ClinicalTrials.gov Results Reporting Quick Guide

Before you begin:

Use flow chart to determine results reporting is required for your study. In general, FDA regulated Applicable Clinical Trials (ACTs) and NIH founded clinical trials require results reporting

Penalties for responsible party (PI) who failed to submit results:

- Civil monetary penalty (**$12,103**) per day, per trial for ACTs (FDAAA Civil Money Penalties)
- Withholding NIH funding

Instruction:

This quick guide supplements ClinicalTrials.gov online help.Take a few minutes to familiarize yourself with this document, which summarizes requirements and gives results reporting tips.

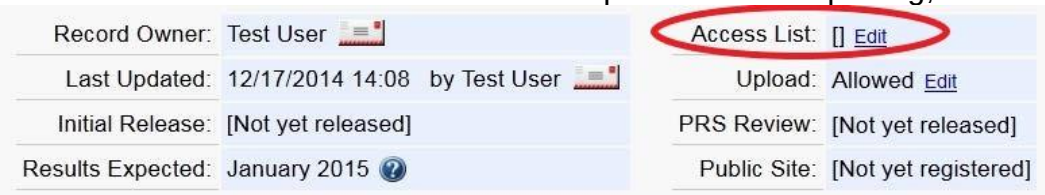
- **Keep this guide open while you enter information in each section of the results**
- Results for the primary outcome measure(s) are due within **12 months** of the *Primary Completion Date*
- All remaining results are due within 12 months of the *Study Completion Date*
- Enter results in the Results Section

Tips for Success:

1. Initiate results reporting 3-4 months before the due date because
   - results reporting may take up to **50** hours (depending on the complexities of the trial)
   - average ct.gov review cycle may take up to **30** day

2. PI or Biostatistician to do results reporting as it requires basic biostatistical knowledge and involves summarizing raw data, deriving outcome measures, choosing appropriate unit, type and statistical dispersion for the outcome measures

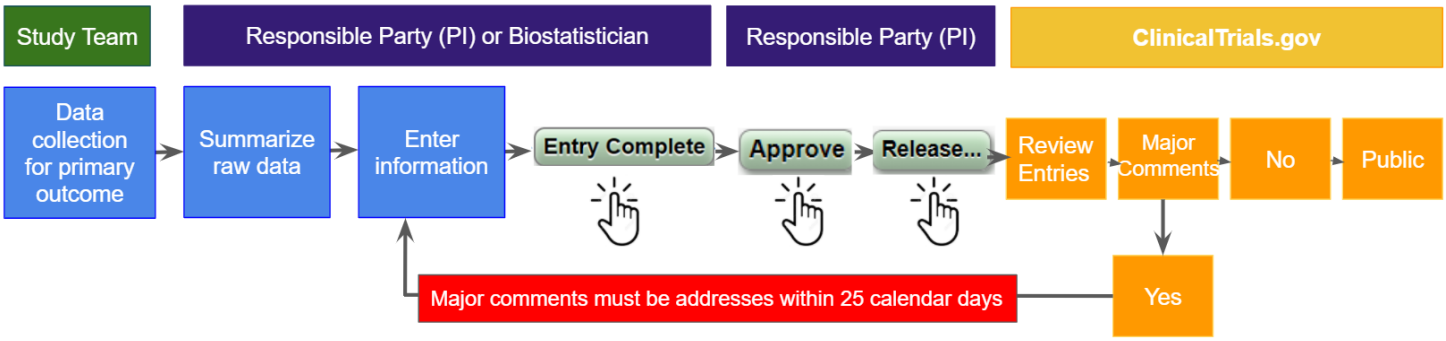
3. Add biostatistician in the *Access List* to help with results reporting, if available



4. Use resources in the Protocol Registration and Results System (PRS)

Screen Tips	Look for short definitions in blue text under the data element on the screen Example: * Primary Completion Date: Month: June Day: 01 Year: 2017 Type: Actual Final data collection date for primary outcome measure.
Data Element Definitions and Help *(top of screen)*	Help Definitions Click Help for entry tips for the different modules of the *Protocol Section* (each module has a separate *Help* page)
Requirements indicators *(bottom of screen)*	In general, a red asterisk means that entry is required Save Cancel * Required * § Required if Study Start Date is on or after January 18, 2017 [*] Conditionally required (see Definitions)
Validation Messages *(throughout the record)*	**NOTES**: Check if there is a problem with the entries – maybe there is, maybe not **WARNINGS**: It's likely there is a problem (possible there is not), check these carefully **ERRORS**: Fix these—records cannot be released when they contain errors

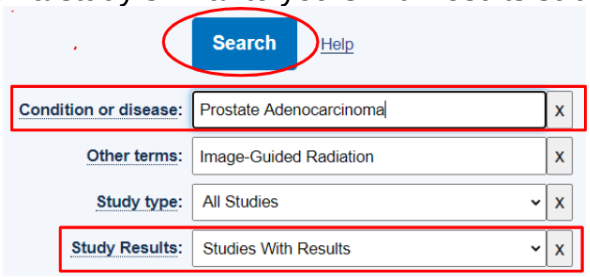
5. Always complete the ClinicalTrials.gov submission cycle
   Records can "get stuck" if the responsible party (PI) does not take the steps to **Approve** and **Release**



Before You Begin Entering Results

1. Look for examples at **https://clinicaltrials.gov/ct2/search/advanced**
   (**Highly recommended** for anyone reporting results for the first time!)

   Search a study similar to yours with results submitted and accepted by ClinicalTrials.gov



   Get familiar with creating tabular format: columns and rows:
   Results must be entered in tables; written results/conclusions are not allowed

   - **Table columns** are populated by **arms/comparison groups**
   - **Table rows** are populated by **parameters and categories**

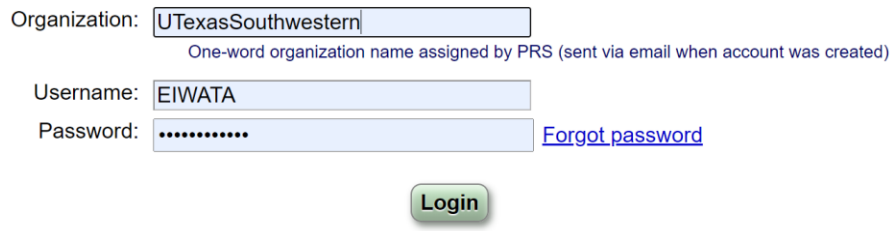
   You can see sample records with results information here.

2. Gather **summary data** with appropriate **statistical dispersion**
   (e.g., mean with standard deviation, median with interquartile range, etc.) for:
   a. baseline characteristics (e.g., age, sex, race)
   b. pre-specified outcomes
   c. adverse events

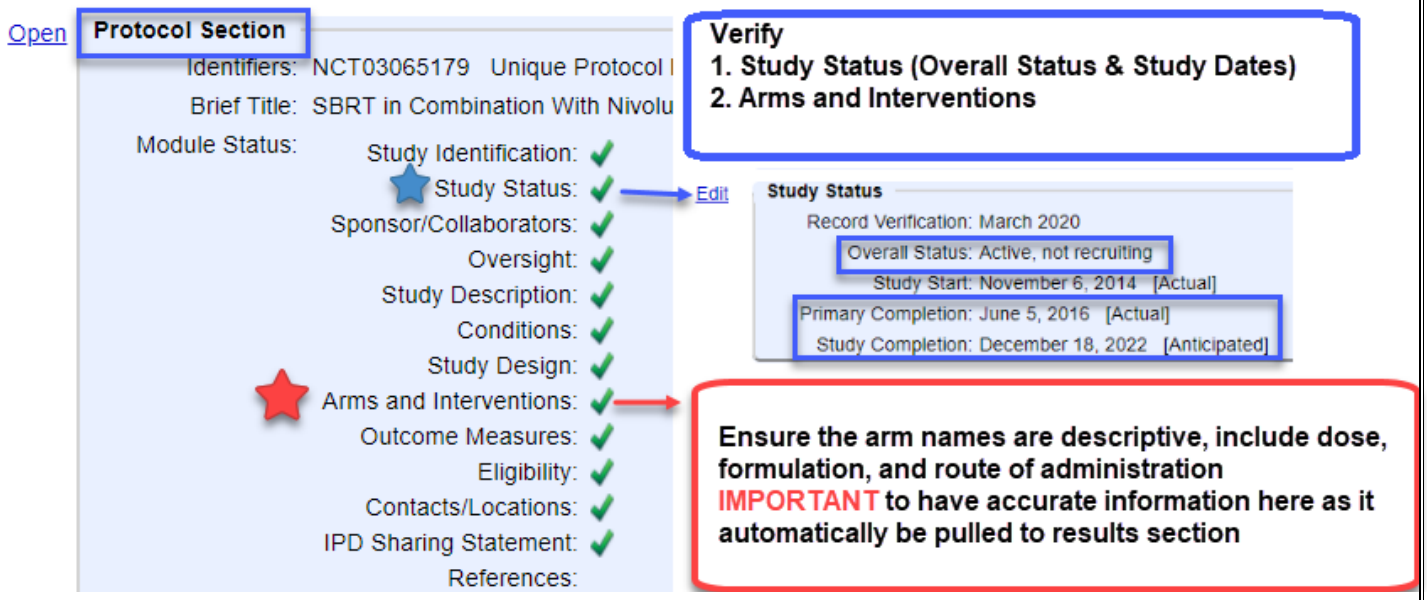
   If they are not available, ask PI/Biostatistician

Getting Started:

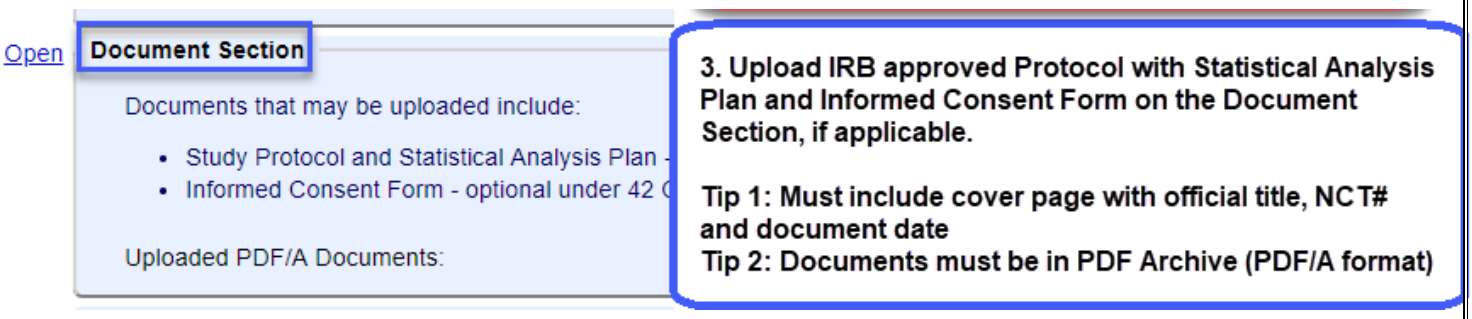
Step 1: Log into PRS at https: https://register.clinicaltrials.gov
Organization: UTexasSouthwestern
Don't have an account? email at ctgov@utsouthwestern.edu



Step 2: Review Protocol Section before you being results reporting



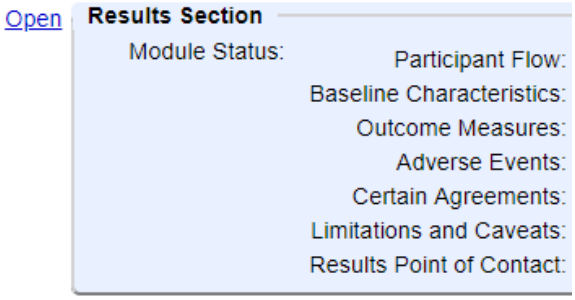
Step 3: Upload Protocol, Statistical Analysis Plan and Informed Consent Form
IMPORTANT: MUST be PDF/A format with a cover page including official title, NCT# and document date, otherwise you will NOT pass CT.gov PRS review



Step 4: Click "Enter Results" under Results Section to being results reporting

Results Entry

This section follows the order of the 6 modules of the Results Reporting Section of the study record

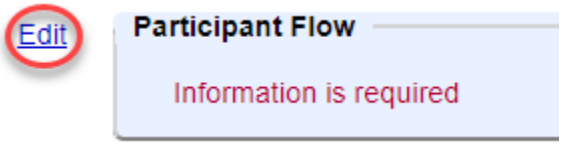


Module 1 Participant Flow Section (required section)

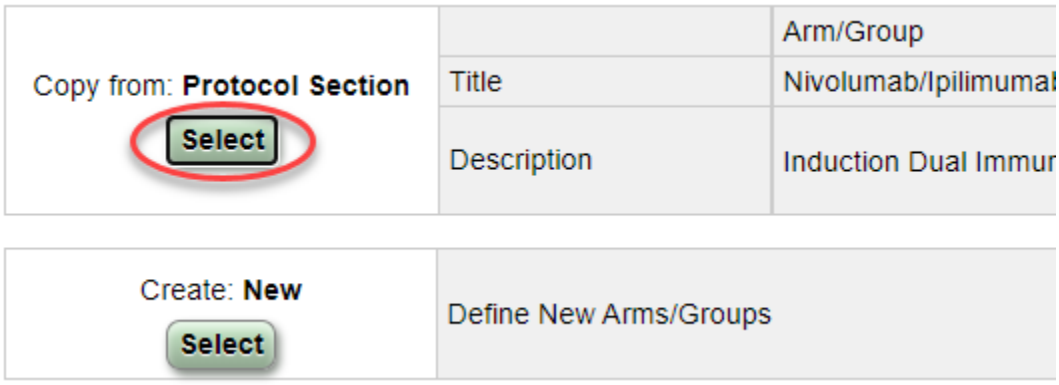
Tips

- Watch NIH's Video Tutorial https://prsinfo.clinicaltrials.gov/webinars/module5/index.html
- Get your Consort Flow Diagram (Figure 1 in the manuscript), if available.
- This module documents the "flow" of participants through different stages of the study. At minimum, you need to report
  - Enrolled (# participants consented and determined eligible)
  - Started (# participants assigned to a study arm)
  - Completed (# participants at the end of the period)

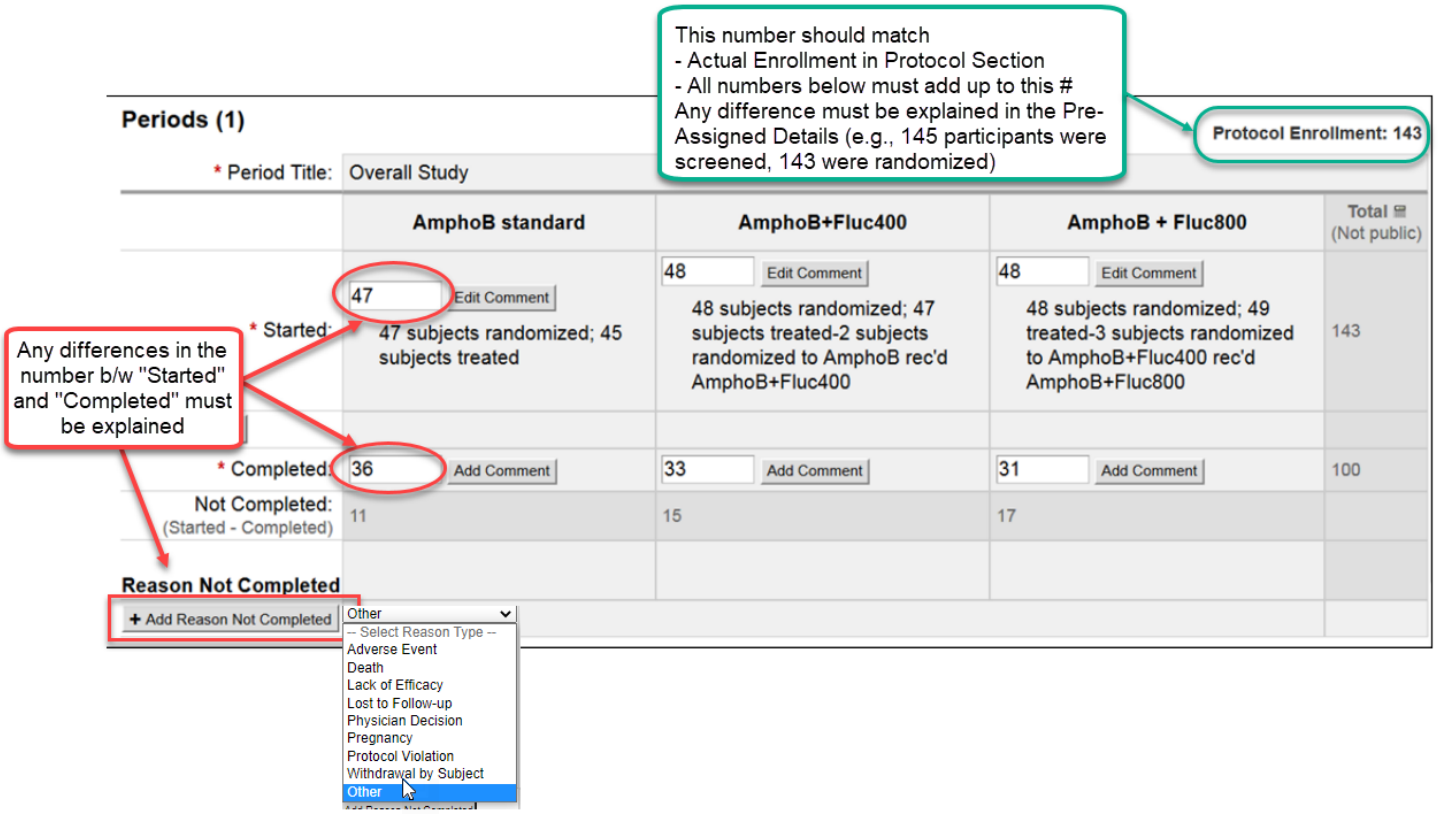
Step 1: Click "Edit"



Step 2: Define the Arms/Groups, copy it from Protocol Section (recommended) or create New. Ensure the arm names are descriptive, include dose, formulation, and route of administration:



Step 3: Enter Participant Flow Data



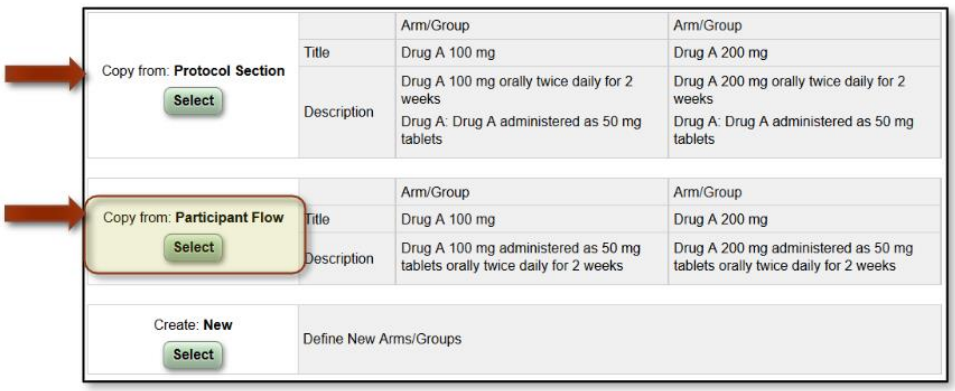
Module 2 Baseline Characteristics (required section)

