CDISC Italian User Network 2021

Virtual Event | 3 December 2021

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ADaM Traceability and Multiple Imputations

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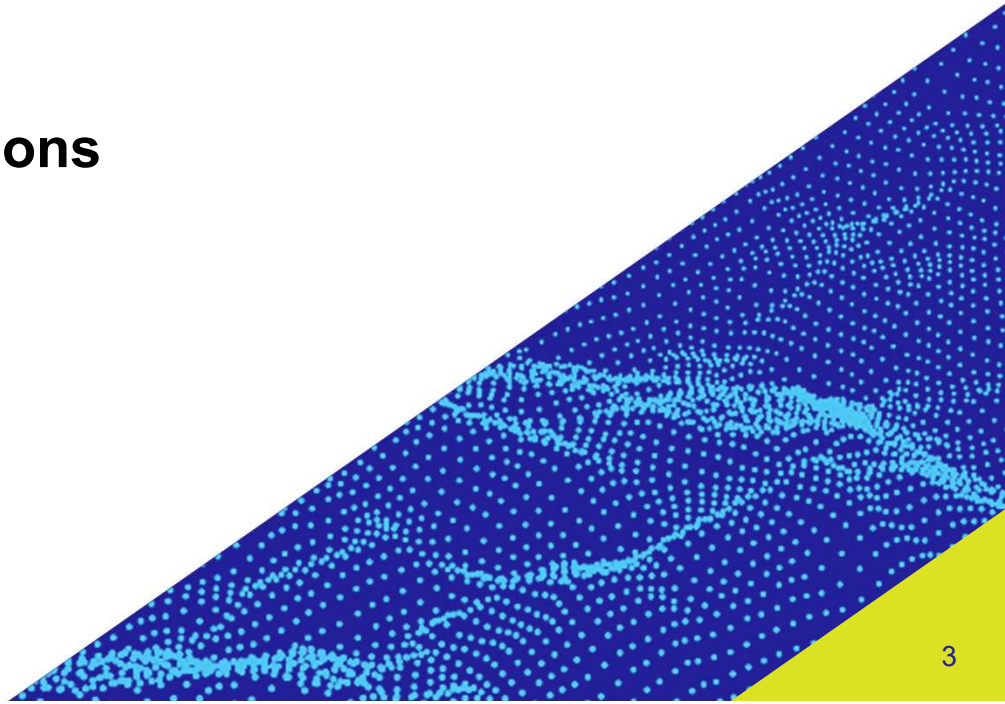
ITA CDISC UN – 3rd December 2021

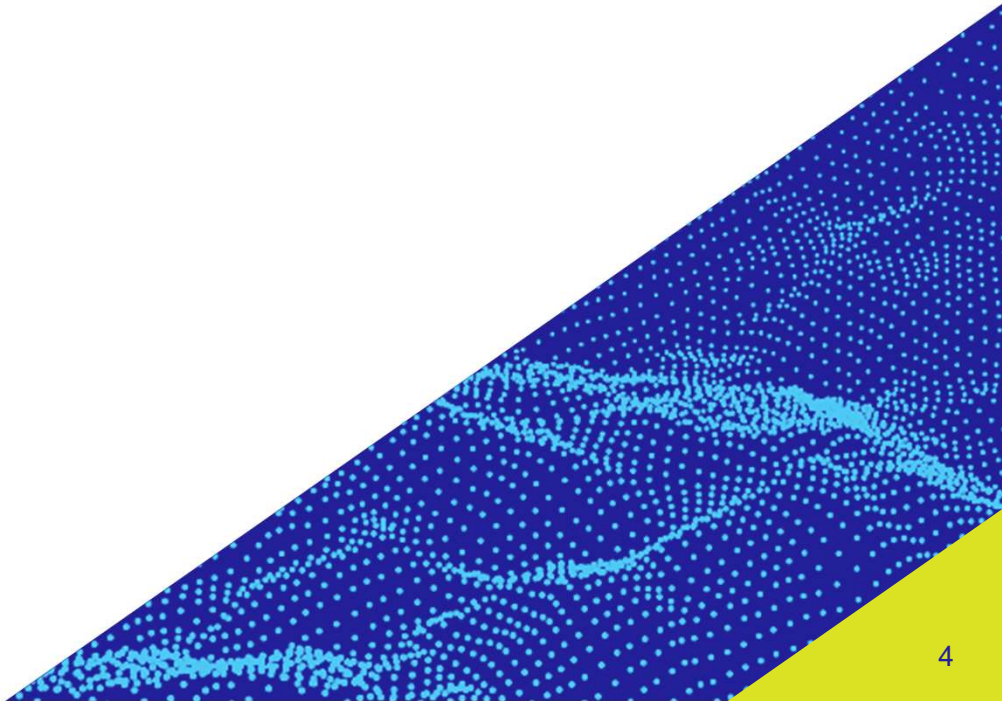
Agenda

- (re)Introducing Traceability
- ADaM Traceability in Multiple Imputations
- ADaM MI: an example



