Institutional Data and Safety Monitoring Plan

Policy and Procedures
Table of Contents

Introduction  page 3
    Clinical Protocol and Data Management
    Protocol Review and Monitoring System

Institutional Oversight of HCCC Clinical Trials – Required Reviews Prior to Protocol Activation  page 4
    Multidisciplinary Oncology Groups  page 4
    Trial Resource Evaluation Committee  page 4
    University of Iowa Institutional Review Board  page 4
        HSO/IRB Mandatory Certification of all Clinical Investigators  page 5
        Conflict of Interest in Research Policy  page 5
    Protocol Review and Monitoring Committee  page 5
        Structural Organization  page 6
        Protocol Submission and Review  page 6
        Ongoing Review by the PRMC  page 7
    Data and Safety Monitoring Committee  page 8
        Structural Organization  page 8
        Inclusion of a DSMC-Approved Data and Safety Monitoring Plan  page 9
        Required Elements of a Data and Safety Monitoring Plan  page 9

Data and Safety Monitoring at the HCCC  page 10
    Determination of the Level of Data and Safety Monitoring
    Adverse Event Reporting  page 14
    Documenting Routine Adverse Events  page 15
    Reporting Serious Adverse Events  page 16
    Additional Reporting Requirements  page 16

Data Monitoring and Management  page 16
    Subject Data  page 17
    Forms Monitoring  page 17
    Final Reports  page 17

Quality Assurance Audit Program  page 17

Clinical Protocol and Data Management Organizational Chart  page 19

Appendix: Template for Trial-Specific Data and Safety Monitoring Plan  page 20
Introduction

In accordance with the National Institutes of Health (NIH) policy on procedures for data and safety monitoring of clinical trials, the Holden Comprehensive Cancer Center (HCCC) has developed systems to ensure the safety of participants, the validity and integrity of research data, and compliance with the approved protocol. HCCC principal investigators are required to include a general description of a data and safety monitoring plan as part of each new interventional (treatment and non-treatment) research protocol that they develop and submit for review. Interventions clinical trials authored by outside agencies (e.g. industry, cooperative group and other consortia), but conducted at University of Iowa Hospitals and Clinics (UIHC) by HCCC physicians as participating investigators, must also include appropriate provisions for monitoring participant safety commensurate with the type and phase of trial and the potential for risk.

This document summarizes the elements of the review and approval of clinical research involving cancer patients at the University of Iowa, Holden Comprehensive Cancer Center.

Clinical Protocol and Data Management

Clinical Protocol and Data Management (CPDM) efforts are managed through Clinical Research Services (CRS) of the HCCC through two related components - The Clinical Trials Support Office (CTSO) and Data and Safety Monitoring (DSM). These components are critical shared resources that support clinical cancer research including treatment, non-treatment interventional and non-interventional studies conducted by members of the HCCC. They encompass clinical research, regulatory, and data and safety monitoring. This includes investigator initiated trials, NCI’s National Clinical Trials Network (NCTN) trials, consortium trials, and industry sponsored trials. Services provided by the CTSO related to protocol management include protocol development, protocol routing, protocol IRB renewal, modification and adverse event monitoring. The CTSO also provides trial specific support through staff members that assist in assignment of trials to teams, protocol listing and promotion, accrual tracking, assistance with screening and consenting subjects, data management, quality assurance, and education for early career clinical investigators. DSM is coordinated through a Data and Safety Monitoring Committee (DSMC).

Protocol Review and Monitoring System

The goal of the Protocol Review and Monitoring System (PRMS) at the HCCC is to ensure the highest scientific quality of clinical oncology research is conducted at the HCCC. A two-step review process is used. Trial concepts are first reviewed by the disease-specific Multidisciplinary Oncology Groups (MOGs) and the Trial Resource Evaluation Committee (TREC) to assure there is adequate resources and support for a concept before extensive effort is placed on development of a full protocol. Once the protocol is developed, it is reviewed by the Protocol Review and Monitoring Committee (PRMC) that approves, defers the protocol for further development, or disapproves the protocol and assigns a priority score. The PRMC also monitors accrual to ongoing clinical trials. The PRMC has the authority to close protocols that do not demonstrate scientific progress or that are no longer addressing a scientifically valid question.
Institutional Oversight of HCCC Clinical Trials – Required Reviews Prior to Protocol Activation

Multidisciplinary Oncology Groups (MOGs)
To ensure efficient use of HCCC resources for clinical trials, concepts/protocols must be initially approved and prioritized by the appropriate disease specific Multidisciplinary Oncology Group (MOG). MOG review is required to assure there is adequate support for a concept before extensive effort is placed on development of a full protocol. Final approval by the TREC and PRMC are contingent upon approval by the applicable MOG.

