(Wednesday 8:28am) 18 October 2000

Memorandum

To: Center for Clinical Trials faculty and staff

Fr: Curt Meinert

Re: Generic knowledge assessment test for trialists

Some time ago I distributed an IRB "quiz" for trialists. I distribute now a "test" designed (I hope) to facilitate training personnel to be involved in conduct of a trial. It is an "advanced" version and is not intended to produce many perfect scores.

Comments and suggestions are welcome (though I am likely to ignore suggestions likely to spell W-O-R-K for me!)

Knowledge assessment for trialists

This form is intended for use in training and certifying personnel for conduct of a trial. It is "open book" but not "open colleague".

Terms and definitions are from *Clinical Trials Dictionary: Terminology and Usage Recommendations* (CL Meinert; Johns Hopkins Center for Clinical Trials, Baltimore, 1995).

Your name . . . . . _____

Date taken (day, Mon, year) . . . . . __ __/__ __ __/__ __

Position in trial (check one)
( ) Center director
( ) Deputy director
( ) Coordinator
( ) Other (specify) _____

1. Official name of trial? _____

2. Official acronym of trial? . . . . . _____

3. Funding

   Source: _____

   Years of funding covered in current award . . . . . _____

   Total years of funding needed for the trial . . . . . _____

   Sponsor mode of funding (check one)
   ( ) Grant
   ( ) Contract

   Origin of funding initiative (check one)
   ( ) Investigator
   ( ) Sponsor request for proposal (RFP)
   ( ) Sponsor request for application (RFA)

4. Is this trial being done to test one or more proprietary products? . . . . . (y) (n)
   If *yes*, list the products below; for each indicate whether purchased or supplied free of charge

   Product 1: ___ Supplier: _____ . . . (p) (f)

   Product 2: ___ Supplier: _____ . . . (p) (f)

   Product 3: ___ Supplier: _____ . . . (p) (f)

   Product 4: ___ Supplier: _____ . . . (p) (f)

5. Purpose of trial? _____

_____

6. Outcome measures

Primary . . . . . _____
Secondary

. . . . . _____

. . . . . _____

. . . . . _____

. . . . . _____

7. Treatment groups

Number . . . . . _____

Control or comparison group

_____ Schedule/dosage: _____

Test treatment groups

_____ Schedule/dosage: _____

_____ Schedule/dosage: _____

_____ Schedule/dosage: _____

_____ Schedule/dosage: _____

8. Persons in this trial are to be followed (check one)
   ( ) To a common closing date regardless of when enrolled
   ( ) For a fixed period of time from enrollment; specify . . . . . _____
   ( ) Not yet determined

9. The baseline period of observation for a person is the time from the first official clinic visit for screening or eligibility to the point of enrollment. For this trial answer the following:

Name of the visits defining this period

_____ _____

Allowable time separating the two visits: . . . . . Minimum _____ Maximum _____

Number of visits in the period . . . . . _____

10. The followup period of observation for a person is a period of time defined by a zero point and extending to the end of scheduled followup for that person. For this trial answer the following:

    The event defining the zero point . . . . . _____

    Expected number of followup visits for a person (give range for trials with common closing date designs . . . . . _____ - _____

    Followup visit schedule (describe):

    1st year . . . . . _____

    2nd year . . . . . _____

    Subsequent yrs . . . . . _____

    Minimum time separations between visits? . . . . . ($_{y}$) ($_{n}$)
    If *yes*, specify

    _____

11. Scheduled followup visits in this trial ceases when person (check all that apply)
    ( ) Is no longer able or willing to take the assigned treatment
    ( ) Moves from the clinic
    ( ) Starts taking a proscribed medication
    ( ) Has an outcome of interest
    ( ) Withdraws consent
    ( ) Becomes pregnant
    ( ) Refuses contact by study personnel
    ( ) None of the above
    ( ) All of the above

12. Below is a list of descriptors used to characterize trials, check all that apply in this trial
    ( ) Randomized
    ( ) Single-masked
    ( ) Double-masked
    ( ) Partially masked
    ( ) Unmasked
    ( ) Controlled
    ( ) Placebo-controlled
    ( ) Uncontrolled
    ( ) Multicenter
    ( ) Treatment trial

( ) Prevention trial
( ) Primary prevention trial
( ) Secondary prevention trial
( ) Drug trial
( ) Device trial
( ) Parallel treatment
( ) Crossover treatment
( ) Equivalence trial
( ) Superiority trial

13. State what is meant by the following terms

Clinical equipoise

_____

Intention to treat analysis

_____

Randomization

_____

Stratification

_____

14. Are treatment assignments stratified in this trial? . . . . . (y) (n)

If *yes*, list the stratification variables

_____

15. Randomized trials can be characterized by intended (expected) treatment assignment ratios (eg, a ratio of 1:1:1:1:1:2.5 for a trial with five test treatments and with a control-assigned group that is 2.5 times larger than any of the test-assigned groups). The assignment ratio in this trial is:

. . . . . _____

16. A person is counted as enrolled in this trial when (check one)
( ) Registered
( ) Consent statement is signed
( ) Treatment assignment is requested
( ) Treatment assignment is released to a clinic
( ) 1st dose of treatment is taken or administered

17. In the parlance of this trial, a person who is no longer taking the assigned treatment is a dropout? (t) (f)

18. Planned sample size (total) . . . . . _____

19. Sample size listed in item 18 is
    ( ) Pragmatic
    ( ) Calculated
    If calculated, list the following

    Outcome measure for calculation . . . . . _____

    Alpha (") . . . . . _____

    Beta ($) . . . . . _____

    Power (1 - $) . . . . . _____

    Treatment difference (Delta) . . . . . _____

20. An enrollment quota is a specification, set before or shortly after the start of enrollment, that specifies numbers to be enrolled by clinic, gender, or other characteristics. Does this trial have enrollment quotas? . . . . . ($_{y}$) ($_{n}$)
    If *yes*, list below

    _____

    _____

21. Official language conventions: For each term below give the term used in this trial

    Study subject . . . . . _____

    Experimental variable (usually, treatment or intervention) . . . . . _____

    Place study subjects are screened and followed . . . . . _____

    Endpoint . . . . . _____

    Data and safety monitoring committee . . . . . _____

    Blind . . . . . _____

22. In the vernacular of trials, a treatment failure is (check as many as apply)
    ( ) A treatment that fails to produce the desired effect or result
    ( ) A treatment that cannot be tolerated
    ( ) A person who is taken off treatment because of safety concerns
    ( ) A person who is no longer receiving the assigned treatment
    ( ) A value-laden term

23. In the parlance of this trial, a person who is no longer taking the assigned treatment is a dropout? (y) (n)

24. In this trial, a person who is no longer taking the assigned study treatment is lost to followup? . . . . . (y) (n)

25. A person in this trial can be screened and randomized on the same day? . . . . . (y) (n)

26. In this trial, use of the assigned treatment is to be stopped if a person (check all that apply)
    ( ) Experiences serious side effects related to the treatment
    ( ) Becomes pregnant
    ( ) Experiences the outcome of interest
    ( ) Is told to stop by his or her personal physician
    ( ) None of the above

27. Treatments in this trial are double-masked? . . . . . (y) (n)
    If *yes*, when is treatment assignment unmasked (check all that apply)
    ( ) Person asks to be unmasked
    ( ) Person experiences a serious adverse event
    ( ) Person is scheduled for elective surgery
    ( ) Clinic personnel ask to be unmasked
    ( ) The mother of little Johnnie calls to announce that he just swallowed 20 of her study pills
    ( ) Person leaves the study area
    ( ) When the study is over
    ( ) All of the above
    ( ) None of the above

28. This trial is being done under an IND? . . . . . (y) (n)

29. Data forms in this trial are (check all that apply)
    ( ) Electronic
    ( ) Paper
    ( ) Keyed at the clinic
    ( ) Keyed centrally (at the coordinating center or elsewhere)
    ( ) Copied; original to coordinating center, copy retained at clinic
    ( ) Copied; original retained at clinic; copy to coordinating center

30. Data collection forms in this trial are regarded as part of a person's medical record? . . . . . (y) (n)

31. All clinical trials involve selection bias? . . . . . (t) (f)

32. Randomization in clinical trials is done to eliminate selection bias? . . . . . (t) (f)

33. Stratification in trials is done to ensure that the numbers of persons represented in the different strata are the same? . . . . . (t) (f)