(re)Introducing Traceability

- **What is Traceability**
- **How to Achieve Traceability in ADaM**



What is Traceability

In CDISC Traceability is…

The property that enables the understanding of the data's lineage and/or the relationship between an element and its predecessor(s).

A fundamental element of data quality and a requirement for studies submitted to regulatory authorities.

From data collection to final analysis, traceability plays a crucial role in ensuring the integrity of source data and in reinforcing clinical research results.

What is Traceability

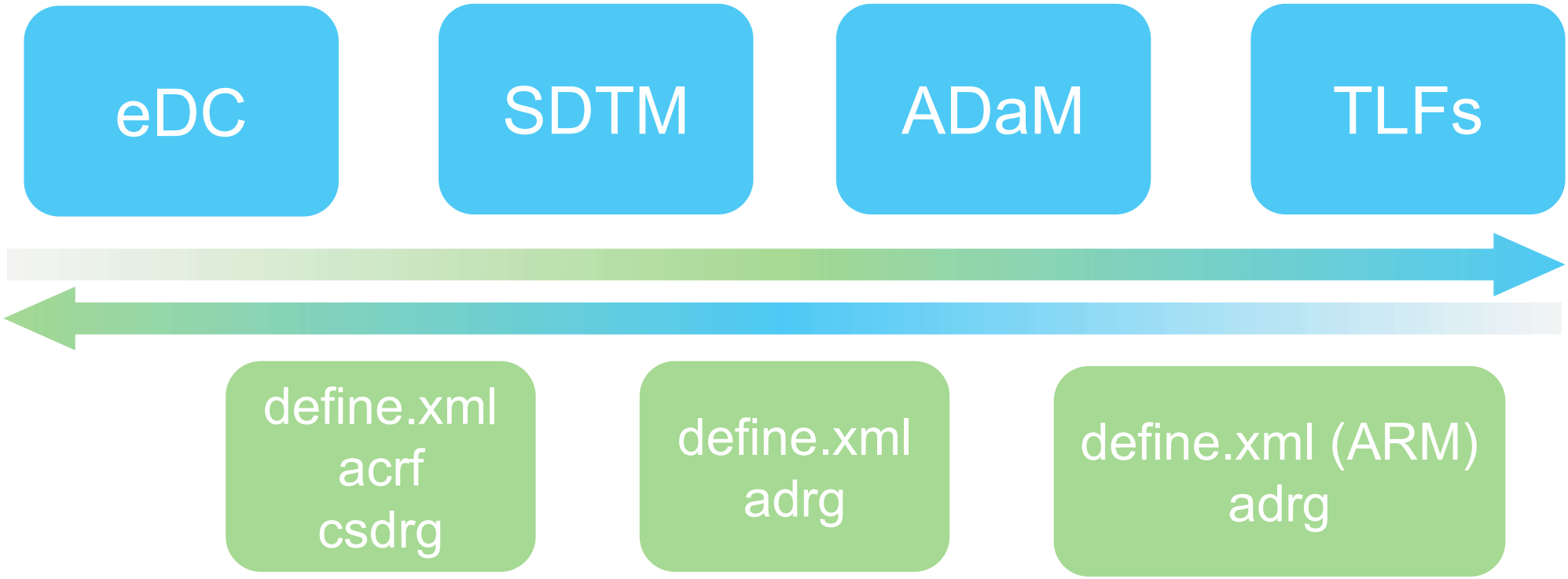
FDA opinion…

Establishing traceability is one of the most problematic issues associated with any data conversion.

If the reviewer is unable to trace study data from the data collection of subjects participating in a study to the analysis of the overall study data, then the regulatory review of a submission may be compromised.

What is Traceability

Traceability Diagram



What is Traceability

Why? What? How?

Why? to facilitate transparency and understanding,
to boost reliability and integrity

What? Both ADaM and SDTM with support from define.xml provide traceability for data they represent.