Tips

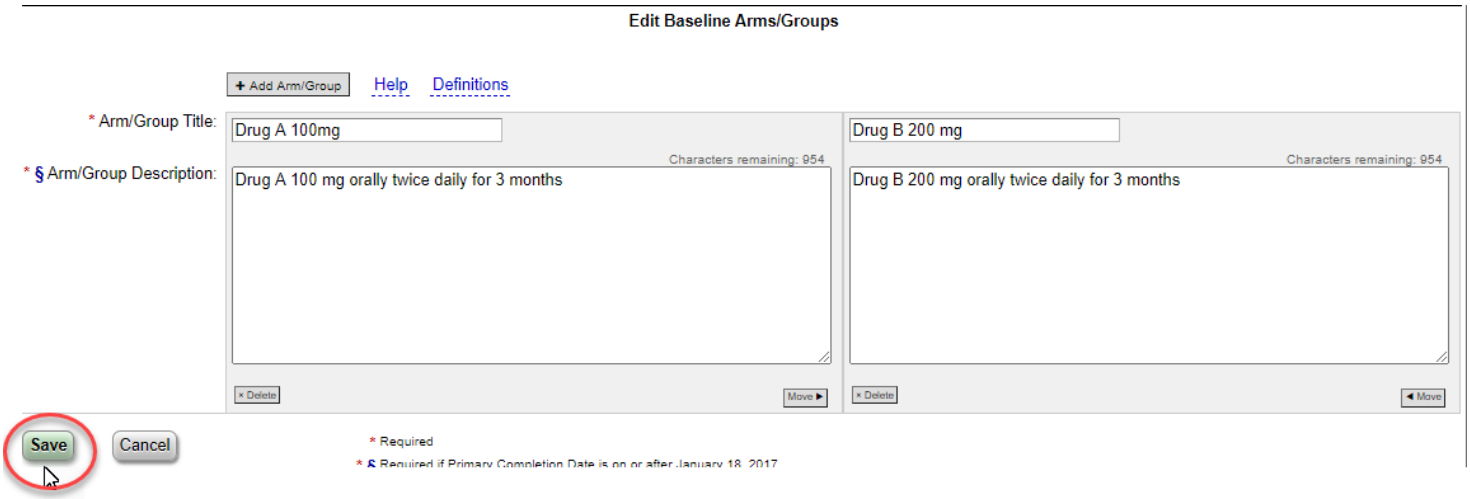
- Watch NIH's Video Tutorial https://prsinfo.clinicaltrials.gov/webinars/module6/index.html
- Data must be presented **per arm** and for all patients who started the study
- Arm titles/description should be consistent with other sections
- Overall number of Baseline Participants should match the number of participants started (from Participant Flow)

Step 1: Click "Edit"

Step 2: Copy the arms/groups information from Protocol Section or Participant Flow Section, or create new groups



Step 3: Verify the Arm/Group information and edit if necessary, then click “Save”



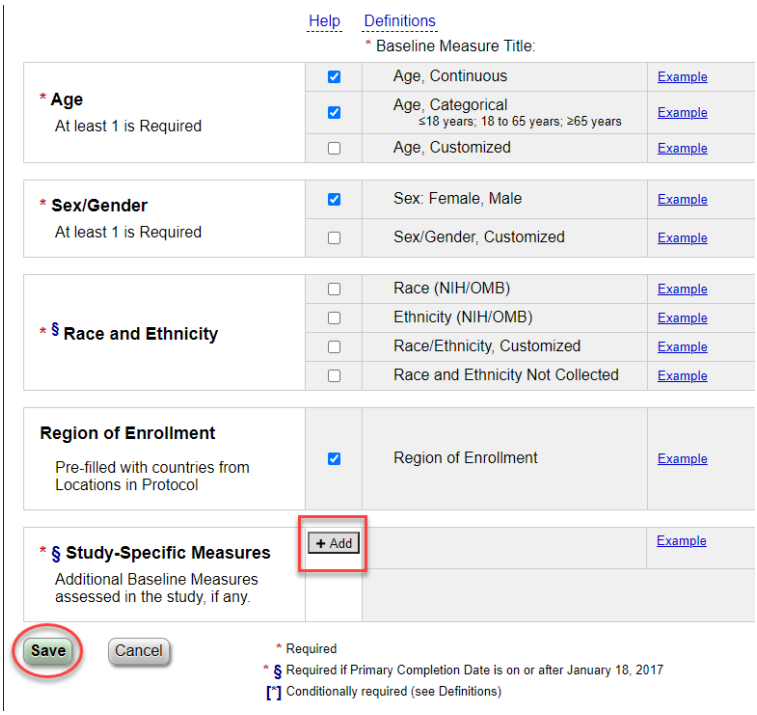
Step 4: Add baseline measures and click “Save”

Minimum: age and gender must be reported

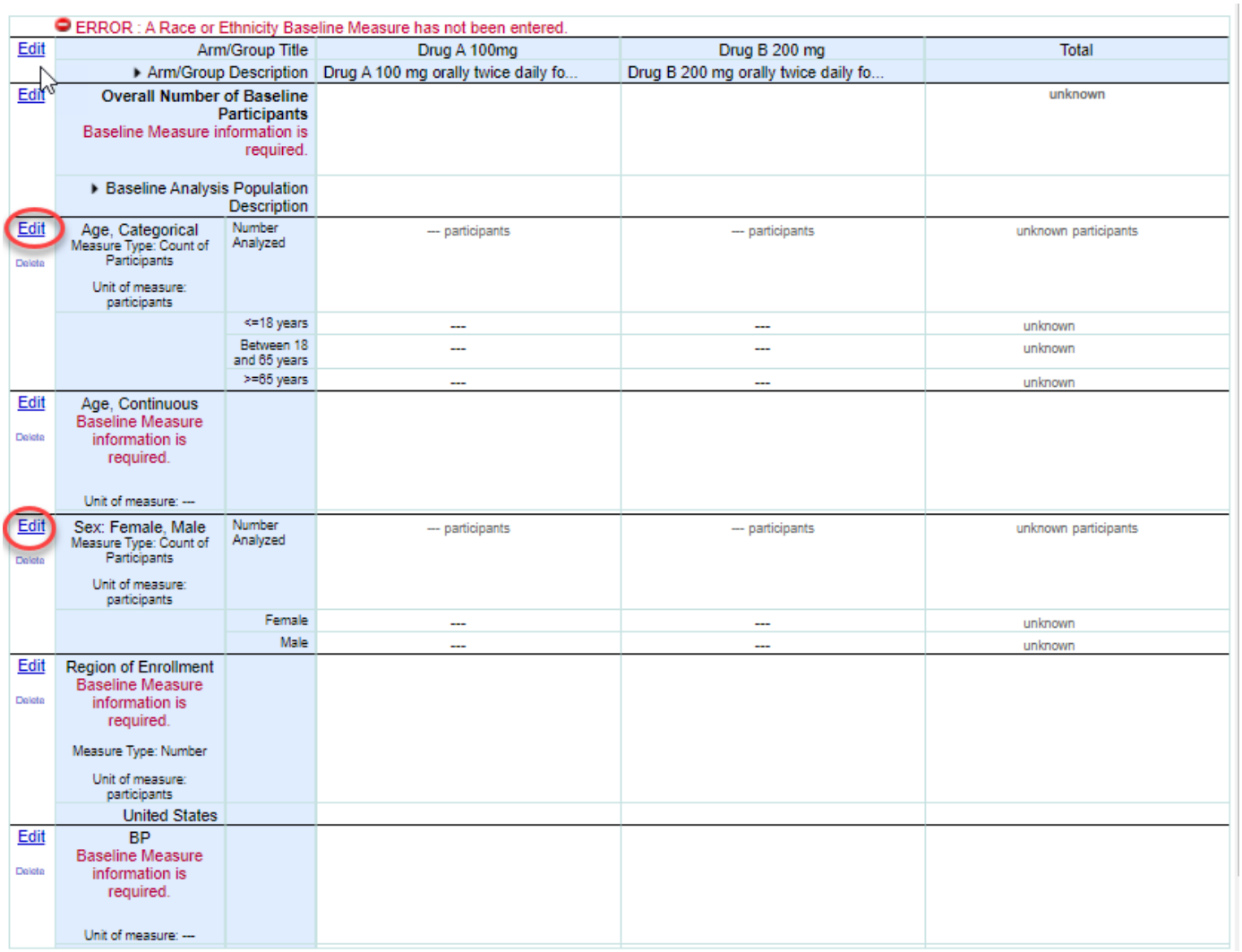
- Age (select one)
  - Age reported as continuous (e.g., mean [Standard Deviation]) or
  - Age reported as categorical (e.g., <18 years, >=18-64 years, >=65 years)
- Gender
  - Generally given as biologically female, male
  - Can be customized (e.g., female, make, transgender [F-M], transgender)

Optional: other demographics and baseline characteristics you wish to report

- Race
- Ethnicity
- Region of enrollment
- Study specific baseline characteristics



Step 5: Click “Edit” and begin data entry



ERROR : A Race or Ethnicity Baseline Measure has not been entered.