Trial Resource Evaluation Committee (TREC)
Prior to PRMC submission, protocols utilizing HCCC Clinical Research Services (CRS) must be reviewed and approved by the Trial Resource Evaluation Committee (TREC). The TREC is comprised of physicians with expertise in various cancer disease sites, pharmacy representatives, clinic and infusion suite leadership, and management from clinic research services. The committee assesses trial feasibility by reviewing all resources needed to conduct a proposed trial. It reviews logistical issues associated with required study activities and enrollment. In addition, TREC proactively scrutinizes eligibility criteria for each proposed trial and identifies both clinical and research logistical accrual challenges with the goal of remediating them pre-emptively to optimize accrual workflow.

University of Iowa Institutional Review Board (IRB)
The Human Subjects Office – Institutional Review Board (IRB) is the institutional body that reviews all studies that involve human subjects. The IRB is charged with the protection of human subjects participating in research, regardless of whether the research is subject to federal regulation and regardless of sponsorship. It is responsible for reviewing proposed research involving human subjects to ensure protection of those subjects and compliance with federal human subject regulations.
IRB membership consists of University of Iowa faculty and staff as well as lay and professional representatives from the Iowa City community. The IRB reviews research that:

- is sponsored by the institution, or
- is conducted by or under the direction of any employee or agent of the institution (including students) in connection with his or her institutional responsibilities, or
- is conducted by or under the direction of any employee or agent of the institution using any property or facility of this institution, or
- is conducted by any employee or agent of the institution (including students) who meets the criteria for “engaged in research” as defined in OHRP guidance of October 16, 2008 (http://www.hhs.gov/ohrp/policy/engage08.html), or
- involves the use of this institution’s non-public information to identify or contact human subjects.

Prior to full IRB review, additional institutional bodies must also review protocols (e.g. the Joint Office for Compliance, the Medical Radiation Protection, Pharmacy and Therapeutics (P&T), and Investigational Drug committees). Final approval of the study and release of the stamped informed consent document occurs only when the PI has satisfactorily addressed each committee’s critique, and the Protocol Review
and Monitoring Committee (PRMC) and other appropriate reviewing bodies have each given their respective approval.

The IRB does not review the scientific merit of cancer related protocols, but does review the safety and ethical issues associated with each protocol. This includes evaluating the informed consent document, the proposed process for recruiting subjects, and details of the data and safety monitoring procedures for protocols with potential risk to participants.

New cancer protocols are submitted to and reviewed by the IRB using an electronic application system (HawkIRB). Protocol submission to the IRB and PRMC may occur concurrently. However the project will not be scheduled for IRB review until the project is approved by PRMC. Upon submission of the application, an automatic email notification is sent to the administrative office (Protocol Development and Monitoring) for the DSMC and the PRMC located within the Clinical Research Services of HCCC. Protocol Development and Monitoring (PDM) staff also receives an automatic notification from HawkIRB when IRB approval, continuing reviews, modifications, reportable events, and study closures occur. All reviews and events in the life cycle of a study are recorded in the Cancer Center’s clinical trials management system, OnCore (Online Collaborative Research Environment, Forte Research Systems).

HSO/IRB Mandatory Certification of All Clinical Investigators

University of Iowa policy requires all investigators and their staff conducting research with human subjects to complete an education program and become “certified” in human subject protections through the Collaborative Institutional Training Initiative program (CITI). Some investigators with funding sources such as the NIH and NSF may also be required to complete additional training provided by the University of Iowa Responsible Conduct of Research (RCR) Plan. Final IRB approval for any clinical trial is contingent on all investigators listed on the protocol being certified. A comprehensive list of certified University of Iowa employees is maintained by the administrative office of the IRB, the Human Subjects Office (HSO), and is available on the HSO website.

Conflict of Interest in Research Policy

Federal regulations place responsibility for determining the existence of a financial conflict of interest (COI) in research on the institution rather than the investigator. All University of Iowa researchers must disclose financial interests in outside entities in the eCOI Disclosure System. The University of Iowa Conflict of Interest in Research Office reviews the disclosures in the context of all routing forms and IRB applications.

The COI in research policy applies to all individuals involved in research at the University, regardless of job title, who contribute in a substantive way to the development, execution, and reporting of research, and who are granted a significant degree of freedom in exercising independent judgment.