How? To have full traceability both SDTM and ADaM must have the appropriate documentation which establish the link between each element and its predecessor.

How to Achieve Traceability in ADaM

Metadata Traceability

- Implemented in define.xml
- Relationship of the analysis variable to other variables within SDTM or ADaM source datasets. **This traceability is established by describing (via metadata) the algorithm used or steps taken to derive or populate an analysis variable from its immediate predecessor.**
- Relationship between an analysis results and ADaM datasets.

How to Achieve Traceability in ADaM

Datapoint Traceability

- Implemented in ADaM datasets.
- Datapoint traceability can be reached in several ways pointing directly to the specific predecessor records. Typical examples are using SRCDOM, SRCVAR, SRCSEQ variables, or --SEQ from predecessor SDTM.

How to Achieve Traceability in ADaM

	Datapoint	Metadata supportive document
ADaM	• Copy/retain SDTM variables • Copy/retain SDTM records • --SEQ from SDTM • SRCDOM/SRCVAR/SRCSEQ • ADTF • ASEQ • DTYPE • ANLxxFL • Occurrence Flags in OCCDS • Intermediate ADaM Datasets	• define.xml • ADRG • SAP
Analysis Results	N/A	• define.xml (ARM extension) • ADRG • SAP

How to Achieve Traceability in ADaM

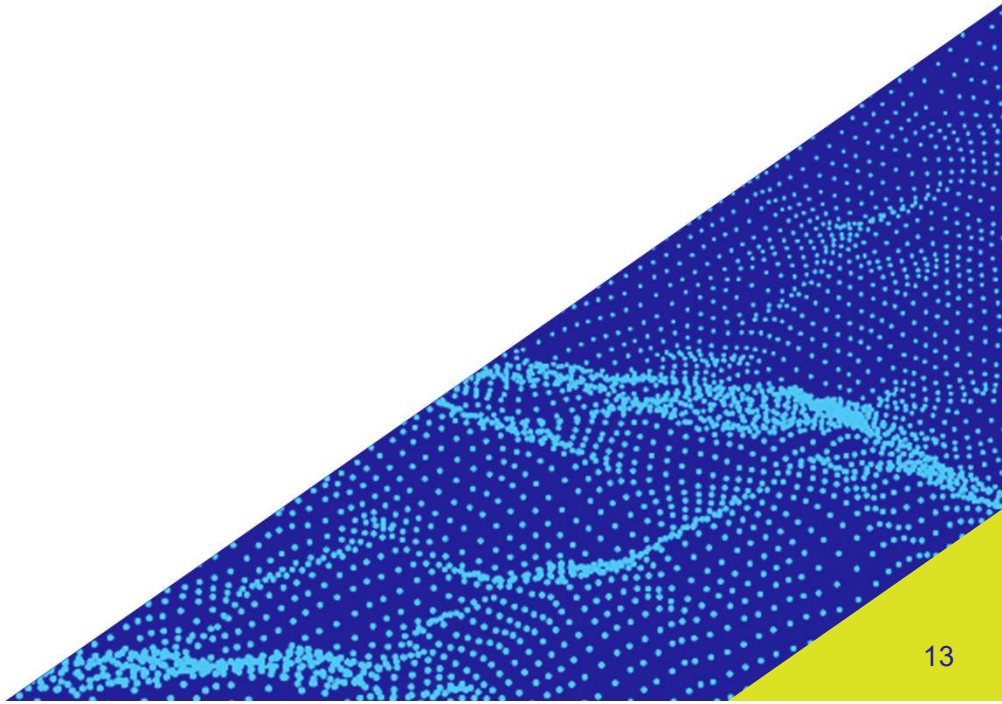
Data points and metadata can be followed from study report back to data capture to protocol.

Quality improves because:

- there is more clarity about the reliability and integrity of the data,
- Appropriate (and perhaps inappropriate) uses of the data are easier to be determined.

ADaM Traceability in MI

- **Multiple Imputations process**
- **Multiple Imputations in ADaMIG**
- **ADaM and MI process in depth**



Single and multiple imputations

Many types of imputation on missing data

Single value imputation methods: e.g. for continuous data are baseline observation carried forward, last observation carried forward, and worst observation carried forward, for dichotomous endpoints missing values treated as failure/success.

Multiple imputation (MI), increasing usage in the last years despite it is less easy to implement than the other imputation techniques.

