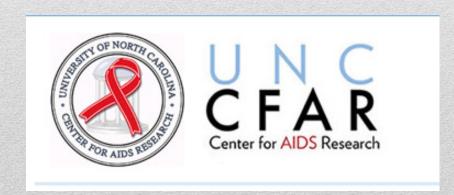
# Data Management in Clinical Research

**UNC Center for AIDS Research** 

August 30, 2013 Ali Fokar



#### **Organization of UNC CFAR Clinical Core**



**David Wohl** Investigator



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**Joseph Eron Core Director** Principal Investigator: HIV Clinical Research Unit (ACTG, HVTN, CHAVI)

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Heather **Prince** 

Study Coordinator



Ali Fokar Data Manager/ Programmer

#### Overview

- UCHCC Data Overview
- Data Management Objectives
- Regulatory Requirements
- Planning & Implementation
- Electronic Data Management Systems
- Case Report Forms Design (Guidelines)
- Data Quality Control
- Data Structure

#### **UCHCC Data Overview**

Existing Institutional Electronic Databases

**Medical Record Abstractions** 

Specimens (e.g., PBMC, Plasma, Cell Pellets)

CSDBS: Comprehensive In-person Patient Interviews

PRO: PROMIS, Patient Reported Outcomes

Clinic: Financial assessments, SAMISS, etc

RCTs: Studies, Labs, Treatments, etc

External: Nucleotide sequences

State / Federal:
SSDI and NDI mortality data,
Census data via Census Block Groups,
Medicaid and Medicare data

#### **UCHCC**:

UNC CFAR HIV Clinical Cohort Study

#### Clinic:

- PSR: Patient Summary Report,
- PROs,
- Ryan White, CQI

#### Requests:

- Study feasibility,
- Grant submission,
- Enrollment,
- Data and specimen collection and provision

#### Research:

- Hypothesis generation,
- Investigator initiated,
- Graduate students and post-graduate fellows

#### **Research Collaborations:**

- National and International







## Data Management Objectives

- The primary objective of Clinical Data Management (CDM) is to ensure timely delivery of <a href="https://high-quality.data">high-quality data</a> which are necessary to satisfy both <a href="good clinical practice">good clinical practice</a> (GCP) requirements and the <a href="statistical analysis and reporting requirements.">statistical analysis and</a>
- The quality of the data validation process has a direct impact on the quality of research study.

### IRB and HIPAA Requirements

- Researchers should prepare and submit their research protocols for IRB review and submit their HIPAA-related documents to the IRB at the same time.
  - Collect written authorization from patients for the release of their PHI.
  - IRB waiver from the authorization (Use of de-identified data)
- PHI that has been de-identified (stripped of a long list of identifiers) is not governed by HIPAA regulations.
- 2 cases under which IRB approval is not required but researcher must make representations under HIPAA if they are doing work with PHI.
  - Research on decedents.
  - Data review, preparatory to designing a research protocol.

#### Identifiers

- Names
- Geographic subdivisions smaller than a state
- Zip codes
- All elements of dates(DOB,DOD..)
- Telephone and Fax numbers
- Electronic mail addresses
- Social security numbers (SSN)
- Medical record numbers (MRN)
- Health plan beneficiary identifiers
- Account numbers
- Certificate/license numbers
- Vehicle identifiers and serial numbers Device identifiers and serial numbers
- Web universal resource locators (URL)
- Internet protocol (IP) address numbers
- Biometric identifiers, including finger and voice prints
- Full face photographic images
- Any other number, characteristic or code that could be used by the researcher to identify the individual

## Regulatory Requirements and Documentation

- U.S. Code of Federal Regulations (FDA regulated)
  - 21 CFR 11 Electronic Records (Electronic Data Capture and submission).
- International Conference on Harmonization (ICH) Good Clinical Practice (GCP) Guidelines
  - GCP 4.9 Records and Reports---(Investigators Responsibility)

## International Conference on Harmonization GCP 4.9

- ICH guidelines state: "The investigator should ensure the accuracy, completeness, legibility, and timeliness for the data reported to the sponsor in the CRFs and in all required reports."
- The investigator should ensure that any data reported on the CRF are consistent with the patient's medical records and, where applicable, discrepancies should be explained.

