

**SWOG**  
<http://swog.org>

**Policy Memorandum No. 29**

**Subject:** Roster of Institutions, Investigators and Associates  
Maintenance Policies and Procedures

**Departments Affected:** All

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**ROSTER OF INSTITUTIONS, INVESTIGATORS AND ASSOCIATES  
MAINTENANCE POLICIES AND PROCEDURES**

**INTRODUCTION**

There are five types of membership programs within SWOG: Lead Academic Participating Sites (LAPS)/Main Members, Affiliate Program, NCI Community Oncology Research Program (NCORP), Special Members, and International Members. Each Affiliate Program member must have a designated Data Management institution which is a LAPS or Main Member.

The Roster of SWOG Institutions, Investigators and Associates/staff members is a computerized list of performance sites, physicians, non-physician investigators and staff members approved by the Group as currently and previously eligible to register patients on Group protocols. It is maintained by the Operations Office Membership Program in San Antonio. The Roster contains each institution's name, address, CTEP code and OHRP Federalwide Assurance (FWA) number and expiration date; and each individual's name, address, phone number, fax number, e-mail address, institution(s) of affiliation, type of membership and registration status. Institutions and individuals are never removed from the Roster, as research on patient data is on-going. Keeping this information up-to-date is of paramount importance.

**SUBMISSION REQUIREMENTS**

The Operations Office Membership Program will enter or change information in the Roster ONLY as received by submission through the DCP NCI Community Oncology Research Program Roster Maintenance System (NCORPSYS) or CTSU Roster Update Management System (RUMS) or in printed form sent to the Operations Office.

**IDENTIFICATION NUMBERS**

Each institution, investigator, and associate/staff member is assigned a unique and everlasting identification number. These assignments are based on documented approval for participation in SWOG.

**MEMBERSHIP STATUS**

For purposes of registering patients, on Group protocols, investigators and associates must have an affiliation with at least one institution or private office clinic and appropriate role assignments.

An institution's or investigator's privilege to register patients may be temporarily or permanently withdrawn by the Group or NCI or by individual decision. When an institution becomes disqualified to register patients, the "registration status" for that institution as well as its affiliated investigators and associates are changed to "no" or "suspended." When an investigator's privilege to register patients at a designated institution is terminated or suspended, his or her "registration status" is changed from "yes" to "no" or "suspended." Reinstatement requires approval from the Group.

If an institution is withdrawn from active Group participation, the institution and individual participants remain responsible for the follow-up (see Policy 30) of all patients registered by the institution and/or individual at the institution for as long as the patient remains alive (or for a protocol specified length of

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time). Individuals at the institution will be granted continued access to the Members side of the SWOG website to continue any patient follow-up activities. Once all follow up activities conclude, the institution's affiliation with SWOG will permanently end.

### **PATIENT REGISTRATION**

In order for a patient to be registered, the individual registering the patient must identify an investigator and an institution which are both currently approved for patient registration. These two items are recorded on the patient's record in the database. The individual registering the patient must also identify themselves by their assigned roster identification number.

Occasionally, there may be disagreement as to an investigator's or institution's ability to register patients. If a "no" or "suspended" registration status" is encountered when a registration is attempted, the situation will be referred to the Operations Office Membership Program for resolution.

### **"OTHERS" IN ROSTER**

For purposes of communication, names and addresses of other SWOG participants may be stored in the Roster. Group meeting attendees, pharmaceutical company representatives, laboratory personnel, report recipients and other selected personnel may also have identification numbers and institutional affiliations assigned.

### **USE OF ROSTER**

Personnel at the Group Chair's Office, Operations Office and Statistics Center may view information in the Roster and print reports. The Roster is also available for viewing by Group members through the Members side of the Group website. Reports will be sent to participating institutions upon written request, stating intended purpose of report.