Note: this presentation does not cover the selection of the appropriate multiple imputation method, which is based on Missing Data Pattern, Imputed Variable Type.

Multiple Imputations 3-steps process

Step 1: Imputation

Each missing value is imputed based on statistical modeling, and this process is repeated several times. The output of interest from PROC MI is a data set containing multiple repetitions of the original data set, along with the newly imputed values. The repetitions are indexed with a variable named _IMPUTATION_.

Step 2: Analysis

Analysis is done using any SAS statistical procedure the same way we analyze non-imputed data (e.g. FREQ, MEANS, MIXED procedures). However, we need to analyze each MI repetition separately. This is done by adding a BY statement with the _IMPUTATION_ variable.

Step 3: Pooling

Need to combine all the results obtained in step 2. PROC MIANALYZE combines the results from every MI repetition and provides valid statistical inferences. Regardless of the method used to analyze the data in step 2 considering the variability introduced in step 1.

Multiple Imputations in ADaMIG v1.3

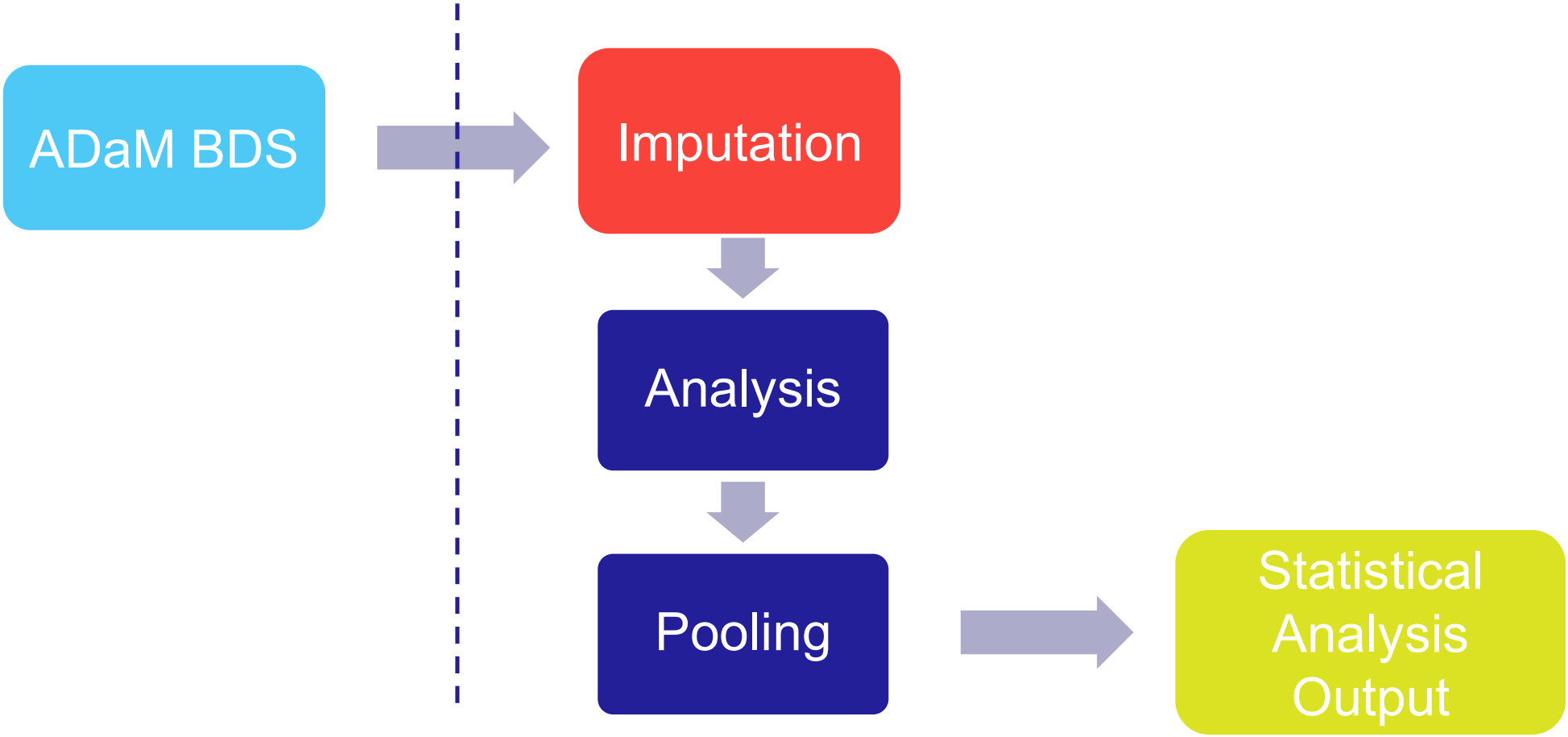
From 4.10.4 Traceability when the Multiple Imputation Method Is Used

"[…] However, documenting the traceability of estimates created via multiple imputation cannot be achieved with these current metadata methods.

