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SPIRIT and CONSORT extensions for early phase dose-finding clinical trials

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1 **SPiRiT and CONSORT extensions for early phase dose-finding clinical trials: the DEFINE (Dose**
2 **FindiNg Extensions) study protocol**

3

4 Keywords: early phase, clinical trials, SPiRiT guideline, CONSORT guideline, dose finding

5

6 Aude Espinasse¹⁺, Olga Solovyeva¹⁺, Munyaradzi Dimairo², Christopher J. Weir³, Thomas Jaki^{4,5},
7 Adrian Mander⁶, Andrew Kightley⁷, Jeffrey Evans⁸, Shing M. Lee⁹, Alun Bedding¹⁰, Sally Hopewell¹¹,
8 Khadija Rantell¹², Rong Liu¹³, An-Wen Chan¹⁴, Johann de Bono¹⁵, Christina Yap^{1*}.

9

10 + Joint first authors

11

12 ¹ Clinical Trials and Statistics Unit, The Institute of Cancer Research, Sutton, United Kingdom

13 ² School of Health and Related Research (SchARR), University of Sheffield, Sheffield, United Kingdom

14 ³ Edinburgh Clinical Trials Unit, Usher Institute, University of Edinburgh, Edinburgh, United Kingdom

15 ⁴ University of Regensburg, Regensburg, Germany

16 ⁵ MRC Biostatistics Unit, University of Cambridge, Cambridge, United Kingdom

17 ⁶ Centre for Trials Research, Cardiff University, Cardiff, United Kingdom

18 ⁷ Patient and Public Involvement lead, Lichfield, United Kingdom

19 ⁸ School of Cancer Sciences, University of Glasgow, Glasgow, United Kingdom

20 ⁹ Bristol Myers Squibb, New York, United States of America

21 ¹⁰ Roche, Welwyn Garden City, United Kingdom

22 ¹¹ Oxford Clinical Trials Research Unit / Centre for Statistics in Medicine, NDORMS, University of
23 Oxford, Oxford, United Kingdom

24 ¹² Medicines and Healthcare products Regulatory Agency (MHRA), London, United Kingdom

25 ¹³ Columbia University, New York, United States of America

26 ¹⁴ Dept of Medicine, Women's College Research Institute, University of Toronto, Toronto, Canada

27 ¹⁵ Division of Clinical Studies, The Institute of Cancer Research and Royal Marsden Hospital, Sutton,
28 United Kingdom

29

30 * **Correspondence:** Christina Yap, The Institute of Cancer Research, ICR-CTSU, 15 Cotswold Road,
31 Sutton, SM2 5NG, UK

32 E-mail: christina.yap@icr.ac.uk

33

34 **ABSTRACT**

35 **Introduction:** Early phase dose-finding (EPDF) studies are critical for the development of new
36 treatments, directly influencing whether compounds or interventions can be investigated in further
37 trials to confirm their safety and efficacy. There exists guidance for clinical trial protocols and reporting
38 of completed trials in the SPIRIT 2013 and CONSORT 2010 statements. However, neither the original
39 statements, nor their extensions, adequately cover the specific features of EPDF trials. The DEFINE
40 (DosE FIndiNg Extensions) study aims to enhance transparency, completeness, reproducibility and
41 interpretation of EPDF trial protocols (SPIRIT-DEFINE) and their reports once completed (CONSORT-
42 DEFINE), across all disease areas, building on the original SPIRIT 2013 and CONSORT 2010 statements.

43 **Methods and analysis:** A methodological review of published EPDF trials will be conducted to identify
44 features and deficiencies in reporting and to inform the initial generation of the candidate items. The
45 early draft checklists will be further enriched through a review of published and grey literature, real-
46 world examples analysis, citation and reference searches and consultation with international experts,
47 including regulators and journal editors. Development of CONSORT-DEFINE commenced in March
48 2021, followed by SPIRIT-DEFINE from January 2022. A modified Delphi process, involving worldwide,
49 multidisciplinary, and cross-sector key stakeholders, will be run to refine the checklists. An
50 international consensus meeting in autumn 2022 will finalise the list of items to be included in both
51 guidance extensions.

52 **Ethics and dissemination:** This project was approved by ICR's Committee for Clinical Research. The
53 Health Research Authority confirmed Research Ethics Approval is not required. The dissemination
54 strategy aims to maximise guideline awareness and uptake, including but not limited to dissemination
55 in stakeholder meetings, conferences, peer-reviewed publications, and on the EQUATOR Network and
56 DEFINE study websites.

57 **Registration details:** SPIRIT-DEFINE and CONSORT-DEFINE are registered with the EQUATOR Network
58 and the full protocols are accessible on the Equator website ^[1, 2].

