staff persons at the enrolling site.	User that can enroll patients and submit patient transfers.
Access Level	User can view enrollment history at an institution but cannot enroll subjects at that institution.	User can view enrollment history at an institution and has enrollment privileges.
RCR Rules	<p>Registration Types Allowed:</p> <ul style="list-style-type: none"> • IVR • NPIVR • AP • A <p>Rules:</p> <ul style="list-style-type: none"> • Must have an “Active” CTEP Registration. • Must have a CTEP-IAM account. • Be Active at the enrolling site on the LPO, or any participating group roster for the protocol. 	<p>Registration Types Allowed:</p> <ul style="list-style-type: none"> • IVR • NPIVR • AP <p>Person Rules:</p> <ul style="list-style-type: none"> • Must have an “Active” CTEP Registration. • Must have a CTEP-IAM account. • Be Active at the enrolling site on the LPO, or any participating group roster for the protocol. • Must have a Registrar role on the LPO or a PO’s roster as defined through RSS at the enrolling site irrespective of the network being credited, if the site is an unrestricted participant. • If a site is restricted to participate on a specific roster owner, the registrar role must be associated with the site roster for the restricted participant organization (e.g. site restricted to Alliance). This rule is true except for NMCs. If the site is NMC, the registrar role should be at the protocol level at the enrolling site on NMC roster.

Table 2: Access Rules for Site Staff and Site Registrars (continued)

	Site Staff	Registrar
		Site Rules: <ul style="list-style-type: none"> • The enrolling institution must be on the roster of the LPO or a PO for the protocol. • The enrolling site must have a site registration status of ‘approved’ in the Regulatory Support System (RSS) to be able to enroll patients.
DTL Rules (In addition to RCR Rules)	No DTL rules	If the protocol requires a DTL, then the person must be listed on the enrolling site’s DTL as having the Registrar task. NOTE: In addition to the DTL rule above, the person must have the RSS OPEN registrar role. If a person has the RSS OPEN registrar role, but is not assigned the “enrolling person” task on the DTL, then the person will have read-only access to OPEN.

Registration Types: IVR = Investigator, NPIVR = Non-physician Investigator, AP = Associate Plus, A = Associate