

Adaptive Trials

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Outline

Definition

Overview of adaptive designs

Statistical principles

Discussion

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Overview of adaptive designs

Statistical principles

Discussion

Adaptive design for a clinical trial¹

- ▶ Uses data accumulated during the trial to possibly modify some aspects of the study
- ▶ Without undermining its **validity** and **integrity**

¹Draglin V. Adaptive designs: classification and taxonomy. Adaptive Designs Workshop, 2006

Validity and Integrity?

Definition (Validity)

- ▶ Correct statistical inference (test and estimation)
- ▶ Consistency between the different trial stages
- ▶ Minimizing operational bias

Definition (Integrity)

- ▶ Results acceptable for the scientific community
- ▶ Preplanning of adaptations as much as possible
- ▶ Maintaining confidentiality of data

Main adaptive designs

Type of design	Adaptation
Group sequential trial	Early stopping
Sample size reassessment (blinded–variance, other nuisance parameters)	Increase sample size
Phase 1 dose finding CRM (<i>Continual Reassment Method</i>)	Choice of next dose
Combined phase 1–2	Choice of next dose
Phase 2 adaptive dose ranging	Modify the allocation ratio
Sample size reassessment (unblinded - using observed efficacy)	Increase sample size
Population enrichment	Modify inclusion criteria, analysis population → subgroup
Combined phases 2–3 (ex-seamless)	Select dose, ...

Stage of drug development

- ▶ Confirmatory trials
 - ▶ Goal = market authorization
 - ▶ Strict control of type I error rate required
- ▶ Exploratory trials
- ▶ Regulatory constraints less strong than for confirmatory trials

Exploratory / confirmatory

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Perceived methodology

- ▶ By regulatory agencies
 - ▶ Well understood methods
 - ▶ Less well understood methods
 - ▶ Evolved in the last 5-6 years
- ▶ By pharmaceutical companies
 - ▶ Method accepted by the regulatory
 - ▶ Benefit/risk ratio for the trial, for the entire drug development

(Less) Well understood

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Outline

Definition

Overview of adaptive designs

- Phase 1

- Phase 1–2

- Phase 2

- Phase 3: SSR

- Combined phase 2–3

- Phase 3: enrichment

Statistical principles

Discussion

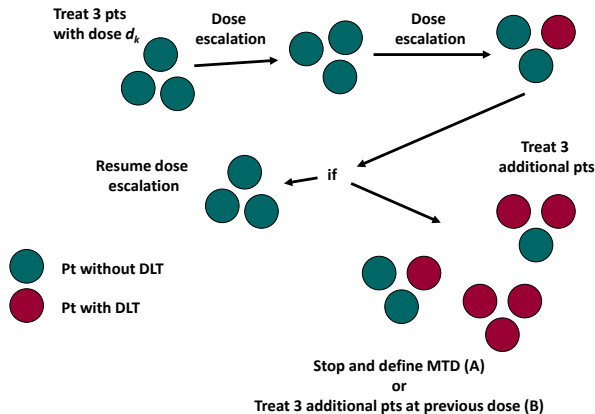
Phase 1: (modified) CRM

- ▶ Paradigm of oncology phase 1 trials
- ▶ Dose-finding: we search the MTD
 - ▶ Dose level associated with an "acceptable" level of toxicity
 - ▶ Percentile of the dose–inacceptable (dose-limiting) toxicity relationship
- ▶ Underlying paradigm: *more is better (efficacy)*

Standard design: '3+3' dose escalation

- ▶ k dose levels administered to cohorts of 3 to 6 patients
- ▶ Lowest dose depends on preclinical studies
- ▶ Predefined dose levels $d_1 < \dots < d_k$

3+3 design (2)



