1. Purpose

To outline the Office of Sponsor and Regulatory Oversight (OSRO) tasks in the development, review, and acceptance of Center of Cancer Research (CCR) clinical research protocols.

2. Scope

2.1. Protocols developed by CCR investigators, under CCR sponsorship and overseen by OSRO are within scope.

2.2. Limitations

2.2.1. Activities performed by non-OSRO staff are given only to provide context around the OSRO activities. OSRO assumes no control over these personnel and their actions.

2.2.2. The OSRO review process does not include reviewing the science supporting the protocol.

3. Responsibilities

3.1. OSRO reviews and accepts initial protocols and amendments to protocols.

3.2. OSRO Sponsor and Regulatory Oversight Support (SROS) Contractor staff assist OSRO as needed.

3.3. SROS Study Information Office (SIO) manages the protocol review process.

4. References

4.1. 202 Protocol Development Policy

4.2. ICH E6(R2) Good Clinical Practice: Integrated Addendum to ICH E6(R1) Guidance for Industry (FDA), March 2018

5. Definitions

Refer to the OSRO Lexicon.

6. Procedure

6.1. The Office designation of OSRO shall refer both to the Office of Sponsor and Regulatory Oversight staff and the OSRO Sponsor and Regulatory Oversight Support contractor staff.

6.2. For consultations, reviews and acceptances of protocols and amendments, OSRO requires the following documentation provided in Microsoft Word format, as appropriate for the study phase.

- Research concept, draft protocol, or draft amendment
- A list of specific questions to be answered
- All necessary supporting documents required to research submitted questions
- Informed Consent form
- Investigator's Brochure, Product Label, or Instructions for Use or equivalent
- A summary of manufacturing information for products that CCR manufactures

- Manual of Procedures, if applicable

6.3. Review Process for a Protocol Concept

6.3.1. Pre-concept: If consulted by the Principal Investigator (PI) or Protocol Support Office (PSO) manager during the concept phase of the protocol, OSRO will provide feedback.

6.3.2. The OSRO review is based on compliance, consistency, clarity to maximize data integrity and participant safety.

6.3.3. When the protocol concept is ready for review, the concept review form and supporting documents are uploaded to the OSRO SROS Request for Service System.

6.3.3.1. OSRO will only accept a concept in Microsoft Word format or another Office of the Clinical Director (OCD) approved format.

6.3.3.2. The submission is complete when all required documents (see Step 6.2) have been uploaded with the following clarifications:

6.3.3.2.1. If the concept refers to standard safety language previously provided by OSRO, and no other safety information is required for full review, there is no need to resubmit the Investigator's Brochure, Product Label, or Instructions for Use or equivalent.

6.3.3.2.2. A summary of manufacturing information for products that CCR manufactures is not required at the concept stage apart from the questions outlined in the concept form.

6.3.4. SROS SIO processes the request and assigns OSRO reviewers within 5 business days of complete submission.

6.3.4.1. SROS SIO schedules the formal review for the second Thursday after the concept was submitted.

6.3.5. OSRO provides comments and suggested edits on F09-202-S01 Concept Review.

6.3.6. SROS SIO sends the F09-202-S01 to the PI.

6.3.7. SROS SIO offers a meeting to the PI on the next available Friday following the return of the comments to the PI, to discuss the comments.

6.4. Review Process for an Initial (New) Protocol

6.4.1. When the final draft of the protocol is ready for review, the protocol and supporting documents are uploaded to the OSRO SROS Request for Service System.

6.4.1.1. If the draft protocol is submitted prior to review by the Scientific Review Committee (SRC), the protocol may require revising before the final draft is produced.

6.4.1.2. OSRO will only accept a protocol final draft in Microsoft Word format.

6.4.1.3. The submission is complete when all required documents (see Step 6.2) have been uploaded.

6.4.2. SROS SIO processes the request and assigns OSRO reviewers within 5 business days of submission.

6.4.2.1. SROS SIO schedules the formal review for the third Thursday after the protocol was submitted.

6.4.3. OSRO provides comments and suggested edits on F02-202-S01 Protocol Review.

6.4.4. SROS SIO sends the F02-202-S01 to the PI.

6.4.5. SROS SIO offers a meeting to the PI on the next available Friday following the return of the comments to the PI, to discuss the comments.

6.4.6. The PI addresses each OSRO comment and records their responses on the F02-202-S01.

6.4.7. Based on OSRO feedback, the PI finalizes the protocol and resubmits it and the F02-202-S01 via the OSRO SROS Request for Service System.

6.4.7.1. OSRO will only accept the finalized protocol in Microsoft Word format with tracked changes.

6.4.7.2. SROS SIO schedules the formal review for the second Thursday after the protocol and F02-202-S01 are submitted.

6.4.8. OSRO accepts the protocol after all outstanding comments and/or suggested edits have been addressed.

6.4.8.1. SROS SIO sends a F07-202-S01 Protocol Acceptance notification to the PI.

6.5. Review Process for an Amended Protocol

6.5.1. When a PI plans to amend a protocol, they may consult OSRO with questions regarding the amendment.

6.5.2. When the final draft is ready for review, the protocol and supporting documents are uploaded to the OSRO SROS Request for Service System.

6.5.2.1. Note: OSRO will not accept an amendment which adds a new investigational intervention to the original protocol. The addition of a study intervention requires a new protocol.

