POLICY STATEMENT

I. A patient requesting coverage for participation in an approved clinical trial must be eligible to participate in the clinical trial according to the trial protocol with respect to the treatment of cancer or other life-threatening disease or condition and:
   A. The patient’s referring provider must have concluded that the patient’s participation in the trial is appropriate to treat the member’s life-threatening disease or condition; or
   B. The patient provides medical and scientific information establishing that the individual’s participation in the trial would be appropriate to treat the individual’s life-threatening disease or condition.

II. An approved clinical trial means a phase I, phase II, phase III, or phase IV clinical trial that is conducted in relation to the prevention, detection, or treatment of cancer or other life-threatening disease or condition and:
   A. is approved or funded by:
      1. The National Institutes of Health,
      2. The Centers for Disease Control and Prevention,
      3. The Agency for Health Care Research and Quality,
      4. The Centers for Medicare & Medicaid Services,
      5. A cooperative group or center of any of the entities described in 1 through 4 above, the Department of Defense, or the Department of Veterans Affairs,
      6. A qualified non-governmental research entity identified in the guidelines issued by the National Institutes of Health for center support grants, or
      7. The Department of Veterans Affairs, the Department of Defense, or the Department of Energy if the study or investigation has been reviewed and approved through a system of peer review that the Secretary determines:
         a. to be comparable to the system of peer review of studies and investigations used by the National Institutes of Health, and
         b. assures unbiased review of the highest scientific standards by qualified individuals who have no interest in the outcome of the review, or
   B. is conducted under an investigational new drug (IND) application reviewed by the Food and Drug Administration, or
   C. is a drug trial that is exempt from having such an investigational new drug application.

III. A copy of the clinical trial protocol, including the Institutional Review Board (IRB) approval, must be provided to the Health Plan.
POLICY GUIDELINES

I. The routine costs of approved clinical trials that qualify for coverage are **eligible for coverage**. Routine costs include:
   A. Items and/or services that would be provided if there were no clinical trial (e.g., conventional care such as hospital services, room and board, physician services, office visits, laboratory and diagnostic tests);
   B. Items and/or services required to administer the item or service being investigated (e.g., administration of a chemotherapy drug being tested);
   C. Clinical monitoring of the effects of the item and/or service being investigated;
   D. The prevention of complications; and
   E. Other reasonable and necessary items and/or services arising from the trial (e.g., the diagnosis or treatment of complications).

II. Non-routine costs include, but are not limited to, the following and are **ineligible for coverage**:
   A. The item, and/or service being investigated;
   B. Items and/or services provided only to satisfy the collection and analysis of data for the trial, that are not used in the direct clinical management of the patient (e.g., monthly CT scans when only a single scan would be medically necessary, transportation to and from the study site);
   C. Any item and/or service inconsistent with the established standard of care for the patient’s diagnosis (e.g., the study of a new combination of drugs in order to determine the safety and efficacy of those drugs when used in combination);
   D. Items and/or services provided by the research sponsors free of charge; and
   E. Duplicative items and/or services.

III. For Medicare Advantage members, original Medicare (not Medicare Advantage) is primary for routine services rendered as part of a clinical trial. Refer to the CMS section of this policy, regarding routine costs of clinical trials and special rules regarding clinical trials for Medicare Advantage members.

IV. The Federal Employee Health Benefit Program (FEHBP/FEP) requires that procedures, devices or laboratory tests approved by the U.S. Food and Drug Administration (FDA) may not be considered investigational and thus these procedures, devices or laboratory tests may be assessed only on the basis of their medical necessity.

DESCRIPTION

Clinical trials are research studies, conducted with patients, designed to answer scientific questions and to achieve multiple ends. Clinical trials may or may not involve investigational treatments. Trials may:
I. Evaluate the safety and efficacy of new investigational treatments in comparison to standard or conventional treatments;
II. Compare differing doses of approved FDA drugs;
III. Compare different combinations of approved drugs;
IV. Compare two conventional treatments (e.g., TPA and streptokinase); or
V. Compare the timing of two standard interventions (e.g., surgery and radiation therapy).