Protocol Review and Monitoring Committee (PRMC) Review

New research protocols involving cancer patients are reviewed by the Cancer Center’s Protocol Review and Monitoring Committee (PRMC). This committee is charged with the review of the scientific merit (hypothesis, objectives, design, sample size, biostatistics), prioritization with existing studies, and the adequacy of provisions for monitoring the safety of subjects via the data and safety monitoring plan.
Structural Organization

The PRMC is comprised of a:

- Chair (board eligible or certified medical, surgical, gynecological, radiation or pediatric oncologist)
- Co-chair (board eligible or certified medical, surgical, gynecological, radiation or pediatric oncologist)
- Representative from each of the clinical departments involved in cancer care as well as representatives from the basic sciences (scientific review)
- Biostatistician (review of design/data analysis plans)
- Clinical Pharmacy Specialist (P&T review)
- Patient Advocate
- DSMC Clinical Research Safety Officer (CRSO, non-voting)
- DSMC Clinical Trials Research Associate (non-voting)
- PDM Clinical Trials Research Associate (non-voting)
- Clinical Trials Research Manager (CTRM, non-voting)

Within the organization the committee chair reports to, and is advised by, the Associate Director for Clinical Research. The Committee’s operations are entirely separate and distinct from the IRB. The PRMC has the authority to terminate clinical trials based on poor accrual, recommendations from the DSMC, or a change in the relevance of the research.

Protocol Submission and Review

All clinical studies that involve cancer patients at the University of Iowa Health Care and,

- are HCCC investigator-initiated, or
- are non-HCCC investigator-initiated, or
- are NCTN, consortia, or industry-sponsored

must be submitted to the PRMC for review. All investigator-initiated trials must include a Data and Safety Monitoring Plan (DSMP) that will be reviewed by the DSMC Chair/designee prior to final PRMC approval. All investigator-initiated protocols must also be reviewed and signed off by a statistician prior to PRMC submission. Investigators are strongly encouraged to consult with the HCCC Biostatistics Core during protocol development.

The PRMC meets twice monthly to review new investigator-initiated and industry protocols. NCTN protocols are administratively reviewed by the committee Chair or Co-Chair throughout the month. Committee review results in a protocol being fully approved, conditionally approved (response required from the PI), tabled, deferred for further development, or disapproved.

Ongoing Review by the PRMC

IRB continuing reviews and modifications to active clinical trial protocols are monitored by HCCC PDM staff for the PRMC and the DSMC. All HawkIRB and UIWIRB approvals are automatically sent to OnCore and each event is reviewed by PDM staff. Changes to eligibility, study design, and objectives are noted...
and updates are made to trial documents, safety plans, public trial listings and database records. Significant changes to a study may result in an administrative review by the PRMC and/or DSMC chairs, or a full PRMC review.

The accrual rate for each active study is monitored by the PRMC to ensure adequate progress. Investigators on trials demonstrating consistently low accrual rates are queried by the committee Chair and are required to provide written justification for continuing the study.

The PRMC maintains standard operating procedures for the review and ongoing monitoring of clinical trials. The PRMC requires the PI to specify in the body of the protocol:

- expected toxicities for all study drugs,
- the appropriate stopping rules,
- criteria for suspension of accrual secondary to adverse events and safety parameters,
- guidelines for reporting routine and expedited adverse events, and
- level of risk, with description of DSMC approved data and safety monitoring procedures.

The PRMC has the authority to close any cancer protocol that is not performing to expected standards. The primary reasons an existing trial may be closed are:

- The study question has become obsolete by virtue of new scientific information.
- Accrual of subjects to the study is either complete or will not meet accrual goals in a reasonable time (as set forth in the SOP on accrual).
- Significant concerns regarding trial data and subject safety are raised by DSMC review and further assessment by the PRMC.

When a trial meets the criteria for stopping or suspension for any reason subject to further review:

- The PRMC Chair will communicate this to the IRB Chair and the Principal Investigator (and in the case of multi-site studies, participating PIs). This communication will indicate the mandatory cessation of further enrollment on the trial. A letter to the PI will be sent immediately detailing the reasons for the change in study status. This letter is to be signed by both the PRMC Chair and the Director of the HCCC.
- For NCI or industry-sponsored studies, the IRB Chair or designee is responsible for communication with the appropriate personnel in the office of the University of Iowa Vice President for Research, Division of Sponsored Programs, who will, at the earliest possible time, communicate this to the Project Officer at the NCI or other external funding agency. If the trial is re-opened, this information will be recorded and communicated in like manner.

