



## **CALGB Correlative Science Policies**

Lynn Dressler, Dr. P.H., Chair

Ann Thor, M.D., Co-Chair

Solid Tumor Correlative Sciences Steering Committee

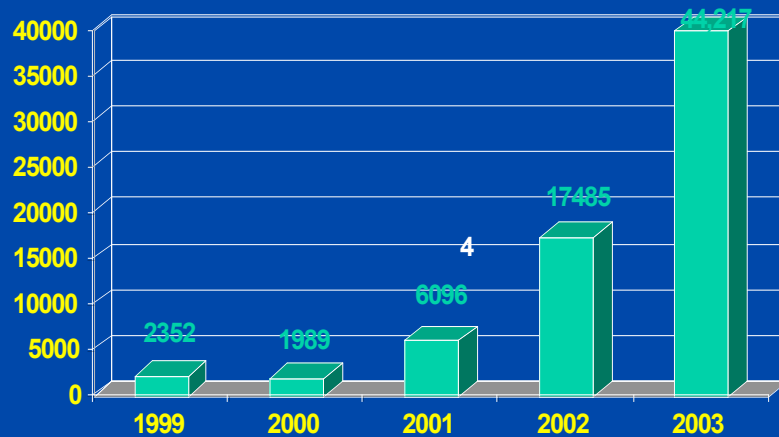
*CALGB Group Meeting, June 2005*

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### **CALGB Correlative Science Policy**

- Applies to use of any human specimen in CALGB research: tissue, blood, blood products, DNA, RNA
    - Promote good science and protect patient's privacy and confidentiality of information
    - Uniformity of policies for conduct of responsible research, throughout CALGB
    - Patient's and public's confidence in integrity of research
  - CALGB human specimen research has increased dramatically
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## Tissue sections distributed for Solid Tumor Correlative Science Studies 1999-2003



*Courtesy of Laura Monovich, CALGB Pathology Coordinating Office*

## CALGB Correlative Science Policy: Use of human specimens in research

- Leukemia Correlative Sciences Committee
  - Solid Tumor Correlative Sciences Committee
  - Pathology Committee
  - Pharmacology and Experimental Therapeutics Committee
  - Cancer Control and Health Outcomes Committee
  - Any investigator that utilizes human specimens in CALGB research (blood, tissue, buccal swab...)
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## **CALGB REPOSITORIES**

### **Leukemia, MDS**

- Leukemia Tissue Bank (LTB)
  - Ohio State University, **Dr. Michael Caligiuri**
    - Donna Bucci, Coordinator
    - Fresh Specimens: Bone marrow, Peripheral Blood
    - Frozen specimens: Plasma, Serum, Urine, Tissue
    - Buccal swabs
    - Stained and unstained slides
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## **CALGB REPOSITORIES**

### **Solid Tumors**

- Pathology Coordinating Office (PCO): **Ann Thor and Carolyn Compton**
    - Ohio State University, Drs. Saul Suster and Scott Jewell
      - Laura Monovich, Coordinator
    - Formalin-fixed paraffin blocks (FFPE)
    - Sections, TMAs
    - Fluids: Plasma, Serum, Urine
    - Nucleic acid aliquots: DNA, RNA
    - **Services provided (IHC, telepathology)**
    - **Monthly conference calls, initiated by WG chair or Study Chair**
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## Lung Cancer Tissue Bank (LCTB)

- Brigham and Women's Hospital: David Sugarbaker
  - Coordinator, Bill Richards
  - Frozen lung specimen repository
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## Guiding Principles of Conduct

- All CALGB specimens and information (research or clinical) are private and confidential
  - Policies address safeguards to protect privacy and maintain confidentiality
  - Minimize risk of misuse of specimen/information and unauthorized release of specimen/information
  - Comply with federal, state, local regulations
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## **Policy to Guide Conduct of Responsible Research**

- Investigator Agreements:
    - Follow CALGB policy/procedures
    - Specimen access and utilization
    - Data-submission and analysis
    - Collaborations with commercial firms
    - Publication and authorship of abstracts, manuscripts, presentations.
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## **Specimen access and utilization**

- Concept sheet is reviewed, revised, and approved by Working Group members, appropriate disease/modality committee, including CALGB Repository (LTB) and biostats.
- Scientific and logistic review of requests for access to/utilization of CALGB specimens prior to concept submission to EC.
- Before receiving any specimens or performing research
  - investigators must have an activated protocol and prior
  - approval from:
    - All related disease/ modality committee(s)
    - Executive Committee (EC)
    - Central office (docs on file, including IRB approval)

