Oversight of Clinical Investigations: A Risk-Based Approach to Monitoring (Draft Guidance)

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Food and Drug Administration
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Introduction

- Protocol Design
- Improved Efficiency
- Modern, Risk-Based Approach
- Variety of Monitoring Activities
- Enhance Human Subject Protection
- Quality Clinical Trial Data
Outline

• Background of clinical trial monitoring- requirements and practices
• Overview of FDA’s draft guidance
• Discussion of monitoring recommendations
FDA Regulatory Requirements for Monitoring

• Effective monitoring is critical to
  – Human subject protection
  – Conduct of high-quality studies

• FDA IND and IDE Regulations
  – Obligate sponsors to oversee their clinical trials
    • 21 CFR 312.50 and 812.40: Sponsors are responsible for ensuring proper monitoring of the investigation
    • 21 CFR 812.25(e): Requires written monitoring procedures
  – Are not specific about how sponsors are to conduct monitoring
Types of Monitoring

- **On-Site Monitoring**: In person evaluation carried out by sponsor personnel or representatives at the site.
  - To identify data entry errors and missing data in source records and case report forms
  - To assess compliance with protocol and test article accountability
  - To assess investigator supervision
Types of Monitoring

- **Centralized Monitoring** - Remote evaluation carried out by sponsor personnel or representatives at a location other than the site.
  - Standard checks of range, consistency, completeness of data
  - To identify unusual distribution of data
  - To identify higher risk sites to target on-site monitoring
  - Routine review of data in real time
Current Practices

- Wide range of monitoring practices
  - Periodic, frequent visits with 100% source data verification
- Reactive and premised on retrospective detection of errors
- Oversight efforts not commensurate with risks
- May not optimally address significant risks to trial integrity, particularly systemic error
- Resource intensive
- FDA’s withdrawn guidance on the monitoring of clinical investigations does not reflect FDA’s current recommendations
Why is Guidance Needed?

• To improve quality and integrity of data
• To enhance human subject protection
• Inefficient practices may consume valuable resources and not add to quality
• To improve effectiveness of monitoring
• To reflect changes in clinical trial enterprise
• To inform industry of FDA’s support of alternative approaches
Overview: FDA Monitoring Draft Guidance

- Goal: To enhance human subject protection and clinical trial data quality
- Focuses on clinical investigators’ conduct, oversight, and reporting of an investigation
- Makes clear that sponsors can use a variety of approaches to fulfill monitoring responsibilities
  - “No single approach to monitoring is appropriate or necessary for every clinical trial”
Overview: FDA Monitoring Draft Guidance

• Intends to assist sponsors in developing risk-based monitoring strategies and plans
  – Tailored to the specific human subject protection and data integrity risks of the trial
  – Focuses on critical study parameters
  – Encourages use of a combination of monitoring activities
  – Encourages greater reliance on centralized monitoring practices, where appropriate
FDA Monitoring Recommendations

- Conduct a risk assessment to identify and evaluate risks to critical study data and processes

- Design a monitoring plan tailored to address important and likely risks identified during risk assessment
Risk Assessment

- Identify critical study data and processes, e.g.
  - Endpoints
  - Serious Adverse Events
  - Randomization/Blinding
  - Consent
  - Eligibility Criteria

- Perform and document a risk assessment to identify risks to these critical data and processes
  - What could go wrong?
  - What would be the impact?
  - Could we detect it?
Monitoring as a Component of Quality Risk Management

- **Plan** – Identify quality objectives and metrics and risks to quality to develop quality management plans (e.g., monitoring plan)
- **Do** – Study conduct
- **Check** – Measure/monitor
- **Act** – Respond to deviation

http://www.iso.org/iso/catalogue/management_standards/understand_the_basics.html
Protocol Design and Monitoring

“The most important tool for ensuring human subject protection and high-quality data is a well-designed and articulated protocol.”

- Prospectively identify the important risks to subject safety and data reliability
- Tailor and conduct the protocol to eliminate or mitigate those risks
- Monitoring is one tool in a quality toolbox designed to mitigate and/or manage risks
What Should be Monitored?

• Some data and processes may need more intensive monitoring
  – Critical study endpoints, protocol-required safety assessments, withdrawals
  – Protocol eligibility criteria
  – Study blind
  – Informed consent
  – Test article administration and accountability
Monitoring Plan

• Trial specific
• Describes monitoring methods, responsibilities, and requirements
• Components to consider
  – Description of monitoring approaches (e.g., timing, intensity, activities, documentation)
  – Communication of monitoring results
  – Management of noncompliance
  – Training and study-specific information
  – Monitoring plan amendments
Monitoring Plan

- **Focus on critical data and processes**
- Types, frequency, and intensity of monitoring will depend on factors considered during risk assessment
  - Complexity of study design
  - Types of endpoints
  - Clinical complexity of subjects
  - Investigator experience
  - Relative safety of product
  - Quantity of data
  - Stage of study
Documentation of Monitoring

- Who conducted and date
- Data and activities reviewed
- Description of non-compliance, data irregularities, other deficiencies
- Actions taken or recommended
Ensuring Study Quality

- Investigator training and communication
- Delegation of monitoring to a contract research organization
Summary

Risk-based approach

Not one size fits all

Document your plan
Next Steps

- Review and address comments to docket
- Determine internally the feasibility of prospective review of monitoring plans within CDER
  - Who?
  - Which trials?
How to Submit Comments

FDA-2011-D-0597
Regulations.gov

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• Draft guidance: