

DMP

Data Management Plan

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Data Management Plan ACCEPT





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1 Glossary

This section shall contain definitions of terms which may be unfamiliar to the reader of the Data Management Plan

CI	Chief Investigator
CRF	Case Report Form
CSD	Cancer Sciences Division University of Southampton School of Medicine
CTDM	Clinical Trials Data Manager
DDS	Database Design Specification
DMEC	Data Monitoring and Ethics Committee
DMP	Data Management Plan
CDC	Clinical Data Coordinator
eCRF	Electronic Case Report Form
ECS	Edit Check Specification
pCRF	Paper Case Report Form
PI	Principal Investigator
QC	Quality Check
QRT	Quality and Regulatory Team
SCTU	Southampton Clinical Trials Unit
SMF	Site Master File
SOP	Standard Operating Procedure
STM	Senior Trial Manager
STS	Senior Trial Statistician
Subject	Patient or Participant
TMF	Trial Management File
TM	Trial Manager
TS	Trial Statistician
UAT	User Acceptance Testing
UoS	University of Southampton
VP	Validation Plan
VR	Validation Report
WPD	Working Practice Document
Data Sharing Plan	SCTU policy and instruction on how to manage data sharing requests

2 Introduction

2.1 Scope

The purpose of a DMP is to describe the organisation of data management products and processes including the collection, management, and review of all standard and trial-specific data elements. The DMP provides information about trial milestones of interest, data management procedures, data system devices, and reporting requirements. The document summarises the data management processes used by recording the key trial-specific documents, files, and databases.

2.2 Distribution

The DMP is distributed to and reviewed by all trial team members including STM, TM, CDC, CTDM, QRT and TS.

Please refer to the relevant SOPs and the trial delegation log for a list of accountable people in SCTU and their roles and responsibilities. Their signature on the SCTU Delegation Log confirms agreement to read and adhere to the current Data Management Plan.

2.3 Review

A review of the DMP should be considered whenever there is an update to a relevant SOP, a trial-specific process change, or a protocol change. If a minor revision is required, the DMP may wait to be updated until a major revision or multiple minor revisions are required. This is coordinated as per SOP CTU/SOP/5052 - Data Management. Adherence to the DMP will be monitored via review of the Trial Schedule (CTU/FORM/5165) and auditing of trial-specific files.

2.4 Deviations

Any deviation from this plan must be assessed as per SOP CTU/SOP/5041 - Protocol Deviations and Corrective and Preventative Actions (CAPA) including Potential Serious Breaches.

2.5 Data Security, Integrity, Privacy

It is the intention that, in every trial where the duties and functions of data management have been delegated to SCTU, the collection, processing and storing of all data collected meet SCTU high standards and must be handled in a manner consistent with the principles of Good Clinical Practice (GCP) and national regulatory requirements. This includes adherence to SCTU privacy policies and national laws. All document repositories and databases described herein are secured by various means including, but not limited to, user access by special controlled User IDs and passwords. SCTU complies with the Data Protection Act (1998), 21CFR (Code of Federal Regulations) Part 11, AES 256 (for encrypted data) and other policies and procedures related to clinical trials.

2.6 Data Sharing Plan

In order to meet our ethical obligation to responsibly share data generated by interventional clinical trials because trial participants have put themselves at risk, SCTU operate a transparent data sharing request process.

CTU/FORM/5219 - Request for Data Sharing from SCTU Managed Trials can be downloaded by researchers from the SCTU web site [www.southampton.ac.uk/ctu].

3 Protocol Information

The protocol described in this DMP, and any revisions, amendments, and/or extensions, including funding bodies, main contact list, aim of the trial, and any specific requirements, can be found in the TMF.

3.1 Data Management from Protocol

Section number	Section Title	Guidance provided
Trial Synopsis	Trial Synopsis	Summary of the trial
Schedule of Observations and Procedures	Schedule of Observations and procedures	Time and Events schedule indicating data expected for each visit, to aid CRF and deviation tracking
3	Definition of DLT	To aid eCRF design, ongoing data review, reporting requirements and deviation tracking
4.2 and 4.3	Inclusion and Exclusion criteria	Eligibility information, to aid edit check writing and ongoing review of eligibility related deviations
4.5	Registration / Randomisation Procedure	Enrolment data required and process, to aid site help
5.5	Discontinuation of Trial Treatment	Situations when patients will be discontinued from study treatment, to aid edit check writing
5.6	Withdrawal criteria	Timings of withdrawal and data expected, to aid CRF tracking
6.1	Treatment Schedule	Chemotherapy and IMP treatment details per cycle
6.9	Dose Delays and Modifications for Toxicity	Chemotherapy and IMP treatment dose delays and modifications per cycle to aid ongoing review of protocol related deviations
8	Safety	AE and SAEs expected, data required, and reporting timelines, to aid CRF and data tracking
9	Statistics analysis	Primary endpoints for QC
14	Data Management	Information about data management

4 Trial-Specific Enrolment Methods

Only patients that have signed the ACCEPT Informed Consent Form can be registered onto the trial. Subjects will automatically be allocated a Subject ID by the eCRF system, once the Primary form in the eCRF has been completed and saved. The Subject ID is a custom function that is derived from the Study Specific Site ID, (four digit number assigned in the site configuration settings), and an incremental, four digit number that is unique across the whole study.

5 Key Milestones

5.1 Key Milestones

Key milestone planned dates are agreed by the trial team at the start of the trial. Planned and actual milestones are tracked in the trial-specific Trial Schedule (CTU/FORM/5165)

Milestone	Definition
Final Protocol Approval (FPA)	The date Protocol Version 1.0 approved
Database Go-Live date (DBGL)	The date the Validation Certificate is awarded
First centre initiated (FCI)	The date the first site is open to recruitment
First subject first visit (FSFV)	The date of the first trial visit for the first subject
Last subject first visit (LSFV)	The date of the first trial visit for the last subject
Last subject last visit (LSLV)	The date of the last trial visit for the last subject
Database Freeze (DBF)	The date all data in-house has been cleaned and validated and ready for release to TS
Database lock (DBL)	The date all data flow is turned off and the final locked stage of the database.
Interim Statistical Analysis Complete (iSAC)	The date(s) the interim statistical analysis for the study is complete e.g. iSAC 1, iSAC 2 etc. <i>(if applicable)</i>
Statistical Analysis Complete (SAC)	The date the final statistical analysis for the study is complete <i>(if primary endpoint analysis is considerably earlier than secondary endpoint analysis, consider adding primary date as SAC and overwriting when secondary complete, or add primary as an iSAC)</i>
Archiving complete	The date that all trial related data and documentation has been archived

6 Trial-Specific Data Collection Methods and Software

6.1 Software Used

Functions required for the trial and systems used to carry out that function

Function	Software	Version
Data Collection Tool	RAVE EDC	Current version

Data Collection Tool building	RAVE Architect	Current version
Data extraction and reporting	RAVE Reporter Statistical Analysis System Microsoft Excel	Current version SAS v9.4/latest Current version
Encryption	Truecrypt	NA
Data analysis	Statistical Analysis System	STATA v14/latest or SAS v9.4/latest

6.2 Data Entry Methods

Data entry methods used for the trial and the type of data involved

Method of entry	Data Type
Electronic Data Capture (EDC) at site	All eCRFs with the exception of SAE forms

6.3 External Vendors and external data transfer

Data collected that is not captured via CRF or reports from site, i.e. central lab or biobank data

Suppliers/External Vendor	Component Delivered	Data transfer details
NA		

6.4 External Partner

External partners of SCTU, such as a supplier, insourcing partner, or vendor for Clinical Data Management (CDM) set up and design components, web-based electronic data capture tools, or other data capture tools and data management aspects.

Suppliers/External Partners	Component Delivered
NA	

7 Data Management Processes and Products

7.1 Processes and Reference Documents

Please see trial-specific Data Management Processes and Reference Documents (CTU/FORM/5166) for a list of the processes involved in the planning, set-up, conduct, and close out of the trial and the reference documents used to carry out these processes.

7.2 Documents Produced and Location

7.2.1 Standard Documentation

Standard Data Management documents produced for the planning, set-up and conduct of the trial and where they are held.

Organisation / Vendor Responsible	Type of Document	Name of Document	Location during conduct of the study	Location at trial close
SCTU	Data Management Processes and Reference Documents	ACCEPT Data Management Processes and Reference Documents	Trial Management File (TMF)	Trial Master File
SCTU	Preliminary Scoping Section of SDS	SCTU-SDS-ACCEPT	TMF	Trial Master File
SCTU	Database Milestone Targets	SCTU-DMT-ACCEPT	TMF	Trial Master File
SCTU	Database Design Section of SDS	SCTU-DDS-ACCEPT	TMF	Trial Master File
SCTU	Edit Check Specification	SCTU-ECS-ACCEPT	TMF	Trial Master File
SCTU	Data Test Plan	SCTU-DTP-ACCEPT	TMF	Trial Master File
SCTU	Data Management Plan	SCTU-DMP-ACCEPT	TMF	Trial Master File
SCTU	Validation Report	SCTU-VR-ACCEPT	TMF	Trial Master File
SCTU	Validation Certificate	SCTU-VC-ACCEPT	TMF	Trial Master File
SCTU	Sample Case Report Forms	NA	TMF	Trial Master File
SCTU	User Details Registration Log (for database)	ACCEPT User Listing Report	TMF	Trial Master File
SCTU	Certificate of RAVE Training (for sites)	Medidata RAVE User Account (access restricted prior to completion)	TMF	Trial Master File
SCTU	Data Entry Guidelines	ACCEPT Data Entry Guidelines	TMF	Trial Master File
SCTU	eCRF Completion Training Manual	ACCEPT eCRF Completion Guidelines	TMF	Trial Master File

Organisation / Vendor Responsible	Type of Document	Name of Document	Location during conduct of the study	Location at trial close
SCTU	Trial Schedule	ACCEPT Trial Schedule	TMF	Trial Master File
SCTU	PI confirmation of data integrity for paper CRF trials	NA	SMF	Trial Master File
SCTU	Authorised Database Change Request form	ACCEPT Database Design Change Request Form	TMF	Trial Master File

7.2.2 Trial-Specific Documentation

Trial-specific documents produced for and during the conduct of the trial, where they are held and their definitions

Organisation / Vendor Responsible	Type of Document	Name of Document (do not include version)	Location during conduct of the study	Location at end of trial
SCTU	eCRFs	ACCEPT RAVE EDC database	ACCEPT RAVE Database SCTU URL	Trial Master File
SCTU	Notes to File	ACCEPT NTF	TMF / SMF / Subject files	Trial Master File
SCTU	Risk Assessments	ACCEPT RA	TMF / SMF	Trial Master File
SCTU	Trial Deviation Log	ACCEPT Trial Deviation Log	TMF	Trial Master File

Definitions

7.2.2.1 eCRF

Electronic forms used to collect subject data from sites

7.2.2.2 Electronic data query forms

Queries created during data cleaning. Paper queries are held in the Subject File, electronic queries are held on the Data Collection Tool.

7.2.2.3 Correspondences with site or external parties

All significant discussion via email, fax or telephone conversation with site or an external party. General trial correspondence is held in the TMF. General site correspondence is held in the SMF. Subject-specific correspondence is held in the Subject File.

7.2.2.4 Notes to file

Notes to File, generated when unexpected circumstances have occurred within the scope of the trial, providing an explanation of actions for future reference.

7.2.2.5 Risk Assessments

Risk assessments, carried out when an issue relating to the trial data had been identified, reviewing the risk, level of priority, and any actions required in response.

7.2.2.6 Trial Deviation Log

Deviations from DMP, GCP, SOPs, or from the protocol, which are not sufficiently referenced via a query, are relating to trial eligibility, or require escalation for a risk assessment or CAPA, are documented on the deviation log.

7.3 Trial-Specific Clinical Data and Document Processing Methods

Any clinical data and document processing methods which are trial-specific and therefore are not detailed in the SOPs

7.3.1 Electronic CRFs

Sites will enter all subject data directly into the data collection tool (Rave EDC) at site, except for SAE/SUSAR data.

7.4 Central Monitoring

Central monitoring is carried out throughout the lifetime of the trial to assess subject recruitment and subject safety, and for data review and cleaning, to track and chase missing data and resolve discrepancies that are not highlighted through database edit checks.