Data and Safety Monitoring Committee (DSMC) Review

The Data and Safety Monitoring Committee (DSMC) has a separate and distinct function from the PRMC and IRB. Its primary tasks are to:

- review the eligibility of patients entering HCCC interventional, investigator-initiated trials for trial-specified eligibility,
- assess subject safety by reviewing adverse and serious adverse event (AE/SAE) reports and ensure timely and appropriate reporting to oversight agencies (e.g. NCI, FDA),
Holden Comprehensive Cancer Center
Data and Safety Monitoring Plan

- monitor clinical trials (via routine reviews by the study monitor) for data veracity and integrity, subject safety (AE/SAE records), and protocol compliance,
- review monitoring reports, incidents of unexpected toxicity, accrual to institutional trials, and make recommendations to the PRMC when suspending or terminating a study as deemed appropriate
- provide consultation and education to investigators regarding issues of subject safety and the development of acceptable data and safety monitoring plans

Structural Organization
The DSMC is composed of a:
- Chair (board eligible or certified in an oncological specialty)
- Co-chair (board eligible or certified in an oncological specialty)
- Biostatistician
- Basic research member of the HCCC
- Clinical research member of the HCCC
- Clinical Pharmacist
- Research nurses and study coordinators
- Ad hoc, protocol-specific Study Monitors
- Clinical Research Safety Officer (CRSO, non-voting)
- DSMC Clinical Research Associate (non-voting)
- Clinical Trials Research Manager (CTRM, non-voting)
- Assistant Director for Administration (non-voting)

All voting committee members are appointed to a 3-year term by the executive leadership of the HCCC (Director and Associate Directors). The chair of the committee serves an 18 month term, which may be extended upon request.

Committee members who are also investigators on trials being monitored by the DSMC will not be allowed to vote on decisions regarding their trial. They will be asked to leave any committee meeting when issues of protocol violations or trial suspension are being discussed and voted on. As an investigator, however, they may be viewed as a resource for information about their trial and may attend meetings when only general discussions (accrual, monitoring reports, etc.) are on the agenda.

Inclusion of a DSMC-Approved Data and Safety Monitoring Plan
All investigator-initiated protocols must include an appropriately detailed Data and Safety Monitoring Plan (DSMP). Risk level 1 and 2 investigator-initiated protocols are reviewed by DSMC administrative staff prior to PRMC approval. All risk level 3 and 4 investigator-initiated protocols must be reviewed and approved by the DSMC Chair or designee prior to final approval by the PRMC. The DSMC dictates what constitutes a satisfactory plan for each study. All interventional clinical trials, including physiologic, toxicity- and dose-finding studies (phase I); efficacy studies (phase II); efficacy, effectiveness and comparative trials (phase III), require monitoring for protocol compliance, data veracity and subject...
Holden Comprehensive Cancer Center  
Data and Safety Monitoring Plan

safety. The method and degree of monitoring needed is related to the degree of risk and should also be commensurate with size and complexity of the trial.

The DSMC utilizes a risk-based monitoring approach in its routine review of investigator initiated trials. Risk-based monitoring is the process of ensuring the quality of clinical trials by identifying, assessing, monitoring and mitigating the risks that could affect the quality or safety of a study. FDA guidance outlines three steps in a risk-based approach to monitoring:

1. **Identify critical data and processes.** To accurately monitor the quality of a study and the safety of its participants, the DSMC must know which elements are most important for each particular study – from informed consent to eligibility screening and tracking of adverse events.

2. **Perform a risk assessment.** A risk assessment involves determining specific sources of risk and the effect of study errors on those risks.

3. **Develop a monitoring plan.** A monitoring plan should describe the monitoring methods, responsibilities, and requirements of the trial. The plan should include information on the risks, monitoring procedures, and responsibilities of all personnel involved in monitoring the trial.

NCTN trials are monitored under group-wide DSMPs and are not required to have a separate institutional DSMP. In the case of industry-sponsored studies that do not have an internal or external monitoring board or functional equivalent, the DSMC will require a letter of assurance that safety monitoring procedures conform to all applicable local, federal and international regulations governing the protection of human subjects.