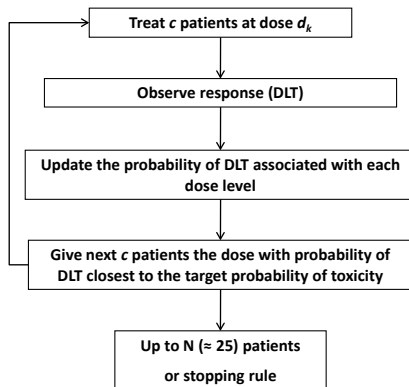
Limits of standard design

- ▶ **Statistics:** lack of precision the the toxicity rate
 - ▶ with 3 doses: 0 TDL/3, 1/6, 2/6
 - ▶ 90%CI: 0–0.54, 0.01–0.58, 0.06–0.73
 - ▶ Targeted probability between 0.17 and 0.33 $\rightarrow \simeq 0.25$, likely with all three doses!
- ▶ **Ethics:** high probability of dose escalation at the MTD (30 to 80%)
 - ▶ Do not undertreat too many patients
 - ▶ Do not overtreat too many patients

CRM

- ▶ **Sequential** and **adaptive** design:
 - ▶ Dose for next cohort determined all previous observations (process memory)
- ▶ And parametric (model for the dose-effect relationship)
- ▶ Inference (parameter estimation)
 - ▶ "Frequentist" (likelihood)
 - ▶ Bayesian (parameter = random variable)

CRM: schematic representation of the process



Combined phase 1–2

- ▶ Guide dose finding on both toxicity and efficacy
- ▶ Methodology quite similar to the CRM
- ▶ For instance with Bayesian inference
- ▶ Observed outcome = (Toxicity,Efficacy)

Bayesian dose finding using efficacy–toxicity trade-offs²

- ▶ Estimate $\pi_E(d) = \Pr(\text{Efficacy}|d)$ and $\pi_C(d) = \Pr(\text{Toxicity}|d)$
- ▶ Acceptability criteria: $\pi_E(d) \geq l_E$ and $\pi_C(d) \leq u_C$
- ▶ Several optimality criteria in terms of $\pi_E(d)$ and $\pi_C(d)$
- ▶ An several methods of estimation (we won't go into the details)

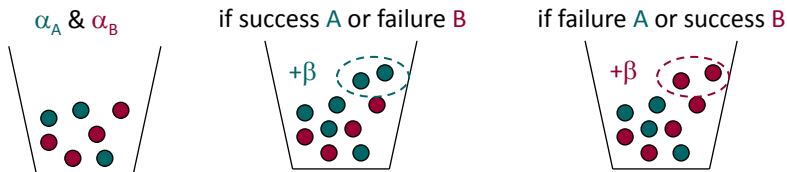
²Thall, Russell, 1998; Thall, Cook, 2004; ...

Phase 2: Adaptive dose ranging

- ▶ Phase 2: exploratory trial of drug's efficacy
- ▶ Search for the right dose to be administered
- ▶ As opposed to *dose finding* (previous slides)
- ▶ Adaptation: allocate more patients to the doses that seem more effective

Reevaluation of allocation ratio

- ▶ One possible method: randomized play-the-winner
- ▶ Sequential reevaluation of the probability to receive each treatment (dose) at random allocation



Sample size reassessment

- ▶ Two paradigms
 - ▶ Blinded (to efficacy results)
 - ▶ Unblinded to efficacy results
- ▶ Different objectives
 - ▶ First case: reassess nuisance parameters
 - ▶ Second case: a bit more complex ...

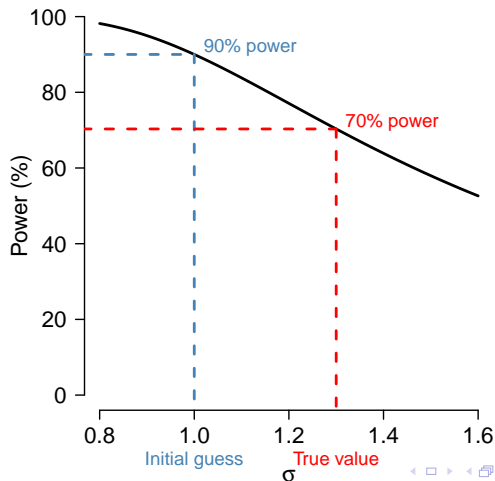
Blinded SSR

- ▶ The sample size depends on
 - ▶ Type I et II error rates: α and β (1-power)
 - ▶ Difference to be detected: Δ (in a general sense: MD, RD, HR ...)
 - ▶ Variance of the outcome
- ▶ Simple case, continuous outcome

