Clinical Trials Registration

ClinicalTrials.gov is a public registry aimed at increased transparency and improved public awareness of research. Information about individual clinical trials is added to ClinicalTrials.gov through a registration process. Various regulatory bodies and committees have promoted both definitions of those clinical trials required to register and the necessity of results reporting.

Regulatory Requirements

Registration of a clinical trial in ClinicalTrials.gov and maintenance of the clinical trial record is required by several regulatory bodies and committees. Additionally, failure to comply can result in penalties. Food and Drug Administration Amendments Act of 2007 801, International Committee of Medical Journal Editors and Centers for Medicare and Medicaid Services are the most commonly referenced requirements. Please note that the clinical trial may be subject to other policy or sponsor requirements and registration and maintenance is recommended for a clinical trial receiving funding and/or support from the National Institutes of Health.

<table>
<thead>
<tr>
<th>Regulation/Policy</th>
<th>Timeline for Registration</th>
<th>Results Reporting Required</th>
<th>Penalty for Not Complying</th>
</tr>
</thead>
<tbody>
<tr>
<td>Food and Drug Administration Amendments Act of 2007 801</td>
<td>21 days post first subject enrollment</td>
<td>Yes</td>
<td>Initial $10,000 and $10,000/day for the duration of the violation (uncorrected violations), withholding of funds, sanctions</td>
</tr>
<tr>
<td>ICMJE</td>
<td>At or before first subject enrollment</td>
<td>No</td>
<td>Inability to publish in many prominent journals</td>
</tr>
<tr>
<td>CMS</td>
<td>Prior to submission of claim</td>
<td>No</td>
<td>Claims will not be paid</td>
</tr>
<tr>
<td>NIH</td>
<td>Recommended - 21 days post first subject enrollment</td>
<td>Recommended - Yes</td>
<td>Recommended - not enforced</td>
</tr>
</tbody>
</table>

For more information about ClinicalTrials.gov requirements and registration:

https://clinicaltrials.gov/ct2/manage-recs/register
https://clinicaltrials.gov/ct2/manage-recs/background
https://clinicaltrials.gov/ct2/manage-recs/fdaaa
Office of Research Development, Integrity and Assurance
Responsibilities

The Office of Research Development, Integrity and Assurance performs the following functions:

- Administers ClinicalTrials.gov accounts
- Assists in determining if a clinical trial is an Applicable Clinical Trial and requires compliance with Food and Drug Administration Amendments Act of 2007 801 requirements.
- Monitors research community activity and responsibilities within ClinicalTrials.gov
- Handles inquiries/concerns from the research community

Researcher Responsibilities

Principal Investigators determined to be the Responsible Parties of Applicable Clinical Trials (ACT) that meet the requirements for registration on ClinicalTrials.gov perform the following functions:

- Request an account to register the ACT
  - Please contact Bess Dieffenbach at edieffen@gmu.edu to set up an account
- Correctly identify the Responsible Party for a clinical trial requiring action on ClinicalTrials.gov
- Create records on ClinicalTrials.gov
- Approve and release actions associated with ClinicalTrials.gov records
  - Confirm accuracy of content in record
- Resolve problems on ClinicalTrials.gov
- Maintain records on ClinicalTrials.gov including content updates (at least once every 12 months), modification of the verification date, and results reporting if required
  - Note: Notifications of necessary updates will be sent via email to the PI on the project. The administrator will also receive email notices about problem records and may send reminders to the PI to follow up on progress updating the ClinicalTrial.gov record, but it is the responsibility of the PI to maintain an accurate and updated record on the site.
- Attend or utilize training (online training can be found at: https://clinicaltrials.gov/ct2/manage-recs/present/#OnlinePresentations)
- Notify Office of Research Integrity & Assurance of receipt of any correspondence from an external agency regarding Food and Drug Administration Amendments Act of 2007 801 requirements, a ClinicalTrials.gov record, registration requirements or maintenance requirements within seven days of receipt
- Notify Office of Research Integrity & Assurance 30 days prior to an expected and 14 days following an unexpected Principal Investigator/Responsible Party personnel change. If required, complete the modification to the Principal Investigator/Responsible Party in the impacted ClinicalTrials.gov record 30 days prior to an expected and 14 days following an unexpected personnel change or work with Office of Research Integrity & Assurance in completing a record transfer

References: Based on guidance from Indiana University’s Quality Improvement Office “ClinicalTrials.gov Compliance Program” at: http://researchcompliance.iu.edu/qio/qio_ctgov.html.