Contents

Acknowledgments xi
Preface xiii
On planning xv
Explanatory notes, focus, and conventions xvii
Abbreviations and designations xxi

I. General .......................................................... 1
  1. Terminology 3
  2. Definitions 5
  3. Measurement units 7
  4. Trial type 9
  5. Design and flow schematics 13
  6. Design and operating principles 15
  7. Counting and analysis rules 17
  8. Multi-study umbrella name 19
  9. Study name 21

II. Design Specifications ........................................ 25
  10. Objective 27
  11. Specific aims 29
  12. Experimental variable 31
  13. Treatment unit 33
  14. Primary outcome 35
  15. Outcome measures 39
  16. Design synopsis 41

III. Funding ........................................................ 45
  17. Type of funding initiative 47
  18. Funding: Specifications 49
  19. Funding: Terminology 51
  20. Funding: Type 59
  21. Funding: Initiative 61
CONTENTS

22. Funding: Period 63
23. Funding: Budget 65
24. Funding: Mode 67

IV. Treatment Groups/Treatment Administration ............. 69
25. Study groups 71
26. Comparison group 73
27. Study treatments 75
28. Test treatments 77
29. Control/comparison treatment 79
30. Placebo treatment 87
31. Sham treatment 91
32. Treatment modality 93
33. Treatment schedule 95
34. Treatment compliance measures 97
35. Protocol overrides 101
36. Protocol bailouts 103

V. Masking.................................................. 105
37. Mask/masking: Definitions 107
38. Masking principles 111
39. Masking, censoring, and shielding specifications 113
40. Drug masking procedure 115
41. Drug packaging and labeling 117
42. Drug supply 121
43. Masking safeguards 123
44. Unmasking treatment assignment 125
45. Results blackouts 127

VI. Bias and Variance Control .............................. 129
46. Bias control procedures 131
47. Stratification 135
48. Variance control procedures 139
49. Separations 141

VII. Treatment Assignment/Randomization ................. 143
50. Assignment methods: Fixed vs. adaptive 145
51. Treatment assignment: Random vs. nonrandom 147
52. Randomization: Complete vs. restricted 151
53. Randomization unit 155
54. Randomization: Procedures 157

VIII. IRBs and Consents ........................................ 159
55. IRBs 161
56. IRBs: Models and procedures 163
57. Consent 169
58. Consent: Checklist 177
59. Consent: Disclaimers and notifications 181
60. Consent: Principles and purpose 183
61. Consent: Process 185
62. Consent: Types 189
63. Consent: Questions and answers 191

IX. Enrollment and Followup ............................... 195
64. Notation 197
65. Timing conventions 199
66. Required approvals, permissions, accesses, and supplies 201
67. Start-up design 203
68. Start-up checklist 207
69. Recruitment design 209
70. Enrollment goals 211
71. Enrollment quotas 213
72. Followup: Terminology 217
73. Followup: Method 221
74. Followup: Length 223
75. Closeout design 225
76. Missed visit 229
77. Dropout 231
78. Loss to followup 235
79. Study timetable 239
80. Critical event path analysis 241
81. Eligibility criteria 243
82. Exclusions from enrollment 245
83. Eligibility and exclusions by reason 249

X. Sample Size ...................................................... 251
84. Sample size: Design 253
85. Sample size: Specifications 257
86. Sample size: Calculation 259
87. Fixed vs. sequential sample size designs 261
88. Fixed vs. adaptive designs 263
89. Designed subgroup comparisons 265

XI. Data Collection and Processing ......................... 267
90. Contact schedule 269
91. Examinations/visits 271
92. Examination/clinic visit schedule 275
93. Data collection 279
94. Data collection: Schedules and procedures 281
95. Data flow 283
96. Data processing procedures 285
97. Laboratory tests 287
98. Readings 289
99. Tissue repositories 293
100. Form design: Principles and procedures 295
101. Time window specifications 299
102. Data entry design 301
103. Data sharing: Internal 307
104. Data sharing: External 311

XII. Study Centers .............................................. 315
105. Center types 317
106. Centers 323
107. Center requirements 325

XIII. Investigators/Study Staff ................................. 329
108. Investigator requirements 331
109. Clinic staffing requirements 333
110. Research group/Investigators 335

XIV. Committees ................................................. 337
111. Key Committees 339
112. Standing and working committees 341
113. Committee rules and procedures 343
114. Study officers 347
115. Study chair/vice-chair 349
116. Executive committee  353
117. Executive committee members  357
118. Steering committee  359
119. Steering committee members  361
120. Steering committee: Questions, answers, and observations  363
121. Steering committee representation models  367

XV. Treatment Effects Monitoring.................................371
122. Treatment effects monitoring  373
123. Treatment effects monitoring: Purpose  375
124. Treatment effects monitoring: Approach  377
125. Treatment effects monitoring: Masking  379
126. Stopping rules and guidelines  381
127. Treatment effects monitoring: Questions and answers  383
128. Treatment effects monitoring committee  387
129. Treatment effects monitoring committee: Questions and answers  391

XVI. Quality Control and Assurance ............................... 393
130. Quality control and assurance procedures  395
131. Performance monitoring  399
132. Training procedures  401
133. Assurances and certifications  403
134. Site visiting procedures  405
135. Audit procedures  409

XVII. Data Analysis.................................................. 413
136. Analysis datasets  415
137. Analysis questions regarding study results publications  417
138. Frequentist vs. Bayesian analysis  419
139. Final analysis  421
140. Subgroup analysis  423

XVIII. Publication/Presentation................................. 425
141. Publication  427
142. Publication policy  429
143. Authorship  431
144. Credits  435
145. Presentation policy  439