$$n = \frac{2(z_{\alpha} + z_{\beta})^2 \sigma^2}{\Delta^2}$$

- ▶ α et β are quite "standard"
- ▶ If we make an error on $\sigma \rightarrow$ loss of power

Influence of an error on σ



Example³

- ▶ Multicenter randomized double-blind trial evaluating lumiracoxib vs ibuprofen on the blood pressure in patients with osteoarthritis and controlled hypertension
- ▶ Primary outcome: 24-h mean systolic blood pressure at 4 weeks
- ▶ Planning $\alpha = 0.025$ (1-sided), power 80%, meaningful difference $\Delta = 2$ mmHg
- ▶ SD $\sigma = ???$ mmHg

³MacDonald et al. J Hypertension 2008;26:1695–1702. Thanks to Karine Lheritier, Marianne Notter, and Tim Friede

Example: σ and influence on N

- ▶ Other studies
 - ▶ White et al. (2002): 9 mmHg observed (slightly different population)
 - ▶ Sowers et al. (2005): trial planned with 7.5 mmHg, but observed SD 12 mmHg (at 6 w)
 - ▶ Other studies with the same outcome but different populations: up to 14 mmHg

σ	7.5	9	12	14
N	442	636	1130	1538

Example (cont'd)

- ▶ Fixed trial size: 1020 patients
- ▶ Planned blinded SSR after 600 patients
- ▶ Blinded estimation of SD: 8.33 mmHg
- ▶ Revised sample size : 550
- ▶ 787 patients already recruited
- ▶ Decision to stop recruitment
- ▶ Final analysis showed a significant effect
- ▶ Post-hoc power 91% (vs 80% initially planned)
- ▶ No increase of type I error rate
- ▶ No other impact on the conduct of the trial and blinding

Unblinded SSR

- ▶ Uncertainty on Δ
 - ▶ Over-optimistic: risk of missing an interesting effect
 - ▶ More pessimistic: too large a N to achieve the trial
- ▶ Solution: take quite an optimistic Δ , with a clause to extend the trial if exults are promising
 - ▶ Prespecify in the protocol the upper limit of same size
 - ▶ IDMC will give instructions to the sponsor, who remains blinder to the study results.
- ▶ Alternative +++: Group sequential design
 - ▶ Planned with a larger sample size from the beginning
 - ▶ With the possibility for early stopping

Promising zone design⁴

- ▶ Example of an oncology trial
- ▶ Median survival with control: 8 months
- ▶ HR 0.70 under the alternative plausible +++
- ▶ But HRs up to 0.80 would be interesting anyway
- ▶ $\alpha = 5\%$, power 90%

HR	No. events	No. subjects	Duration (months)
0.70	330	430	42
0.72	390	510–430	42–68
0.74	464
0.76	558
0.78	680
0.80	844	1100–930–?	42–68–?

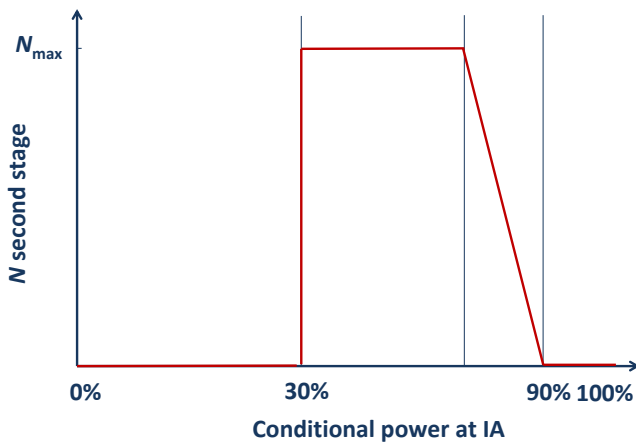
⁴Mehta and Pocock, 2011

Promising zone design (2)