## NIH Requirements

- As of October 1, 2003, a data Sharing Plan is required to be included to all NIH grant applications \$500,000 or more of funding.
- "In NIH's view, all data should be considered for data sharing. Data should be made as widely and freely available as possible while safeguarding the privacy of participants, and protecting confidential and proprietary data"

## Regulatory Requirements

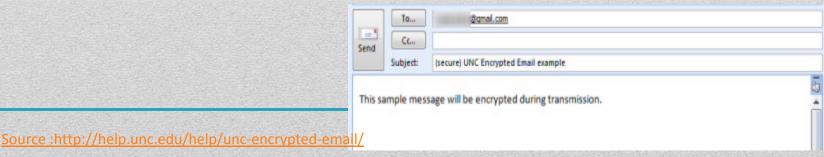
NC/UNC

Encrypt +password protect your Data: Portable devices, USB keys, Email

	PII	PHI	Employee Data	FERPA	Non-public Information
Sensitive (Y/N)	Υ	Υ	Υ	Υ	Υ
Applicable Laws and Regulations	NC Identity Theft Protection Act Gramm Leach Bliley Act (GLBA)	Health Insurance Portability and Accountability Act of 1996 (HIPAA)	GLBA State Personnel Act	Family Educational Rights and Privacy Act (FERPA)	
Requires Encryption (Y/N)	Y	Y	N	N	N
Has Applicable Security Standards (Y/N)	Y	Y	Υ	Υ	Υ
SAI Applicable for Servers (Y/N) <sup>1</sup>	Y	Y	Y	Υ	Y

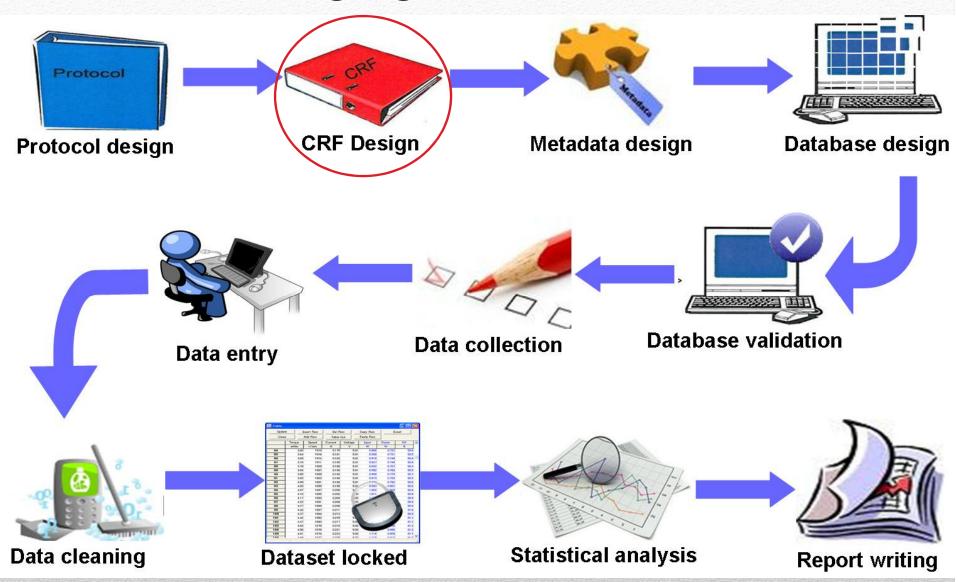
## Transmitting research data via email

- Remove PHI and send de-identified data
- UNC Encrypted Email provides message encryption between the sender and recipient, and can be received by any email user
- This will encrypt the entire email including attachments.
- The subject trigger is: (secure).
- Also Password protect your data and send the passcode on a separate email





#### DATA LIFE CYCLE



## Case Report Forms

- Consistent look and feel
- Standard headers, footers, page numbering
- Instruction box for each form
- Standard format for branches (Skip Logic)
- Collect data outlined in the protocol
- Be clear and concise with your data questions
- Avoid duplication
- Request minimal free text responses

- Provide units to ensure comparable values
- Provide "choices" for each questions
- Allow for Special codes
  - "d"Don't know
  - "m" Missing data
  - "n"Not applicable
  - "r" Refused
  - "s" Too sick to respond
  - "?"Data item under query requires follow-up

## Types of questions

- Key fields used to identify a unique record
- Multiple choice
  - Choose all that apply (Ex: Race)
  - Select only 1 (Ethnicity)
- Fill ins
  - Numeric and Character
  - specify # of characters
  - Specify decimal place
- Dates
- Open Ended



#### Demographic Information Form (DI) Revision 1

#### The DRINK Study Demographic Information Form

Study ID	DOB / / /	Visit ID
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Instructions: Please fill out this form after determining that the patient is eligible for the study. Ask only one caregiver to respond to these questions. Read: "I am going to start by asking you some basic questions about your child, family and overall environment."

Interviewer Guide: Please try and use actual child's and caregiver's name as much as possible.

١.	Wh	at is	your relationshi	ip to the child?						
	1)	_	_Mother							
	2)	_	_Father							
	3)		_Other: (pleas	e specify):						
			everyone who ling yourself.	ves in the hom	e with the child b	y their rela	tionship to	the child and	their age	and
			A *				)	7		

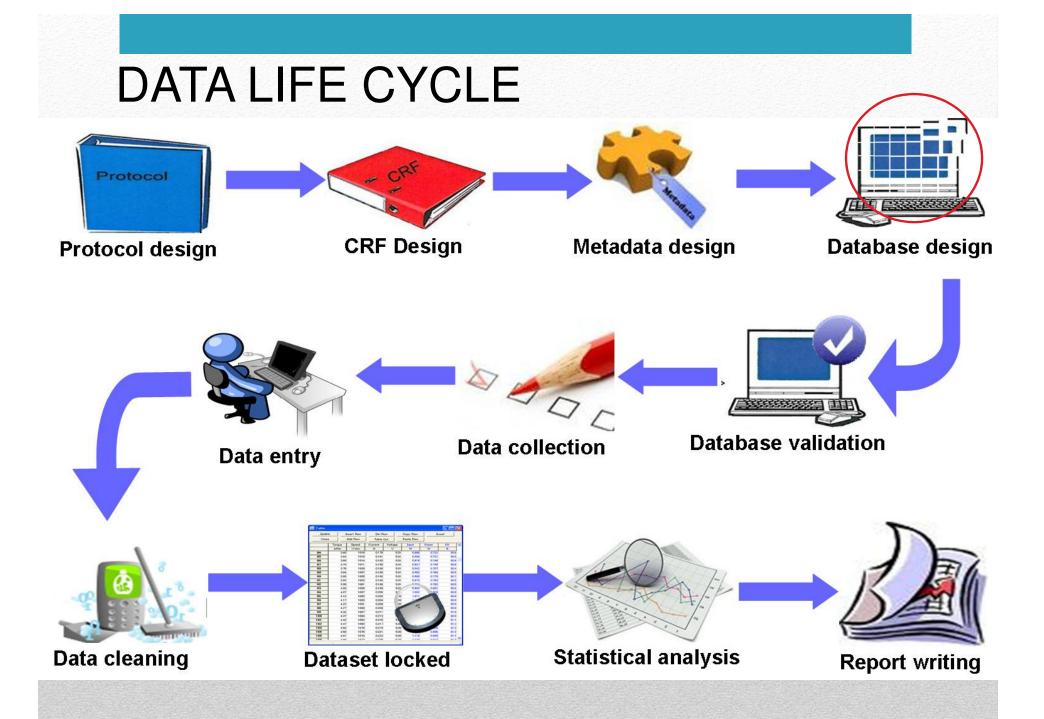
	A* Relationship	B If Other, Specify	C Age	D Sex
			(years)	1=male, 2=female
2.				
3.				
4.				
5.				
6.				
7.				
8.				
9.				
10				
11				
12				
13				
14				
15				
16				
17				

\*Relationship codes: 1 = mother, 2 = father, 3 = sibling, 4 = grandparent, 5 = <u>aunt/uncle.</u> 6 = cousin, 7 = other

V:\dannon\Forms\Final Word docs\DI1.8.doc

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Created: 08/20/2008 Modified 09/12/2008



### Electronic DM Systems

- Reduction in cycle time from protocol development to Statistical Analysis
- High Data Quality
- Lower Cost
- Improved Regulatory Compliance (complete audit trails)
- Facilitated clinical research monitoring capabilities
- Options
  - Commercial software packages Vs. in-house development
  - Improved data integrity and quality, tracking techniques

#### EDC Vs. CADE

#### **EDC**

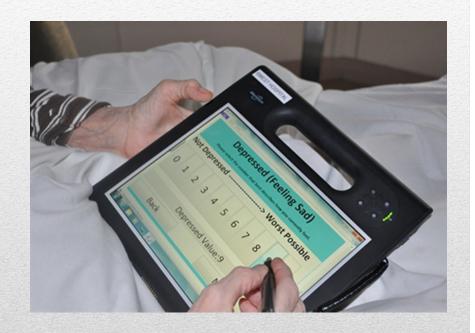
- Lab results from Webcis
- Strengths:
  - Eliminates data entry step
  - Timeliness
  - Accuracy
- Weaknesses:
  - Requires specialized computer programming expertise
  - Requires standards for representing clinical data (HL-7)
  - Requires willingness of systems managers at source of data to allow data connections

#### CADE

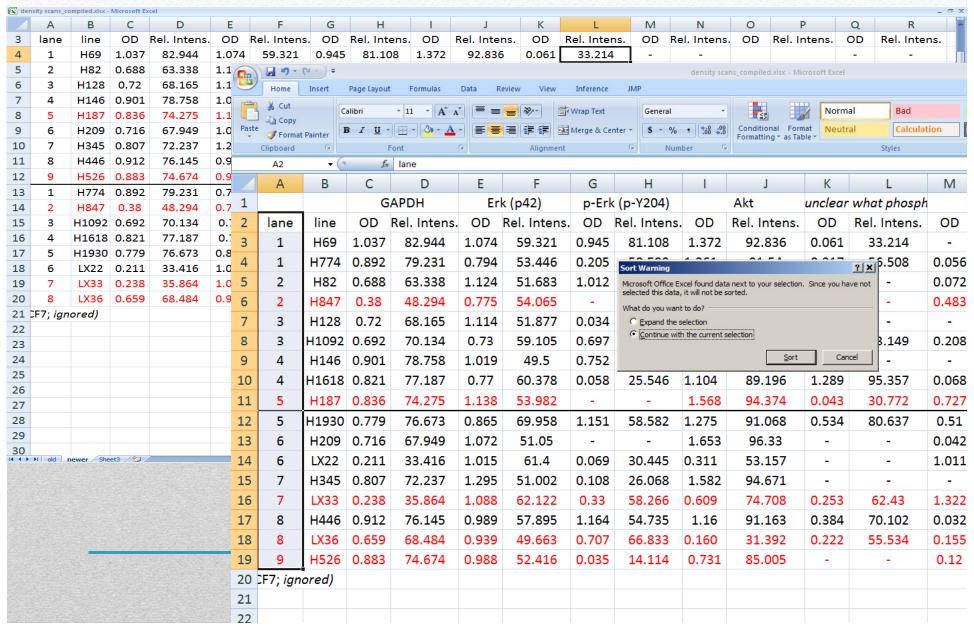
- Chart abstraction form and CADET
- Improve accuracy by:
  - Double entry and file comparison ('gold standard' but inefficient and expensive)
  - Special technologies for referential integrity items (e.g., barcode visit and participant ID)
  - Data auditing and source document verification of scientifically important variables

## **EDC: Participant entry**

- Example PRO collection
- use thin tablets
- Strengths
  - If well designed, eliminates data entry step
  - Can add multimedia explanations and tutorials
  - Can be more enjoyable for study participants than paper forms
- Weaknesses
  - Requires basic computer skills
  - Requires literacy skills
  - Requires staff assistance and verification



#### MS Excel



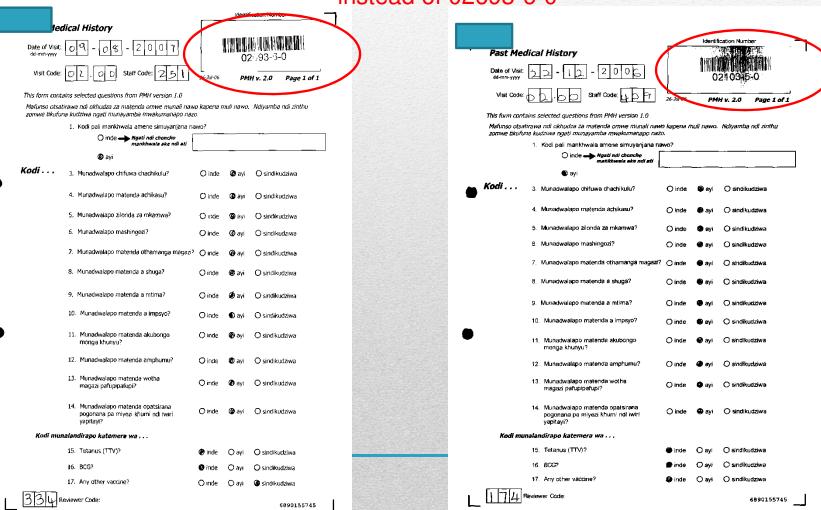
## Electronic DMS

	Teleform	MS Access	REDCap	CDART
Requires Data Entry	X	٧	٧	٧
web-based.		Χ	٧	٧
Data Encryption		Χ	٧	٧
Audit trails		Χ	٧	٧
User Management		Χ	٧	٧
Multi-site access and data entry	٧	٧	٧	٧
Auto-validation, branching logic, and stop actions.	X	٧	٧	٧
Mid-study modifications. You may modify the database or survey at any time during the study.	٧	X	٧	٧
Data comparison functions/Double data entry		Χ	٧	٧
Real-time Data reports	X	٧	٧	٧
Notification System	X	Χ	٧	٧
Scalability		Χ	٧	٧
Custom Functionalities	X	Χ	٧	٧

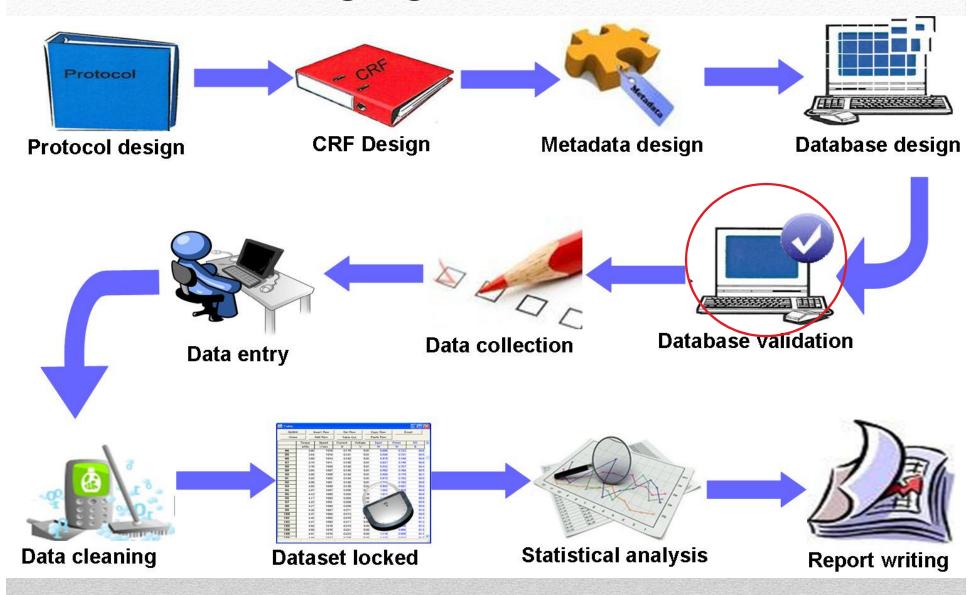
#### TeleForms

Read as 02593-6-0 instead of 02693-6-0

Read as 02103-6-0 instead of 02103-5-0



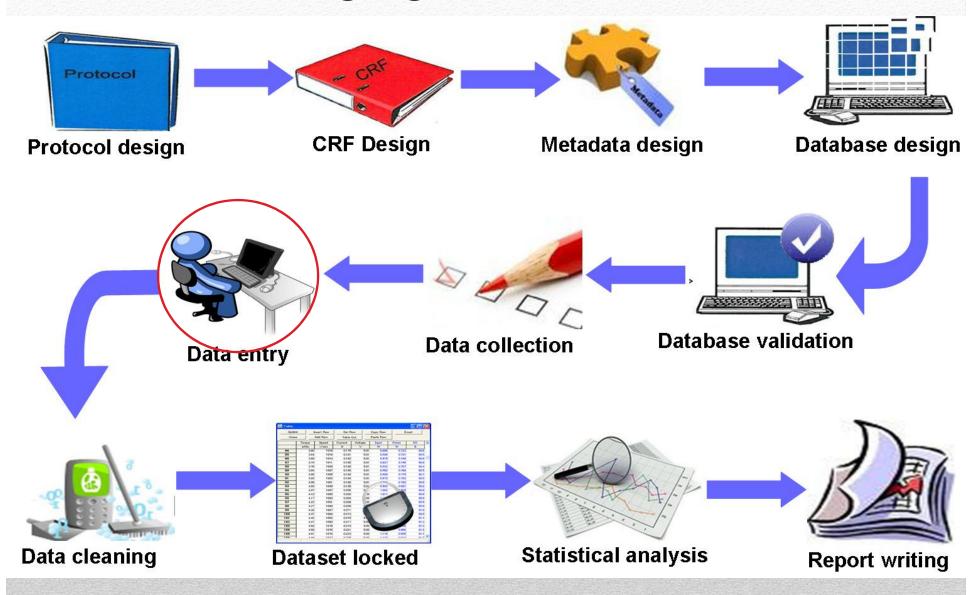
#### DATA LIFE CYCLE



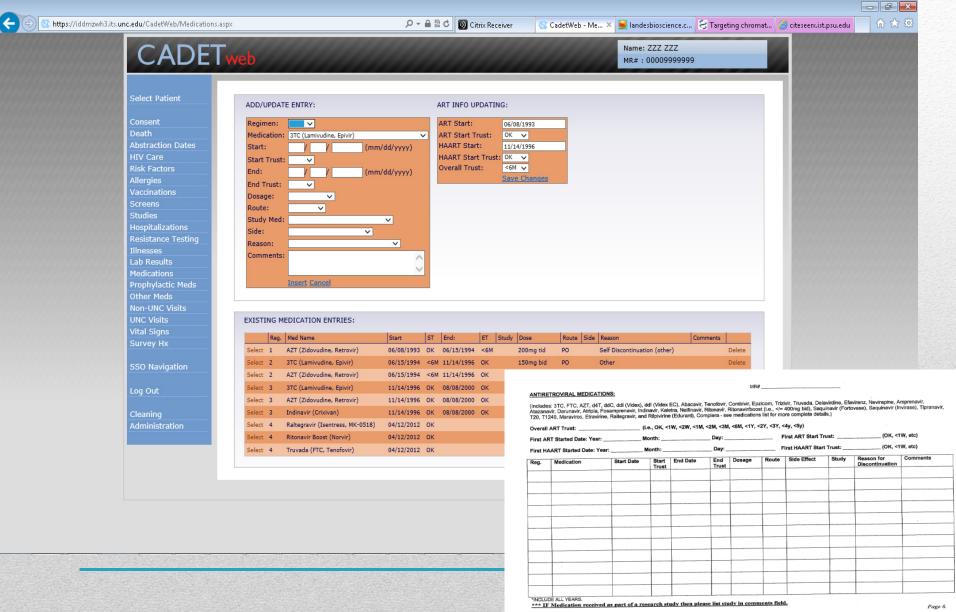
#### **DMS Validation**

- Enter dummy data provided by the developer.
- Test all navigation buttons.
- Ensure that data entered through the data entry screen are saved appropriately and can be browsed, changed, and/or deleted.
- Validate any data integrity constraints or checking routines that execute during data entry
- Document all testing performed as part of the validation process.
- The first week that the data system is used in the field should be considered a Beta-test period. During this period, end-users in the field should enter fictitious data to test the system in the environment that it will actually be used

#### DATA LIFE CYCLE



#### Data entry following paper CRF collection



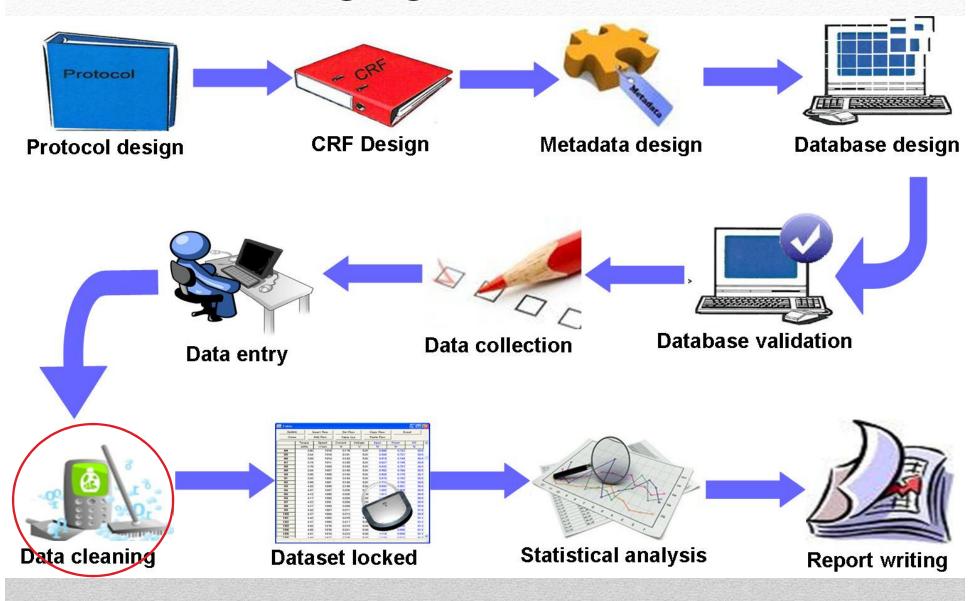
### Mapping DB Names to Form

#### **Items**

- One-to-one mapping between:
  - DB data item names
  - Item numbers on the data forms and revisions
- Required by analyst to make sense of the data
- If variable naming conventions are followed and transparent, then a collection of all the forms will also serve as the data dictionary

Study ID	Demographic Information Form (DI) Revision 1
DRINK	
18. Does anyone in your household smoke? DI1018	
1)Yes	
2) No	
19. Are you the biological parent of the child? DI1019	l
1)Yes	
2) No	
20. Are you: DI1020	
1) Married	
2) Living with a partner	
<ol> <li>Single (Go to Q. 22)</li> </ol>	
4) Divorced (Go to Q. 22)	
5) Widowed (Go to Q. 22)	
21. Is your spouse/partner currently employed?	021
1) Yes	
2) No (Go to Q. 22)	
21a. If yes, how many hours per week?	hrs DI1021a

#### DATA LIFE CYCLE



## Data Quality Control

- Raw data files are never altered
- Changes made via program (Eg: SAS, Stata)
- Check for . . .
  - Inconsistencies
  - Duplicate or missing IDs or records
  - Out-of-range errors
  - Logical errors
    - Within data table and between tables
- Check by writing computer code
  - Do not use eye-ball method

#### **Data Structures**

- Flat file
  - One record per person (or unit of analysis)
- Normalized
  - Divided into many tables via well defined relationships to reduce redundancy
  - Standard among database administrators
  - Relational databases
- Form based

#### Flat File

#### **SANDSID** RIGHT ARM CIRC V1 CUFF SIZE V1 RIGHT ARM V1 STANDING TIME V1 TWO\_MIN\_SYS\_V1 TWO MIN DIAS V1 ANTHROPOMETRICS\_V1 STAFF CODE V1 VISIT DATE V1 SYS 1 V1 DIAS 1 V1 SYS 2 V1 DIAS 2 V1 SYS 3 V1 DIAS 3\_V1

WEIGHT V1

WAIST V1

```
Continued...
RIGHT_ARM_CIRC_V2
CUFF SIZE V2
RIGHT ARM V2
STANDING_TIME_V2
TWO MIN SYS V2
TWO MIN DIAS V2
ANTHROPOMETRICS V2
STAFF CODE V2
VISIT DATE V2
SYS 1 V2
DIAS 1 V2
SYS 2 V2
DIAS 2 V2
SYS 3 V2
DIAS 3 V2
WEIGHT V2
WAIST V2
...repeat for every visit
```



OME INSERT PAGELAYOUT FORMULAS DATA REVIEW VIEW

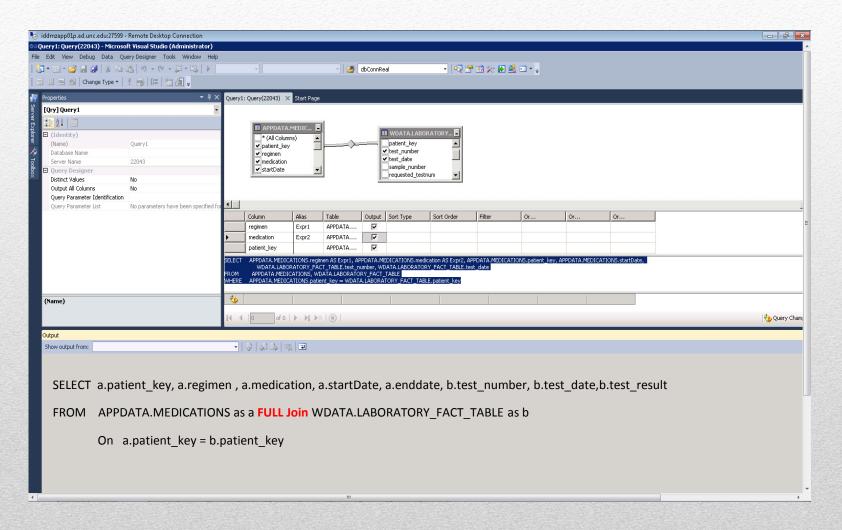


F8 1 × ✓  $f_x$ =H8+22916 D Е G Α В Μ Ν 0 Q 1 ID test date CD 4 Medications Med StartDate Med endDate 2 AAA 3/9/1997 131 AZT (Zidovudine, Retrovir) 4/6/1997 8/16/1998 3 AAA 3/9/1997 131 Atazanavir (Reyataz) 1/20/2012 3/9/1997 1/5/2012 4 AAA 131 Atazanavir (Reyataz) 1/20/2012 5 AAA 3/9/1997 131 Truvada (FTC, Tenofovir) 4/21/2010 6 AAA 3/9/1997 4/21/2010 131 Ritonavir Boost (Norvir) 7 AAA 3/9/1997 131 Atazanavir (Reyataz) 4/21/2010 1/5/2012 8 AAA 3/9/1997 2/3/2009 131 Truvada (FTC, Tenofovir) 3/11/2009 9 AAA 3/9/1997 131 Ritonavir Boost (Norvir) 2/3/2009 3/11/2009 3/9/1997 10 AAA 131 AZT (Zidovudine, Retrovir) 8/16/1998 9/10/1998 11 AAA 4/6/1997 134 AZT (Zidovudine, Retrovir) 4/6/1997 8/16/1998 12 AAA 4/6/1997 134 Atazanavir (Reyataz) 1/20/2012 1/5/2012 13 AAA 4/6/1997 134 Atazanavir (Reyataz) 1/20/2012 14 AAA 4/6/1997 134 Truvada (FTC, Tenofovir) 4/21/2010 4/6/1997 134 Ritonavir Boost (Norvir) 4/21/2010 15 AAA 1/5/2012 16 AAA 4/6/1997 134 Atazanavir (Reyataz) 4/21/2010 4/6/1997 2/3/2009 3/11/2009 17 AAA 134 Truvada (FTC, Tenofovir) 18 AAA 11/9/1997 132 AZT (Zidovudine, Retrovir) 4/6/1997 8/16/1998 11/9/1997 1/20/2012 19 AAA 132 Atazanavir (Reyataz) #VALUE! 1/5/2012 20 AAA 11/9/1997 132 Atazanavir (Reyataz) 1/20/2012 4/21/2010 21 AAA 11/9/1997 #VALUE! 