Types of clinical trials include:
I. **Treatment trials** test experimental treatments, new combinations of drugs, or new approaches to surgery or radiation therapy.
II. **Prevention trials** look for better ways to prevent disease in people who have never had the disease or to prevent a disease from returning. These approaches may include medicines, vaccines, vitamins, minerals, or lifestyle changes.
III. **Diagnostic trials** are conducted to find better tests or procedures for diagnosing a particular disease or condition.
IV. **Screening trials** test the best way to detect certain diseases or health conditions.
V. **Quality of Life trials** (or Supportive Care trials) explore ways to improve comfort and the quality of life for individuals with a chronic illness.
As well as various types of clinical trials, there are several Phases of clinical trials:
I. In Phase I trials, researchers test an experimental drug or treatment in a small group of people (20-80) for the first time to evaluate its safety, determine a safe dosage range, and identify side effects.
II. In Phase II trials, the experimental study drug or treatment is given to a larger group of people (100-300) to see if it is effective and to further evaluate its safety.
III. In Phase III trials, the experimental study drug or treatment is given to large groups of people (1,000-3,000) to confirm its effectiveness, monitor side effects, compare it to commonly used treatments, and collect information that will allow the experimental drug or treatment to be used safely.
IV. In Phase IV trials, post marketing studies delineate additional information including the drug's risks, benefits, and optimal use.

All research studies are not of comparable quality. While many studies are well designed, using proper scientific methodology and avoiding bias, others are not. Data from poorly designed, poor quality studies are not meaningful and cannot be used to resolve scientific questions.

The provisions of the Affordable Care Act (ACA) require non-grandfathered Health Plans to provide coverage for the standard of care costs associated with participation in clinical trials for members of group or individual health insurance plans for plan years beginning on or after January 1, 2014. According to PPACA routine costs include all items and services that the Health Plan would cover for a patient not enrolled in a clinical trial. For purposes of clinical trials, the ACA defines life threatening as “any disease or condition from which the likelihood of death is probable unless the course of the disease or condition is interrupted”.

**CODES**

- Eligibility for reimbursement is based upon the benefits set forth in the member’s subscriber contract.
- CODES MAY NOT BE COVERED UNDER ALL CIRCUMSTANCES. PLEASE READ THE POLICY AND GUIDELINES STATEMENTS CAREFULLY.
- Codes may not be all inclusive as the AMA and CMS code updates may occur more frequently than policy updates.

### CPT Codes

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### HCPCS Codes

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<tr>
<td>S9988</td>
<td>Services provided as part of a Phase I clinical trial</td>
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<tr>
<td>S9990</td>
<td>Services provided as part of a Phase II clinical trial</td>
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<tr>
<td>S9991</td>
<td>Services provided as part of a Phase III clinical trial</td>
</tr>
<tr>
<td>S9992</td>
<td>Transportation costs to and from trial location and local transportation costs (e.g., fares for taxicab or bus) for clinical trial participant and one caregiver/companion</td>
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<tr>
<td>S9994</td>
<td>Lodging costs (e.g., hotel charges) for clinical trial participant and one caregiver/companion</td>
</tr>
<tr>
<td>S9996</td>
<td>Meals for clinical trial participant and one caregiver/companion</td>
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### Modifiers

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<tr>
<td>FB</td>
<td>Item provided without cost to provider, supplier or practitioner, or full credit received for replaced device (examples, but not limited to covered under warranty, replaced due to defect, free samples)</td>
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<td>Investigational clinical service provided in a clinical research study that is in an approved clinical research study</td>
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<tr>
<td>Q1</td>
<td>Routine clinical service provided in a clinical research study that is in an approved clinical research study</td>
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**ICD10 Codes**

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<td>Z00.6</td>
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**REFERENCES**


*Key Article

**KEY WORDS**

Clinical research, Clinical studies, Clinical trials.

**CMS COVERAGE FOR MEDICARE PRODUCT MEMBERS**

There is currently a National Coverage Determination (NCD) for Routine Costs in Clinical Trials. Please refer to the following website for Medicare Members: http://www.cms.gov/medicare-coverage-database/details/ncd-details.aspx?NCDId=1&nedver=2&CoverageSelection=Both&ArticleType=All&PolicyType=Final&s=New+York+-+Upstate&KeyWord=clinical+trial&KeyWordLookUp=Title&KeyWordSearchType=And&bc=gAAAABAAAAA&

There is a section in the Medicare Managed Care Manual that addresses Special Rules for the September 2000 NCD on Clinical Trials in the chapter addressing Payments to Medicare Advantage Organizations, section 40.4.3. Please refer to the following website for Medicare Advantage Members: http://www.cms.hhs.gov/manuals/downloads/mc86c08.pdf.

There is a local coverage article for clinical trials. Please refer to the following website for Medicare Members: https://www.cms.gov/medicare-coverage-database/details/article-details.aspx?articleId=52840&ver=2&ContrId=298&ContrVer=1&CoverageSelection=Both&ArticleType=All&PolicyType=Final&s=New+York+-+Entire+State&KeyWord=clinical+trials&KeyWordLookUp=Title&KeyWordSearchType=And&bc=gAAAABAAAAAAA%3d%3d&

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