



THE SABAN RESEARCH
INSTITUTE

Implementation of an Electronic Regulatory Binder System at CHLA

Presenter: Nancy Flores, CCRC
Senior Regulatory Affairs Specialist
Office of Regulatory Affairs
Human Subjects Protection Program

Why are Regulatory Documents Required for Clinical Trials?

- Regulatory documents are submitted to track and evaluate the ethical and procedural conduct of a trial and the quality of the data that is produced
- Regulatory documents demonstrate the compliance of the Investigator, Sponsor and IRB with the standards of Good Clinical Practice and with all applicable regulatory requirements
- Please note:

Requirements depend on types of studies, sponsors, IRB of record, etc.

Good Clinical Practice (GCP)

- “Good Clinical Practice (GCP) is an international ethical and scientific quality standard for designing, conducting, recording and reporting trials that involve the participation of human subjects.” ~1996
- ICH GCP E6, section 8 - Essential Documents for the Conduct of a Clinical Trial - “8.1 Essential Documents are those documents that individually and collectively permit evaluation of the conduct of a trial and the quality of the data produced.”

Requirements can be found here:

- ICH-The International Council for Harmonisation
- www.ich.org
- CFR-Code of Federal Regulations HHS
- www.fda.gov
- Department of Health and Human Services
- <http://ohrp.osophs.dhhs.gov>
- CHLA:

[Human Subjects Protection Program \(HSPP\) and Institutional Review Board \(IRB\)](#)

- External IRB of Record



What Kind of Documents are Required ?

Depending on the nature of the research, some sections may or may not be required. Use this list to ensure that the applicable sections are maintained.

1. HUMAN RESEARCH

- a) Protocol
- b) Institutional Review Board
- c) Consent
- d) Data Collection
- e) NIH
- f) Sponsor
- g) Data Safety Monitoring Board/Data Monitoring Committee
- h) Training Records
- i) External IRB Documentation
- j) Ethics Committee/Community Advisory Board

DOCUMENTATION

- k) Scientific Review
- l) Data Protection
- m) Other

Specific Regulatory Requirements

This session does not detail all required regulatory documents.

That information is presented twice a month via iLearn.

The CHLA research community is welcome and encouraged to complete that training 😊

Introduction to Regulatory Files

EVENT

Introduction to Regulatory Files/eREG Binder

Last Updated 01/27/2022

Details

This course will introduce new staff to the concept of an eReg/Regulatory Binder, and can serve as a refresher course for any study staff that want to attend.

[Show More](#)

Upcoming Sessions

Date (Ascending) ▼ 11 Sessions

JUL Session Details

27 Thu, Jul 27, 2023, 3:00 PM - 4:00 PM PDT
Register by Thu, Jul 27, 2023, 3:00 PM PDT
Microsoft Teams Event, Virtual, Los Angeles - Children's Hospital Los Angeles

[View Details](#) ▼
97 seats available

English (US)

AUG Session Details

1 Tue, Aug 1, 2023, 10:00 AM - 11:00 AM PDT
Register by Tue, Aug 1, 2023, 10:00 AM PDT
Microsoft Teams Event, Virtual, Los Angeles - Children's Hospital Los Angeles

[View Details](#) ▼
98 seats available

English (US)

Event
Introduction to Regulatory Files/eREG Binder

Select a Session ▼

Regulatory Documentation

A methodical and well-executed system to manage regulatory documents is critical for efficient project management and regulatory compliance.

All required elements should be present and *easy* to produce

**“If it isn’t
documented,
it didn’t happen.”**

ICH GCP E6, section 8



Standard Regulatory Binders



Regulatory Records at CHLA

Currently CHLA does not have ONE consistent way to maintain regulatory documents.

Teams use:

- Physical binders
- eReg-via share drive
- Hybrid-eReg AND paper documents for wet signatures
- SharePoint
- Teams

Benefits of Using an eReg System

- Reduce redundancy in document management
- Reflect dynamic nature of a clinical trial
- Facilitate document monitoring
- Facilitate staff/study transitions
- Efficient regulatory start up
- Convenient access to your research team
- Reduce paper budget
- Increase desk and overhead space
- Reduce time printing and coping documents
- Reduce time updating documents (CVs, licenses, GCP certificates etc.)*
- Streamline study start up activities

Benefits of Part 11 Compliant eReg

What does Part 11 compliance mean?

