

Policy Name: Study Types	Policy Number: 6.1
Section: Study Protocol – 6	Date Revised: March 15, 2013

6 Study protocol

This section of the Policies and Procedures describes Alliance clinical trial characteristics and conduct, including definitions of study types, study team roles, development of a study protocol, and policies relating to study conduct.

6.1 Study types

Each Alliance study is characterized either as a “treatment” study or as a “non-treatment” study.

6.1.1 Treatment studies

Treatment refers to therapy for diagnosed cancer including chemotherapy, surgery, radiotherapy, or other therapy, including adjuvant therapy, as long as it is directed against the cancer.

6.1.2 Non-treatment studies

All other studies are classified as non-treatment, even those for which there is therapy for some secondary condition. Non-treatment studies can stand alone or can be a companion to one or more treatment studies.

6.1.2.1 Companion studies

A companion study is conducted in conjunction with one or more treatment or other intervention studies. Companion studies may investigate pharmacology, tumor biology, quality of life, symptom management, economic outcomes, or other areas of interest to the group.

A companion study may be embedded within another study to reduce administrative and IRB work for participating institutions, decrease the number of consent forms a trial participant must sign, or facilitate translational research. In order to receive a separate study number, the study component should be an objective (or more than one objective) of the main trial, as listed in the protocol document. The component should also have a separate study chair listed on the protocol cover.

The Alliance Executive Committee has determined that an embedded companion study may be assigned 0.25 accrual credits. Companion accrual credits will be separated from any accrual-based payment amounts.

Policy Name: Study Participation	Policy Number: 6.2
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6.2 Study participation

Unless otherwise indicated, Alliance studies are open to all members of the group. In accordance with U.S. Department of Health and Human Services (HHS) policy, member institutions must receive IRB approval prior to registering trial participants on an Alliance study. Some studies may require limited access or establish individual credentialing requirements (see section 7).

6.2.1 Limited access studies

Limited access studies restrict trial participant registration to a specific list of institutions indicated on the protocol cover page. Affiliates or networked institutions may not participate unless specifically stated on the protocol cover page. Main member institution participation does not guarantee affiliate institution participation. An affiliate institution may participate, if listed on the protocol cover page, regardless of whether its corresponding main member institution also participates. The study chair, in consultation with the committee chair, determines the list of limited access institutions.

6.2.2 Credentialing

Studies may require credentialing, an authorization before investigators and/or institutions can participate. Credentialing is often conducted at the level of an individual investigator, e.g., a surgeon is credentialed to perform a particular surgical procedure. Institutions may also need to be authorized to participate in a particular study, e.g., an approved transplant institution. Authorizations may be study-specific, for example, fulfillment of additional regulatory requirements. Requirements for credentialing and/or authorization are included within the protocol document.

6.2.3 Non-Alliance members

Members of other network groups may participate in certain Alliance studies via the CTSU and the Oncology Patient Enrollment Network (OPEN). Requirements for submission of study data and materials are the same as for Alliance members.

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6.3 Study team roles and responsibilities

6.3.1 Study chair

The study chair is responsible for proposing the research idea to, and obtaining approval from, the committee chair. The study chair works with the committee chair, committee statisticians, appropriate committee members, committee liaisons, and other study team members to refine the concept and, upon approval by the Alliance Study Concept Review Committee (SCRC) and Cancer Therapy Evaluation Program (CTEP) or the Division of Cancer Prevention (DCP), to develop the trial. Trial development includes writing and revising sections of the protocol, participating in conference calls with the study team and CTEP or DCP, and working with statisticians and the data management staff to define the required data elements that must be captured on the case report forms.

While the trial is active, the study chair responds to requests for clarification of protocol details, participates in the development of trial amendments, and, when appropriate, participates in case reviews. For phase 1 trials, the study chair is required to convene regularly scheduled conference calls with the primary statistician, representatives from each participating institution, and other staff as appropriate to evaluate toxicities encountered and to make decisions concerning dose escalation, modification of cohort size, etc.

Upon completion of the primary endpoint, and in conjunction with the primary statistician, the study chair is responsible for ensuring that the results of the study are published or reported to the scientific community.