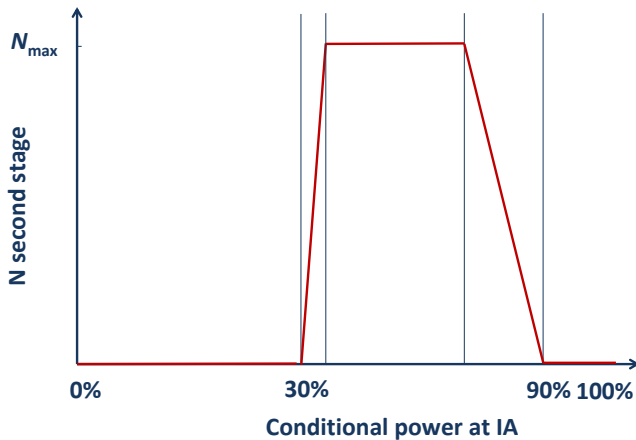
- ▶ Plan with $HR = 0.70$
- ▶ Interim analysis with conditional power calculation

Conditional power	Zone	Decision
$> C_{\text{eff}}$	Efficacy	Stop
$90\% - C_{\text{eff}}$	Favorable	Continue with no change
$30\% - 90\%$	Promising	Reassess N
$C_{\text{fut}} - 30\%$	Unfavorable	Continue with no change
$< C_{\text{fut}}$	Futility	Stop

Reevaluation of N



Or rather . . .



Properties⁵

True HR	Zone	Pr(zone)	Classical trial		PZD	
			Power	Evts	Power	Evts
0.76	Unfavorable	20%	42%	423	42%	423
0.76	Promising	24%	75%	423	93%	656
0.76	Favorable	57%	95%	423	95%	423
0.78	Unfavorable	25%	34%	423	34%	423
0.78	Promising	25%	68%	423	88%	658
0.78	Favorable	50%	93%	423	93%	423
0.80	Unfavorable	31%	28%	423	28%	423
0.80	Promising	26%	62%	423	84%	668
0.80	Favorable	43%	93%	423	93%	423

⁵Thanks to Y. Jemiai, Cytel Inc.

Combined phase 2(b)–3

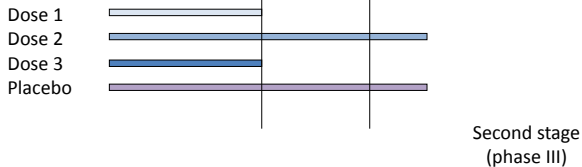
- ▶ One trial, two "traditional" phases
 - ▶ Stage 1: phase 2 (e.g. dose ranging)
 - ▶ Stage 2: phase 3
- ▶ Confirmatory trial
- ▶ Distinguish
 - ▶ Trials that are operationally *seamless*
 - ▶ Trials that are inferentially *seamless*
- ▶ In the latter case, the final analysis uses all included patients

Schematic representation

Traditional drug development



Seamless phase II/III



General methodology

- ▶ Null hypothesis for stage 1 H_{01} (e.g. no difference on early endpoint)
- ▶ Other null hypothesis H_{02} (e.g. no difference on clinical endpoint)
- ▶ Global null hypothesis $H = H_{01} \cap H_{02}$
- ▶ Goal: to combine results from the two stages to control α under H

First stage

- ▶ Test $H_1 = H_{01}$
- ▶ Recruit n_1 patients $\rightarrow Z_1 \rightarrow p_1$
- ▶ If $p_1 \leq \alpha_1$: Reject H_{01} and continue to test H_{02}
- ▶ If $\alpha_1 < p_1 \leq \alpha_0$: Do not reject H_{01} (yet) but continue to test $H_{01} \cap H_{02}$, H_{01} and H_{01}
- ▶ If $p_1 > \alpha_0$: Stop for futility