132 Truvada (FTC, Tenofovir) 4/21/2010 22 AAA 11/9/1997 132 Ritonavir Boost (Norvir) #VALUE! 23 AAA 11/9/1997 4/21/2010 1/5/2012 132 Atazanavir (Reyataz) 11/9/1997 2/3/2009 3/11/2009 24 AAA 132 Truvada (FTC, Tenofovir) 25 AAA 11/9/1997 132 Ritonavir Boost (Norvir) 2/3/2009 3/11/2009 11/9/1997 26 AAA 132 Atazanavir (Reyataz) 2/3/2009 3/11/2009 11/9/1997 27 AAA 132 Tenofovir (Viread) 4/24/2007 10/4/2008 28 AAA 11/9/1997 4/24/2007 10/4/2008 132 Ritonavir Boost (Norvir) 29 AAA 11/9/1997 132 Atazanavir (Reyataz) 4/24/2007 39725 11/9/1997 4/24/2007 30 AAA 132 3TC (Lamivudine, Epivir) 39725 11/9/1997 9/5/2006 39063 132 Tenofovir (Viread) 31 AAA 32 AAA 11/9/1997 132 Saguinavir (Fortovase, Invirase) 38965 39063 11/9/1997 33 AAA 132 Ritonavir Boost (Norvir) 38965 39063 34 AAA 11/9/1997 132 Efavirenz (DMP266, Sustiva) 38965 39063 11/9/1997 39063 35 AAA 132 Abacavir (Ziagen) 38965 36 AAA 11/9/1997 132 Trizivir (AZT, 3TC, Abacavir) 38811 38965 +Sheet1 Sheet2 Specs Sheet3 Sheet4 Sheet 5 (<del>+</del>) 1 F

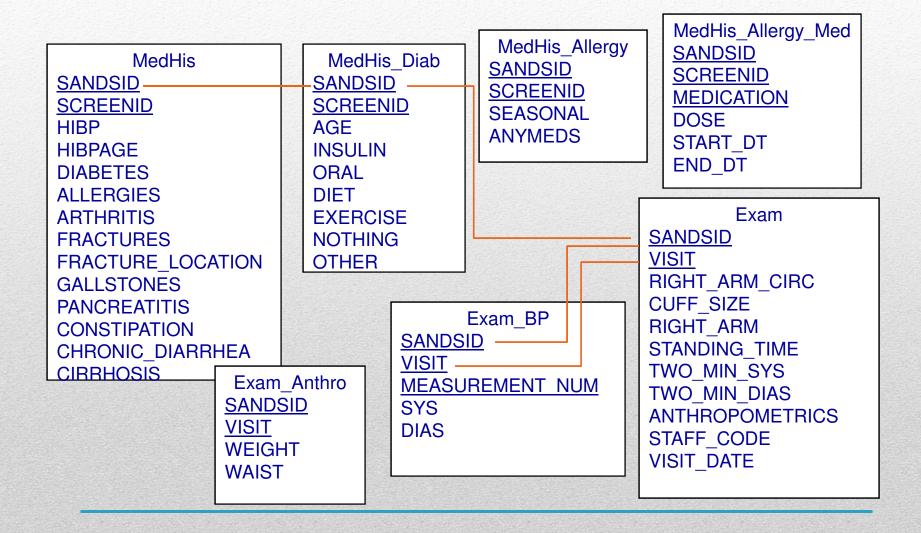
#### A Day in the Life of Databert



#### Relational Databases



#### Normalized Datasets



## Merging data sets

- Understand key fields
  - Combination of fields that define a unique record
  - Merge based on key fields
- Types of merges
  - Merging data sets with the same key fields
    - Inner join
    - Outer join (full join)
    - Right/Left join
  - Merging data sets with different key fields
    - One to many join
    - Many to many

#### Creating Analysis Database

- Freeze date
  - The date when the study databases are copied to a new location and no longer updated
  - Ability to obtain identical analysis at any time in the future
  - Need to create analysis data sets that are amalgamation of form revisions and edits



#### UNC CFAR HIV/AIDS Clinical and Research Database:

http://cfar.med.unc.edu/content/clinical-core



Collaborative Studies Coordinating Center: <a href="http://www2.cscc.unc.edu/home/">http://www2.cscc.unc.edu/home/</a>





#### **Data Management Courses:**

ODUM institute:

http://www.odum.unc.edu/odum/contentSubpage.jsp?nodeid=667

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