6.3.1.1 Moving study chair to a non-Alliance institution

If the study chair moves to a non-Alliance institution, the committee chair appoints an Alliance-based study co-chair, if one has not already been named for the study. The study chair may continue to serve in the full capacity of study chair with the agreement of the appropriate committee chair and if no conflicts of interest have arisen because of the move of the study chair.

6.3.1.2 Replacing study chair

Study chairs will have their performance carefully evaluated and will be replaced if performance is not satisfactory. If a study chair is forced to relinquish responsibility for a study, the group chair (or designee) and committee chair will appoint a new study chair and re-assign authorship responsibility.

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6.3.2 Study co-chair

Study co-chairs are responsible for the section of the protocol specific to their modality.

At least one member of the study leadership team in the role of chair or co-chair shall be a community oncologist (see section 13 of Alliance Bylaws).

6.3.2.1 Moving study co-chair to a non-Alliance institution

If the study co-chair moves to a non-Alliance institution, the study co-chair may continue to serve as study co-chair with the agreement of the appropriate committee chair and if no conflicts of interest have arisen because of the move of the study co-chair.

6.3.2.2 Replacing study co-chair

Study co-chairs will have their performance carefully evaluated and will be replaced if performance is not satisfactory. If a study co-chair is forced to relinquish responsibility for a study, the group chair (or designee) and committee chair will appoint a new study co-chair and re-assign authorship responsibility.

6.3.3 Committee chair

The committee chair is responsible for the scientific portfolio and priorities of his/her committee, including protocol development, conduct and analysis and publication of results. As delegated by the Alliance Executive Committee, the committee chair approves concepts for further development and may select or assign study chairs or co-chairs. The committee chair is responsible for submitting study concepts that emerge from his/her committee to the SCRC. For more information see section 4.

6.3.4 Primary statistician

6.3.4.1 Primary statistician

The primary statistician has primary responsibility for all statistical aspects of the protocol, including description of the study design, calculation of the sample size necessary to meet the primary objective of the study, and description of the interim and final analyses that will be used to investigate the primary and secondary hypotheses of the study. The primary statistician

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oversees the development of case report forms and the forms schedule.

For studies monitored by the Data and Safety Monitoring Board (DSMB), the primary statistician is responsible for preparing the monitoring reports presented to the DSMB (see section 16). After the study is closed, the primary statistician directs the final analysis of the data and assists the study chair in preparation of a manuscript.

6.3.4.2 Secondary statistician

The secondary statistician assists the primary statistician. During the development of the protocol, the secondary statistician works in collaboration with data management staff, the primary statistician, and the study chair to develop case report forms.

6.3.5 Data personnel

Data personnel review protocols, create data submission sections, and work with the study chair, statisticians, clinical research professional liaisons, oncology nurse liaisons, and information systems personnel to create new case report forms (paper or electronic). The data personnel are responsible for the data management of assigned protocols.

6.3.6 Protocol coordinator

Upon concept approval by the SCRC, the Alliance protocol coordinator is responsible for coordinating the development of the protocol. The protocol coordinator works with study team members to draft, review, and revise the protocol as it is developed. The protocol coordinator is responsible for managing protocol-related correspondence with CTEP or DCP and, upon CTEP or DCP approval, notifies Alliance membership of study activation.

Post-activation, the protocol coordinator is responsible for managing any protocol amendments, working with members of the study team or other functional areas as appropriate.

6.3.7 Executive officer

The executive officer, when one is assigned, monitors protocol development and assists the protocol coordinator with issues requiring physician input, for example reviewing SCRC meeting minutes or evaluating the appropriateness of eligibility criteria or dose modifications. The executive

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officer assists with reviews of serious adverse events (SAEs) and Adverse Event Expedited Reporting System (AdEERS) reports, coordinates study-specific emergency actions, reviews correspondence with NCI, and responds to queries when the study chair is unavailable. The executive officer also participates in logistical activities of protocol development, for example assessing study budget needs or study feasibility. Additionally, the executive officer assists in the coordination of industry interactions.

Policy Name: Protocol Development	Policy Number: 6.4
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6.4 Protocol development

6.4.1 Protocol numbering

A concept submitted for review by the Study Concept Review Committee (SCRC) or the Translational Research Program (TRP) Executive Committee, or concepts containing data-only requests, has a study number assigned by the Alliance database ([table 6-1](#)). The study number will be assigned prior to concept review.