Second stage

- ▶ Test $H_2 = H_{02}$ or $\{H_{01} \cap H_{02}, H_{01}, H_{01}\}$
- ▶ Recruit n_2 additional patients
- ▶ $Z_2 \rightarrow$ p-value $p_2(Z_1, Z_2)$
- ▶ Reject H_2 and thus H if $p_2 \leq C(z_1)$
($C(\cdot)$ = conditional error function)

Phase 3: population enrichment

- ▶ Trial that begins with a "wide" population
- ▶ And possibly continues in a targeted subpopulation if efficacy is shown in the subgroup
- ▶ Recognized methodology when
 - ▶ Subgroups are defined in advance
 - ▶ The trial is planned that way from the beginning
- ▶ Methods to control the type I error rate α

Post-hoc enrichment

- ▶ Analysis that was not pre specified
- ▶ Or trial that was not planned with an adaptive design
- ▶ Cases where such trials were conducted with a "clean" rationale: e.g. new marker discovered outside the trial
- ▶ Other rationales more debated ...

Outline

Definition

Overview of adaptive designs

Statistical principles

- Basic concepts

- Combining different stages

- Multiple testing

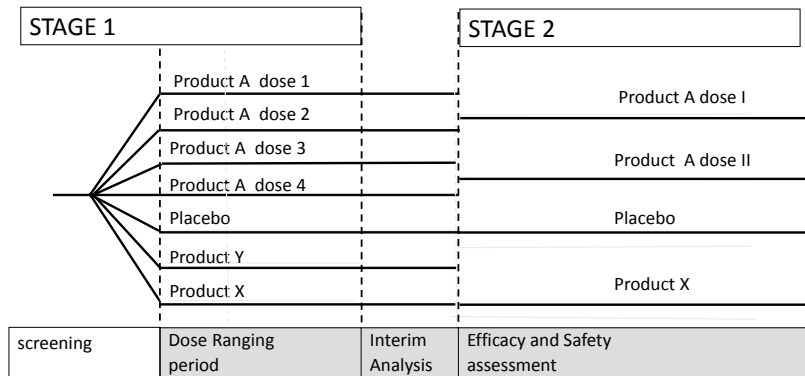
- Planning

- Estimation

- Bayesian approach

Discussion

(True) phase 2–3 trial

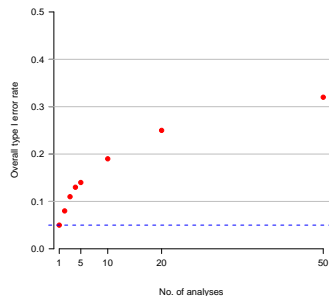


What statistical issues should be accounted for?

Control α for group sequential analyses

- ▶ Interim analyses
 - ▶ First analysis with n_1 /arm
 - ▶ Second analysis with $(n_1 + n_2)$ /arm
- Increase of global α

No. tests at 5% level	False positive rate
1	5%
2	8%
3	11%
5	14%
10	19%
20	25%
50	32%



Control α for multiplicity

- ▶ Multiple hypotheses

No. hypotheses	False positive rate
1	5%
2	10%
3	14%
4	19%
5	23%
8	34%
10	40%

→ Increase of global α

Control of α

- ▶ Adapted statistical methods
- ▶ Interim analyses
 - ▶ Rejection boundaries for group sequential trials
 - ▶ O'Brien & Fleming, Pocock, Wang & Tsiatis ...
- ▶ Multiplicity
 - ▶ Correction of p -values / local α
 - ▶ Bonferroni, Holm, Hochberg, Sidak, ...