This is specific to the validity of electronic signatures for *federally funded* research

This refers to the Code of Federal Regulations:

Electronic Records; **Electronic Signatures** (21 CFR Part 11)

- Electronic signatures-are intended to be the equivalent of handwritten signatures, initials, and other general signings required by predicate rules. Part 11 signatures include electronic signatures that are used, for example, to document the fact that certain events or actions occurred in accordance with the predicate rule (e.g. approved, reviewed, and verified).

If your study is NOT FDA regulated, you may be able to use DocuSign. Consult your sponsor and/or IRB of Record.

Electronic Signatures

If your study is **NOT FDA regulated**, you may be able to use a NON-Part11 eSignature platform like:

DocuSign, RedCap, or Adobe Acrobat.

Consult your sponsor and/or IRB of Record

If you need a Part11 version of DocuSign you can purchase one from IT/IS.

Electronic Signatures

Many essential documents must be signed, including:

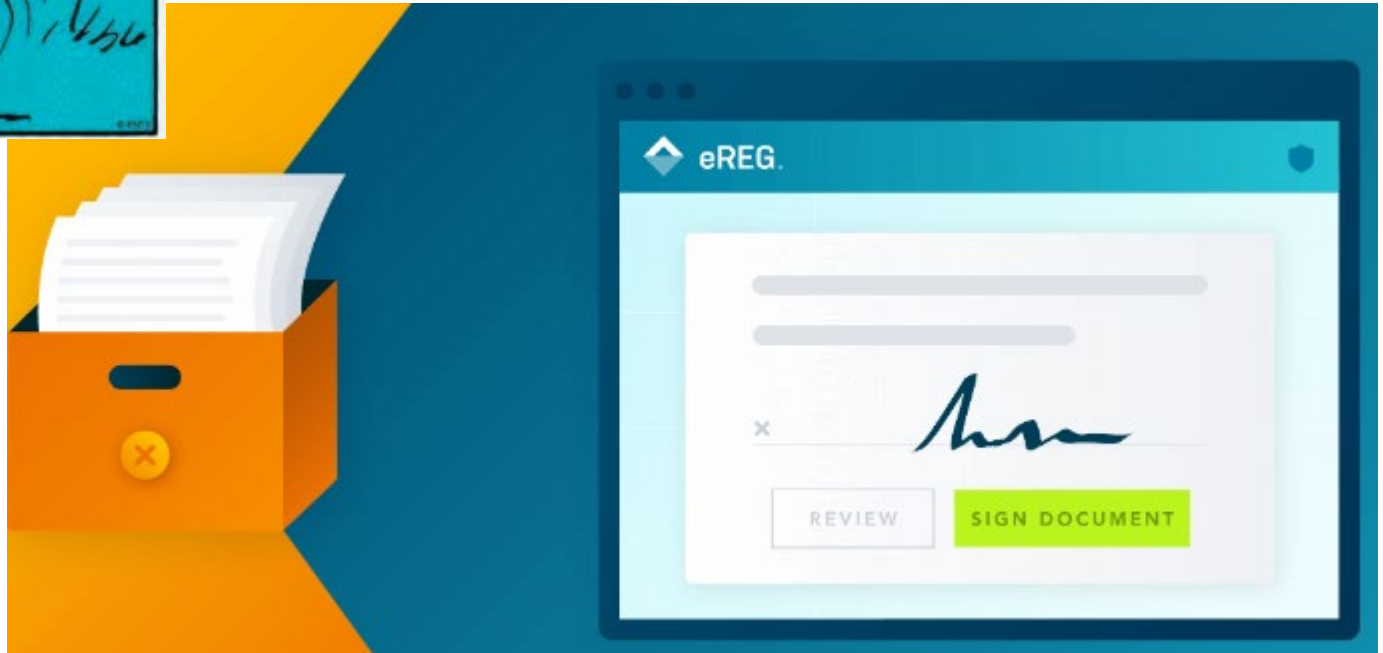
- Protocol Signature Page
- Investigator Brochure Signature Page
- **Delegation of Authority (DOA)***
- FDA Form 1572
- Training Logs
- Financial Disclosure Forms