The first character of the study number is an A, followed by two digits that indicate the committee associated with the protocol. The next two digits indicate the year the concept was introduced. The final two digits are assigned consecutively for that committee as concepts are submitted to the SCRC. For example, the Breast Committee is A01, so A011204 would refer to the fourth breast cancer concept submitted in 2012.

Table 6-1. Alliance protocol numbering system

Alliance Committee	Committee Number	Sample Study Number
Breast	A01	A011101
Gastrointestinal	A02	A021101
Genitourinary	A03	A031101
Leukemia	A04	A041101
Lymphoma	A05	A051101
Myeloma	A06	A061101
Neuro-Oncology	A07	A071101
Respiratory	A08	A081101
Alliance Scientific Discipline Committee	Committee Number	Sample Standalone Study Number
Experimental Therapeutics	A09	A091101
Imaging	A10	A101101
Leukemia Correlative Sciences	A11	A111101
Pathology	A12	A121101
Pharmacogenomics and Population Pharmacology	A13	A131101
Radiation Oncology	A14	A141101
Solid Tumor Correlative Sciences	A15	A151101
Transplant	A16	A161101
Alliance Cancer Control Program	Committee Number	Sample Standalone Study Number
Cancer in the Elderly	A17	A171101
Comparative Effectiveness Research *	A18 *	A181101 *
Health Disparities	A19	A191101
Health Outcomes	A20	A201101
Prevention	A21	A211101
Symptom Intervention	A22	A221101
Cancer Care Delivery Research	A23	A231101

* not in use

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To more easily connect any embedded companion trial with a treatment study, a two-letter and number extension is added ([table 6-2](#)). So, “A021101-ST1” is a solid tumor correlative sciences embedded companion study that appears in study A021101. If more than one type of embedded companion is included in the treatment or intervention study, then sequential numbers are assigned (i.e., A021101-ST2, A021101-ST3, etc.).

Table 6-2. Alliance protocol numbering system - embedded studies

Committee	Embedded Study Suffix	Sample Study Number
Cancer in the Elderly	EL	A021101-EL1
Comparative Effectiveness Research *	ER *	A021101-ER1 *
Health Disparities	HD	A021101-HD1
Health Outcomes	HO	A021101-HO1
Prevention	PR	A021101-PR1
Symptom Intervention	SI	A021101-SI1
Imaging	IM	A021101-IM1
Leukemia Correlative Sciences	LC	A041101-LC1
Pathology	PA	A021101-PA1
Pharmacogenomics and Population Pharmacology	PP	A041101-PP1
Solid Tumor Correlative Sciences	ST	A021101-ST1
Cancer Care Delivery Research	CD	A021101-CD1

* not in use

6.4.2 Concept

6.4.2.1 Concepts other than translational research and data-only requests

Concepts are discussed at Alliance disease/modality committee meetings. If the concept includes various modalities, each modality committee must approve the concept before it can be submitted for review. In addition, the concept must have been reviewed by TRP prior to submission to the SCRC even if no translational research has been planned.

The Alliance requires treatment studies to be submitted to the SCRC on an appropriate NCI/CTEP Letter of Intent (LOI) or Concept submission form. In most cases, concept submission should occur after NCI Task Force review. An Alliance Conflict of Interest Form (completed by the study chair) and an Alliance Concept Submission Form must accompany the concept submission to the SCRC. Details concerning the proposed funding must be included with the concept submission.

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The committee chair must submit concepts to the SCRC. If the concept is submitted by a designate, the committee chair must indicate his/her approval of the concept in writing.

Concepts submitted by investigators external to the Alliance will be reviewed by the SCRC.

6.4.2.2 Translational research concepts

The TRP Executive Committee is responsible for reviewing and approving proposals requesting use of existing Alliance biospecimen resources (see section 11). Concepts must be submitted using the TRP Triage Form available on the Alliance website (<http://www.allianceforclinicaltrialsinoncology.org>). Details concerning the proposed funding must be included with the concept submission.

Translational research concepts submitted by investigators external to the Alliance will be reviewed by the TRP Executive Committee. An Alliance study co-chair will be named.

6.4.2.3 Concepts containing data-only requests

Studies that only require data that are already available in the Alliance Statistics and Data Center (data-only studies), and are not part of the original objectives of an Alliance study, will be considered for approval once the primary study analyses are published. If the proposed study requires data from a trial that is under active monitoring by the DSMB, the DSMB must review and approve the release of the data (see section 16).

The proposed data-only study may include data generated by a correlative study. Requests for use of biospecimens are covered by a separate review procedure, as noted above.

Requests for a data set that will be analyzed outside of the Alliance Statistics and Data Center (SDC) fall under the Data Sharing policies (see sections 6.11 and 15). Typically, these requests will originate outside of the Alliance.

The Alliance requires that Alliance-led data-only studies be submitted for review. Data-only study proposals should be submitted on a minimal risk study template that requires the following information:

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- Brief background information
- Goals
- Patient eligibility
- Analysis plan
- Budget / estimated Alliance SDC effort

Prior to submission for Alliance review and approval, the study requires the written approval of the proposing committee chair and committee statistician. The statistician will generate an Alliance SDC workload estimate. If the proposal is generated from a committee other than the committee that sponsored the original clinical/translational study, approval from that original committee chair and statistician is also required. In most cases, the original study chair will be involved in these discussions.

It will sometimes be the case that the data requested for analyses are not in the electronic database but will need to be abstracted from charts and reports. Data abstractions can only be performed if there is adequate funding and staff available.

For requests expected to require ≤ 25 hours of effort from the SDC, review and approval will be by the associate directors of SDC. For such requests, the investigator will be notified of the decision within three weeks of submitting all requisite items. Proposals expected to require > 25 hours of effort will be reviewed by the SCRC.

As specified in section 6.14, proposals requiring collection of additional data from Alliance institutions are discouraged and must be reviewed by the SCRC.

6.4.3 Developing the protocol

6.4.3.1 Communications post-concept approval

Upon approval by the appropriate concept review body, all subsequent communications with NCI CTEP or DCP must occur through members of the Central Protocol Operations Program (CPOP). CPOP submits the approved NCI LOI or Concept Submission Form to CTEP or DCP for approval.

Once CTEP or DCP approves the concept, the study team may begin developing the protocol. The protocol coordinator maintains the official, master version of the protocol document.

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6.4.3.2 Protocol authoring

Following concept approval by the SCRC, the protocol coordinator seeds the Alliance Model Protocol template with information from the concept/LOI. The study chair, study co-chair(s) and primary statistician(s) are responsible for authoring the first full draft of the protocol. The protocol coordinator edits the draft to Alliance standards and circulates it for initial review by the study chair, study co-chair(s), committee chair and vice chair, primary statisticians, data coordinator, the responsible executive officer, the director of pharmaceutical and regulatory affairs, and the director of biospecimen and correlative science operations.

Based on the comments received, a revised draft is constructed by the protocol coordinator and the study chair. This draft is then circulated for expanded review to the above reviewers, plus the following additional internal reviewers: director of protocol operations, group chair, quality assurance, IT reporting and analytics, and other members of data operations as appropriate. External reviewers include liaisons from Pharmacy, CRP, Oncology Nursing, and Patient Advocates Committees, as well as representatives from QARC, specimen repositories, and the Imaging Committee/Imaging Core Laboratory, as appropriate.

For translational research concepts, following triage review and approval of the concept by the TRP Executive Committee, the TRP program manager sends the study chair a copy of the Alliance TRP Correlative Science Model Protocol template for initial authoring. After the study chair and primary statistician author the full protocol, the protocol coordinator edits the draft to Alliance standards. The full protocol is then submitted to the TRP Executive Committee for review and final approval.

In both cases, after internal reviews are completed, the protocol is submitted by the protocol coordinator to CTEP, DCP or other appropriate review agency. The Alliance will adhere to all NCI-mandated protocol development timelines.

6.4.3.3 Determining the trial participant eligibility criteria

In general, there should be as few eligibility requirements as possible, with the requirements only excluding those for whom the study is clearly inappropriate.