## **IRB approval required**

- Prior to receipt of any human specimen, **each** approved investigator (**not just Study Chair**) must submit documentation of IRB approval from their respective institution
  - Not just Study Chair, but all investigators using human specimens, CALGB or non-CALGB
  - Submit copy of IRB approval letter to Central Office
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## **Forms needed at Central Office prior to study activation and distribution of specimens**

1. Documentation of approval of study by EC and scientific committee(s) (e.g. LCS, STCS, Pathology, PET, CCHO, etc)
  2. IRB approval letter from investigators' institution
  3. HIPAA privacy authorization from investigators' institution
  4. Letter of investigator agreement – agree to comply with CALGB Policy and Procedures
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## **Prior to study activation and distribution of specimens**

5. Contractual agreement with industry (if relevant)
  6. Conflict of Interest Form(s)
  7. Registration of lab with Central Office, LabTrak
  8. CTEP approval (if study uses specimens from >99 patients)
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## **All specimens sent to CALGB repositories**

- CALGB institution submits specimens directly to CALGB repository (not investigator)\*
- CALGB repository processes, then distributes sample to approved investigators as per study protocol
- Study Protocol is the source of this information

*\* Unless otherwise specified in the approved study protocol*

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## Specimen Distribution Schema

### CALGB 49907

INSTITUTION SUBMITS 1 BR CA FFPE BLOCK TO CALGB PCO

PCO SECTIONS AND DISTRIBUTES

Review of H&E  
(top, middle, bottom)

(Dr. Peng, OSU)

IHC/FISH

20, 4 $\mu$  (coated)

(Dressler, UNC)

p53, HER2 IHC/FISH, Ki-67, CD34

RNA Extraction/Expression

3,10  $\mu$  uncoated

(Danenberg, USC)

TS,TP, DPD Expression

## Repository Safeguards

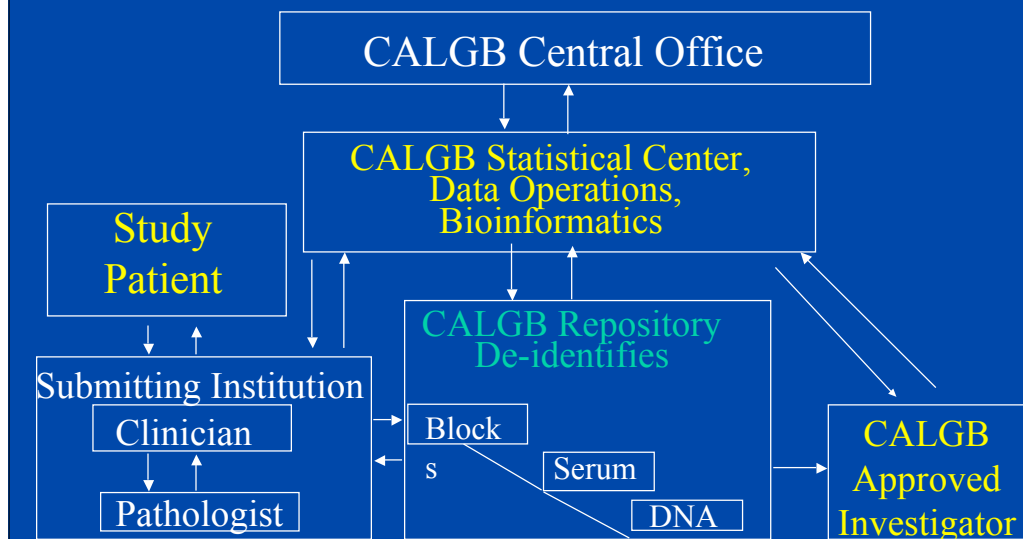
- Specimens are not distributed with any patient identifying information\*
- Researchers are blinded to identity of specimen
- Specimens are identified with a unique identification number (**LabTrak ID**) generated by CALGB LabTrak database
- Lab receiving specimens must have access to LabTrak web-based tracking system.