34. Randomization in trials ensures baseline comparability? . . . . . (t) (f)

35. The permissible time window for a followup visit specifies the time interval within which a visit must be completed to be counted for that followup interval? . . . . . (t) (f)

36. In this trial, the ideal time window for a followup visit is contained within the permissible time window for that visit? . . . . . (y) (n)

37. In this trial, followup visits have to be done within the ideal time window to be counted? . . . . . (y) (n)

38. In this trial, a visit done outside the permissible time window is counted as missed? . . . . . (y) (n)

39. In this trial, a visit that is done outside the permissible time window is not included in the study database? . . . . . (y) (n)

40. In this trial, baseline data must be collected within 7 days of randomization? . . . . . (y) (n)

41. Time windows for followup visits in this trial are (check all that apply)
    ( ) Contiguous
    ( ) Overlapping
    ( ) Disjoint (ie, windowless regions on the time scale)

42. In this trial, data forms from eligibility and baseline evaluations for persons not enrolled are, nonetheless, keyed? . . . . . (y) (n)

43. For analyses presented in the primary manuscript from this trial, a person will not be counted among those randomized if (check all that apply)
    ( ) Person refused to take the assigned treatment
    ( ) Person was given the wrong study treatment
    ( ) Person was asked to stop using the assigned treatment
    ( ) Person experienced an outcome on or before the 28th day of treatment
    ( ) Person was not eligible for randomization
    ( ) Eligibility data were faked

44. For the analyses presented in the primary manuscript from this trial, data for a person will be used only for that portion of time during which the person (check all that apply)
    ( ) Was taking the assigned treatment
    ( ) Was not taking another study treatment
    ( ) Was not taking a proscribed medication
    ( ) Had not experienced an adverse event
    ( ) Had not missed 3 or more consecutive followup visits

45. The following concern the committee responsible for looking at interim data for the purpose of making recommendations as to whether the trial should continue:

    Name of committee _____

    Chair _____

No. of voting members . . . . . ____

No. of nonvoting members . . . . . ____

Recommendations reported to _____

46. The following concern the leadership committee of the trial:

Name of committee _____

Chair _____

No. of members . . . . . ____

47. The authorship format for primary publications of this trial is (check one)
( ) Corporate
( ) Modified corporate
( ) Conventional
( ) Modified conventional
( ) Not yet determined

48. In regard to policy regarding publication or presentation of the primary results of this trial (check one)
( ) Publish first, present later
( ) Present first, publish later
( ) Present first or publish first, depending on circumstance and opportunity
( ) Policy not yet set

49. Study chair

Name _____ Location _____

50. Project officer

Name _____ Location _____

51. Coordinating center

Head _____ Location _____

52. What do the following stand for

IRB . . . . . _____

FDA . . . . . _____

NIH . . . . . _____

CC . . . . . _____

SC . . . . . _____

IND . . . . . _____

ORI . . . . . _____

OPRR . . . . . _____

OHRP . . . . . _____

PPM . . . . . _____

BTS . . . . . _____

53. A center in this trial is an autonomous unit, operating separate and distinct from all other units in the structure and having duties and responsibilities essential to the trial. For this trial answer:

Clinics/field sites

1: Head _____ City/institution _____

2: Head _____ City/institution _____

3: Head _____ City/institution _____

4: Head _____ City/institution _____

5: Head _____ City/institution _____

6: Head _____ City/institution _____

Total no. . . . . ____

Resource centers (coordinating center, central laboratory, reading center, project office, procurement and distribution centers, and office of the chair)

1: Head _____ City/institution _____

2: Head _____ City/institution _____

3: Head _____ City/institution _____

4: Head _____ City/institution _____

Total no. . . . . ____

Total no. of centers . . . . . ____

54. Which of the following must be submitted to IRBs (check all that apply)
    ( ) Change of the consent form
    ( ) Change of consent process
    ( ) Adverse event
    ( ) Change of investigators
    ( ) Media ads
    ( ) Mailings to potential study candidates
    ( ) Updates of principal investigator's CV
    ( ) All of the above
    ( ) None of the above