6.5.2.2. OSRO will only accept an amendment final draft in Microsoft Word format and includes tracked changes from the previous OSRO-accepted version.

6.5.2.3. The submission is complete when all required documents (see Step 6.2) have been uploaded.

6.5.3. SROS SIO processes the request and assigns OSRO reviewers within 5 business days of submission.

6.5.3.1. SROS SIO schedules the formal review for the second Thursday after the protocol was submitted.

6.5.3.2. OSRO provides comments and suggested edits on F02-202-S01 Protocol Review.

6.5.3.3. SROS SIO sends the F02-202-S01 to the PI.

6.5.4. The PI addresses each OSRO comment and records their responses on the F02-202-S01.

6.5.5. Based on OSRO feedback, the PI finalizes the protocol and resubmits it and the F02-202-S01 via the OSRO SROS Request for Service System.

6.5.5.1. OSRO will only accept the finalized protocol in Microsoft Word format with tracked changes.

6.5.5.2. SROS SIO schedules the formal review for the second Thursday after the protocol and F02-202-S01 are submitted.

6.5.6. OSRO accepts the protocol after all outstanding comments and/or suggested edits have been addressed.

6.5.7. SROS SIO sends a F06-202-S01 Protocol Amendment Acceptance notification to the PI.

6.5.7.1. The acceptance notification includes a statement on whether the amendment must be submitted to the Food and Drug Administration (FDA) either 5 days (IDE), 25 days (IND), or 30 days (change in product manufacturing or study agent) prior to implementation.

6.6. OSRO will formally accept protocol changes that are required by the Institutional Review Board (IRB). Prior to submitting the protocol addressing the IRB stipulation to the IRB, the PI submits the protocol, informed consent and the IRB stipulation document via the OSRO SROS Request for Service System.

6.6.1. No other changes apart from the response to the IRB stipulation should be provided. If additional changes are present in the protocol a full amendment review will be required.

6.6.2. SROS SIO processes the request and assigns OSRO reviewers within 5 business days of submission.

6.6.2.1. SROS SIO schedules the formal review for the second Thursday after the protocol was submitted.

6.6.3. SROS SIO sends a F06-202-S01 Protocol Amendment Acceptance notification to the PI.

6.7. Review of legacy protocol amendments follow the same procedure as other protocol amendments except that OSRO comments are recorded on F08-202-S01 Protocol Review – Legacy Protocol.

6.8. Following OSRO acceptance and IRB approval of a protocol or protocol amendment, the PI is sent a F01-202-S01 Protocol Signature Page to affirm the conditions by which the PI agrees to conduct the clinical study.

6.8.1. The F01-202-S01 must be signed and emailed to SROSERDG@tech-res.com.

6.9. Management of the OSRO Protocol Review meetings

6.9.1. The OSRO Protocol Review meeting is scheduled for each Thursday.

6.9.2. SROS SIO manages the protocol review process.

6.9.3. A maximum of 8 protocols will be scheduled for any given committee meeting.

6.9.4. No more than 2 initial (new) protocols or 2 protocol concepts will be scheduled for any given committee meeting.

6.9.5. The scheduling scheme given in this SOP will be modified when an excess of submissions is present. Protocol reviews will be scheduled in the order they were received.

6.9.6. The OSRO Director has the right to expedite a protocol review.

7. Associated Documents

7.1. 202-S01-W01 Reviewing Protocols

7.2. F01-202-S01 Protocol Signature Page

7.3. F02-202-S01 Protocol Review

7.4. F06-202-S01 Protocol Amendment Acceptance

7.5. F07-202-S01 Protocol Acceptance

7.6. F08-202-S01 Protocol Review – Legacy Protocol

7.7. F09-202-S01 Concept Review

8. Change Summary

Revision Number	Effective Date	Description of Change
1	03SEP2020	New Document
2	17NOV2021	Step 3.1.1 – added "The OSRO Sponsor and Regulatory Oversight Support (SROS) Contractor assists OSRO as needed." Step 3.2 – added "Non-Significant Risk Device Study (NSR)" Step 6.2.3 – added "or NSR" General updates to procedure and flow
3	03JUN2022	Section 2 – clarified that CCR is sponsor and OSRO oversees studies Step 3.2 moved to Step 6.3.3 Step 2.2.3 – removed Step 6.1 – added Step 6.3.4 – added Step 6.4.6 – added Section 7 – added associated forms Provided document submission email, SROSProtocolReview@tech-res.com Provided target time limits for review and acceptance periods Figure 1 and 2 moved to Section 9. Appendix Updated process to include SROS activities General updates to procedure and flow

Revision Number	Effective Date	Description of Change
4	08FEB2023	Updated the document submission process to the OSRO SROS Request for Service System website (https://ncirfs.powerappsportals.com/add-rfs-information/) • Steps 6.3.6, 6.3.7, 6.4.3, 6.4.4, 6.4.6 Step 6.3.3 – replaced Step 6.3.4 – removed Step 7.6 – added
5	07MAR2023	Step 6.4.5.3 – added "or 30 days (change in product manufacturing or study agent)"
6	27MAR2024	Step 6.4.4.3 – added
7	16SEP2024	Step 3.3 – added Complete rewrite to provide more structure to the procedure Step 6.3 – added Step 6.9 – added Step 7.7 – added Section 9 – Appendix removed