59

60

61 **STRENGTHS AND LIMITATIONS OF THIS STUDY**

- 62 ● This study will develop international consensus-driven SPIRIT and CONSORT extensions using a
63 gold standard methodological framework, for early phase dose-finding clinical trials across all
64 disease areas and regardless of trial design used.
- 65 ● A multidisciplinary international team of experts in both academia and pharmaceutical industries,
66 regulators, SPIRIT and CONSORT group representatives and a patient partner, has been brought
67 together to drive the delivery of the project.
- 68 ● A diverse group of stakeholders including clinical trials researchers, regulators, ethics committee
69 members, journal editors, funders and funding committee members, and patients and public
70 advocates will be involved in the Delphi survey and consensus meeting.
- 71 ● The scope of our guidelines does not specifically cover early phase trials with only one dosing
72 regimen or later phase dose-finding trials with dose (de-)escalations, however we would expect
73 the basic principles should still be applicable.”
- 74 ● The Consensus meeting discussions will not be anonymous, which may impact the flow of
75 dialogue; however, the voting process to determine the inclusion of items will be anonymous.

76

77

78 INTRODUCTION

79 Background

80 Early phase dose-finding (EPDF) or dose-escalation trials, also referred to as phase I or phase I/II, are
81 critical in clinical therapy development. Depending on the drug and endpoint of interest, the studies
82 may be conducted in healthy volunteers or patients with the condition or disease. These studies
83 involve interim dose decisions and may provide data on safety, adverse effects, pharmacokinetics
84 (characterisation of a drug's absorption, distribution, metabolism, and excretion), pharmacodynamics
85 biomarker activity, clinical activity, and other information needed to choose a suitable dosage range
86 and/or administration schedule to inform further studies. Results from these trials directly influence
87 decisions on further development and whether the selected doses and schedules are sufficiently safe
88 and have promising results on activity.

89 A clinical trial protocol is a vital document that details the study rationale, methods, organisation, and
90 ethical considerations^[3]. By providing the details to guide the conduct of a high-quality study, a well-
91 written protocol is a shared central reference for the study teams^[4, 5] and facilitates appraisal of its
92 scientific, methodological, safety and ethical rigour by external reviewers. However, protocols can
93 vary greatly in content and quality despite their importance^[4, 5]. To address this, the Standard Protocol
94 Items: Recommendations for Interventional Trials (SPIRIT) 2013^[4] statement was established to
95 provide evidence-based guidance for the minimum essential content of clinical trial protocols and is
96 widely endorsed as the international standard for trial protocols. Although the considerations of
97 SPIRIT 2013 are largely applicable across many types of trials, some circumstances require additional
98 protocol items^[4]. Guidance on content specific to EPDF trials, including dose and schedule
99 determination based on safety/tolerability either alone or jointly with one or more pharmacokinetic
100 or activity markers, is lacking. Examples of features unique to such trials include:

- 101 ● starting dose and its justification.
- 102 ● how interim dose decisions will be undertaken (including clearly defined outcome measures
103 and their assessment window, and analysis populations for interim adaptations).
- 104 ● how future recommended dose(s) will be selected.

105 Incomplete or unclear information on the design, conduct, and analysis in dose-finding **protocols** and
106 **reporting papers** hinder the interpretability and reproducibility of the results from such studies, which
107 may impact the overall clinical development timeline, lead to erroneous conclusions on safety and
108 efficacy, and compromise the safety of trial participants^[6].

109 This is particularly relevant as a considerable number of early phase trials are sponsored and run by
110 academic institutions or publicly funded organisations with funding from non-commercial sources
111 including Research Councils and medical charities (e.g., Cancer Research UK, Wellcome Trust, US

112 National Cancer Institute). In the UK, 159 out of 1157 (14%) phase I clinical trials, started in 2014-2018,
113 had non-industry sponsors (data from ClinicalTrials.gov). This emphasises the importance of this
114 research to public research institutions and industry alike. Based on results from ClinicalTrials.gov of
115 trials in all countries, there are substantially more phase I trials than phase III trials (13826 phase I
116 versus 9501 phase III which started in 2014-2018). Data from pharmaceutical trials in the US in 2004-
117 2012 show that the estimated average cost of a phase I trial across all therapeutic areas ranged from
118 US \$1.4 to 6.6 million^[7]; such high costs reinforces the importance of managing resources efficiently.
119 The attrition rate throughout the drug development process is high, and the success rate between
120 phase I studies and marketing authorization has been reported as between 9.8% and 13.8%^[8,9], with
121 failure being primarily attributable to either poor tolerability or lack of biological activity (79% of failed
122 studies over the period 2016–2018)^[10]. In this context, EPDF trial results must be assessed accurately
123 to avoid poor dose selection, which will often lead to failed trials (phases II and phase III), delays in
124 regulatory submissions, additional post-marketing commitments or dose changes post-approval due
125 to excessive toxicities or lack of efficacy^[11].