Other issues

- ▶ How to combine the two stages?
- ▶ How to dimension the second stage to control the power
- ▶ Which power (Conditional? For what difference?)
- ▶ How to analyze/report the results

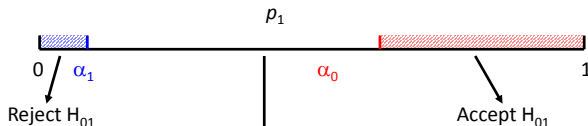
Conditional error and invariance principle

- ▶ Conditional error
 - ▶ Probability of a type I error at final analysis given what is observed at the IA
- ▶ Invariance principle
 - ▶ Any modification preserving the conditional error preserves the global type I error
- ▶ Methodology of adaptive designs
 - ▶ Replace the sequel of a trial by a design which, conditional on what has been observed, preserves the initial conditional type I error

Combining different stages

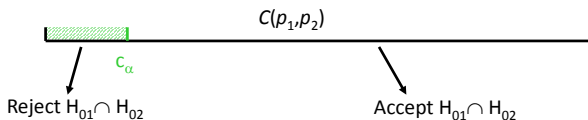
Stage 1: null hypothesis H_{01}

n_1 patients \rightarrow p -value p_1



ADAPTATION (possibly $\rightarrow H_{02}$)

Stage 2: n_2 patients, p -value p_2



Heuristics: from a sequential to an adaptive design

- ▶ Test $H_0 : \mu \leq 0$ vs. $H_1 : \mu > 0$
- ▶ Working model:
 - ▶ μ = mean of a Gaussian variable
 - ▶ Variance σ^2 known, equal to 1

Stage 1

n_1 observations, $z_1 = \sqrt{n_1} \bar{x}_1$

- ▶ Reject H_0 if $z_1 \geq z_{\alpha_1}$
- ▶ Stop for futility si $z_1 < z_{\alpha_0}$

Stage 2

n_2 observations, mean of the $(n_1 + n_2)$, \bar{x}

Reject H_0 if $z = \sqrt{n_1 + n_2} \bar{x} \geq z_{\alpha_2}$

$\Leftrightarrow w_1 z_1 + w_2 z_2 \geq z_{\alpha_2}$,

with $w_i = \sqrt{\frac{n_i}{n_1 + n_2}}$ and $z_2 = \sqrt{n_2} \bar{x}_2$

- ▶ With
 - ▶ n_1 and n_2 prespecified
 - ▶ $\alpha_0, \alpha_1, \alpha_2$ determined to control the global type I error rate

From a sequential to an adaptive design (cont'd)

- ▶ Interim analysis: adapt $n_2 \rightarrow \tilde{n}_2$
- ▶ If we decide to reject H_0 if

$$\tilde{Z} = w_1 Z_1 + w_2 \tilde{Z}_2 \geq Z_{\alpha_2}$$

$$\text{with } \tilde{Z}_2 = \sqrt{\tilde{n}_2} \bar{X}_2$$

- ▶ Then the global level of the test is α provided weights w_i are those defined at the beginning
- ▶ i.e. with the "original" n_1 and n_2
- ▶ Combination test: tests statistics were combined with prespecified rule

Combination test

- ▶ Combine the results of the different stages
- ▶ Combine the test statistics (previous slide)
- ▶ Or combine p -values
- ▶ Many combination functions possible
 - ▶ Fisher's product test: $C(p_1, p_2) = p_1 \times p_2$
 - ▶ Weighted inverse normal combination:
 $C(p_1, p_2) = 1 - \Phi[w_1 \Phi^{-1}(1 - p_1) + w_2 \Phi^{-1}(1 - p_2)]$, with
 $0 < w_i < 1$ et $w_1^2 + w_2^2 = 1$

Conditions

- ▶ The combination rule has to be fixed in advance
- ▶ p -values must be "p-clud"

$$\Pr_{H_0}(p_1 \leq \alpha) \leq \alpha \text{ et } \Pr_{H_0}(p_2 \leq \alpha | p_1) \leq \alpha, \quad \forall \alpha \in [0, 1]$$

