

# Contents

<b>Preface to the First Edition</b>	<b>xi</b>
<b>Preface</b>	<b>xv</b>
<b>1 Introduction</b>	<b>1</b>
1.1 What Is Adaptive Design . . . . .	2
1.2 Regulatory Perspectives . . . . .	7
1.3 Target Patient Population . . . . .	9
1.4 Statistical Inference . . . . .	10
1.5 Practical Issues . . . . .	12
1.6 Aims and Scope of the Book . . . . .	21
<b>2 Protocol Amendment</b>	<b>23</b>
2.1 Introduction . . . . .	23
2.2 Moving Target Patient Population . . . . .	24
2.3 Analysis with Covariate Adjustment . . . . .	26
2.4 Assessment of Sensitivity Index . . . . .	32
2.5 Sample Size Adjustment . . . . .	37
2.6 Concluding Remarks . . . . .	38
<b>3 Adaptive Randomization</b>	<b>43</b>
3.1 Conventional Randomization . . . . .	44
3.2 Treatment-Adaptive Randomization . . . . .	48
3.3 Covariate-Adaptive Randomization . . . . .	51
3.4 Response-Adaptive Randomization . . . . .	54
3.5 Issues with Adaptive Randomization . . . . .	65
3.6 Summary . . . . .	68
<b>4 Adaptive Hypotheses</b>	<b>69</b>
4.1 Modifications of Hypotheses . . . . .	70
4.2 Switch from Superiority to Noninferiority . . . . .	71
4.3 Concluding Remarks . . . . .	81

<b>5</b>	<b>Adaptive Dose-Escalation Trials</b>	<b>83</b>
5.1	Introduction . . . . .	84
5.2	CRM in Phase I Oncology Study . . . . .	85
5.3	Hybrid Frequentist-Bayesian Adaptive Design . . . . .	87
5.4	Design Selection and Sample Size . . . . .	98
5.5	Concluding Remarks . . . . .	100
<b>6</b>	<b>Adaptive Group Sequential Design</b>	<b>103</b>
6.1	Sequential Methods . . . . .	104
6.2	General Approach for Group Sequential Design . . . . .	108
6.3	Early Stopping Boundaries . . . . .	110
6.4	Alpha Spending Function . . . . .	118
6.5	Group Sequential Design Based on Independent P-values . . . . .	119
6.6	Calculation of Stopping Boundaries . . . . .	121
6.7	Group Sequential Trial Monitoring . . . . .	125
6.8	Conditional Power . . . . .	128
6.9	Practical Issues . . . . .	131
<b>7</b>	<b>Statistical Tests for Seamless Adaptive Designs</b>	<b>133</b>
7.1	Why a Seamless Design Efficient . . . . .	133
7.2	Step-wise Test and Adaptive Procedures . . . . .	134
7.3	Contrast Test and Naive P-value . . . . .	135
7.4	Comparisons of Seamless Design . . . . .	137
7.5	Drop-the-Loser Adaptive Design . . . . .	139
7.6	Summary . . . . .	142
<b>8</b>	<b>Adaptive Sample Size Adjustment</b>	<b>143</b>
8.1	Sample Size Re-Estimation without Unblinding Data . . . . .	144
8.2	Cui-Hung-Wang's Method . . . . .	146
8.3	Proschan-Hunsberger's Method . . . . .	148
8.4	Müller-Schafer Method . . . . .	151
8.5	Bauer-Köhne Method . . . . .	152
8.6	Generalization of Independent P-value Approaches . . . . .	155
8.7	Inverse-Normal Method . . . . .	163
8.8	Concluding Remarks . . . . .	164
<b>9</b>	<b>Two-Stage Adaptive Design</b>	<b>167</b>
9.1	Introduction . . . . .	167
9.2	Practical Issues . . . . .	168
9.3	Types of Two-Stage Adaptive Designs . . . . .	171
9.4	Analysis for Seamless Design with Same Study Objectives/Endpoints . . . . .	173
9.5	Analysis for Seamless Design with Different Endpoints . . . . .	177
9.6	Analysis for Seamless Design with Different Objectives/Endpoints	183
9.7	Concluding Remarks . . . . .	188

<b>10 Adaptive Treatment Switching</b>	<b>189</b>
10.1 Latent Event Times . . . . .	190
10.2 Proportional Hazard Model with Latent Hazard Rate . . . . .	193
10.3 Mixed Exponential Model . . . . .	197
10.4 Concluding Remarks . . . . .	208
<b>11 Bayesian Approach</b>	<b>209</b>
11.1 Basic Concepts of Bayesian Approach . . . . .	210
11.2 Multiple-Stage Design for Single-Arm Trial . . . . .	215
11.3 Bayesian Optimal Adaptive Designs . . . . .	219
11.4 Concluding Remarks . . . . .	223
<b>12 Biomarker Adaptive Trials</b>	<b>225</b>
12.1 Introduction . . . . .	225
12.2 Types of Biomarkers and Validation . . . . .	227
12.3 Design with Classifier Biomarker . . . . .	232
12.4 Adaptive Design with Prognostic Biomarker . . . . .	237
12.5 Adaptive Design with Predictive Marker . . . . .	238
12.6 Concluding Remarks . . . . .	239
12.7 Appendix . . . . .	239
<b>13 Target Clinical Trials</b>	<b>243</b>
13.1 Introduction . . . . .	243
13.2 Potential Impact and Significance . . . . .	244
13.3 Evaluation of Treatment Effect . . . . .	245
13.4 Other Study Designs and Models . . . . .	252
13.5 Concluding Remarks . . . . .	256
<b>14 Sample Size and Power Estimation</b>	<b>259</b>
14.1 Framework and Model/Parameter Assumptions . . . . .	260
14.2 Method Based on the Sum of P-values . . . . .	262
14.3 Method Based on Product of P-values . . . . .	263
14.4 Method with Inverse-Normal P-values . . . . .	264
14.5 Sample Size Re-estimation . . . . .	266
14.6 Summary . . . . .	269
<b>15 Clinical Trial Simulation</b>	<b>271</b>
15.1 Introduction . . . . .	271
15.2 Software Application of ExpDesign Studio . . . . .	272
15.3 Early Phases Development . . . . .	281
15.4 Late Phases Development . . . . .	284
15.5 Concluding Remarks . . . . .	293

<b>16 Regulatory Perspectives - A Review of FDA Draft Guidance</b>	<b>297</b>
16.1 Introduction . . . . .	297
16.2 The FDA Draft Guidance . . . . .	298
16.3 Well-Understood Designs . . . . .	299
16.4 Less Well-Understood Designs . . . . .	303
16.5 Adaptive Design Implementation . . . . .	307
16.6 Concluding Remarks . . . . .	311
<b>17 Case Studies</b>	<b>313</b>
17.1 Basic Considerations . . . . .	314
17.2 Adaptive Group Sequential Design . . . . .	315
17.3 Adaptive Dose-Escalation Design . . . . .	318
17.4 Two-Stage Phase II/III Adaptive Design . . . . .	321
<b>Bibliography</b>	<b>329</b>
<b>Index</b>	<b>351</b>