126 The use of more complex dose escalation designs such as model-assisted or model-based designs is
127 rising: 1.6% (20/1,235 phase I published cancer trials) used model-based designs in 1991-2006^[12],
128 which increased to 6.4% (11/172) by 2012–2014^[13] Such designs are more complex to implement^{[14-}
129 ^{16]} and require the specification of more design features^[17]. Further transparency and reporting
130 demands are needed in such protocols and trial reports to facilitate understanding of the design,
131 ensure the methods and results are reproducible, and how dose decisions will be and have been made
132 ^[18-20].

133 More than 580 biomedical journals now require that trial reports conform to the CONSolidated
134 Standards Of Reporting Randomised Trials (CONSORT) 2010 reporting guidelines for randomised
135 parallel group clinical trials or an appropriate CONSORT extension to improve transparency,
136 reproducibility, consistency and accuracy in reporting^[21-23]. A total of 153 journals, as well as a growing
137 number of commercial and non-commercial funders, regulators, trial organisations, and patient
138 groups have also endorsed SPIRIT^[24]. A systematic review, based on more than 16,000 trials, published
139 in 2012 showed that journal endorsement of the CONSORT guidelines was associated with more
140 completely reported randomised trials^[25].

141 Neither the original guidance, SPIRIT 2013 and CONSORT 2010, nor their extensions, adequately cover
142 the features of EPDF trials. The Dose Finding Extensions (DEFINE) study aims to enhance transparency,
143 completeness, reproducibility and interpretation of EPDF trial protocols and their reporting of results,
144 across all disease areas, and to build on the checklists outlined in the SPIRIT 2013 and CONSORT 2010
145 statements.

146 **Overall aim**

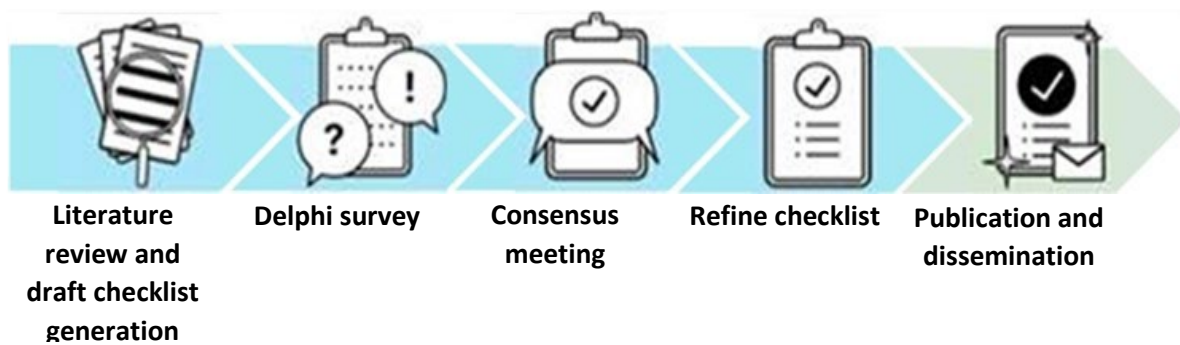
147 The aim of this research is to develop and disseminate an extension to the SPIRIT 2013 and CONSORT
148 2010 statements tailored to the specific requirements of EPDF clinical trials across all disease areas
149 ^[26].

150

151 **METHODS AND ANALYSIS**

152 The strategy for the development of reporting guidelines follows the gold standard methodology
153 framework for guideline development recommended by the Enhancing the QUALity and Transparency
154 Of health Research (EQUATOR) network^[27]. To ensure the guidance is as impactful and as widely
155 adopted as possible, an international Executive Committee was formed, comprising a multi-
156 disciplinary team of methodologists, clinicians with expertise in early phase trials in both academia
157 and pharmaceutical industries, a representative each from the SPIRIT and CONSORT group and a
158 patient and public partner, with planned active engagement with regulators. An independent
159 multidisciplinary Expert Panel will provide oversight and quality control assurances.

160
161 Development of CONSORT-DEFINE commenced in March 2021, followed by SPIRIT-DEFINE from
162 January 2022. Figure 1 below illustrates the development process, and each stage will be addressed
163 in detail below.



171 Figure 1. Project overview for the development of SPIRIT-DEFINE and CONSORT-DEFINE guidelines.

172
173 **1. Stage one: Literature Review and Draft checklist generation**

174 The objectives for this stage are to (a) explore current practice in early phase dose-finding trials
175 reporting and identify gaps and (b) generate candidate reporting (CONSORT DEFINE) and protocol
176 (SPIRIT-DEFINE) checklist items

177 **1. Methodological Review**

178 A methodological review^[28] will be conducted to explore the current status of reporting of EPDF trials,
179 identify gaps and specific features of dose-finding trials not adequately covered by existing guidance,
180 and inform the drafting of the checklist. The review will also serve in providing a sampling frame for
181 some of the stakeholder categories for the Delphi survey (see section “Stage two: Delphi Survey”). A
182 random sample of 476 papers in dose-finding trials published between 2011 and 2020, stratified by
183 setting (oncology/non-oncology) will be evaluated. This sample size will provide a two-sided 95%
184 confidence interval for the reporting frequency of an individual item with a width of at most 9%

