Managing the study (Part 1)

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It seems that we have a very good study design in our hands...



Is that all that we need?

The value of study management and conduct



The best study design can be destroyed if it is not complimented with appropriate study conduct

The value of study management and conduct

• <u>Sample collection:</u> *Assembly of patients, records or studies*

• <u>Avoiding bias during study execution</u> *Randomization procedures Allocation concealment Blinding Proper application of the assigned treatment Proper assessment of the outcomes Retaining patients: follow-up Contamination Co-intervention*

Gathering the evidence: Assembly of patients, records or studies



The process of collecting the proper evidence is crucial for reaching valid conclusions

Gathering the evidence Patient recruitment

 $Who \ {\rm will \ recruit \ patients?}$

How will patients be recruited?

From Where will patients be recruited?

Gathering the evidence Patient recruitment: *Who will recruit patients?*

Patient recruitment represents one of the most challenging tasks in clinical studies

It demands:

- Understanding the need for conducting the study
- Knowledge and accurate interpretation of the protocol
- Understanding of the methodological perspective of the study
- Commitment
- Skills of interpersonal communication



Gathering the evidence Patient recruitment: *Who will recruit patients?*

Good candidates for patient recruiters

- Physicians or Nurses that have past experience in patient recruitment
- Persons that work in teaching or University affiliated hospitals or medical centers – Research oriented physicians or nurses
- Persons referred by other successful recruiters



Gathering the evidence Patient recruitment: *Who will recruit patients?*

Not so good candidates for patient recruiters

- Physicians or Nurses that are actively involved in many different research projects – Recruiting competition
- "Contract researchers" Physicians that have lost their motivation and enthusiasm
- Physicians with strong personal beliefs regarding the treatment modalities evaluated



Gathering the evidence Patient recruitment: *How will patients be recruited?*

Patient recruitment plan:

- Accrual rate
- Interim goals
- Flexibility
- Alternatives
- Active monitoring



It is almost certain that every physician will **overestimate** the number of patients that can be recruited at a certain period of time

Gathering the evidence Patient recruitment: *How will patients be recruited?*

Why a prospective patient might not be recruited :

- Ignorance (*Doesn't know about the study*)
- Unwillingness (Doesn't want to be in the study)
- Not suitable (*Doesn't satisfy the eligibility criteria*)
- Already taken (*Is enrolled in a similar study*)

Gathering the evidence

Patient recruitment: *How will patients be recruited?*

Overcoming obstacles

- Media campaigns, radio and TV announcements, newspaper and magazine articles directed at the population of prospective patients
- Direct contact with all the physicians-potential referrers in a given area
- Reinforcing the recruiting efforts of your study investigators
- Let eligible patients know that they can satisfy their own needs while helping others

Gathering the evidence Patient recruitment: *From where will patients be recruited?*

What kind of population do we need?

- Patients referred by general practitioners?
- Outpatient clinic in a tertiary hospital/ "clinical excellence center": *Highly selected patients, not representative of the milder forms of the disease or exposure*
- Patients admitted in the clinic?

Patients with a specific clinical spectrum - Patients with severe morbidity

• Community:

Wide spectrum of the condition under investigation Community specific bias: Socioeconomic level, race, education

Diversifying patient demographics

Gathering the evidence Patient recruitment: *From where will patients be recruited?*

REMEMBER:

to be able to extend results the sample must be representative of the population, i.e. all types of subjects included in the population must be **proportionally** represented in the sample



Gathering the evidence Patient recruitment: *From where will patients be recruited?*

Avoid Selection Bias

Target all eligible women and record all refusals* (Consecutive accrual)



It may be helpful to obtain some baseline clinical details about them in order to explore any major differences between participants and non-participants, which could affect the external validity of the trial

Gathering the evidence *Records*

In retrospective studies (such as case-control studies) retrieval of patients' records is necessary



Gathering the evidence *Records*

Important parameters

Where to look:

Records from hospital archives, from registries etc.

What to look for:

Records from **all patients** satisfying the eligibility criteria (Consecutive accrual)

Gathering the evidence *Studies*

Where to look?