- ▶ If p_1 and p_2 are independent and normally distributed, they are p-clud
- ▶ Determine decision boundaries to control α

$$\alpha_1 + \int_{\alpha_1}^{\alpha_0} \int_0^1 \mathbf{1}_{[C(x,y) \leq c_{\alpha_2}]} dx dy = \alpha$$

Conditional error function

- ▶ Another equivalent concept
- ▶ Reject $C(p_1, p_2) \leq c$
- ▶ Or reject if $p_2 \leq A(p_1)$
- ▶ Where $A(\cdot)$ is the conditional error function
- ▶ Working example: reject if $\tilde{z}_2 \geq \frac{z_{\alpha_2} - w_1 z_1}{w_2} = z_{A(z_1, \alpha_2)}$

Multiple testing

- ▶ Previous phase 2–3 trial: several hypotheses tested
- ▶ Let's note these null hypotheses H_1, \dots, H_k
- ▶ Strict control of α
 - ▶ Familywise error rate (FWER)
 - ▶ Maximum probability to reject at least one of the true H_i 's
- ▶ Closed testing procedure to control α

Closed testing procedure

- ▶ For a given H_i
 - ▶ Define all the sub-hypotheses $H_S = \cap_S H_j$ that include H_i
 - ▶ Test each of the H_S 's with a test of level α
 - ▶ Reject H_i iff all H_S 's are rejected
 - ▶ Strict control of the global type I error rate
- ▶ The tests for the different hypotheses may not be the same, only α matters
- ▶ Case of two-stage adaptive designs
 - ▶ Combination test for each hypothesis
 - ▶ If one dose is dropped, p_2 only uses data for the remaining arms

Example: Phase 2–3 trial⁶

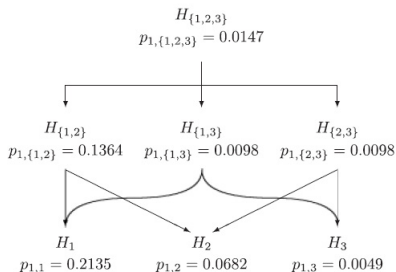
- ▶ 3 doses and one placebo; 1 dose to be selected for further investigation
- ▶ Gaussian outcome with SD $\sigma = 6$
- ▶ $n = 142$ / group, IA at $n_1 = 71$
- ▶ $H_i: \mu_i \leq \mu_0 \ \forall i = 1, 2, 3$ (μ_0 for placebo)
- ▶ Combination test: Weighted inverse normal combination with weights $\sqrt{1/2}$ ($n_1 = n_2$)
- ▶ OBF: $\alpha_0 = 0.1$, $\alpha_1 = 0.0054$, $\alpha = 0.025$ and $c = 0.0359$
- ▶ Confirmatory trial: first test the global null $H_{\{1,2,3\}}$ with Bonferroni correction

⁶Bretz et al., *Stat Med* 2009

Example: Interim analysis

- ▶ Results: $p_{1,1} = 0.2135$, $p_{1,2} = 0.0682$, $p_{1,3} = 0.0049$
- ▶ Bonferroni correction: $p_{1,\{i,j\}} = 2 \min(p_{1,i}, p_{1,j})$ et $p_{1,\{1,2,3\}} = 3 \min(p_{1,1}, p_{1,2}, p_{1,3})$

Interpretation



- ▶ $p_{1,\{1,2,3\}} > \alpha_1 \rightarrow$ no early rejection
- ▶ $p_{1,\{1,2,3\}} < \alpha_0 \rightarrow$ the trial continues
- ▶ $p_{1,\{1,2\}} > \alpha_0 \rightarrow$ accept $H_{\{1,2\}}$, H_1 et H_2
- ▶ Only the dose 3 (and placebo) are continued