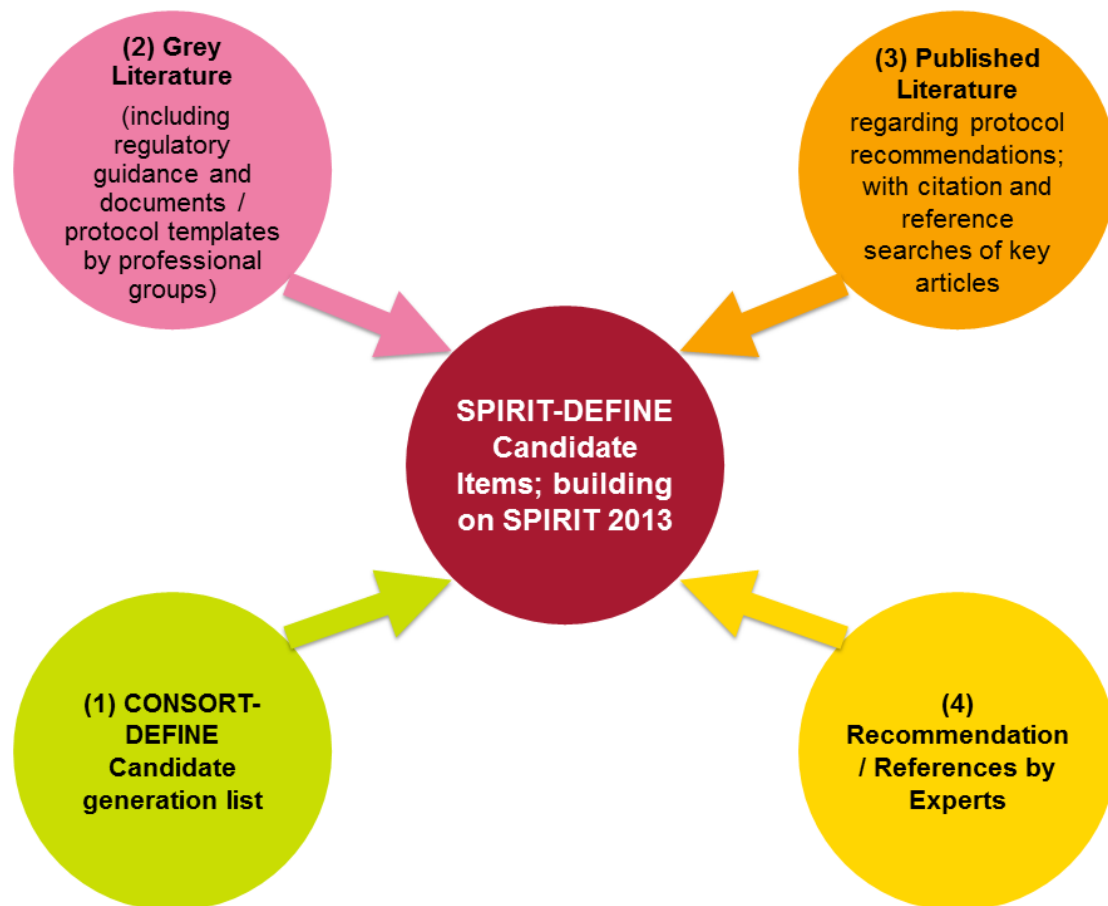
185 ($\pm 4.5\%$) based on a conservative sample proportion of 0.5 (which gives the largest variance). To
186 standardise the process, a detailed data extraction form and comprehensive guidance will be
187 generated, and agreement between reviewers assessed.

188

189 2. Candidate Item Generation

190 Based on the results of the methodological review as well as expert opinion from the Executive
191 Committee, items considered relevant in constituting a minimum set of reporting requirements will
192 be identified as checklist candidates for CONSORT-DEFINE. A literature review of multiple databases
193 (Medline via PubMed and Embase) will be performed, alongside grey literature and regulatory or
194 industry guidelines, to identify relevant guidance. Recommendations will also be sought from experts
195 including regulatory bodies. The SPIRIT-DEFINE candidate item generation process is presented in
196 Figure 2 and described below.

197



198

199 Figure 2. SPIRIT-DEFINE candidate item generation development process.

200

201 An initial draft of the SPIRIT-DEFINE checklist will be prepared, building on the original SPIRIT 2013 and
202 enriched by the items identified as specific to EPDF trials from the CONSORT-DEFINE development

203 work. The list will be refined through expert opinions from the Executive Committee, grey literature
204 including regulatory and industry guidance documents and protocol templates by professional groups.
205 Key stakeholder groups identified in the CONSORT-DEFINE development protocol (clinical trials units,
206 including MHRA accredited phase I units, funders, and ethics committees) and experts from other
207 protocol standard initiatives relevant to dose-finding trials (e.g., from trial registries) will be consulted
208 and their templates included in the review.