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6.4.3.4 Inclusion of women and minorities

It is the policy of the National Institutes of Health (NIH) that women and members of minority groups and their subpopulations must be included in all NIH supported biomedical and behavioral research projects involving human subjects, unless a clear and compelling rationale and justification is provided that explains why inclusion is inappropriate with respect to the health of the subjects or the purpose of the research. The inclusion of women and minorities in Alliance protocols is a standard item of CTEP review. All protocols submitted to NCI include appropriate sections on women and minorities.

Alliance studies typically require trial participants to be at least 18 years old. In certain diseases, younger patient populations may be considered.

6.4.3.5 Determining the trial participant follow-up period

Each protocol must explicitly state the required follow-up time, and the maximum time period for which data are required for each trial participant. The requirement is based on study objectives and statistical design considerations, including those of companion studies. Disease committees may also specify disease-specific rules.

6.4.3.6 External protocol review

When ready, protocols are submitted to CTEP or DCP for review. Phase 3 trials are also reviewed by the Central Institutional Review Board. Changes mandated by the NCI or FDA do not need to be reviewed by the SCRC. In other cases, significant changes to the protocol, e.g., change in trial design or a significant change to sample size, must be re-reviewed by the SCRC.

Once all necessary external and internal approvals have been secured, the protocol is activated, generally in the next scheduled protocol posting.

6.4.4 Developing case report forms

The following policy describes the process of assembling the forms necessary to collect the scientific data required to meet the protocol objectives. The policy covers scientific and supplemental data form

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development and revision. **Note: When the term "form" is used in this section, it refers to the data collection form and the form instructions, whether paper or electronic.** Scientific forms are defined as those forms that are used for study data collection. Supplemental forms are those forms providing reference information necessary for completion of scientific forms.

6.4.4.1 Determining the data to be collected

Decisions about the amount and type of data collected are made jointly by the study chair, committee chair, primary statistician, and executive officer, if one is assigned to the study. As a general principle, Alliance studies attempt to collect the minimum amount of data required to meet the scientific objectives of the study.

6.4.4.2 Making use of standard Alliance forms

Whenever possible, the study chair and primary statistician should agree to make use of existing Alliance forms.

6.4.4.3 Using copyrighted forms

Any use of copyrighted forms should be coordinated through the Alliance. A copyrighted form is used as-is within the Alliance form shell. **NO MODIFICATIONS MAY BE MADE TO THE FORM BY ANY ALLIANCE PARTICIPANTS.** Only the copyright holder may make changes.

When the use of a copyrighted form requires a fee, and there is no specific grant funding the use of the copyrighted form, approval to disburse any Alliance funds must be granted by the group chair or the principal investigator for the Cancer Control Program as appropriate.

6.4.4.4 Forms design

All Alliance forms contain basic identifying features and adhere to a common format. Appropriate data management and IT staff ensure adherence to standard Alliance case report form formats.

6.4.4.5 Forms review and approval

All forms and instructions go through two review stages (initial and final review) before they can be used in a study or for administrative purposes.

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The following individuals provide the final forms approval:

- Primary statistician
- Clinical trials manager
- Quality review specialist
- Protocol coordinator and executive officer (as applicable) (for information only)
- Study chair

Other approvals may be obtained as deemed necessary by the development team. Upon receipt of all final approvals, further changes may not be made unless required by NCI review. The Alliance will not activate a study until all form approvals have been received.

6.4.4.6 Forms revision

When a form requires changes after study activation, data management staff are responsible for revising the form.

6.4.4.7 Forms distribution system

Most Alliance forms are available on the [Alliance website](#). Forms not available on the website may be obtained by contacting the appropriate Alliance staff member.

6.4.5 Participation in intergroup studies

There are two mechanisms for intergroup participation: either by placement of a study on the CTSU menu (most phase 3 studies), or by agreement between one or more network groups to participate in a protocol.

Each intergroup study coordinated by Alliance has co-chairs designated by the other groups. These individuals must be adequately informed about progress and problems with the protocols for which they are responsible.

Substantive amendments, e.g., those changing the study design or requiring a significant change in sample size, must always be discussed with representatives of the other groups.