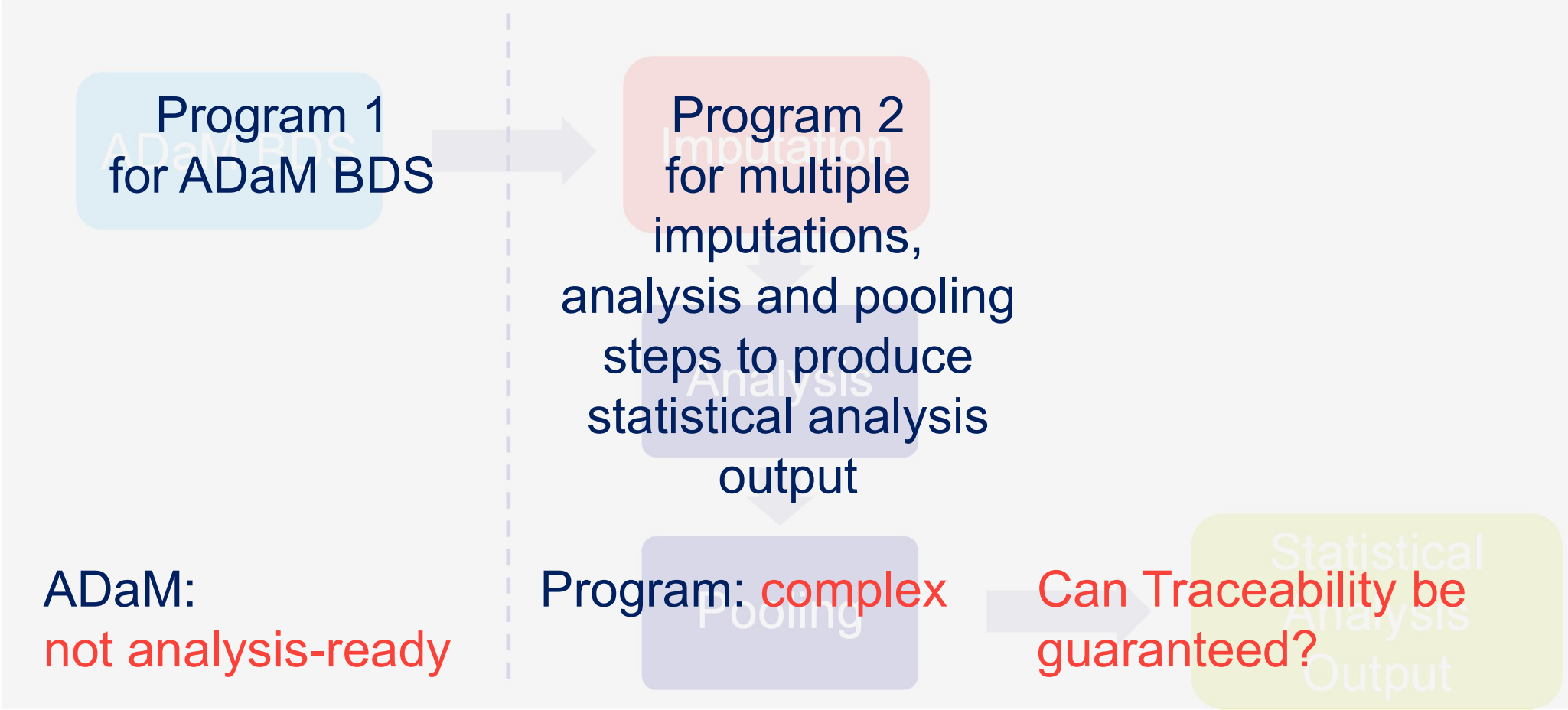
In addition, it would not be practical to include all datasets that are created from the PROC MI process as part of a submission.

To address traceability, the ADaM recommendation is to provide the program statements from the three procedures mentioned above as a part of the analysis results metadata."