209

210 Building on the review conducted for CONSORT-DEFINE, the search strategy will be updated to identify
211 protocol recommendations in peer-reviewed literature. Relevant literature not picked up by the
212 search strategy but recommended by experts will be included. Citation and reference searches of key
213 articles will also be conducted. Throughout the stage one (draft checklist generation) process, the
214 Executive Committee will review and refine the candidate items for both CONSORT-DEFINE and
215 SPIRIT-DEFINE guidance.

216

217 **2. Stage two: Delphi Survey**

218 The draft candidate items for the SPIRIT-DEFINE and CONSORT-DEFINE checklists will be submitted for
219 feedback to a wider stakeholder group through a Delphi survey. The Delphi process will be conducted
220 according to existing methodological guidance ^[29-31] and involves inviting participants to complete
221 iterative rounds of a web-based survey, where results from earlier rounds will inform the design of
222 subsequent rounds. Each candidate item will be scored on a 9-point Likert scale relating to the
223 participant's opinion of its importance grouped into three categories: (1-3) "not important", (4-6)
224 "important but not critical" and (7-9) "important and critical". An option "unable to rate" will be
225 provided for participants who are unable to give their rating opinions for any reason. Free text fields
226 will also be used to elicit comments on the candidate items, and in round one, participants will also
227 have the opportunity to suggest additional items.

228

229 The Executive Committee will discuss the results between each round and agree on any required
230 changes (see section "Analysis"). The DEFINE Delphi survey will be hosted on the University of
231 Liverpool's DelphiManager, a purpose-built web-based platform, and the Executive Committee will
232 pilot the survey before launch.

233

234 1. Identification of participants

235 A wide cross-section of stakeholders will be approached to take part in the Delphi survey. For this
 236 study, stakeholders will be considered to be direct users or beneficiaries of the guidance and those
 237 involved in research conduct, governance, approval, commissioning, funding or publishing EPDF trials.
 238 Potential participants will be approached through a combination of individual and group approaches
 239 through publicly available contact details and various professional organisations or advocacy groups.
 240 and encouraged to disseminate the invitation further. Professional contacts of the Executive
 241 Committee experts will be contacted, and events and conferences used to garner participation. Table
 242 1 below references the identified groups as well as contact platforms and organisations. The survey
 243 will also be advertised on social media and a link provided on the DEFINE study website
 244 (www.icr.ac.uk/DEFINestudy)

245

Stakeholders	Platforms
Clinical Trials Researchers (including Clinicians/ Clinical Pharmacologists, Trial management staff, Statisticians, Trial methodologists)	<ul style="list-style-type: none"> • Medical Research Council - National Institute for Health and Care Research Trial Methodology Research Partnership (MRC-NIHR TMRP) (UK) • UK Clinical Research Collaboration (UKCRC) Network of Registered clinical trial Units • Targeted conferences or organisations such as the Society for Clinical Trials, International Clinical Trials Methodology Conference (ICTMC), International Society for Clinical Biostatistics (ISCB), Statisticians in the Pharmaceutical Industry (PSI), European Federation of Statisticians in the Pharmaceutical Industry (EFSPI), Drug Information Association (DIA) • Clinical Conferences such as the National Cancer Research Institute (NCRI) annual conference (NCRI), the European Society for Medical Oncology (ESMO) congress, American Society for Clinical Oncology (ASCO), the Experimental Cancer Medicine Centres (ECMC) events, European Centre for Rare Diseases and orphan products (ECRD) • Sponsors from industry (via organisations such as Pharmaceutical Research and Manufacturers of America (PhRMA) in the US, European Federation of Pharmaceutical Industries and Associations (EFPIA) in Europe) or the Association of British Pharmaceutical Industry (ABPI)

	<ul style="list-style-type: none"> • Publications: Corresponding authors of papers selected for the Methodological review as well as papers identified but not sampled. If necessary further searches without data limitation may be performed. • Executive Committee members' professional contacts • Targeted professional social network groups
Regulators	<ul style="list-style-type: none"> • US Food and Drug Administration (FDA) • European Medicines Agency (EMA) • UK Medicines and Healthcare products Regulatory Agency (MHRA), • Japan Pharmaceuticals and Medical Devices Agency (PMDA) • China National Medical Product Association Centre for Drug Evaluation (NMPA CDE) • Australia Therapeutic Group Administration (TGA) • Drugs Controller General of India (DCGI) • Health Products and Food Branch (HPFB), Health Canada. • Ministry of Food and Drug Safety, South Korea. • Executive Committee members' professional contacts
Ethics Committee / Ethics Committee members	<ul style="list-style-type: none"> • UK Health Research Authority (HRA) (targeting Research Ethics Committees (RECS) specialised in reviewing early phase trials). • EUREC (European Network of ethics Committees) • US Institutional Review Boards • Australia Health Research Ethics Committees registered through the National Human Medical Research Council. • India Institutional Ethics Committees • Health Canada and Public Health Agency of Canada Research Ethics Board (PHAC REB) • South Korea Institutes Review Board • Executive Committee members' professional contacts
Journal editors, associate editors and Conference Abstracts Review Committee Members	<ul style="list-style-type: none"> • Leading medical research journals in publishing clinical trials, and targeted journals will be informed by journals where many phase I trials have been published (identified through Methodological review) • International Committee of Medical Journal Editors (ICMJE) • Abstract review Committee members from leading conferences presenting phase 1 results (see above).