	Arm/Group Title		Drug A 100mg	Drug B 200 mg	Total
Edit	▸ Arm/Group Description		Drug A 100 mg orally twice daily fo...	Drug B 200 mg orally twice daily fo...	
Edit	**Overall Number of Baseline Participants** Baseline Measure information is required.				unknown
	▸ Baseline Analysis Population Description				
Edit Delete	Age, Categorical Measure Type: Count of Participants Unit of measure: participants	Number Analyzed	--- participants	--- participants	unknown participants
		<=18 years	---	---	unknown
		Between 18 and 65 years	---	---	unknown
		>=65 years	---	---	unknown
Edit Delete	Age, Continuous Baseline Measure information is required. Unit of measure: ---				
Edit Delete	Sex: Female, Male Measure Type: Count of Participants Unit of measure: participants	Number Analyzed	--- participants	--- participants	unknown participants
		Female	---	---	unknown
		Male	---	---	unknown
Edit Delete	Region of Enrollment Baseline Measure information is required. Measure Type: Number Unit of measure: participants				
	United States				
Edit Delete	BP Baseline Measure information is required. Unit of measure: ---				

Baseline Characteristics Table Example

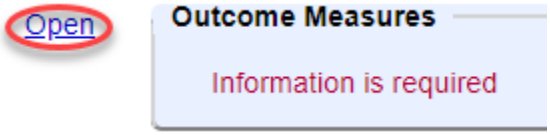
Edit	Arm/Group Title		Drug A		Drug B		Total	
	▸ Arm/Group Description		Patients will received initial tran...		Patients will receive oral misopros...			
Edit	**Overall Number of Baseline Participants**		1117		1110		2227	
	▸ Baseline Analysis Population Description							
Edit Delete	Age, Continuous Mean (Standard Deviation) Unit of measure: years	Number Analyzed	1117 participants		1110 participants		2227 participants	
			26.8 (6.6)		26.6 (6.7)		26.7 (6.6)	
Edit Delete	Sex: Female, Male Measure Type: Count of Participants Unit of measure: participants	Number Analyzed	1117 participants		1110 participants		2227 participants	
		Female	1117	100%	1110	100%	2227	100%
		Male	0	0%	0	0%	0	0%
Edit Delete	Race/Ethnicity, Customized Measure Type: Count of Participants Unit of measure: participants	Number Analyzed	1117 participants		1110 participants		2227 participants	
	Black, non-Hispanic		192	17.19%	186	16.76%	378	16.97%
	White, non-Hispanic		41	3.67%	40	3.6%	81	3.64%
	Hispanic		840	75.2%	860	77.48%	1700	76.34%
	Other		44	3.94%	24	2.16%	68	3.05%
Edit Delete	Region of Enrollment Measure Type: Count of Participants Unit of measure: participants	Number Analyzed	1117 participants		1110 participants		2227 participants	
	United States		1117	100%	1110	100%	2227	100%
Edit Delete	Parity Measure Type: Count of Participants Unit of measure: participants	Number Analyzed	1117 participants		1110 participants		2227 participants	
		Parity = 0	591	52.91%	584	52.61%	1175	52.76%
		Parity = 1	219	19.61%	208	18.74%	427	19.17%
		Parity = 2	158	14.15%	155	13.96%	313	14.05%
		Parity = > 2	149	13.34%	163	14.68%	312	14.01%
Edit Delete	Body mass index (kg/m2) Mean (Standard Deviation) Unit of measure: kg/m2	Number Analyzed	1117 participants		1110 participants		2227 participants	
			29.7 (6.7)		30.1 (7.2)		29.9 (7.0)	
Edit Delete	Diabetes Measure Type: Count of Participants Unit of measure: participants	Number Analyzed	1117 participants		1110 participants		2227 participants	
		None	977	87.47%	952	85.77%	1929	86.62%
		Gestational	99	8.86%	115	10.36%	214	9.61%
		Pregestational	41	3.67%	43	3.87%	84	3.77%

Module 3 Outcome Measures (required section)

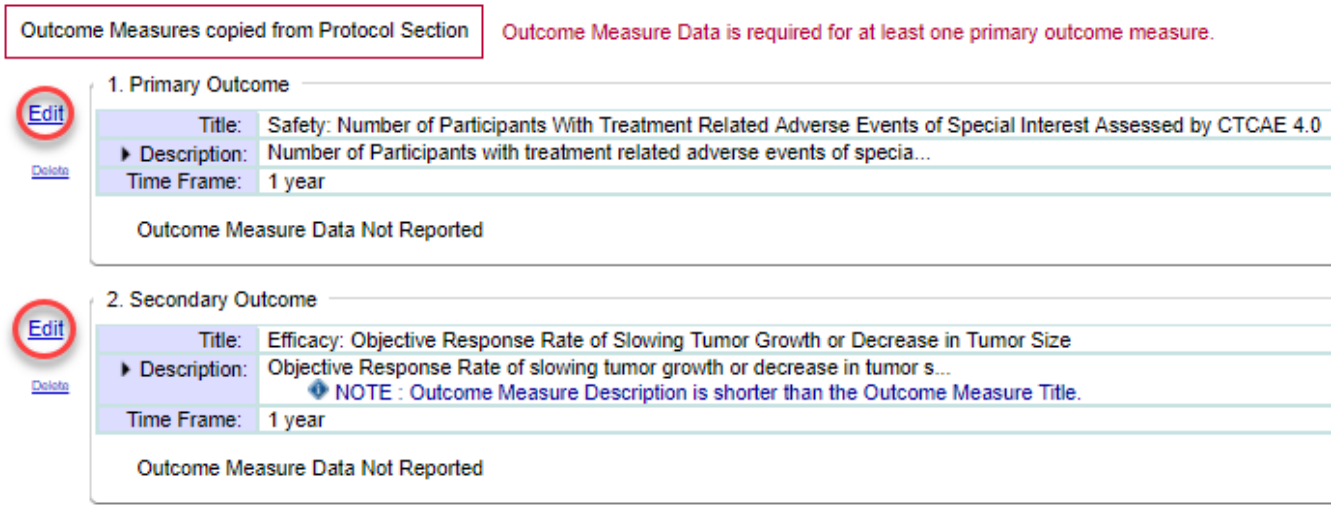
Tips

- Watch NIH's Video Tutorial https://prsinfo.clinicaltrials.gov/webinars/module7/index.html
- **Get PI/Biostatistician involve as this section requires basic statistical knowledge**
- Get your summary data (e.g., Table 1,Table 2 of the manuscript)
- Data must be presented **per arm**
- Search the public site for examples https://clinicaltrials.gov/ct2/search/advanced
- Arm titles/description should be consistent with other sections
- Make sure **NO** placeholders within the data tables
- Statistical Analysis is optional!

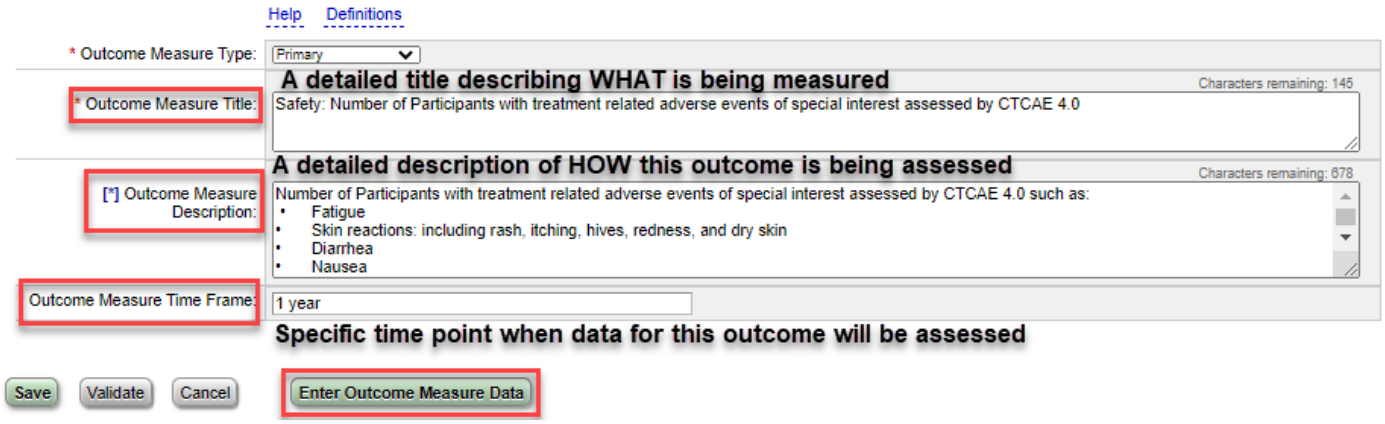
Step 1: Click "Open" and begin data entry



Step 2: Primary outcome/ secondary outcome were copied from the Protocol Section when the results were created. Click “Edit” to being entering data



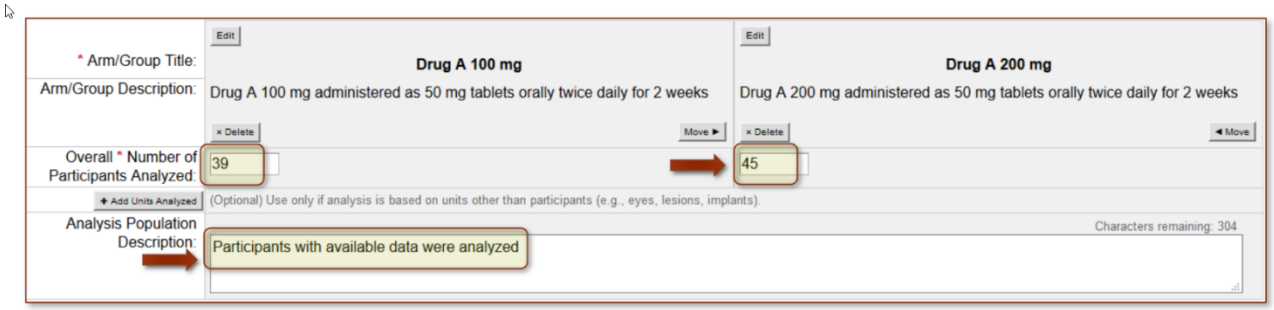
Step 3: Edit outcome measure title, description and time frame if necessary (see the list of example below). Click “Enter Outcome Measure Date”