Efficiency

- Obtaining signatures from multiple staff, at multiple locations and at multiple times is extremely time consuming. Especially now with staff who have both, an on site and remote working environment.
- Teams have multiple studies, going through this process at any time for any study, is not an efficient use of everyone's time



CHLA NOW HAS A PART 11 COMPLIANT EREG SYSTEM!!!



CHLA is implementing use of the Advarra
eReg platform

ANYONE CAN USE
Advarra eReg
It does NOT have to be a
study using the Advarra
IRB (CIRBI) as the IRB of
Record

Advarra eReg Platform

NOT CIRBI, Advarra's IRB Platform



eReg Overview

Streamline Your Regulatory Process

Think beyond the binder

Managing essential clinical trial documents at academic medical centers, cancer centers and health systems is often an exhaustive, extremely manual process that requires both physical storage space and site resources. The Advarra eRegulatory Management System (Advarra eReg) provides integrated protocol, staff and institution documentation to streamline regulatory process and enhance compliance.

Advarra eReg takes a templated approach to creating and maintaining electronic binders. This is ideal for academic institutions managing a large number of protocols. Moving key regulatory tasks to the system level—instead of the protocol level—eliminates redundant workflows, boosts compliance and saves valuable staff time. Combined with 21 CFR Part 11-compliant electronic signatures for protocol documents, delegation of authority, and more, the system significantly reduces the regulatory burden for your staff.

Improve compliance, maximize efficiency, and ensure return on your investment



Store all your essential protocol documents, track owners and expiration dates and more, all in a 21 CFR Part 11 compliant system



Leverage multi-site management, allowing a coordinating center to manage essential documents for participating sites



Efficiently route documents and manage electronic signature notifications



Integrate Advarra eReg with your OnCore Enterprise Research System



Benefits of eRegulatory

ORGANIZED RECORD MANAGEMENT

Many groups want to ensure compliance and safety.

1. Your Investigators-Internal QA
2. Our Quality Assurance/Quality Improvement Program Manager-CHLA quality review
3. The Study Sponsor-Interim Monitoring Visits
4. Coordinating Centers-Audits and/or monitoring visits
5. U.S. Food and Drug Administration-Audits

Benefits of eRegulatory

REMOTE MONITORING

Does eReg support remote monitoring?

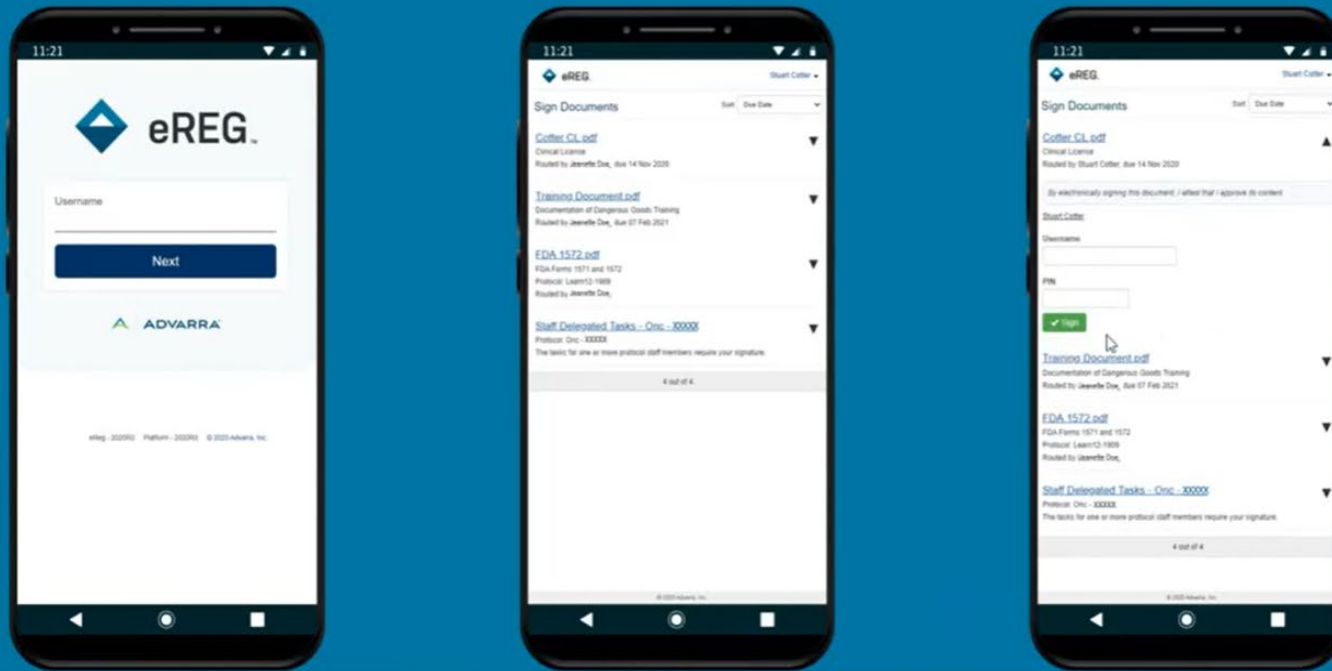
Yes. The eReg system allows regulatory staff to generate a unique monitoring user and login, indicate the specific protocol document and information to be reviewed, and control the start and stop points for the monitoring session.

Benefits of eRegulatory

***MOBILE
electronic
signatures***

Another Benefit of EREG

Mobile Optimization in eReg Electronic signature workflow



What does an eREG look like?

eREG. Menu ☰ This is your Favorites Bar. Click the star next to each item in the Menu that you want to include here. Staging NEF Nancy Flores

Protocols

Protocols Choose Columns Export New Protocol

Multi-Site Protocol
 Yes
 No

Locked Protocol
 Yes
 No

Favorite Protocol
 Yes
 No

Reset All

★	🔗	🔒	Protocol Number ↑	Study Site ↑	NCT Number	Title
★			03232003	Children's Hospital Los Angeles	NCT60606060	MultiNEF
★			1776	Children's Hospital Los Angeles	NCT20202020	Indy
★			19Jun2023MultiSite	Multi-Site	NCT06202023	
★			19June2023 Protocol			
★			2000 EU			
★			20June2023 Protocol			
★			222-222	Children's Hospital Los Angeles		
★			22222222	g8	NCT22222222	Protocol Two
★			555-555	Children's Hospital Los Angeles		Tester 1 Protocol
★			7476			Betsy Ross
★			8675309			
★			88888	Children's Hospital Los Angeles	NCT88888888	MULTI V
★			ABCD1234	Multi-Site		
★			AnotherNewprotocol			
★			CHLA-00-00001	Green lab	NCT10101010	Epic Research Title
★			CHLA-00-00001	Multi-Site	NCT10101010	Epic Research Title
★			CHLA-00-00001	Organization with affiliate parent	NCT10101010	Epic Research Title
★			CHLA-00-00001	Questionable Science Institute	NCT10101010	Epic Research Title
★			CHLA-00-00001	Red	NCT10101010	Epic Research Title
★			CHLA-00-22222	Children's Hospital Los Angeles	NCT10101010	
★			EA-TEST123			TEST
★			EA-TEST3			
★			EA-TEST4			This is the title in the details section
★			EA2-TEST1			EA2-TEST1
★			EFL123			testing for demo

25 out of 34 [Show More...](#)

Regulatory Templates-tailor to your needs

TYPES OF TEMPLATES:

NIH Template

Multi Site Template

Investigator Initiated Template

The screenshot displays the eREG Regulatory Templates interface. At the top, there is a navigation bar with the eREG logo and a menu icon. A tooltip above the menu icon reads: "This is your Favorites Bar. Click the star next to each item in the Menu t". Below the navigation bar, the page title is "Regulatory Templates". On the left side, there is a filter section with a "Category" dropdown menu and a "Status" section containing three checkboxes: "New", "Released", and "Retired". A "Clear All" button is located below the status filters. On the right side, there is a search bar labeled "Search by name" and a table listing various regulatory templates. The table has a "Name" column with an upward arrow indicating sorting. The templates listed are: 2001 EU, Affiliate Practice Template, BMT, CAR T, CHANGE TEST REG TEMP 19June2023, EA-TEST1, EA-TEST2, EA-TEST 1 NEW TEMPLATE, EFL Test, Emy Arango, EU, Full Committee Application, MULTINEF, New Practice Template Name, and NIH Regulatory Template.

Name ↑
2001 EU
Affiliate Practice Template
BMT
CAR T
CHANGE TEST REG TEMP 19June2023
EA-TEST1
EA-TEST2
EA-TEST 1 NEW TEMPLATE
EFL Test
Emy Arango
EU
Full Committee Application
MULTINEF
New Practice Template Name
NIH Regulatory Template

Protocols

eREG. Menu This is your Favorites Bar. Click the star next to each item in the Menu that you want to include here. Staging NEF Nancy Flores

Protocols > 19Jun2023MultiSite

Select Protocol

☆ Multi-Site Protocol: 19Jun2023MultiSite Actions

Summary Edit

Details

Protocol Number 19Jun2023MultiSite
 Title
 NCT Number NCT06202023
 Departments
 IRB Protocol Number

Organizations + Add Organization

Organization ↑	IRB?	Laboratory?	Start Date	Stop Date	Documentation Status
No records found.					

Staff Choose Columns Export + Add Staff

First Name ↑	Last Name ↑	Start Date	Stop Date	Protocol Staff Roles	Credential Status
Emy	Arango	20 Jun 2023			Complete
1 Total Record					

Staff Training Actions

Protocol Training + New Document

Document Name	Versions	Effective Date ↓	Valid Until ↓	Signature Status
No records found.				

Participating Sites
 Document Inbox
 Summary
 Details
 Organizations
 Staff
 Staff Training
 Delegation of Authority
 Continuing Reviews
 Informed Consent Documents
 External IRB
 Investigator's Brochure
 Form FDA 1572/ Financial Disclosure Form (FDF)
 Financial
 HSPP Correspondence
 Study Logs: Other Specify
 Signed Consent Documents
 Site Visit Log & Monitoring Letters
 Specimen Tracking Log
 Serious Adverse Events (SAE)/Unanticipated Problem Documents
 Protocol Deviation Form or Memo
 Clinical Site Monitoring Visits
 Sponsor Correspondence
 Data and Safety Monitoring Board (DSMB)
 Protocol & Protocol Amendments

Electronic Signatures

The screenshot displays the eREG system interface. At the top left is the eREG logo. A blue banner at the top right contains the text: "This is your Favorites Bar. Click the star next to each item in the Menu that you want to include here." Below the banner is a navigation menu with a hamburger icon. A dropdown menu is open, listing several items with star icons: Admin, INDs, Protocols, Regulatory Templates, Reports, Review Sessions, Sign Documents, and SOPs. A red arrow points to the "Sign Documents" item. The background shows a page for a "Multi-Site Protocol: 19Jun2023MultiSite" with sections for "Summary" and "Details". A table below the "Details" section has the following data:

Protocol Number	19Jun2023MultiSite
Title	
NOT Number	NOT0000000

Remote Monitoring

The screenshot displays the eREG system interface. At the top left is the eREG logo. A 'Menu' button is followed by a blue box containing the text: "This is your Favorites Bar. Click the star next to each item in the Menu that you want to include here." Below this is a navigation sidebar with items: Protocols, Participating Sites, Document Inbox, Summary (highlighted), Details, Organizations, Staff, and Staff Training. A dropdown menu is open over the 'Summary' item, listing: Admin, INDs, Protocols, Regulatory Templates, Reports, Review Sessions, Sign Documents, and SOPs. A red arrow points from the 'Review Sessions' item in the dropdown to the 'Details' link on the main page. The main content area shows a protocol titled "Multi-Site Protocol: 19Jun2023MultiSite" with a "Summary" tab selected. Below the tabs, a table displays protocol information:

Protocol Number	19Jun2023MultiSite
Title	
NCT Number	NCT00000000

Regulatory Overview

eREG. Menu ☰ This is your Favorites Bar. Click the star next to each item in the Menu that you want to include here. Staging NEF

Protocols > 2000 EU

Select Protocol

☆ Protocol: 2000 EU

Overview

Document Inbox

Overview

Summary

- Details
- Organizations
- Staff
- Staff Training
- Delegation of Authority
- Delegation of Authority Log
- CHLA IRB
- Subjects
- CIC Approval

Title

NCT Number

Departments

Study Site

Principal Investigator

Next Review Session Date

Staff Training Signature Statuses	
Routed But Not Due Yet	0
Past Signature Due Date	1

[View Staff Training](#)

Delegation of Authority	
Staff Members Need to Sign Tasks	2
Staff Members Need PI Signoff on Tasks	1
Staff Members Need PI Signoff on Stop Dates	0

[View Delegation of Authority](#)

Expiring Protocol Documents	
Already Expired	5
Expire in 1-30 Days	0
Expire in 31-60 Days	0
Expire in 61-90 Days	0

[View Documents](#)

Protocol Document Signature Statuses	
Routed But Not Due Yet	0
Past Signature Due Date	0

[View Documents](#)

Study Personnel

eREG. Menu ☰ This is your Favorites Bar. Click the star next to each item in the Menu that you want to include here. Staging NEF Nancy Flores

Contacts > Nancy Flores

Select contact

Contact: Nancy Flores

Actions

Summary

Details

Details

Active Contact Yes

Email nflores@chla.usc.edu

Home Organization Children's Hospital Los Angeles

Departments

Contact Numbers

User Account Details

Reset SAML 2.0 Association Edit

Active User Account Yes

Authentication Realm SAML

Username nflores

Can Access All Organizations Yes

User Roles

Select Role + Add Role

Name ↑	Description	Active	
Administrator	Provides the ability to manage application configurations, authentication, contact records, user roles, and organization records.	Yes	✕ Remove
Affiliate Access	Provides the ability for users at other organizations to log in, upload documents, and send copies of those documents to the coordinating center.	Yes	✕ Remove
IND Access	Provides the ability to manage INDs.	Yes	✕ Remove
Multi-Site Access	Provides the ability to manage multi-site protocols.	Yes	✕ Remove
Regulatory Manager	Provides the ability to manage contact records, user roles, organization records, protocols, and review sessions. This role can also create and edit regulatory templates.	Yes	✕ Remove

Team Training & Portfolio

- Summary
- Details
- User Account Details
- Credentials
- Delegated Tasks by Staff Role
- Assignments
- Protocol Assignments

Credentials

[+ New Document](#)

Credential Type ↑	Versions	Document Name	Effective Date ↑	Valid Until ↑	Signature Status	
Clinical License	3	VERSION3	20 Jun 2023		Needs Electronic Signature ⚠	+ New Version ✕ Delete
Curriculum Vitae	1	APP-23-02252.pdf	14 Jun 2023	21 Jun 2023	Electronically Signed	+ New Version ✕ Delete
Documentation of Dangerous Goods Training	1	APP-23-02252.pdf	14 Jun 2023	21 Jun 2023	Electronically Signed	+ New Version ✕ Delete
Good Clinical Practice Training	2	Amendments to CHLA IRB Approved Research 05-20-2020 (1).pdf	19 Jun 2023	20 Jun 2023	Electronically Signed	+ New Version ✕ Delete
HIPAA Training	1	Tip THURSDAY-Short Forms.pdf	19 Jun 2023	26 Jun 2023	Electronically Signed	+ New Version ✕ Delete

5 out of 6 [\(Go to List\)](#)

Delegated Tasks by Staff Role

[+ Add Delegated Tasks by Staff Role](#)

Protocol Staff Role ↑	Delegated Tasks	Signature Status	
Monitor/Auditor	Respond to Data Queries (21)	N/A	🔗 Edit ✕ Delete