For the trial-specific Central Monitoring Plan, please refer to the Central Monitoring section of the Trial Schedule (CTU/FORM/5165).

7.5 Quality Assurance

Quality Control (QC) checks are required to ensure data integrity and are carried out at various levels and time points depending on the requirements of the trial.

For details of trial-specific QC required and frequency, please refer to the QC section of the Trial Schedule (CTU/FORM/5165)

7.6 Communication

Meetings with trial-team and external parties

Meeting type	Purpose	Expected Attendees	Timepoint recommended
Scoping meeting	Discuss documentation required, actions, responsibilities, and timelines	CTDM, TS, TM,	Once protocol deemed stable and prior to database build
Forms and Layout Walkthrough	Review form content and layout.	CTDM, TS, TM, CI	After Stage I of database build
Team meetings	Review of trial recruitment, CRF return rates, Queries, issues, upcoming events, actions, timelines	TM, CTDM, CDC, TC, TS	[weekly/monthly/as required]
SRC	Review of trial recruitment, safety aspects and advice to the TMG on trial continuation and/or changes to the trial.	CI, TM, QA, TS	As per Protocol
DMEC	Review of trial recruitment, CRF return rates, Queries, issues, upcoming events, actions, timelines	CI, STM, TM, TS	To be agreed by the DMEC team and documented in the DMEC charter.
TMG	Responsible for oversight of the trial	TMG Committee members	To be agreed by the TMG team and documented in the TMG charter.
TSC	Responsible for overall supervision of the trial	TSC committee members	To be determined by TSC team and documented in the TSC charter.

8 Key Timelines

These timelines are given as a guide to the trial team and real times will depend on the requirements of the trial which will be continually assessed. These will be tracked in the Trial Schedule (CTU/FORM/5165).

8.1 Recommended timelines for key tasks - EDC trials

Task	Timelines recommended
AE-SAE reconciliation	1 business day from receipt of AE form
SAE-AE paper reconciliation	20 business days after completion of subject participation in the trial
End of Study -AE reconciliation	20 business days after completion of subject participation in the trial
Data Entry by Site	10 business days given to sites to enter data from visit due date

Task	Timelines recommended
System Data Queries sent to site	Ad hoc basis
Query responded to by site	10 business days given for sites to respond to database queries from date the query is created.
Query responses processed by SCTU	10 business days given for query responses to be processed from time received to time re-queried or closed
Outstanding CRFs requested by SCTU	Outstanding CRFs to be requested from site every 10 business days and re-requested from site every 10 business days thereafter
Outstanding Queries requested by SCTU	Outstanding queries to be requested from site every 10 business days and re-requested from site every 10 business days thereafter
Escalation of data issues to trial team	60 days for queries and or CRFs to be outstanding before escalating to TM or delegate to take action with site. Exception would be Outstanding eCRFs and queries related to primary endpoint data (Disease Assessment and Response Assessment) which are to be escalated to the Trial Manager after 30 days.
SAE/SAR/SUSAR reporting	24 hours for sites to report SAEs, SARs and SUSARs to the Quality and Regulatory Team
SUSAR distribution to trial PIs	6 monthly (or less if risk decided higher for study, discuss with CTM)
Central Monitoring Reports	See Trial Schedule (CTU/FORM/5165)
Metrics	Every 6 months/ as agreed by data management team

9 Appendices

- CTU/FORM/5165 - Trial Schedule
- CTU/FORM/5166 - Data Management Processes and Reference Documents

10 Related Documents

10.1 External

- FDA, 21 CFR 820.70(i) and 21 CFR Part 11
- OECD Monograph 10: The application of the principle of GLP to computerised systems 1995

10.2 Internal

- CTU/SOP/5041 – Protocol Deviations and Corrective and Preventative Actions (CAPA) including Potential Serious Breaches
- CTU/SOP/5052 – Data Management

Revision History

Version Number	Revision	Date
1.0	New Document	12/APR/2017
2.0	Changes made to 8.1 Recommended timelines for key tasks – EDC trials – Diana Fernando	09/AUG/2017
3.0	Updated to latest DMP template and updated sec 8.1, Diana Fernando	15/JUL/2019