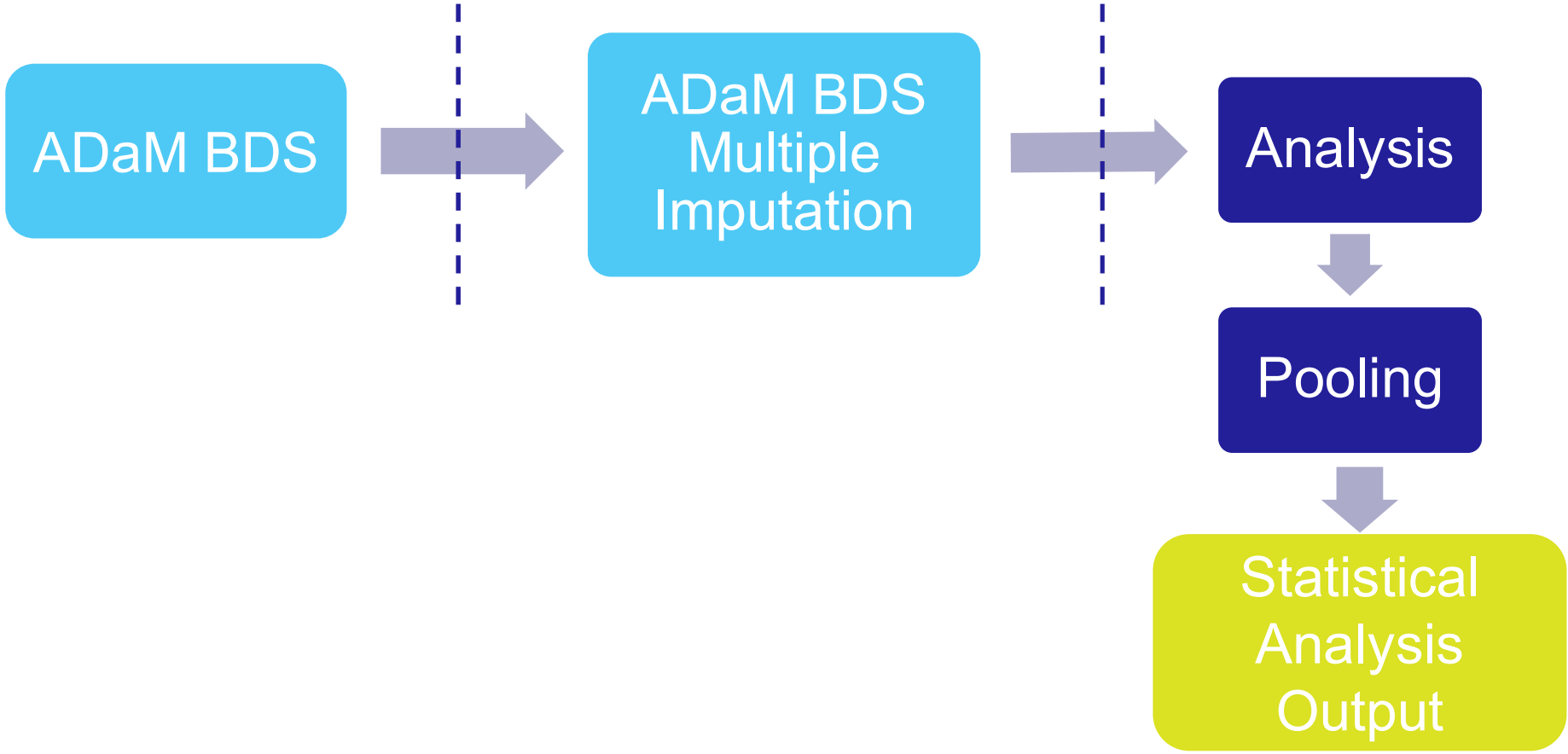
Multiple Imputations 3-steps process



Multiple Imputations 3-steps process



ADaM and Multiple Imputations



ADaM and Multiple Imputations

Program 1
for ADaM BDS

Program 2
for ADaM BDS with
Multiple Imputations

Program 3
for analysis and
pooling steps to
produce statistical
analysis output

Complexity decrease → Traceability can be guaranteed
ADaM from program 2 is analysis-ready for statistical analysis based on MI data.

ADaM MI: an example

- **Example: datapoint traceability**
- **Example: metadata traceability**
- **Conclusion**

ADaM MI example: datapoint traceability

In ADOE ophthalmic parameters are included, its records are only observed data collected in eDC.

Below a screenshot of Schirmer test parameter for one subject who has missing visits 5, 6 and 7.

ID	AVISIT	PARAMCD	AVAL	BASE	CHG	ABLFL
006	Visit 1 [redacted]	SCHIRMER	4			
006	Visit 2 [redacted]	SCHIRMER	4	4	0	Y
006	Visit 3 [redacted]	SCHIRMER	1	4	-3	
006	Visit 4 [redacted]	SCHIRMER	3	4	-1	
006	Visit 8 [redacted]	SCHIRMER	4	4	0	

ADaM MI example: datapoint traceability

Among Ophthalmic parameters, only for Schirmer test it is required to apply Multiple Imputations, with 2 methods.

```
proc transpose data=dsin out=dsint prefix=AVAL;
 by USUBJID PARAMCD;
 var AVAL;
 id AVISITN;
run;
```

	PARAMCD	AVAL2	AVAL3	AVAL4	AVAL5	AVAL6	AVAL7	AVAL8
006	SCHIRMER	4	1	3				4
008	SCHIRMER	4	15	3		2	21	20

ADaM MI example: datapoint traceability

As follow the code for MCMC Multiple Imputations method used:

```
proc mi data=dsint seed=123 out=dsmi minimum=0 maximum=15 round=0.1 nimpute=25;
  mcmc initial=em;
  var TRTPN AVAL2 AVAL3 AVAL4 AVAL5 AVAL6 AVAL7 AVAL8;
run;
```

	IMPUTATION	PARAMCD	AVAL2	AVAL3	AVAL4	AVAL5	AVAL6	AVAL7	AVAL8
006	1	SCHIRMER	4	1	3	2	4.3	3.6	4
006	2	SCHIRMER	4	1	3	3	1.4	6.7	4
006	3	SCHIRMER	4	1	3	9.7	2.2	2.3	4
006	4	SCHIRMER	4	1	3	10.1	7.2	9.9	4
006	23	SCHIRMER	4	1	3	8.4	9.1	6.1	4
006	24	SCHIRMER	4	1	3	4.8	9.2	3.8	4
006	25	SCHIRMER	4	1	3	1.4	7	4.3	4

ADaM MI example: datapoint traceability

Re-transpose to fit BDS structure. Highlighted data from PROC MI and info to ensure traceability in ADaM.

JID	IMPUT	AVISIT	PARAMCD	AVAL	BASE	CHG	DTYPE	SRCDOM	SRCVAR	SRCSEQ
006	1	Visit 3 [redacted]	SCHIRMER	1	4	-3		ADOE	ASEQ	138
006	1	Visit 4 [redacted]	SCHIRMER	3	4	-1		ADOE	ASEQ	139
006	1	Visit 5 [redacted]	SCHIRMER	2	4	-2	MCMC MI			
006	1	Visit 6 [redacted]	SCHIRMER	4.3	4	0.3	MCMC MI			
006	1	Visit 7 [redacted]	SCHIRMER	3.6	4	-0.4	MCMC MI			
006	1	Visit 8 [redacted]	SCHIRMER	4	4	0		ADOE	ASEQ	140
006	2	Visit 3 [redacted]	SCHIRMER	1	4	-3		ADOE	ASEQ	138
006	2	Visit 4 [redacted]	SCHIRMER	3	4	-1		ADOE	ASEQ	139
006	2	Visit 5 [redacted]	SCHIRMER	3	4	-1	MCMC MI			
006	2	Visit 6 [redacted]	SCHIRMER	1.4	4	-2.6	MCMC MI			
006	2	Visit 7 [redacted]	SCHIRMER	6.7	4	2.7	MCMC MI			
006	2	Visit 8 [redacted]	SCHIRMER	4	4	0		ADOE	ASEQ	140

ADaM MI example: metadata traceability

Screenshots from define.xml sections: Datasets, Variables, Methods.