- Bibliographic Databases
- Relevant Journals
- Unpublished and Ongoing studies

Bibliographic Databases

- MEDLINE (>16 million articles/ 1950-present)
- PubMed (MEDLINE + Citations not indexed in MEDLINE)
- EMBASE (> 11 million articles/ 1974-present)

Of the 4,800 journals indexed in EMBASE, 1,800 are not indexed in MEDLINE. Similarly, of the 5,200 journals indexed in MEDLINE, 1,800 are not indexed in EMBASE.

Bibliographic Databases

- SCOPUS (16,500 peer-reviewed journals and 3.6 million conference papers)
- Web of Science (>10,000 journals and >110,000 conference proceedings)

Other Subject-Specific Bibliographic Databases

- Biological Abstracts / BIOSIS Previews
- International Pharmaceutical Abstracts
- Cumulative Index to Nursing and Allied Health (CINAHL)
- PsycINFO

Other sources of studies

- Handsearching of relevant journals *(especially those not indexed in bibliographic databases)*
- Conference abstracts or proceedings
- Other reviews, guidelines and reference lists as sources of studies
- Web searching (such as Google Scholar)

Other sources of studies

Unpublished or Ongoing trials

<u>Registries:</u>

- National and international trials registers *(www.clinicaltrials.gov, WHO ICTRP etc)*
- Pharmaceutical industry registries

For more information you can visit: http://www.cochrane-handbook.org/

Search strategy

<u>3 major components – 3 major concepts</u>

All relevant to the hypothesis to be tested

Is the addition of rLH associated with the probability of live birth in patients undergoing ovarian stimulation for IVF?

Concept 1: Independent variable → addition of rLH Keywords: recombinant luteinizing hormone OR rec LH or rLH or Luveris...

Concept 2: <u>Dependent variable</u> → live birth Keywords: Live birth or delivery or birth or pregnancy

Concept 3: <u>Population studied</u> → patients undergoing IVF Keywords: in-vitro fertilization OR in-vitro fertilisation OR ovarian stimulation OR IVF

Eligibility criteria will form other concepts: e.g. if only RCT are to be included then "random*" could be another search term

Is the addition of rLH associated with the probability of live birth in patients undergoing ovarian stimulation for IVF?



Search fields – Limits

Search field: Each keyword can be searched in various fields

"Title", "Title/Abstract", "Text", "Keywords", "Author"

PubMed and Embase also offer "Limits":

Type of article: "Clinical trial", "Review", "meta-analysis", "Letter" etc Species: "Human", "animals" etc Gender: "Female", "Male" etc Ages: "All child", "All Adult" etc

Tip: Once you have identified a key article for your search you can also use the **"Related Articles"** or **"Similar Articles"**

Controlled Vocabulary Thesaurus MEDLINE: MeSH (Medical Subject Heading) EMBASE: EMTREE Different researchers may use different words to describe the same concept:

e.g.: poor or low or inadequate or suboptimal or slow or minimal or... ovarian response

By using the intelligent "Controlled Vocabulary Thesaurus" of each search engine it is possible to identify more articles

Case Report Form (CRF):

Official clinical data-recording document or tool used in a clinical study

Purpose:

- Collects relevant data in a specific format in accordance with the protocol
- Allows for efficient and complete data processing, analysis and reporting

Design:

- Standardized Easily Comprehensible
- All info required per protocol should be included in the CRF
- Data not to be analyzed should not be included in the CRF

Designing CRF:

- Optimize for all potential users (different background)
- Collect data required by regulatory agencies (e.g. IRB, FDA)
- Be clear and concise with your data questions
- Avoid duplication
- Request minimal (if any) free text responses
- Provide units to ensure comparable values
- Provide instructions to reduce misinterpretations

Designing CRF:

- Provide "choices" for each questions
- Use "None" and "Not done"
- Collect data in a fashion that:

allows for the most efficient computerization

• CRF book needs to be finalized and available before an investigator starts enrolling patients into a study

Ask investigators to review CRF and provide you with feedback

Example CRF:

SYMPTOMS AND SIGNS OF CURRENT EPISODE (PLEASE MARK EA	ACH Q	UESTION)	
DERMATOLOGIC:			
Erythema migrans (physician diagnosed EM at least 5 cm in diameter)?[Y]	[N]	[?]	
Arthritis characterized by brief attacks of swelling in one or a few joints? [Y]	rN1	[2]	
NEUROLOGIC:	[,,]	r.1	
Bells palsy or other granial neuritis?[Y]	[N]	[?]	
Kadiculoneuropathy?[Y]	[N] [N]	[?]	
Encephalitis	[N]	[?]	
Antibody to B. burgdorferi higher in CSF than serum?	[N]	[?] or not tested []
CARDIOLOGIC:	FNI 1	101	
Zha or 3ra degree atrioventricular block ([Y]	[14]	10	
Other clinical:			
	L_ 1U	L	
Date of onset of first symptoms: <u>)</u> Date of diagnosis: <u>)</u> Date of report 1	io near	nagency: <u>))</u>	
mo ay yr mo ay yr		mody yr	
OTHER HISTORY			
Was the patient hospitalized for the current episode? [Y] [N]		[?]	
Name of antibiotic(s) used this episode?			
Was the patient pregnant at the time of the illness?[Y] [N]		[?]	
VVhere was the patient most likely exposed? CountyState			- 1

Study data extraction sheet (SDES):

- Based on the same principles as the CRF
- Standardization
- All info needed per protocol should be recorded in the SDES
- Available for review from all authors
- Easy to identify discrepancies between Data Extractors

CRF & SDES:

Electronic forms of CRF and SDES become increasingly available

However,

Always keep hard copies of the CRFs and SDES

• Hardware failures

• More difficult to temper with

Avoiding bias during study execution



or else... how to avoid spurious findings

Avoiding bias during study execution

Bias:

How two people tell a different story referring to **the same facts**
Avoiding bias during study execution

Bias:



The story of the 3 innocent little pigs and the big BAD wolf....



....or maybe not???

Bias in medical research:

"any factor or process that tends to deviate the results or conclusions of a study systematically away from the truth"

Sackett DL, J Chronic Dis, 1979

Most important types of Bias in medical research:

Selection bias, defined as a non-random imbalance among treatment groups of the distribution of factors capable of influencing the end-points, that is, of sub-experimental factors (including prognostic factors)

Assessment bias (or ascertainment bias), defined as a non-random imbalance among treatment groups in the way subjects are followed and assessed during the course of the study

Analysis bias, defined as a distortion in favor of one of the treatments, intervening during the data analysis

Performance bias, defined as a non-random imbalance among study groups in the treatment they receive besides the examined intervention

How can we protect our study from bias?

Randomization

the assignment of subjects to treatments with a predefined probability and by chance

Why?

Why randomize?

eliminates selection bias for both known and <u>unknown</u> factors (confounders) capable of influencing the response to treatments

it allows the frequentist approach to statistical inference

(The foundation of the frequentist approach to statistical inference is the assumption that the sample is extracted randomly from the population)

How to randomize?

Randomization is carried out through lists of random numbers*

- * 0577445292
 * 3721208915
 * 0374227859
 * 1016442935
 * 2283885502
 * 5497964383
 * 2380852827
 * 0221757791
 * 1726275631
- * 6485059716

*A list of random numbers is a sequence of numbers which follow one another without any discernible order or trend, i.e. each number has the same probability of appearing at any position of the list



How to randomize?

Randomization lists are generated by specialized computer software (also available in the World Wide Web)

Types of randomization

Simple randomization

Each patient has the same probability of receiving each of the study treatments

Example: Lets assume we are conducting a RCT comparing two types of gonadotrophins: **A vs. B**

Subject	Allocated treatment
1	А
2	В
3	А
4	А
5	В
6	В
7	В
8	А

Types of randomization

Simple randomization

Bear in mind that there is also a small (but existing) probability that a randomly generated sequence could "appear" to be not so random

Subject	Allocated treatment
1	А
2	В
3	А
4	В
5	А
6	В
7	А
8	В

Subject	Allocated treatment	
1	А	
2	А	
3	А	
4	А	
5	В	
6	В	
7	В	
8	В	

Bias: a researcher's worst nightmare Types of randomization <u>Randomization in blocks</u>