*\*unless required by protocol for randomization/eligibility*

## Use of CALGB LabTrak System

- All correlative science laboratories/investigators must use CALGB web-based LabTrak application
- LabTrak tracks the shipment, receipt, and condition of all CALGB specimens
- Investigator(s) registers lab with Central Office, LabTrak and Repositories

## Honest Broker



## Specimen Use

- Limited to that described in the approved protocol
  - No sharing of specimens with any other investigator
  - No use or banking of specimens for other or future study(s)
  - Unused specimens (slides, plasma, serum, DNA, RNA, tissue) are returned to CALGB repository\* upon completion of study
    - \*LTB, PCO, LCTB or other protocol-specified repository
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## Changes in specimen use require EC approval

- Changes in use of specimens/information—
    - Nature of use specimen, study objective change
    - Different investigators/industry involved
    - Major changes in assays, markers, methodology
  - Require a protocol amendment(s) or new concept
  - Require Executive Committee approval
  - If new concept needed, requires approval by relevant disease and modality committees prior to submission to EC
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## **Working with Industry Biotech, Pharma, Others**

- Must have MTA and/or contractual agreement set up prior to having any specimens sent to industry
  - Contract/MTA must be negotiated by Dr Schilsky, Dr. Ann Mauer, or their designate
  - Study Chair or co-investigators cannot negotiate collaboration, or use of kits, instrumentation, FDA submission, etc. on behalf of CALGB
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## **Changes**

- The Study Chair is responsible for oversight of conduct of the study and submitting any changes to the Central office
  - Central office, appropriate disease/modality committee/repositories determines need for protocol amendment or new concept.
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## Data Submission And Analysis

- All data resulting from CALGB studies, including those from commercial collaborations, are under the guardianship of CALGB.
- All data are submitted to and analyzed by CALGB Statistical Center (unless otherwise specified in protocol and approved by EC).
- All data in CALGB database are considered private and confidential.
- Access to CALGB data must be agreed upon in writing on a study-by-study basis prior to start of study (contractual agreements)

## Data Submission and Analysis

- For array data, collaboration and analysis by other approved statisticians, informatics on a study-by-study basis

**CALGB Bioinformatics Unit must review and approve study design, data analysis and management plan prior to Executive Committee review and protocol activation**

[jennifer\\_shoemaker@duke.edu](mailto:jennifer_shoemaker@duke.edu)

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## Disclosure of Data/Information

- No disclosure of data, other information to patient, physician, family, or third party
- No clinical decision-making based on correlative science research results\*
- Aggregate data, abstracts/manuscripts available upon request

*\* Unless specified in approved protocol for randomization or eligibility requirements (CLIA approved lab)*

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## CALGB STCS Policy Governing Germline DNA Studies

- Informed consent for studies of inherited genes must be obtained prospectively\*, using CALGB consent form
  - Consent form documents need to be harmonized across CALGB; currently different for different modality groups and types of studies (e.g. PET compared to Breast)
  - Heritable studies in CALGB are limited to cancer
  - Monitored by CALGB Steering/CARE or other Oversight Committee: ethical, scientific, medical, policy issues **(to be discussed)\***
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## CALGB Policies Governing Germline DNA Studies

- Banked material not originally intended for germline studies, may be used for studies of heritable genes, but may require re-consent of the participant/family (to be discussed)
  - A Certificate of Confidentiality should be obtained to reduce risk of disclosure of participant identifiers with genetic information
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## CALGB Policies Governing Germline DNA Studies

- Non-disclosure of information policy: results from CALGB heritable studies as most other investigational studies are currently not disclosed to the patient/participant or their physician\*

*\*unless part of approved protocol (for randomization or eligibility)*

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## **Publications and Authorship**

**Anne Battershell**

**([abatters@uchicago.edu](mailto:abatters@uchicago.edu))**

- All manuscripts must be reviewed and approved by the CALGB Central Office and circulated for Group review prior to submission\*
- Abstracts must be submitted to and approved by Central Office, and co-authors prior to submission
- Abstracts and manuscripts must follow CALGB authorship policies (Study Chair first author, statistician second author, etc).

*\*unless exception given by the Group Chair (Dr. Schilsky)*

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## **Guidelines for Grant Submission**

**([dressler@med.unc.edu](mailto:dressler@med.unc.edu) or**

**[kkaras@uchicago.edu](mailto:kkaras@uchicago.edu))**

- Requires prior approval by Modality and Disease Committees
  - Requires approval of Executive Committee.
  - Must include subcontracts to support relevant CALGB resources:
    - Central Office, Statistical Center/Bio-informatics, CALGB repositories, other
  - Model grant submission packet available from Kathy Karas
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## **Commercial Policy**

- CALGB promotes collaboration with industry.
  - For each collaboration, a contractual agreement must be established between CALGB and the commercial firm.
  - Each study is handled on a study-by-study basis.
  - No investigator may undertake such negotiations on behalf of CALGB without the written permission of the Group Chair (Dr. Schilsky).
    - Contact Dr. Ann Mauer
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## **CALGB STCSC Policy For Sample Repositories**