Assignments

Protocol Assignments

[Update Assignments](#)

🔗	🔒	Protocol Number ↑	Protocol Staff Roles	Start Date ↑	Stop Date	Customized Tasks	<input type="checkbox"/>
		03232003		19 Jun 2023		No	<input type="checkbox"/>
		1776		20 Jun 2023		No	<input type="checkbox"/>
		2000 EU		09 Jun 2023		No	<input type="checkbox"/>
		222-222		15 Jun 2023		No	<input type="checkbox"/>
		22222222		20 Jun 2023		No	<input type="checkbox"/>

5 out of 11 [\(Go to List\)](#)

[View Documents](#)



Steps to Access & Implement Advarra eReg

- Submit your team information to:
ereghelp@chla.usc.edu
- We will provide Advarra University & Training platform access
- Once training is complete and your request form is approved, you will be given account
- Our regulatory specialists will help you with the build/migration of your regulatory documents

Communicate with your sponsor

Ask your sponsor if they are already using Advarra eREG

IF YES:

- The lead or coordinating site that maintains the trial master file in eREG, can transfer those documents to us.
- The process to be added as a site will be much more streamlined

IF NO:

- Confirm that it is acceptable for us to use it for their study
- Ask the sponsor if we use the eReg platform, will they do their remote monitoring using the platform

Communicate with your sponsor

Ask your sponsor/lead-coordinating center if they are already using Advarra eREG

- They maintain the Trial Master File in their Advarra eREG, and can connect to our site and share documents.
- If they are the IRB of Record, this will also streamline document sharing.

Be sure to tell your Sponsor/CRO that they can do remote monitoring now, as we can grant temporary access to our eREG to third parties! (No PHI)

Who is currently using eReg?

Avera McKennan d/b/a Avera Research Institute-Barbara Ann Karmanos Cancer Institute-Baylor College of Medicine-Boston Children's Hospital-Cancer Treatment Centers of America-Carilion Clinic-Case Western Reserve University-Center for Vaccine Development and Global Health, University of Maryland-Children's National Health System-Childrens Hospital Los Angeles-Cognitive Clinical Trials-Dartmouth-Hitchcock Health-Duke University/Duke Health Systems-Foundation for Sickle Cell Disease Research-HealthPartners-Henry Ford Health System-Holy Name Medical Center-Hospital of The King's Daughters Health System-Indiana University-Infirmity Health-Inova Health System-Iowa Oncology Research Association-John Hopkins University-Lifespan Health System-Medical University of South Carolina-Nephrology Associates of Northern Illinois and Indiana-New South Wales-Novant Health-Roswell Park Comprehensive Cancer Center-Rutgers Biomedical and Health Sciences-Saint Louis University-Sanford Health Clinical Research-Seattle Children's Hospital-Sound Center for Research Excellence, Inc.-Southern California Research Center-Southern Illinois University-St. Luke's Health System – Missouri-Stanford University-The Lung Research Center-The Ohio State University-The Ohio State University-Thompson Cancer Survival Center-University of Arizona-University of California Davis-University of Colorado Denver-University of Iowa-University of Maryland Greenebaum Cancer Center-University of Massachusetts Worcester-University of Michigan-University of Nebraska Medical Center-University of Oklahoma Stephenson Cancer Center-University of Pittsburgh Medical Center - Hillman Cancer Center-University of Rochester Medical Center-University of Texas MD Anderson Cancer Center-University of Texas Medical Branch-University of Utah Health Sciences-Velocity-Wayne State University-West Virginia University-Yale University

OUR TEAM

We are the Office of Regulatory Affairs, which is part of the Human Subjects Protection Program

CHLA ADVARRA EREG TEAM

Lead Administrator-Nancy Flores

eReg Administrator-Emily Benstead

Supported by our Regulatory Affairs Team

Cora Cruz, Connie Secules, Joanna Balducci & our manager, Candice Mulder

OUR TEAM

How can you contact us?

ereghelp@chla.usc.edu

regulatoryaffairs@chla.usc.edu

nflores@chla.usc.edu

THANK YOU!



Any Questions?