	<ul style="list-style-type: none"> • Executive Committee members' professional contacts
Funders / Funding Committee members	<ul style="list-style-type: none"> • Funding panels such as Medical Research Council (MCR), National Institute for Health and care Research (NIHR), Cancer Research UK (CRUK), Blood Cancer UK, Wellcome Trust, Melinda and Bill Gates Foundation, Great Ormond Street Hospital (GOSH) and other selected charities funding phase 1 work as applicable • USA National Institutes of Health (NIH) • Pharmaceutical companies • Executive Committee members' professional contacts
Patients and Public	<ul style="list-style-type: none"> • Patient and Public engagement platforms • European Patients' forum https://www.eu-patient.eu/ • International disease-specific advocacy groups • Patient representatives on phase 1 trials management groups (through Clinical Trials Units portfolios) • Executive Committee members' professional contacts

Table 1: Delphi survey stakeholders and methods of access

246

247

248 Consent to take part will be sought via the web-based survey application. No personal identifiable
 249 data will be collected aside from name and email address. Data gathered will include professional
 250 background characteristics, including geographical location, self-identified stakeholder group (as
 251 defined in section "Identification of participants" above), and years of experience in clinical research
 252 and early phase trials. Information on data processing and handling will be provided on the participant
 253 information sheet via email invitation and website.

254

255

2. Sample size

256 As this is a prospective exercise and a multi-faceted survey, the sample size was decided on
 257 pragmatically, to be both achievable and ensure a meaningful representation of all the stakeholder
 258 categories. The survey will seek to obtain responses from at least 15 participants in each of the
 259 identified stakeholder categories giving an overall target of at least 90 participants. To achieve this, as
 260 many potential participants as possible will be approached, identified through the authors list from
 261 the methodological review, approaches from professionals following professional meetings and
 262 presentations as well as recommendations from the Executive Committee and Independent Expert
 263 Panel. The registration and survey response rates, overall and by stakeholder categories and country

264 will be monitored by the Executive Committee. If a low rate of intake or response is observed, targeted
265 further approaches will be made as appropriate.

266

267 3. Survey administration

268 Potential participants will be invited to take part and nominate additional experts to be contacted by
269 the DEFINE team, and various professional or advocacy groups will be approached for dissemination
270 amongst their members. Interested stakeholders will be asked to register on the survey website
271 before the survey launch. Once registered, consented participants will be alerted to the survey launch
272 by an email containing the link to the survey. Each round of the survey will be open for approximately
273 4 weeks and reminders sent weekly during this period. Participants will be allowed to complete a
274 round even if they haven't completed the previous one, provided they have registered for the first
275 round.

276

277 4. Pilot

278 The Delphi Survey will be piloted by the members of the Executive Committee, before launching the
279 main survey.

280 Particular attention will be paid to piloting the Delphi survey to ensure patient and public engagement
281 and representation can be optimised. Selected consumer representatives with substantial experience
282 will be approached to take part in the pilot, and their feedback will be sought to ensure the survey is
283 accessible. Should the Delphi survey not allow lay participants to fully contribute, due to the
284 complexity, technicality, or number of items to be assessed, a focus group will be organised with
285 Patient and Public Involvement and Engagement (PPIE) experts to identify a core set of SPIRIT-DEFINE
286 and CONSORT-DEFINE items relevant to PPI contributors. This core set will be submitted for feedback
287 to a wider PPIE audience through a separate process.

288

289 5. Analysis

290 The response observed for the initial approaches will be explored in a narrative summary. Following
291 each round, the response rate will be calculated based on the number of participants registered and
292 having completed the survey. A descriptive summary analysis of the responding population will be
293 presented based on the background characteristics data collected. For each item, the distribution of
294 scores as well as summary statistics (median, interquartile range, minimum and maximum), will be
295 computed and presented. Summary statistics will be presented by the key stakeholder categories
296 defined in section "Identification of participants" and overall. Geographical and professional
297 background characteristics data may be used to explore the data further.

298 Qualitative data from the free text section of the survey will be thematically analysed to identify
299 potential new items for inclusion.

300 After each round, members of the Executive Committee will discuss the output and any changes
301 required. Items scored 1-3 'not important' by at least 80% of the participants may be dropped
302 between rounds subject to confirmation by the Executive Committee. Notes will also be made on any
303 feedback relevant to the development of the E&E document.