Title	Describe **WHAT** is being measure (parameter) and how (metric) and time points Examples: • Safety, as measured by number of subject with at least one adverse event as assessed by CTCAE v4.0 • Mean change from baseline in systolic blood pressure at 6 Months • Mean change from baseline in pain scores on the Visual Analog Scale (VAS) at 6 weeks • Mean change from baseline in lesion size at 24 months • Biomarker, as measured by number of participants with XXXXX • Maximum tolerated dose of Drug A in patients with breast cancer • Number of hospitalizations at 24 months
Description	Describe **HOW** each outcome measure, quantitative data, will be reported in detail. If scale will be used, include full unabbreviated name of the scale, what it measures, range of possible scores, and meaning of scores Examples: • Lesion size in millimeters will be measured by ultrasound, at baseline and week 2 • The Hamilton Depression Rating Scale is used for rating the severity of depressive symptoms. Scores range from 0 to 50, with higher scores indicating greater severity of depression. • Scores are measure on a 100 mm VAS. The VAS ranges from 0 to 100 with 0 indicating no pain and higher scores indicating greater pain. • Number of participants who experience adverse events >= Grade 3, as defined by Common Terminology Criteria for Adverse Events by CTCAE v4.0
Time Frame	Describe **WHEN** or how long it will take to assess the outcome measure in a participant Examples: • Week 12 (for single assessment) • Day 1 post intervention • Changes from baseline to 12 weeks (for change measures, 2 time points) • Through end of study (for change measures, continues) • 0, 1, 2, 3, 4, 6, 8, 24 hours post-dose (for pharmacokinetic measure) • From date of randomization until the date of first documented progression or date of death from any cause, whichever came first, up to 100 months (Time to event measure)

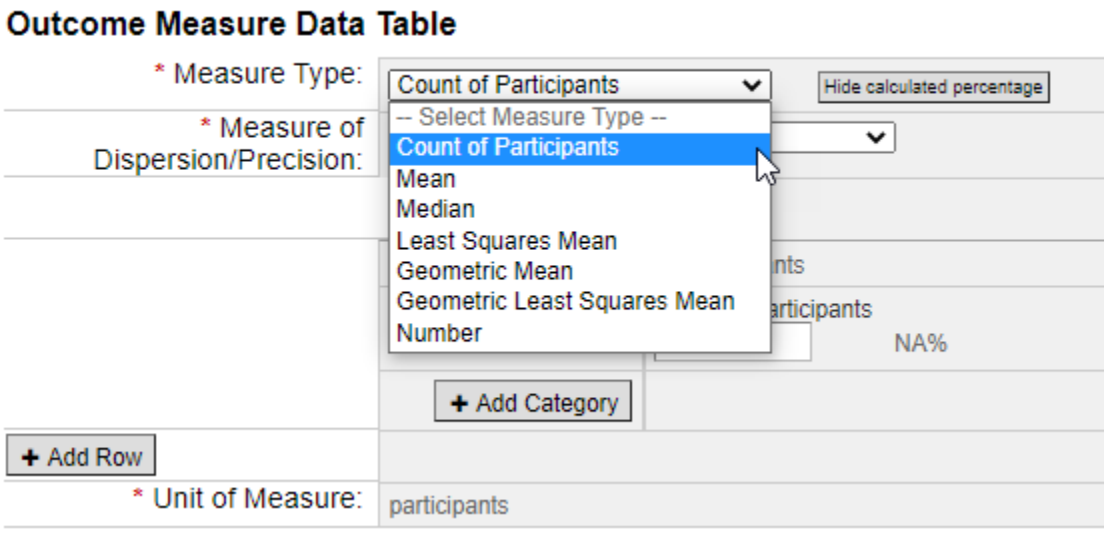
Step 4: Once ready, Click “Enter Outcome Measure Date”

Step 5: Enter the number analyzed in each group
If number of participants analyzed is less than number enrolled in each arm, then you must describe the difference in “Analysis Population Description” section. E.g., “Participants with available data were analyzed”



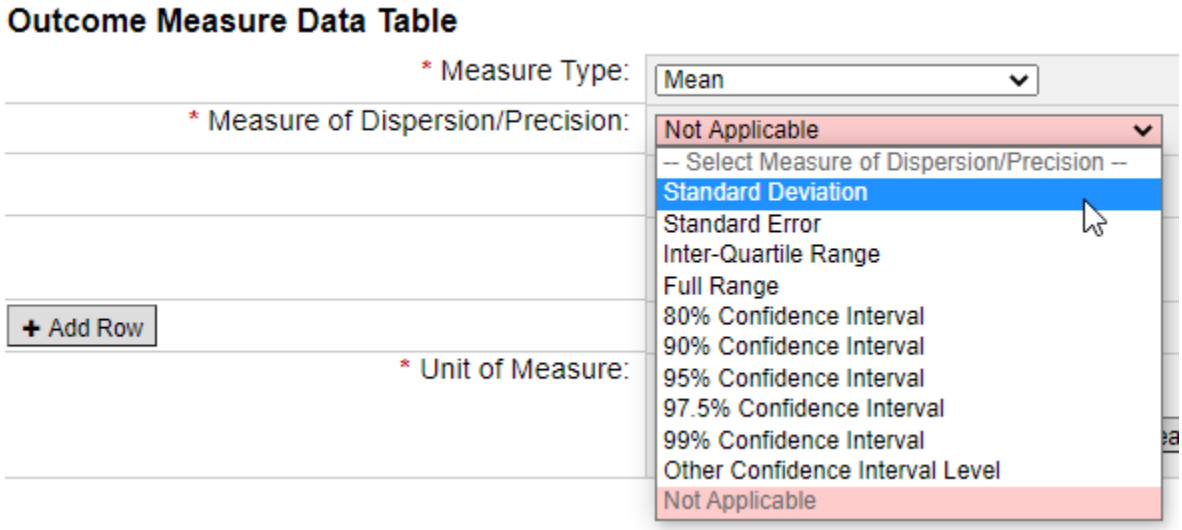
Step 6: Complete Outcome Measure Data Table

1. Enter the type of data for the outcome measure



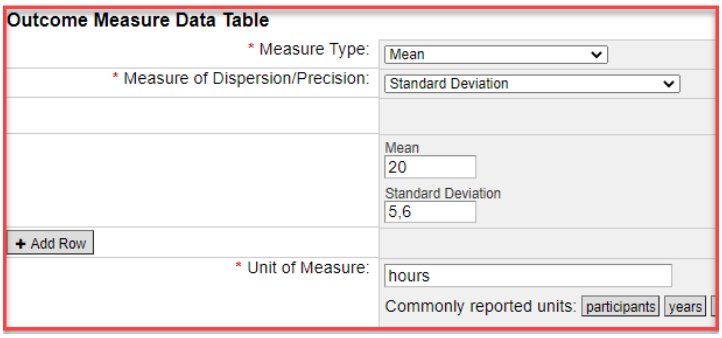
2. Enter the Measure of Dispersion/Precision used

- May chose “Not Applicable” if you chose “Number” or “Count of Participants” for Measure Type
- Continuous variable (e.g., mean, median) must report precision. In general, you would chose “Standard Deviation” for mean and “Inter-Quartile Range” or “Full Range” for median. If they are not available, consult with a Biostatistician.

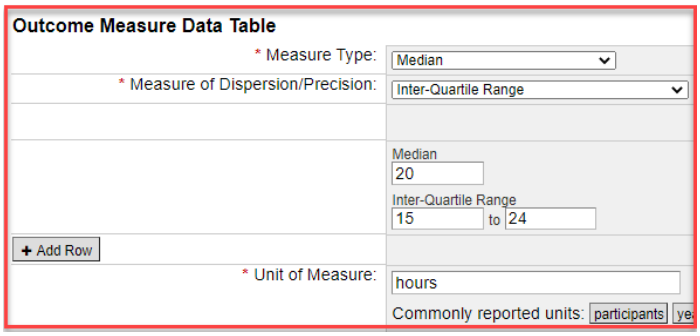


3. Enter Unit of Measure
   Unit of measure is an explanation of what is quantified by the data (e.g., participants, mm Hg, years, hours, units on scale, score on scale, percentage of XXXX)

   *Example of outcome (hours of sleep) measure data table choosing **mean** for measure type*



*Example of outcome (hours of sleep) measure data table choosing **median** for measure type*

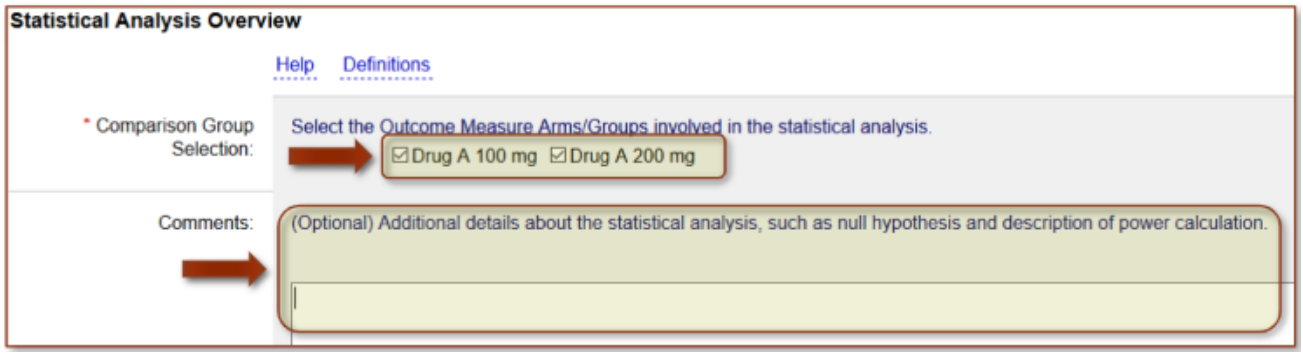


Once ready, Click “Validate” then “Save”