Policy Name: Activating a Study	Policy Number: 6.5
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6.5 Activating a study

After receiving final protocol approval from CTEP or DCP, the Alliance Protocol Office activates the study, in coordination with Alliance IT, registration, and data management staff. A notice indicating that a study is officially open for accrual is issued by the responsible protocol coordinator in the protocol posting on the Alliance website. All Alliance treatment and intervention trials will be accessible from the member portion of the [CTSU website](#).

Policy Name: Waivers	Policy Number: 6.6
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6.6 Waivers

6.6.1 Eligibility waivers

No eligibility waivers will be granted.

6.6.2 Other waivers

The Alliance adheres to CTEP's policy that they will not issue or approve any waivers for protocol deviations, including eligibility criteria, treatment schedules, dose modifications, toxicity assessment, response criteria, and statistical aspects.

Policy Name: Updating a Study	Policy Number: 6.7
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6.7 Updating a study

6.7.1 Revisions and amendments

Protocol updates containing revisions and amendments may be generated in response to decisions by the study chair to change some aspect of the study design or conduct. All amendments that are not merely editorial in nature will be reviewed by the executive officer (if applicable), committee chair, primary statistician, director of pharmacology/regulatory affairs (if applicable), Translational Research Program representative (if applicable), and data management personnel.

Certain study changes must be approved by the Alliance Study Concept Review Committee (SCRC):

1. Amendments that add or change a primary objective or study arm
2. Amendments that change sample size by 50 patients or 20 percent, whichever is larger

Amendments required by the NCI or DSMB do not require SCRC review.

Updates may also be generated in response to information or requests from external agencies, such as safety letters or action letters distributed by CTEP.

For any studies monitored by the DSMB, approval of substantive updates by the DSMB is required prior to submission to CTEP. If the update includes changes in the trial design, these changes must first be discussed with CTEP before submission to the DSMB, unless the DSMB has requested the change in trial design based on safety or outcome data available only to the DSMB.

Policy Name: Suspending a Study	Policy Number: 6.8
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6.8 Suspending a study

A suspension is a temporary cessation of accrual to a protocol, either planned or unplanned. Suspension may also result in a temporary cessation or modification of treatment of patients already registered to a study. An unplanned decision to suspend a study is made by the study team based upon the recommendation of the NCI CTEP/DCP or industry partner, study chair or a surrogate, the primary statistician, relevant committee chair(s), or the DSMB.

Policy Name: Unblinding Trial Participants	Policy Number: 6.9
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6.9 Unblinding trial participants

The Alliance conducts clinical trials that mask, or blind, the identity of treatments given to trial participants and, sometimes, investigators. The DSMB, CTEP, or DCP may recommend that study accrual be stopped and treatment assignments be unblinded for all trial participants because of toxicity or safety concerns.

There are three scenarios, described below, where treatment assignments may be unblinded for individual trial participants.

Intentional unblinding of a treatment assignment, other than by the methods described below, is a serious breach of scientific ethics. The Alliance policies concerning scientific misconduct will be employed to investigate and report such incidents (see section 3.4).

6.9.1 Emergency unblinding

A trial participant's treatment assignment can be unblinded in emergent situations with approval of the appropriate Alliance executive officer (or designee) only if unblinding would influence management of the situation, e.g., if a child has swallowed a vial of pills. Study chairs, primary statisticians, and other Alliance staff are not permitted to approve emergency unblinding requests. Emergency unblinding requests should be directed to the Registration Office during regular business hours and Registration Office staff will contact an Alliance executive officer who will follow up with the original requestor. If an Alliance executive officer (or designee) is not available, the treating physician should assume that the trial participant is on the active agent and then follow up with an Alliance executive officer (or designee) on the next business day.

6.9.2 Protocol-specified unblinding

The protocol may specify that a trial participant's treatment assignment can or should be unblinded based on certain criteria as specified in the protocol. Protocol-specified unblinding may be performed by the Registration Office during regular business hours, with confirmation from the primary statistician (or designee) that the protocol-specified criteria have been reached. No executive officer (or designee) approval is required.