304 Participants will also be presented with the distribution of ratings, their ratings from the previous
305 round, as well as feedback on how suggestions and comments from the free text fields were dealt
306 with.

307 At further rounds, participants will be given the opportunity to change their ratings, and such changes
308 will be monitored. The change in participants' ratings between subsequent rounds will be analysed at
309 item level and interest will be on participants who moved from one category to another (e.g., from
310 not important" to "important but not critical)

311 For each reporting item, the distribution of the changes in rating scores and proportion below 15%
312 change will be reported.

313 To gauge the level of agreement between round 1 and round 2 ratings, the following statistics will be
314 calculated and reported for each reporting item with associated 95% confidence intervals^[32]:

- 315 a) percentage agreement; percentage of participants with the same rating between rounds
316 relative to the total responders to all rounds,
- 317 b) weighted Cohen's kappa coefficient using absolute error weights^[33].

318 The analysis will be performed in R latest stable version at the time of analysis ^[34].

319

320 6. Stopping Criteria

321 The Executive Committee will decide to stop the Delphi Survey process once consensus and stability
322 of ratings have been achieved. It is anticipated that 2 rounds will be sufficient to achieve this objective,
323 however, the Committee may proceed to a third round based on the observed level of agreement and
324 stability, and an assessment of whether a subsequent round is likely to yield any further information.

325

326 3. Stage three: Consensus Meeting:

327 The objectives of the Consensus meeting will be to finalise the full list of items to be included in the
328 guidance, guided by the information on item importance and level of agreement gleaned during the
329 Delphi survey, as well as the structure of the E&E document. The Consensus meeting will follow the
330 recommended methodology for such exercise ^[27].

331

332 1. Definition of Consensus

333 For the purpose of automatic inclusion into the checklist, items rated 7-9 (“Critically Important”) by at
334 least 70% of the Delphi survey respondents will be considered as having reached a consensus.

335

336 2. Identification of participants

337 The Executive Committee will be responsible for the selection of relevant experts in each of the key
338 stakeholders’ categories (see Table 1) to be invited to participate in the Consensus meeting. Responses
339 to the invitations will be tracked, to ensure a balanced representation across the key stakeholder
340 groups.

341

342 Checklist items having reached consensus (see section “Definition of Consensus”) will be automatically
343 recommended for inclusion. Items that did not reach consensus will be discussed for inclusions and/or
344 modification based on the overall importance rating achieved in the last round of the Delphi Survey.
345 Following the discussion, consensus group members will anonymously be given an opportunity to
346 make individual decisions about the inclusion of a specific item; ‘keep’, ‘discard’, and ‘unsure or no
347 opinion’. A decision to retain a reporting item will be based on achieving at least 50% support of group
348 members deciding/wishing to keep the item, however, the Executive committee will retain the
349 prerogative to discuss and make final decisions for low-scoring items or items where a consensus is
350 difficult to achieve. The rationale to guide decisions will be whether the item addresses elements
351 unique to dose-finding early phase trials and whether they belonged in a minimum reporting set of
352 items. Notes will be taken, and the discussions audio-recorded, with the participants’ consent.
353 Particular attention will be paid to any feedback or discussion requiring inclusion in the E&E document.
354 Following the meeting, a summary report will be produced and shared with the meeting attendees,
355 as well as the Delphi survey participants.

356

357 **4. Stage four: Development of a reporting guidance and explanatory support document**

358 The objectives of this stage are to finalise the SPIRIT-DEFINE and CONSORT-DEFINE guidance and
359 supporting documentation including the corresponding explanation and elaboration documents.

360 After the consensus meeting, the Executive Committee will continue refining the content and wording
361 of both guidelines, as well as preparing the E&E documents, intended to provide explanations on the
362 rationale and elaboration of the items, as well as evidence and examples applied in the literature.
363 Feedback from the Delphi survey and the consensus meeting will be checked for any information
364 relevant for inclusion in the E&E document.

365

366 Both guidelines will be piloted with real-world examples by a selection of key stakeholders with
367 expertise in developing and reporting EPDF trials to test their usability and provide insight into issues
368 that should be addressed in the E&E documents. The Committee will discuss feedback from the pilot
369 and decide on further modifications, either to the checklist itself or the E&E document.

370

371 **5. Data Management and Confidentiality**

372 All data generated and collected during the DEFINE study will be handled, processed and stored
373 according to all applicable data protection legislation. Data collected during the Delphi Survey will be
374 stored on a MySQL database hosted on a dedicated DelphiManager server hosted by the University of
375 Liverpool's Data Centre. Following closure of the Delphi survey, data will be downloaded, and be
376 stored on secure servers at the Institute of Cancer Research Clinical Trials and Statistical Unit,
377 alongside audio recordings and transcripts from the Consensus meeting. Access to study data will be
378 restricted to personnel conducting the analyses and stored for a minimum of five years after the end
379 of the study.