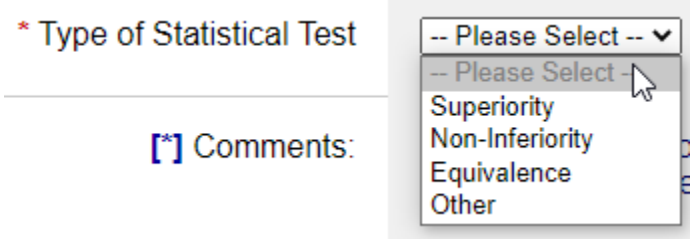
Step 7: Add Statistical Analysis (e.g., p-value, odds ratio, risk ratio, hazard ratio) (**OPTIONAL**)

1. Select “Add Statical Analysis”

2. Complete Analysis Overview Section
   a. Select what arms are included in the statistical test, and add detailes about the test as appropriate

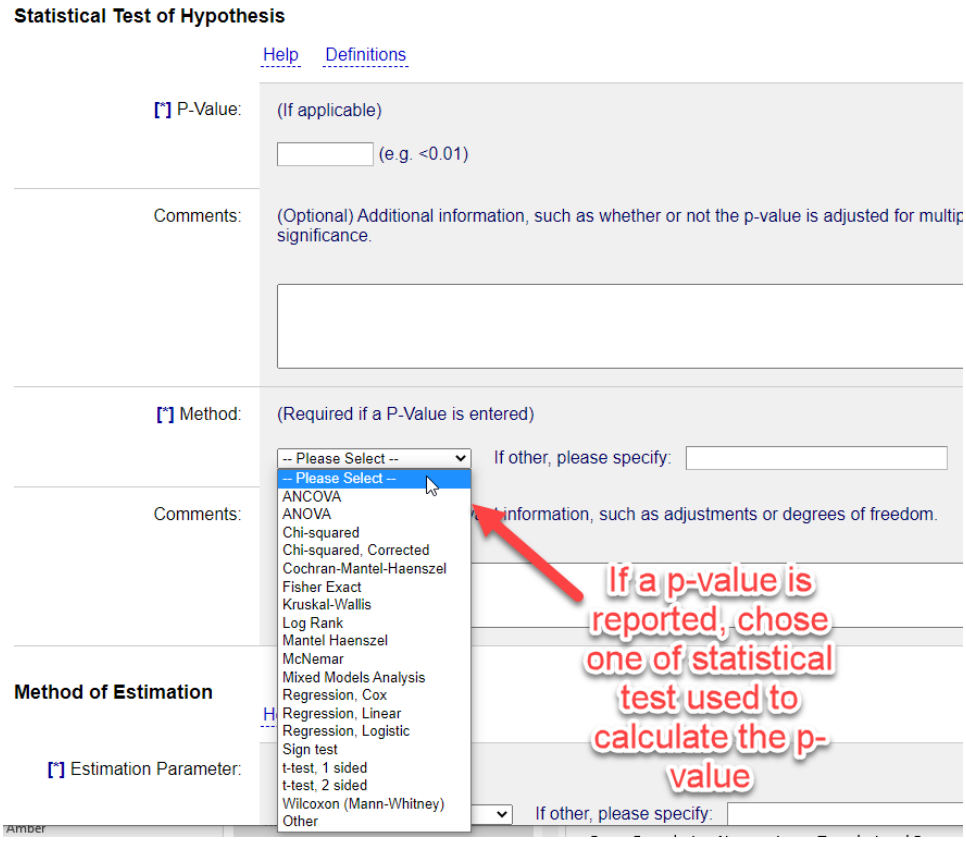


   b. Select type of statistical test

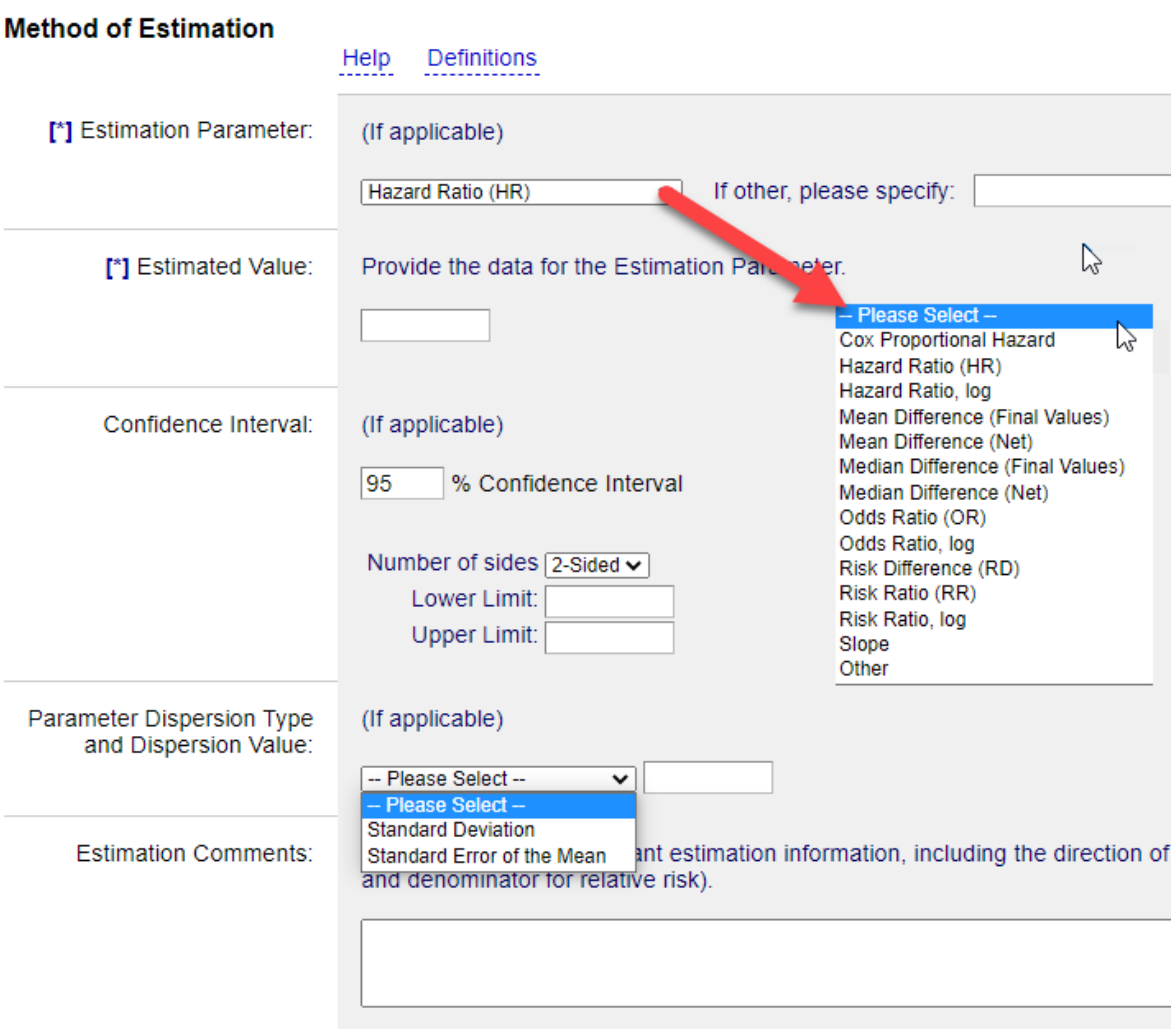


Superiority: It could be proving that the new drug is ***better*** **than the control**
Non-inferiority: The new drug is at least ***as good as the control***
Equivalence: It could even be to confirm that the new drug is ***equivalent*** **to the control**
Other: e.g., Single group or other descriptive analysis

3. Complete Statistical Test of Hypothesis Section
    a. Report p-value and method if available



4. Complete Method of Estimation Section
    a. Enter estimation parameter if available
    b. Enter Estimated Value
    c. Confidence interval
    d. Parameter Dispersion Type and Dispersion Value