Randomization sequence is regenerated for every block of patients which could be of a fixed or variable size

To obtain numerically balanced groups (especially in small studies)
To obtain a constantly balanced recruitment, that is, a similar size of the treatment groups throughout the enrolment process (helpful when interim analyses are planned or routine treatment of recruited patients, other than the intervention examined, changes with time)

Randomization in blocks	Block	Subject	Treatment
Block randomization using a	1	1	А
		2	В
		3	В
		4	А
liked block size of T	2	5	А
		6	В
		7	А
		8	В
	3	9	В
		10	В
		11	А
		12	А
	4	13	В
		14	А
		15	А
		16	В
	5	17	В
		18	А
		19	В
		20	А

Randomization in blocks

Block randomization using a variable block size of 4 or 6

Subject	Treatment
1	В
2	В
3	А
4	В
5	А
6	А
7	А
8	В
9	В
10	А
11	А
12	А
13	В
14	В
15	А
16	В
17	В
18	В
19	А
20	А
	Subject 1 2 3 4 5 6 7 8 9 10 11 12 13 14 15 16 17 18 19 20

Randomization in blocks

Disadvantages:

the researcher may be able to guess the sequence, even in the presence of blinded treatments (especially when using blocks of small fixed size)

Example:

Assume that one of the two treatments is known by its pharmacological properties to be associated with tachycardia.

If the researcher has knowledge that randomization has been performed using blocks of four, then knowing the patients who presented tachycardia can lead him to a good guess regarding the next allocation

Simple randomization and randomization in blocks

Randomization does not ensure homogeneous groups in all potential prognostic factors (especially is small studies)

Randomization ensures that potential imbalances between groups have resulted by pure chance

How can I ensure that the groups will be homogeneous for specific important parameters?

Stratified randomization

Stratified randomization ensures constant balance between groups in a limited number of <u>predetermined</u> factors (confounders) that could affect the groups response to treatment (e.g. age, gender, previous medical history etc.)

Stratified randomization

Example:

Stratum	Age	Male Factor	AFCs	Randomization	
1	< 35 years	Positive	< 9	ABBA, BBAA, BABA, AABB	
2	≥ 35 years	Negative	< 9	ABAB, ABBA, BABA, BBAA	
3	< 35 years	Negative	< 9	AABB, BBAA, ABAB, ABBA	
4	≥ 35 years	Positive	< 9	ABBA, BABA, AABB, ABAB	
5	< 35 years	Positive	≥ 9	AABB, BBAA, ABAB, ABBA	
6	≥ 35 years	Negative	≥ 9	ABBA, BBAA, BABA, AABB	
7	< 35 years	Negative	≥ 9	BBAA, BABA, BAAB, AABB	
8	≥ 35 years	Positive	≥ 9	BABA, AABB, BBAA, ABBA	

Stratified randomization

As the number of prognostic factors increases (n),

randomization becomes more difficult

to implement in real-life

(strata=2ⁿ)

especially in small studies

Dynamic randomization or minimization

 the allocation to each treatment group is decided based on the distribution among treatment groups of pre-established prognostic factors at the time a new patient is to recruited (minimizes imbalance)

Dynamic randomization or minimization

- it allows for imbalance correction on-the-fly
- It requires previous knowledge of the distribution of the prognostic factors in the two groups up to that point
- It is not considered truly random
- Some randomness can still be achieved through the use of a "biased coin" randomization procedure

Randomization in unequal groups

- Allocation ratio is usually 1:1
- Certain situations call for different allocation ratios (3:2, 2:1, 3:1, etc.)

e.g. Randomize more patients to new treatment (assess the safety profile)

Drawback:

• Reduced power





How <u>NOT</u> to randomize

- Alternate sequence (A-B-A-B-A-B-A-B-···)
- Based on final digit of Social Security Number or other Identification Numbers (odds=A, even=B)
- Based on Week Days etc.