6.9.3 Elective unblinding

A trial participant, family member, or treating physician may request unblinding of the treatment assignment in non-emergent situations in order to inform subsequent disease management decisions. Elective unblinding is

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only permitted if the trial participant has met the trial's primary endpoint. Elective unblinding will be performed by the Registration Office during regular business hours, with confirmation from the primary statistician (or designee) that the appropriate criteria have been met. If the patient has not met the primary endpoint, or if the appropriate criteria have not been met, the Registration Office will refer the caller to the appropriate executive officer (or designee) to discuss the situation. The protocol and Model Consent Form must specify whether elective unblinding will be permitted and, if permitted, that requestors should contact the Registration Office.

Policy Name: Closing a Study	Policy Number: 6.10
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6.10 Closing a study

Closing a study means that accrual to the study is permanently stopped. It is possible to close only a portion of a study.

6.10.1 Procedures for closing a study

The decision to close a study is made by the primary statistician, in consultation with the study chair and committee chair (and the DSMB for phase 3 studies or other studies monitored by the DSMB). If unexpected adverse events occur, members of the study team may initiate the process. For phase 3 studies (or other studies monitored by the DSMB), the DSMB may recommend early closure of a study for reasons of patient safety or of differential treatment effectiveness.

For routine study closures, in order to allow sites to register patients who are already in the process of being worked up for the study, the Alliance routinely sets a future closing date, usually two weeks, once adequate accrual has been achieved. This may result in modest over-accrual to the study. Exceptions to this policy are phase 1 studies, for which over-accrual is not allowed, and certain phase 2 studies. These studies require tighter control of the number of patients registered and treated. More rapid study closures may be necessary for patient safety reasons.

6.10.2 Notifying patients about early closure of clinical trials

Disclosure to individual participants of study results often follows a recommendation that accrual be terminated early and/or that protocol specified treatment be discontinued or significantly modified. However, disclosure must not violate any state or federal laws regarding breaking the code on anonymized data.

The trial participant who provided the original consent to participate in the research is informed of the results of the clinical trial by his/her treating physician or designee. Participants are informed in a manner that will ensure that they receive the results with a minimum of disruption to the patient-physician relationship.

Policy Name: Release of Data	Policy Number: 6.11
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6.11 Release of data

6.11.1 Studies monitored by the DSMB

If a trial is being monitored by the DSMB (see section 16), requests for release of data (immature and mature) to the study team must be submitted to the DSMB. If the request is approved, the data can be released to the study team and can only be used within the scope specified by the DSMB in their approval, see section 16.2.6.

6.11.2 Studies not monitored by the DSMB

6.11.2.1 Adverse event/toxicity data

If adverse event/toxicity data are not the primary endpoint for a trial or a key secondary endpoint, these data should be freely available to the internal study team for analysis throughout the trial, even if they are a secondary endpoint. Note that if the trial is a blinded trial, the assessment of the data must adhere to the NCI policy for reporting adverse event data for blinded studies.

6.11.2.2 Mature endpoint data

When the primary statistician has ascertained that the study endpoint data have met the criteria as described in the protocol for final analysis, the data can be released to the internal study team for analysis. Results of the analysis can be made public through abstracts, presentations, and publications.

6.11.2.3 Immature endpoint data

Immature endpoint data are data that have not met the criteria as described in the study protocol for final analysis.

6.11.2.3.1 Study is closed to accrual

If a study is closed to accrual but the endpoint has not yet met the criteria as described in the protocol for final analysis, the internal study team must submit a written request for access to the data to the Alliance committee (co-) lead statistician(s). The request should specify the following:

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- The purpose of accessing the immature endpoint data (e.g., for planning a new study, for potential modification of the existing study)
- The endpoint data being requested
- The data analysis plan for the requested endpoint data
- The individuals who will have access to the analysis results
- How confidentiality will be ensured
- The potential impact on the study

If approved by the Alliance committee (co-) lead statistician(s), the data will be released to the study statisticians for analysis. The results of the analysis can only be shared with the individuals specified in the request, can only be used for the purpose stated in the request, and must be kept confidential.