55. Misconduct in science includes fraud, falsification, fabrication, and plagiarism. Scientific misconduct, as defined by the Office of Research Integrity, is defined as *fabrication, plagiarism, or other practices that seriously deviate from those that are commonly accepted within the scientific community for proposing, conducting, or reporting research* (42 CFR, part 50, subpart A). Which of the following are considered to constitute misconduct (check all that apply)
    ( ) Changing the date of a visit so it fits within the permissible time window
    ( ) Making up the second blood pressure reading in a protocol requiring two reading taken one minute apart
    ( ) Back dating a form so it can be entered into the data system
    ( ) Lying to a patient about the trial
    ( ) False credentials on one's CV
    ( ) Making a false claim in a grant application
    ( ) Falsifying eligibility data
    ( ) Error in recording data on a study form
    ( ) Failure to report an adverse event
    ( ) All of the above

56. A randomization override (eligibility exception) is a decision to proceed with randomization in the presence of contraindications for randomization, eg, the decision to randomize a person who does not satisfy eligibility requirements for randomization. In this trial, randomization overrides are permitted? . . . . . ($_{y}$) ($_{n}$)

    If *yes*, who issues the order to override? _____

57. Requirements for enrollment in this trial include (check all that apply)
    ( ) Being at or below a specified age
    ( ) Being at or above a specified age
    ( ) Being between a lower age and upper age limit
    ( ) Being a particular gender; specify . . . . . ____

    ( ) Being a particular race or of a particular ethnic origin; specify . . . . . _____
    ( ) Being able to speak English
    ( ) Being able to read English
    ( ) Being able to write English

58. Excluding conditions in this trial include the following (check all that apply)
    ( ) Pregnant
    ( ) Childbearing potential
    ( ) Not using an accepted method of birth control
    ( ) Taking contraindicated treatments or drug; specify . . . . . _____

    ( ) Medical conditions; specify . . . . . _____
    ( ) Not English speaking

59. A *conflict of interest*, broadly speaking in the context of trials, is an interest of a person involved in a trial that is contrary to or at odds with interests required for proper conduct of the trial. List three activities, interests, positions, or relationships that you would consider to be conflicts of interest.

    1. _____

    2. _____

    3. _____

60. *Insider trading*, in regard to publicly traded stock, is buying or selling such stocks or causing others to buy or sell such stock by virtue of having information not available to the general public. Such trading is illegal. Give three examples, in the context of this trial, of what you would regard as insider trading.

    1. _____

    2. _____

    3. _____

61. IRBs in multicenter trials have reciprocity agreements allowing them to accept approval granted by sister IRBs? . . . . . (t) (f)

62. This trial operates under the parent IRB model? . . . . . (y) (n) (?)

63. Only data collection sites in trials require IRB approval? . . . . . (t) (f)

64. Approvals granted by IRB may not be for more than one year? . . . . . (t) (f)

65. All changes to the treatment protocols in trials have to be reviewed and approved by IRBs before they can be implemented? . . . . . (t) (f)

66. Which of the following qualify for *expedited reviews* by IRBs (check all that apply)
    ( ) Change of treatment dosage
    ( ) Addition or deletion of information in the consent form on side effects
    ( ) Change of eligibility requirements
    ( ) Minor wording change in an existing data collection form

( ) All of the above
( ) None of the above

67. A person who refuses to come followup visits is automatically lost to followup? . . . . . ($_t$) ($_f$)

68. A dropout is one who is unwilling or unable to take the assigned treatment? . . . . . ($_t$) ($_f$)

69. The three basic principles of medical ethics enunciated in the Belmont Report are:

    1. _____

    2. _____

    3. _____

70. IRBs came into existence in 1947 with the promulgation of the Nuremberg Code? . . . . . ($_t$) ($_f$)

71. The Nuremberg Code consists of 495 words and 10 points. Name a point in that Code

    _____

72. If a placebo, in everyday vernacular, is a pharmacologically inert sugar coated pill, what is *placebo patient*?

    _____

73. Rewrite the following sentence: *Placebo patients experienced fewer side effects than those assigned to the test treatment.*

    _____

74. A trial is not valid if those studied are not representative of the general population? . . . . . ($_t$) ($_f$)

75. The results of a trial are not generalizable if the population studied is not representative of the population having the disease or condition studied in the trial? . . . . . ($_t$) ($_f$)

76. Who is Amelia Bedelia and what lesson does she teach that is relevant when writing manuals of operations for trials?

    _____

    _____