380

381

382 **6. Patient and Public Involvement**

383 The DEFINE Study PPIE lead (AK) was involved in the study design from inception and contributed to
384 the development of the protocol. Additional PPIE representatives from both the oncology and non-
385 oncology disease areas will also be consulted on the checklists items to ensure the optimum
386 representation of this particular patient group. The DEFINE study also comprises a specific PPIE work
387 package aimed at producing lay publications to chart the development of both the SPIRIT-DEFINE and
388 CONSORT-DEFINE guidelines (see section “Ethics and Dissemination”).

389

390 **ETHICS AND DISSEMINATION**

391 This project has been formally assessed for risk and approved by the Institute of Cancer Research
392 Committee for Clinical Research as the sponsor. The Health Research Authority has been consulted
393 and confirmed Research Ethics Approval is not required.

394 The Executive Committee will devise a detailed dissemination strategy to maximise guideline
395 awareness and uptake. Broadly, the strategy will comprise the following:

- 396 ● Direct feedback will be provided to the Delphi Survey participants, Consensus meeting
397 contributors and the stakeholder groups identified in Table 1.
- 398 ● The guideline will be accessible via the CONSORT and EQUATOR network website, as well as
399 on the DEFINE study website, which will also be kept updated throughout the project.
- 400 ● Dissemination at specific UK and international study groups that run phase I trials, such as the
401 UK National Cancer Studies Groups, as well as to funders for early phase trials (including MRC,
402 CRUK, NIHR Biomedical Research Centres, ECMC and NCI), and industry via The Association of
403 British Pharmaceutical Industry (ABPI) and pharma partners’ networks
- 404 ● Maximising publications in high-impact scientific journals.
- 405 ● Presentation at meetings of UK Clinical Research Collaboration (UKCRC) Clinical Trials Unit,
406 UKCRC Statistics Operational Group and NIHR Early Phase Statistics Group; national and
407 international methodological conferences (e.g. International Clinical Trials and Methodology
408 Conference, Society of Clinical Trials or International Society of Clinical Biostatistics), and at
409 pharmaceutical conferences/meetings via our industry partners (e.g., PSI, EFPSI, DIA) and
410 clinical conferences (e.g., NCRI, ESMO, ASCO, ECRD).
- 411 ● Practical Dissemination workshops will be organised, one specifically aimed at journal editors
412 to promote the use of the guideline and encourage endorsement.
- 413 ● Patient and public engagement will also be sought via the publication of PPI lay summary
414 papers, including the production of a lay study report template, liaison with patients’ groups

415 (including the Royal Marsden Patients and Carers Review Panel and the Independent Cancer
416 Patient's Voice), as well as dissemination at local and national PPI events.

- 417 ● Broader communication with the public will also be pursued via the Institute of Cancer
418 Research's website and social media, including blogs, posts on Twitter, Facebook and
419 LinkedIn, press releases and potentially thought leadership pieces on trials reporting in the
420 media.

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422

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509

510 **AUTHORS' CONTRIBUTIONS**

511 CY and CW conceived the idea. CY, CW, MD, TJ, AM, AK, JE, SL, SH and JdB obtained funding for
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513 of the study. AE, OS and CY wrote the first draft of the manuscript. All authors contributed to the
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516

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529

530 **COMPETING INTERESTS**

531

532 Professor Johann de Bono has served on advisory boards and received fees from many companies
533 including Amgen, Astra Zeneca, Astellas, Bayer, Bioexcel Therapeutics, Boehringer Ingelheim,
534 Cellcentric, Daiichi, Eisai, Genentech/Roche, Genmab, GSK, Harpoon, ImCheck Therapeutics, Janssen,
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537 Professor Johann de Bono is an employee of The Institute of Cancer Research, which have received
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541 PARP inhibition in DNA repair defective cancers and PI3K/AKT pathway inhibitors (no personal
542 income).

543 Professor Johann de Bono was named as an inventor, with no financial interest for patent 8,822,438,
544 submitted by Janssen that covers the use of abiraterone acetate with corticosteroids. He has been the
545 CI/PI of many industry-sponsored clinical trials.

546 Professor Johann de Bono is a National Institute for Health Research (NIHR) Senior Investigator. The
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557 Panel and Clinical Research Committee for Cancer Research UK, a member of the International Liver
558 Cancer Association Annual Meeting abstracts committee and a member of Pancreatic Cancer
559 Research Fund Scientific Advisory Panel. Professor Evans is also a member of the American
560 Association for Cancer Research, the American Society of Clinical Oncology, the Association of
561 Cancer Physicians (UK), the British Association for Cancer Research, the European Association for
562 Cancer Research and the International Liver Cancer Association. Professor Evans is an Clinical Subject
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565 The remaining authors declare no conflicts of interest.

566

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573