6.11.2.3.2 Study is open to accrual

Requests for access to endpoint data while a study is still accruing patients will be granted only in extraordinary circumstances. If a study is open to accrual, the internal study team must submit a written request for access to the data to the director and co-director of the Alliance Statistical Unit. The request should specify the following:

- The purpose of accessing the immature endpoint data (e.g., for planning a new study, for potential modification of the existing study)
- The endpoint data being requested
- The data analysis plan for the requested endpoint data
- The individuals who will have access to the analysis results
- How confidentiality will be ensured
- The potential impact on the completion of the study

If approved by the director/co-director of the Alliance Statistical Unit, the data will be released to the study statisticians for analysis. The results of the analysis

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can only be shared with the individuals specified in the request, can only be used for the purpose stated in the request, and must be kept confidential.

6.11.2.4 Appeal process

If the internal study team disagrees with a denial for early access to the study data, they can appeal. For closed trials, the appeal should be made to the director/co-director of the Alliance Statistical Unit. For open trials, the appeal should be made to the associate directors of the Alliance Statistics and Data Center.

Policy Name: Completing a Study	Policy Number: 6.12
Section: Study Protocol – 6	Date Revised: March 15, 2013

6.12 Completing a study

A study is declared completed by the study chair, the primary statistician and the relevant committee chair(s). Ordinarily, this occurs when the study has met all of its objectives, a definitive analysis has been performed, and an article has been published. Rarely, a study may be declared completed when the study chair and statistician agree that no analysis or publication of the study will be done. This latter category is considered “completed-administratively.”

The classification of a study as “completed” has operational consequences, indicated below.

6.12.1 Archiving paper records

CALGB Legacy studies - Paper files of patient data are kept at the CALGB Statistical and Data Center for three years after study closure to be available for institutional audits. Three years after closure, paper records are archived in Duke off-site storage if a study is completed. These records can be retrieved within 24 hours by contacting the staff assistant at the Data Operations Office, who is responsible for requesting delivery from the storage facility.

ACOSOG & NCCTG Legacy studies – Paper files of patient data are stored electronically at the Alliance Statistics and Data Center in a document imaging system. Upon receipt of records they are scanned and stored electronically. The system is web-based and records can be viewed once authorization access has been approved. The stored electronic data are available for audit by requesting them from the Data Operations Office.

6.12.2 Archiving study database

The data for a completed study remain in the Alliance database.

The Alliance Statistics and Data Center maintains a library of data sets used in monitoring reports, interim analyses and manuscripts. Master tables are updated when data are received.

The data sets used in monitoring reports, interim analyses and manuscripts are stored as SAS data sets or ASCII files with attached data dictionary. The statistician who prepares the reports or analyses is responsible for copying the necessary data files. The statistician uses naming conventions to index the data files by the study number, the type of report and the date the report was prepared. All data sets are archived on a designated archive server. At the discretion of the statistician, additional files may also be archived.

Policy Name: Completing a Study	Policy Number: 6.12
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6.12.3 Study chair access to additional data

Copies of data received by the Alliance Statistics and Data Center for completed studies are not automatically sent to the study chair unless explicitly requested by the study chair. All requests for study data should be sent to the study statistician.

Policy Name: Terminating a Study	Policy Number: 6.13
Section: Study Protocol – 6	Date Revised: March 15, 2013

6.13 Terminating a study

Studies may have all follow-up terminated for all trial participants either because all trial participants have been followed for the protocol-specified period or because it is decided that no further follow-up is needed. Upon termination, no further follow-up data, including new queries, are collected from participating sites. All studies are reviewed annually by the primary statisticians to determine if continued follow-up is required. A list of all studies with terminated follow-up is publicized on the [Alliance website](#).

Study team members wishing to extend patient follow-up beyond the protocol-specified interval must obtain permission from the group statistician. A protocol amendment must also be generated.

Policy Name: Retrospective Data Collection from Closed or Completed Studies	Policy Number: 6.14
Section: Study Protocol – 6	Date Revised: March 15, 2013

6.14 Retrospective data collection from closed or completed studies

Generally, proposals that require the collection of additional material from Alliance sites will not be approved. Retrospective collection of data is expensive and time-consuming. These requests usually require IRB review at each participating site and may require obtaining additional patient consent and/or authorization. The Alliance may consider such requests in special circumstances provided adequate funding is available for both the Alliance Statistics and Data Center effort and for participating institutions. Studies that require the collection of additional material will be reviewed by the Alliance Study Concept Review Committee.