Example: Final analysis

- ▶ We obtain $p_{2,3} = 0.0296$ (other doses stopped)
- ▶ $p_{2,3}$ is the second-stage p -value for $H_{\{1,2,3\}}$, $H_{\{1,3\}}$, $H_{\{2,3\}}$, and H_3
- ▶ Combination test
 - ▶ $C(p_{1,\{1,2,3\}}, p_{2,3}) < c$
 - ▶ $C(p_{1,\{1,3\}}, p_{2,3}) < c$
 - ▶ $C(p_{1,\{2,3\}}, p_{2,3}) < c$
 - ▶ $C(p_{1,3}, p_{2,3}) < c$
- ▶ We can thus reject H_3
- ▶ We conclude at the superiority of dose 3 over placebo

Power in complex situations

- ▶ Up to now sample size to demonstrate one single effect (only one hypothesis)
- ▶ If several hypotheses, several choices for the power
 - ▶ Probability to reject at least one false H_i ($\mu_i > \mu_0$)
 - ▶ Probability to reject all false H_i 's
 - ▶ Probability to reject the H_i corresponding to the best dose
- ▶ But "best" could involve an efficacy–tolerance trade-off . . .
- ▶ Envisage several definitions and scenarios to power the study → simulations

Conditional power

- ▶ Like the conditional error, but under H_1
- ▶ Probability of rejection at the final analysis given p_1
- ▶ Useful for
 - ▶ Decision (early stopping, ...)
 - ▶ SSR
 - ▶ Other adaptations
- ▶ Computing \tilde{n}_2 : $CP(z_1) = 1 - \Phi \left[(z_{\alpha_2} \sqrt{n_1 + n_2} - z_1 \sqrt{n_1}) / \sqrt{n_2} - \frac{\Delta \sqrt{\tilde{n}_2}}{\sqrt{2}} \right]$
- ▶ What should we take for Δ ?
 - ▶ $\Delta = d_1$ (*predictive power*) \rightarrow could be inefficient
 - ▶ $\Delta = \Delta_0$ (*conditional power*)
 - ▶ A combination of both
 - ▶ Bayesian predictive power

Issues for inference

- ▶ Up to now the methods presented focused on the control of the type I error rate
- ▶ Most adaptive designs methods were first targeting testing rather than estimation
- ▶ That remains a field for research
- ▶ Especially for confidence intervals

Point estimates

- ▶ The MLE is typically biased for the mean
- ▶ The bias depends on the alternative hypothesis, the stopping rules and the adaptation rules → unknown in practice
- ▶ Unbiased mean estimators exist but they are generally inefficient
- ▶ More efficient unbiased median estimators exist
- ▶ Even more severe issues after treatment selection
- ▶ UMVCUE can be found
 - ▶ $\text{Bias}(\text{UMVCUE}) = 0 < \text{Bias}(\text{MLE})$ but $\text{MSE}(\text{UMVCUE}) > \text{MSE}(\text{MLE})$
 - ▶ Choice on a case-by-case basis

Bayesian methods

- ▶ Less (almost never?) used for confirmatory trials
- ▶ More frequent in earlier phases trials
 - ▶ CRM
 - ▶ Phase 2 trials
- ▶ Methods also exist for phase 2–3 and phase 3 trials
- ▶ Even mixing Bayesian methodology with frequentist testing to show a control of the type I error rate

Outline

Definition

Overview of adaptive designs

Statistical principles

Discussion

Why choose an adaptive design?⁷

- ▶ Obtain the same information as with a classical design, but with an increased efficiency
- ▶ Increase the probability to attain the trial's objectives
- ▶ Improve the knowledge about the treatment
- ▶ But also
 - ▶ May shorten the drug development
 - ▶ Conceptually attractive

⁷Guidance for Industry Adaptive Design Clinical Trials for Drugs and Biologics, FDA, Draft 2010

Constraints to be taken into account

- ▶ Regulatory
 - ▶ Authorization
 - ▶ Maintaining the 'confirmatory' nature (seek formal statistical advice)
- ▶ Logistics
 - ▶ For all these designs, except phase 1 and 1–2
- ▶ Benefit/constraints or benefit/risk balance according to development phase or objectives
- ▶ Other constraint
 - ▶ Need of an 'expert' statistician

References I



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