In these cases the recruiting physician can predict to which group will the next patient be allocated

These methods are considered quasi or pseudorandomization methods

Is the generation of a proper randomization plan enough against selection bias?



No, if someone took a sneak peek

The value of allocation concealment

• Even a flawless randomization plan is useless if the sequence that has

been generated is known to recruiting physicians (and/or patients)

• Selection bias might infiltrate since physicians might categorize specific

patients as "eligible" or "ineligible" based on this knowledge

Allocation concealment is considered at least equally important with randomization and specific measures should be employed for its implementation

The value of allocation concealment

Trials that use inadequate or unclear allocation concealment tended to yield **40%** *larger estimates of effect compared with those which used adequate concealment*

> Schulz et al., 1995, JAMA Juni P, Altman D and Egger M., 2001, BMJ

Deciphering the allocation concealment scheme



Deciphering the allocation concealment scheme

Schultz and Grimes, 2002, The Lancet

Common methods to ensure allocation concealment

- Randomization plan should be trusted to someone not participating in the trial, especially in the recruitment process
- Sealed, <u>opaque</u>, sequentially numbered envelopes or containers

(which are opened after the participants name is written on the envelope)

- Central telephone, fax or email service
- Central pharmacy

Most important types of Bias in medical research:

Selection bias, defined as a non-random imbalance among treatment groupsof the distribution of factors capable of influencing the end-points, that is, of sub-experimental factors (including prognostic factors)

Assessment bias (or ascertainment bias), defined as a non-random imbalance among treatment groups in the way subjects are followed and assessed during the course of the study

Analysis bias, defined as a distortion in favor of one of the treatments, interveningduring the data analysis

Performance bias, defined as a non-random imbalance among study groups in the treatment they receive besides the examined intervention

How can we protect our study from ascertainment, performance or analysis bias?

Blinding



Not knowing the group in which each patient has been allocated

Why blinding (or masking) is so important?

It protects from

- 1) Ascertainment bias, where physician's assessment about patient outcomes are influenced by the knowledge of which treatment they received
- Performance bias, where physician's management of patients (besides the intervention examined) might be influenced by the knowledge of which treatment they received
- 3) Analysis bias, where statisticians and data analysts might handle and analyze data differently favoring one or another treatment

Single-blinded studies

The patient is unaware of which treatment he/she is taking, while the investigators are aware of the treatment received by each patient

Advantages:

- relatively simple and inexpensive design
- Disadvantages
- patients might under- or over-report treatment effects and side-effects, based on some influence or response from the investigators
- investigators may give advice or prescribe additional therapy to the control group if they feel that these patients are disadvantaged in comparison to the active group

Safety studies often have a single-blind design that allows investigators to detect side-effects more rapidly

Single-blinded studies

Blinding of patients can be achieved by concealing the identity of the medication each group receives

- The use of placebo is mandatory when no active treatment is available for comparison
- Tablets, bottles, injections or other drug preparations should be identical and without any marks indicative of their identity
- Under no circumstance during the follow-up of the patient should the treating physicians or nurses provide hints regarding the allocation of the patient

Double-blinded studies

The patient and the physicians assessing the outcome of interest are unaware of which treatment the patient has been taking

Advantages:

- Investigator's preconceptions of the treatments used in the study do not influence their judgment of outcome
- Disadvantages
- more complex design
- not always easy to implement (e.g. surgical procedures)
- experienced researchers might suspect the allocated treatment based on certain "side effects" of each drug
- the researchers cannot monitor satisfactorily the safety profile of a drug (a Data Monitoring Safety Board is needed DMSB)

Triple-blinded studies

The patient, the physicians assessing the outcome of interest as well as all members of the project team (such as the statistician, and data manager), and even the DMSB, are unaware of which treatment the patient has been taking

Advantages:

• Analysis bias is minimized

Disadvantages

- extremely more complex design
- the researchers cannot monitor satisfactorily the safety profile of a drug

This design is more appropriate for studies in which the risk of adverse events of the new treatment is low or comparable to the active treatment

Some notes on blinding

Blinding through assigning different tasks to different researchers If the assigned treatment must be delivered by a physician then this physician should not be involved in any other aspect of the study e.g. comparison of two different surgical techniques

Double-dummy blinding

When the two treatments are administered in different ways, then two identical placebos (dummies) must be administered e.g. Comparison of daily administered gonadotrophin vs. long-acting gonadotrophin

During follow-up...