- Only approved CALGB members can establish and maintain a CALGB repository
- As the repository guardian, investigator agrees to procure, process, store, and distribute according to CALGB policy
- Samples cannot be distributed to any investigator without prior approval of STCS and/or Exec Comm.
- All unused specimens are returned to the central bank and are not distributed/sold to any third party
- All repositories managed by CALGB LabTrak

## **CALGB Policy For Repositories**

- Safeguards to protect patient confidentiality, privacy and medical-legal concerns:
  - Specimens are identified with a unique identification number, generated by CALGB LabTrak
  - Specimens are not distributed with any patient identifying information
  - Only select personnel (not Study Chair) will have ability to match unique id number with clinical info
  - Participants can choose at any time to withdraw (block)/destroy (fluids,DNA, RNA) their sample

## **CALGB Policy For Repositories**

- Quality control slides ( H & E), remaining tissue from block (frz or FFPE) and unstained sections (frz or FFPE) available to submitting institution (overnite)
- Information from repository, laboratory assays and patient/clinical records are stored separately at CALGB Statistical Center
- Strict security and limited access to link information at CALGB Statistical center
- Oversight by STCS Coordinating committee for appropriate compliance (WG chairs, Path chair, Central Office, Statistical Center, stats)

## **CALGB Policy For Repositories**

- Samples are obtained only from registered CALGB participants with informed consent to participate in clinical trial and/or companion
  - Samples are only distributed to investigators with approved CALGB studies who have signed CALGB research agreements
  - Individual results/data will not be disclosed to patient or physician. No clinical decision-making based on results from most\* STCS studies.
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**Please contact us with any questions.**

[www.calgb.org](http://www.calgb.org)

Central Office  
Leukemia Correlative Sciences/LTB  
Solid Tumor Correlative Sciences/PCO

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## Useful e-mail addresses

- **STCS Policies**
  - Lynn Dressler: [dressler@med.unc.edu](mailto:dressler@med.unc.edu)
- **PCO**
  - Laura Monovich: [monovich-1@medctr.osu.edu](mailto:monovich-1@medctr.osu.edu)
  - Scott Jewell: [jewell-1@medctr.osu.edu](mailto:jewell-1@medctr.osu.edu)
  - Ann Thor: [ann-thor@ouhsc.edu](mailto:ann-thor@ouhsc.edu)
- **LTB**
  - Donna Bucci: [bucci-1@medctr.osu.edu](mailto:bucci-1@medctr.osu.edu)
  - Mike Caligiuri: [caligiuri-1@medctr.osu.edu](mailto:caligiuri-1@medctr.osu.edu)
- **Pathology Committee:**
  - Carolyn Compton: [carolyn.compton@mcgill.ca](mailto:carolyn.compton@mcgill.ca)
  - Ann Thor: [ann-thor@ouhsc.edu](mailto:ann-thor@ouhsc.edu)

## Useful contacts

- **Biostatistics:**
  - Jennifer Shoemaker: [shoem003@mc.duke.edu](mailto:shoem003@mc.duke.edu)
  - Steve George: [sgeorge@ccstat.mc.duke.edu](mailto:sgeorge@ccstat.mc.duke.edu)
- **Central office/conference calls:**
  - Diane Haywood: [dhaywood@uchicago.edu](mailto:dhaywood@uchicago.edu)
  - Avis Rogers: [arodgers@uchicago.edu](mailto:arodgers@uchicago.edu)
- **Director, Protocol Coordinators:**
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- **Commercial negotiations:**
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- **Publications coordinator:**
  - Anne Battershell: [abatters@uchicago.edu](mailto:abatters@uchicago.edu)

## WG Chairs

- **Breast**
    - Matt Ellis: [ellis053@mc.duke.edu](mailto:ellis053@mc.duke.edu)
  - **GI**
    - Monica Bertagnolli: [mbertagnolli@partners.org](mailto:mbertagnolli@partners.org)
  - **GU**
    - Phil Kantoff: [philip\\_kantoff@dfci.harvard.edu](mailto:philip_kantoff@dfci.harvard.edu)
  - **Melanoma**
    - Stephen Hodi: [Stephen\\_Hodi@dfci.harvard.edu](mailto:Stephen_Hodi@dfci.harvard.edu)
  - **Respiratory**
    - Bob Kratzke: [kratz003@umn.edu](mailto:kratz003@umn.edu)
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