5. Complete Other Statistical Analysis Section (Optional)

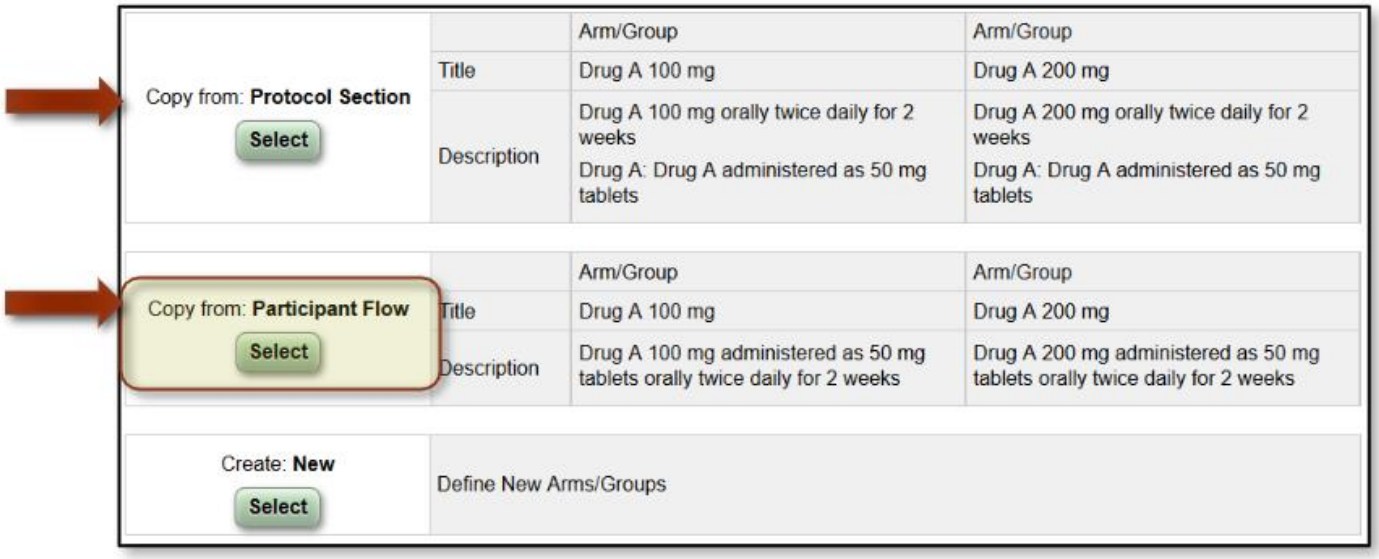
Module 4 Adverse Events (required section)

Tips

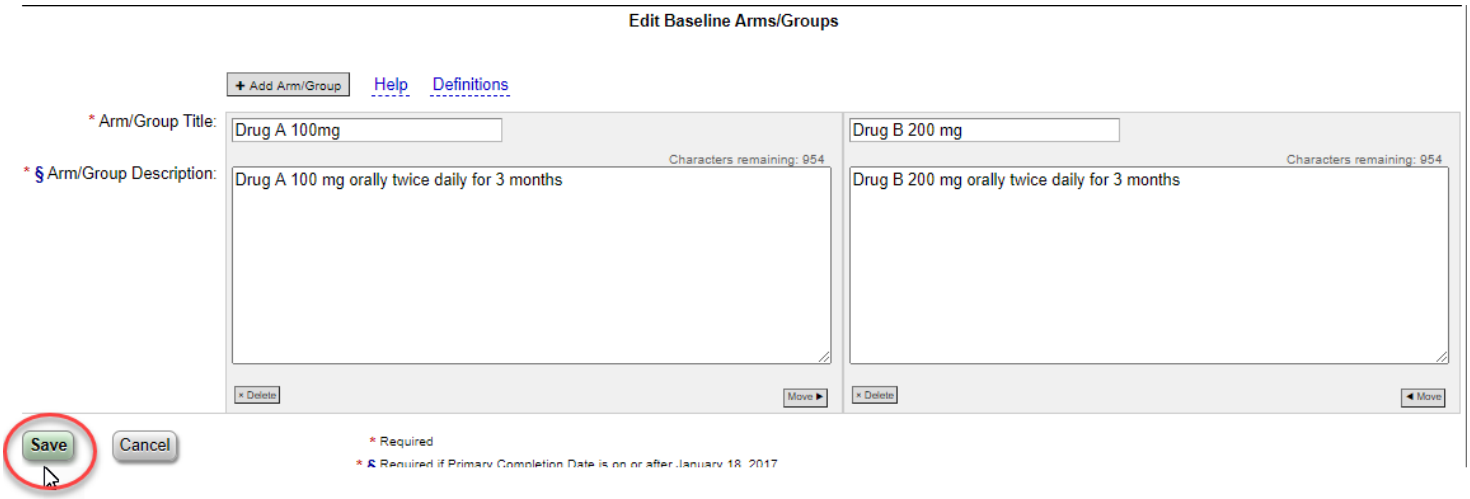
- Watch NIH's Video Tutorial https://prsinfo.clinicaltrials.gov/webinars/module8/index.html
- Get your adverse events (AEs) data
- ALL AEs must be reported, regardless of whether they are attributed to intervention!
- Two AEs tables must be reported
  - Serious AEs
  - Other AEs
- Must report the number at risk and affected

Step 1: Click "Edit" and begin data entry

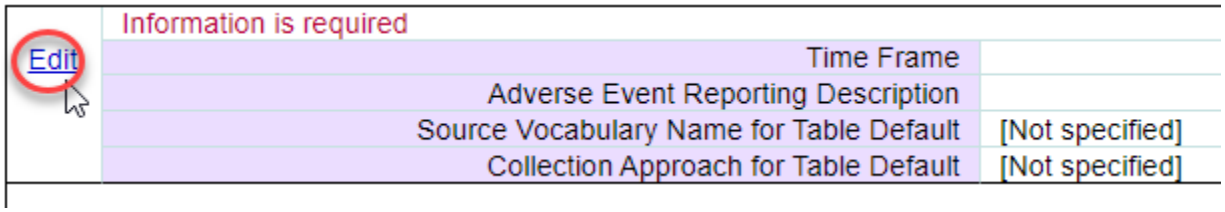
Step 2: Copy the arms/groups information from Protocol Section or Participant Flow Section, or create new groups



Step 3: Verify the Arm/Group information and edit if necessary, then click "Save"



Step 4: Begin adverse events data entry by selecting "Edit"



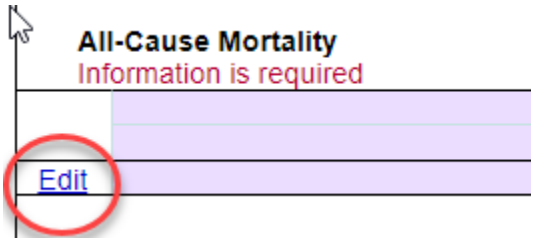
1. Time Frame: Must be specific and indicate when adverse events were reported
   INCORRECT - "*at study completion*"
   CORRECT - "*Weekly unitil end of study, an average of up to 1 year*"

2. Adverse Event Reporting Description: Must indicate if there were any specific criteria/definitions used to report AEs. (e.g., *only serious adverse events were collected according to the study protocol*)
3. Source Vocabulary Name (Optional): Standard terminology, controlled vocabulary, or classification and version from which adverse event terms are drawn, if any (for example, SNOMED CT, MedDRA 10.0). Default value for Source Vocabulary Name to be applied to all adverse event terms entered in the "Serious Adverse Event" and "Other (Not Including Serious) Adverse Event" tables. If necessary, Source Vocabulary Name may also be specified for specific Adverse Event Terms.
4. Collection Approach: Choose one
   i. Systematic Assessment: AEs were recorded in daily participant diaries

ii. Non-systematic assessment: AEs were collected in response to spontaneous reports by participant

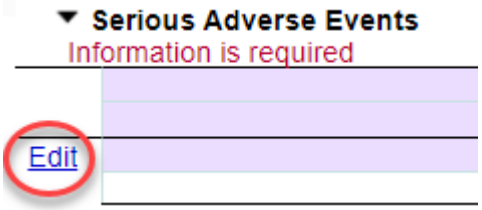
5. Total Number of Participants "At Risk"

Step 5: Select "Edit" in All Cause Mortality Section (Include death from **ANY** cause during the AE reporting time-frame)



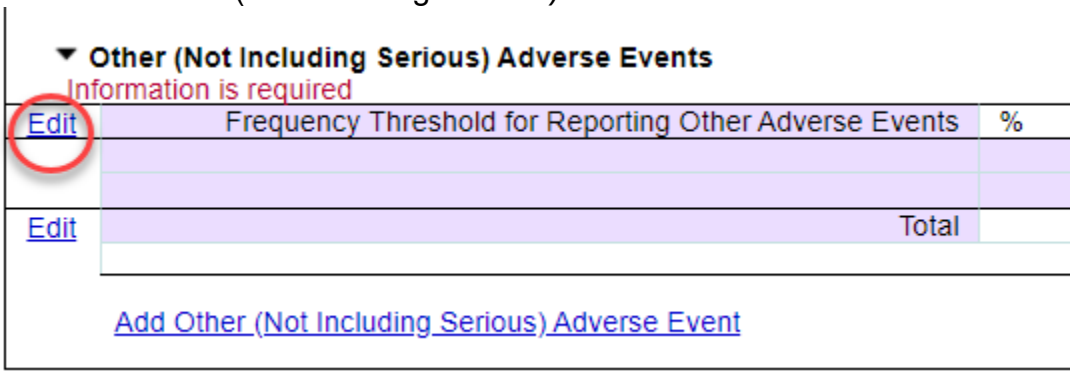
- Total Number Affected: overall number of participants, in each arm/group, who died due to any cause
- Total Number At Risk: must be the number of participants who are assigned to the arm. If there is discrepancy, must be explained within the "Adverse Event Reporting Description" **INCORRECT** - "*0*"

Step 6: Select "Edit" in Serious Adverse Events



- Total Number Affected: overall number of participants affected by one or more Serious Adverse Events, for each arm/group.
- Total Number At Risk: must be the number of participants who are assigned to the arm. If there is discrepancy, must be explained within the "Adverse Event Reporting Description" **INCORRECT** - "*0*"

Step 7: Select "Edit" in Other (Not including Serious) Adverse Events



- Report at a threshold: Enter a number between 0 (no threshold; all events reported) and 5 (only events occurring in greater than 5% of participants in any Arm/Group are reported).

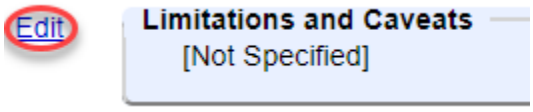
For example, a threshold of 5 percent indicates that all Other (Not Including Serious) Adverse Events with a frequency greater than 5 percent within at least one arm or comparison group are reported.