...many things can go wrong

Bias: a researcher's worst nightmare Key issues during follow-up *Co-intervention:*

- Occurs when sympathetic care-givers provide out-of-protocol additional interventions (which are effective) in patients that know to be controls
- Such co-interventions can distort the results of the comparison by underestimating the effect of the actual treatment
- Avoidance of such practices or recording of such incidents allows for a more objective estimation of the treatment effect

Sackett D., 2007, Int J Epidemiol, 36 (3), 664-665
Bias: a researcher's worst nightmare Key issues during follow-up

Contamination:

- When patients (or treating physicians) realize that they belong to the control/ placebo group and receive (or administer) the experimental treatment often "just to be safe"
- Such contamination can also occur from allocation errors
- Contamination leads to an underestimation of the actual treatment effect of the experimental treatment (when compared to placebo)

Sackett D., 2007, Int J Epidemiol, 36 (3), 664-665 *Bias: a researcher's worst nightmare* Key issues during follow-up

> Co-intervention and contamination can be measured and their effect controlled for given that a proper follow-up protocol has been implemented

e.g. periodic blood sampling from controls for detection of specific drug effects or drug metabolites

Sackett D., 2007, Int J Epidemiol, 36 (3), 664-665

Bias: a researcher's worst nightmare Follow-up and management of bias Proper follow-up:

- Predetermined schedule of primary and secondary outcomes assessment (length of observation period, intervals)
- Standardization of assessment procedures and training of physicians
- Limit the time frame of follow-up as much as possible
- Record any post randomization exclusions, drop-outs, protocol deviations, lost-to-follow up, missing data cases

etc. with reasons



Bias: a researcher's worst nightmare Follow-up and management of bias Proper follow-up ensures:

- Appropriate evaluation of the comparative effect of the two treatments compared in terms of efficacy (per protocol analysis)
- Appropriate evaluation of side-effects and compliance for each treatment
- e.g. even if a drug is more efficacious, it could be a failure due to multiple severe side-effects that lead patients to dropping out
- Appropriate evaluation of the comparative effect of the two treatments compared in terms of effectiveness (intention-to-treat analysis)

Conclusions



The value of study management and conduct

Sample collection:

Proper assembly of evidence (patients, records or studies) is crucial for reaching valid conclusions The value of study management and conduct

Defense against bias:

There are various forms of bias that can infiltrate your study and invalidate the results

Randomization, allocation concealment, blinding and proper follow-up minimize the potential bias(-es) and ensure that your data will be one more step towards the truth

Never underestimate your research efforts



Within each patient, within each small study may lie the Rosetta Stone of information that will bring us closer to a major scientific breakthrough...

Further reading:

- 1. The CONSORT statement <u>http://www.consort-statement.org/</u>
- 2. The Cochrane Handbook for Systematic Reviews of Interventions, http://www.cochrane-handbook.org/
- A Manager's guide to the design and conduct of clinical trials, by Phillip Good, John Wiley & Sons, Inc., Hoboken, New Jersey
- Randomized Controlled Trials, Design, Practice and Reporting, by D. Machin and P. Fayers, John Wiley & Sons, Inc., Hoboken, New Jersey
- 5. Design and Analysis of Clinical Trials, Concepts and Methodologies, by S-C Chow and J-P Liu, John Wiley & Sons, Inc., Hoboken, New Jersey
- 6. The Design of Studies for Medical Research, by D. Machin and M.J. Campbell, John Wiley & Sons, Inc., Hoboken, New Jersey
- Allocation concealment in randomised trials: defending against deciphering, K.F.
 Schultz and D.A. Grimes, the Lancet, 2002;359:614-618
- Schulz KF, Chalmers I, Altman DG. The landscape and lexicon of blinding in randomised trials. Schulz KF, Chalmers I, Altman DG, Ann Intern Med 2002; 136: 254 – 59