Datasets

Dataset	Description	Class	Structure	Purpose	Keys	Documentation	Location
ADPRMI1	Schirmer Test MCMC MI Analysis Dataset	BASIC DATA STRUCTURE	One or more records per subject per eye per analysis parameter per analysis timepoint per imputation number	Analysis	STUDYID, USUBJID, FOCID, IMPUT, PARAM, PARAMCD, AVISITN	Include Schirmer Test data for primary analysis with MCMC Multiple Imputation. Input records for MI are Schirmer Test data for ITT subjects at scheduled visits.	adprmi1.xpt

ADaM MI example: metadata traceability

ADPRMI1 (Schirmer Test MCMC MI Analysis Dataset) - BASIC DATA STRUCTURE

Location: adprmi1.xpt

Variable	Label / Description	Type	Length or Display Format	Controlled Terms or ISO Format	Origin / Source / Method / Comment
IMPUT	Imputation Number	integer	2		Derived Equal to _IMPUTATION_ variable derived in PROC MI procedure from the setting NIMPUTE.
AVAL	Analysis Value	float	4		Derived Equal to ADOE.AVAL for all records from ADOE where PARAMCD=SCHIRMER with non-missing values. Derived with Markov Chain Monte Carlo (MCMC) Multiple Imputation method within USUBJID and FOCID for all visits for which the parameter was not collected until Visit 8 [redacted].

ADaM MI example: metadata traceability

ADPRMI1 (Schirmer Test MCMC MI Analysis Dataset) - BASIC DATA STRUCTURE

Location: adprmi1.xpt

Variable	Label / Description	Type	Length or Display Format	Controlled Terms or ISO Format	Origin / Source / Method / Comment
DTYPE	Derivation Type	text	7	Derivation Type • "LOCF" = "Last Observation Carried Forward" • "MCMC MI" = "MCMC MI" • "FCS MI" = "FCS MI"	Derived Equal to 'MCMC MI' for records imputed with MCMC Multiple Imputation method, otherwise null.

ADaM MI example: metadata traceability

Methods

Method	Type	Description
Schirmer Test MCMC MI	Imputation	Equal to ADOE.AVAL for all records from ADOE where PARAMCD=SCHIRMER with non-missing values. Derived with Markov Chain Monte Carlo (MCMC) Multiple Imputation method within USUBJID and FOCID for all visits for which the parameter was not collected until Visit 8 [redacted]

ADaM MI example: metadata traceability

ADRG section 3.5 Imputation/Derivation Methods

- For efficacy endpoints Markov Chain Monte Carlo (MCMC) multiple imputation, Fully Conditional Specification (FCS) multiple imputation and last observation carried forward (LOCF) methods were used. These are described in SAP [redacted]. Records imputed with one of the above listed method are identified respectively with DTYPE equal to MCMC MI, FCS MI, LOCF.

Analysis Datasets	DTYPE
ADPRMI1	MCMC MI

ADRG section 4.2 Data Dependencies

Datasets	Input ADaM Datasets
ADPRMI1	ADSL, ADEL, ADOE

ADaM MI example: metadata traceability

ADRG specific subsection of 5.2 Analysis Datasets

5.2.6 ADPRMI1 – Schirmer Test MCMC MI Analysis Dataset

This is a BDS analysis dataset with more records per subject per eye per analysis parameter per analysis timepoint per imputation number. PROC MI repetitions are indexed in a variable named _IMPUTATION_, this is kept in the final dataset and renamed to have a valid ADaM name not exceeding eight characters (IMPUT).

Starting from ADOE for Schirmer Test records Multiple Imputations based on MCMC method was done only for scheduled visits from AVISIT=Visit 3 [redacted] to AVISIT=Visit 8 [redacted]. Imputed records have DTYPE=MCMC MI. Baseline records have been used in the program, but in the final dataset baseline values have been kept only in BASE variable.

Conclusion

CDISC Traceability achieved

- PROC MI takes time to run, then having ADaM dataset saves time.
- Usage of DTYPE and IMPUT variables for imputed records ensures traceability in ADaM BDS.
- Usage of source variables for observed data ensures traceability in ADaM BDS.
- Use one ADaM for each endpoint/group of endpoints to reduce dataset size, e.g.: primary endpoint, secondary endpoints.

References

- CDISC ADaM guidelines, https://www.cdisc.org/standards/foundational/adam
- CDISC define.xml guidelines, https://www.cdisc.org/standards/data-exchange/define-xml
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- PharmaSUG 2017 - Paper SP01 “Multiple Imputation: A Statistical Programming Story”, C.Smith, Cytel Inc., S.Kosten, DataCeutics Inc.
- PharmaSUG 2019 - Paper ST-160 “Experiences in Building CDISC Compliant ADaM Dataset to Support Multiple Imputation Analysis for Clinical Trials”, X.B.Cui, Alkermes Inc.

Thank you.

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