- Total Number Affected: Overall number of participants affected, for each arm/group, by at least one Other (Not Including Serious) Adverse Event(s) reported in the table. Adverse events reported in the table are those that occurred at a frequency exceeding the specified Frequency Threshold (for example, 5%) within at least one arm or comparison group
- Total Number At Risk: must be the number of participants who are assigned to the arm. If there is discrepancy, must be explained within the "Adverse Event Reporting Description" **INCORRECT** - "*0*"

Module 5 Limitations and Caveats (NOT required section)

Use this section to describe limitations of the trial

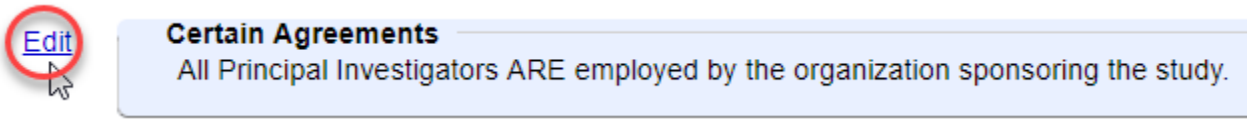
- *"PI for this study is no longer with the institution and the relevant data have been destroyed."*
- *"The underlying data are not available for accurately reporting the information"*
- *"Early termination leading to small numbers of subjects analyzed"*
- *"Technical problems with measurement leading to unreliable or uninterpretable data"*
- *The study was terminated and the PI has left the institution. Despite exercising all possible efforts to contact the original PI/study team members to obtain the data, the study PI refused to provide the collected data, and no data are available to be reported"*
- *"The study was terminated and the PI has left the institution. Despite exercising all possible efforts to contact the original PI and study team members to obtain the data, the study PI and study team members contact information could not be found, and no data are available to be reported"*



Module 6 Certain Agreements and Results Point of Contact (required section)

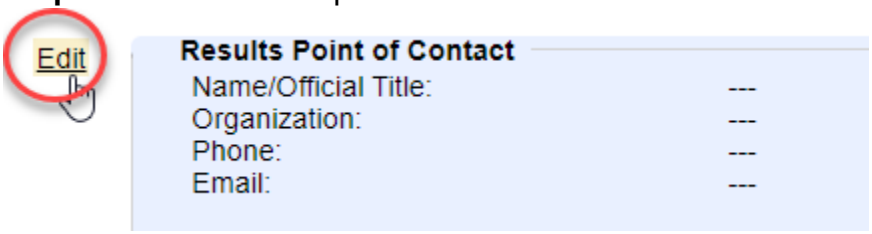
This section describes agreements between the sponsor and Principal Investigator(s) on their rights to publish study results

Step 1: Click "Open" in the More Information and select "Edit" to open the Certain Agreements Section



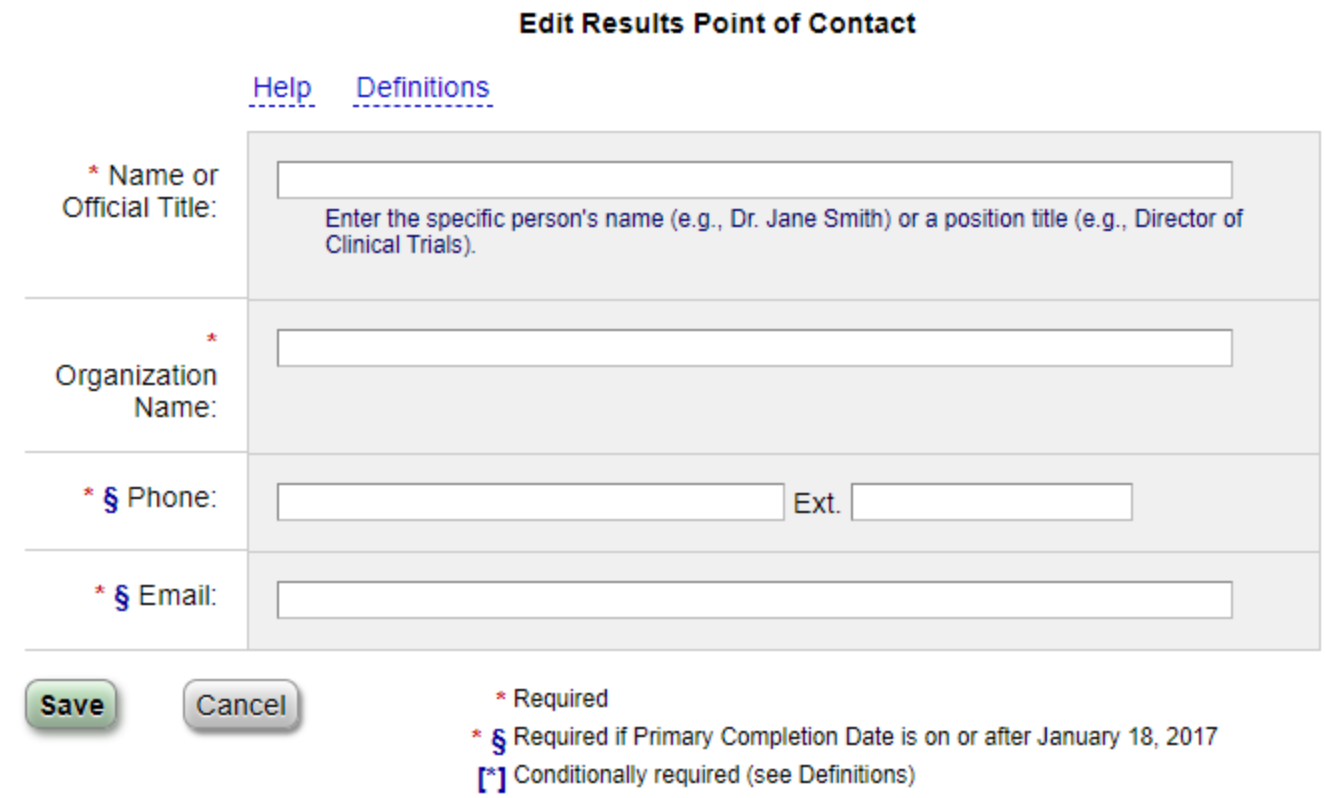
- Question 1: Are all PIs Employees of Sponsor?
  - If yes, select “Yes” from the drop-down menu, no further questions
  - If no, select “No” from the drop-down menu, and answer
- Question 2: Results Disclosure Restriction on PI(s)?
  - If no, select “No” from the drop-down menu, no further questions
  - If yes, select “Yes” from the drop-down menu and select the type of agreement from the radio buttons

Step 2: Click “Edit” to open the Results Point of Contact Section



Enter name of the contact (usually the Responsible Party), organization name (usually UTSW) and contact phone and/or email

The person best able to provide scientific information about the clinical study results information should be entered as the Results Point of Contact.

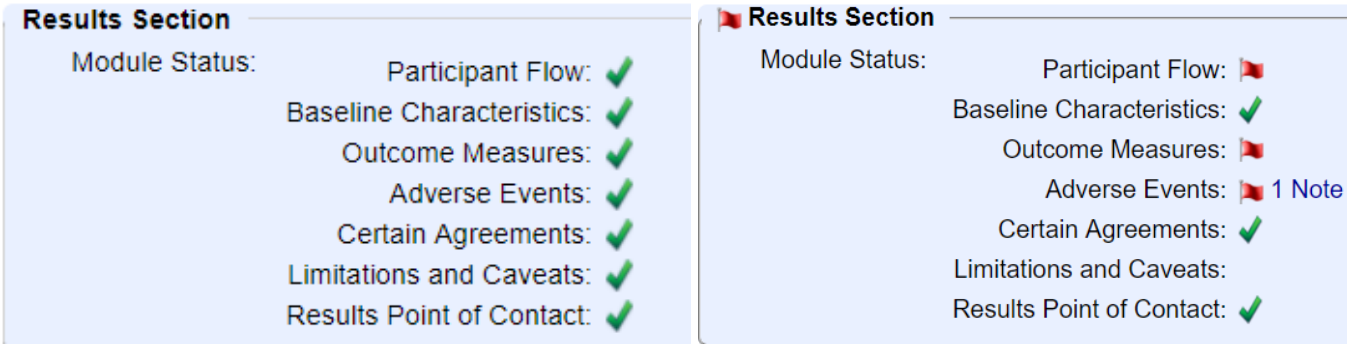


Finalizing and Submitting Results to CT.gov

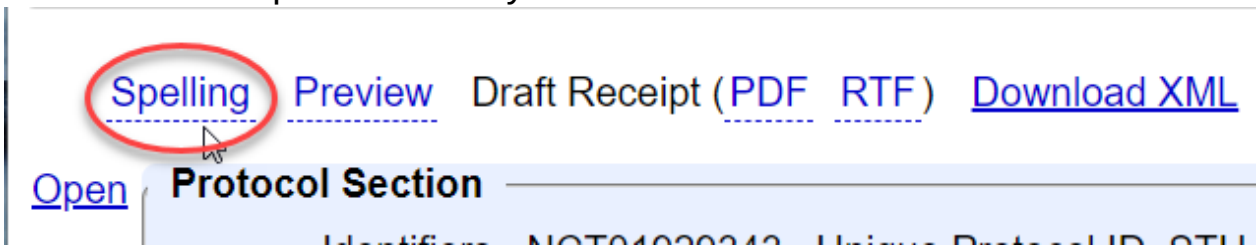
- Clear **ALL** red flags, errors Error, warnings Warning, and notes Notes

Good to Go

Not Ready to Go



- Perform **spell-check** by clicking on the "Spelling" link on the left top of the page Be sure to expand all acronyms within each section the record



- Click on the green "**Entry Complete**"
- Responsible Party (PI) to review, approve and submit record to CT.gov
  - Click on the green "**Approve**" and "**Release**"