**Required Elements of a Data and Safety Monitoring Plan**

1. The Principal Investigator for institutional studies at the HCCC must include a trial-specific DSMP with each new protocol. The DSMP may be included in the body of the protocol or attached as an appendix. Changes to the DSMP as a result of subsequent protocol modifications should be noted either in the protocol as a change memo or as a revised DSMP document. The key items the plan must include are:

   - Assigned level of risk to subjects (as defined below),
   - Subject eligibility criteria (inclusion / exclusion, typically in a checklist format)
   - For interventional treatment and non-treatment trials:
     - A list of expected toxicities
     - Stopping rules for suspension of accrual secondary to AE/SAEs
     - The DSMP must identify key elements of the trial that are critical to data integrity, outcome measures, and subject safety
   - For non-interventional trials:
     - A list of potential subject risks (e.g. fatigue, emotional distress, breach of confidentiality)
     - Rules for subject withdrawal
   - For multi-centered interventional treatment trials, where HCCC is the lead organization, a detailed description of the procedures in place at each center that enable communication between participating centers such that the PI is aware of the status of participating subjects, including the immediate (<24hours – week day) awareness of grade 4 – 5 SAE / death.
• For multi-centered interventional treatment trials, in which HCCC is a participating site, contact information for the lead institution to arrange for receipt of data and safety monitoring reports and DSMB recommendations.

2. This plan must be approved by the DSMC, which will make the final determination of the type of data and safety monitoring process that will be required for the protocol according to the guidelines below. The approved plan will be part of the clinical trial material reviewed by the PRMC. If a DSMC-approved DSMP has been omitted from the submitted documents, it will be required before final PRMC approval can be granted.

3. The Principal Investigator is to ensure that all required data for monitoring is provided to the DSMC by way of the study monitor.

4. The Principal Investigator will provide an annual progress report to the DSMC and PRMC:
   • Describing the current status of the study, difficulties/successes, unexpected findings, an overview of AE/SAEs, an appraisal of the impact of relevant publications, and future plans for the study
   • If electronic case report forms (eCRFs) are utilized, available information will also be pulled from OnCore for review

Data and Safety Monitoring at the HCCC

Determination of the Level of Data and Safety Monitoring

Risk Level 1
Non-physical, non-interventional studies with a low risk of morbidity or death,* (<1% of death or any adverse event), e.g. observational, epidemiologic, laboratory use of left over samples from clinically indicated procedures, and

Physical, non-interventional studies with a low risk of morbidity or death,* (<1% of death or any adverse event), e.g. behavioral surveys and questionnaires, music therapy, coping strategy assessment, nutrition assessment, healing touch studies, imaging (not using sedation), EKGs and gait assessments.

Study Safety Review
The PI or designated study personnel will review all study data for completeness, enrollment, protocol deviations, drop-outs, adverse events and provide an annual report to the DSMC and PRMC.

Additional Reporting Requirements
- Subject accrual data will be obtained from OnCore on an ongoing basis by PDM staff during accrual review for the PRMC.
- Adverse events will be documented and reported to the DSMC as defined in the DSMP for the study.
- All Risk Level 1 studies are subject to routine DSMC monitoring activities which may include but are not limited to review of signed consent documents, eligibility and adverse event reporting
**Risk Level 2**
Interventional trials with a risk of death* (<1% or any adverse event 1% – 5%), e.g. behavioral interventions, nutritional therapies, low risk procedures (e.g., endoscopy, glucose-tolerance tests, induced sputum, skin or muscle biopsy, nasal wash, lumbar puncture, bone marrow biopsy, imaging requiring sedation), as well as therapeutic trials involving agents with known safety profiles already licensed for the indication and age group. Most disease-prevention trials will be considered at least a Risk Level 2.

**Study Safety Review**
The PI or designated study personnel will review all data, including completeness of study data, enrollment, protocol deviations, drop-outs, adverse events on a regular basis and provide an annual report to the DSMC and PRMC.

**Additional Reporting Requirements**
- Subject accrual data will be obtained from OnCore on an ongoing basis by PDM staff during accrual review for the PRMC.
- A member of the research team will register new subjects in OnCore.
  - Depending on the complexity of eligibility criteria, the research team may also be required to upload a scanned copy of the completed eligibility checklist, with screening information and PI signature, in OnCore for review by the study monitor.
- Adverse events will be documented and reported to the DSMC as defined in the DSMP for the study.
- Serious adverse events will be entered directly into an OnCore SAE report by the research team. OnCore will send an automatic notification to the DSMC Chair/acting Chair and/or staff for review.
- All Risk Level 2 studies are subject to routine DSMC monitoring activities which may include but are not limited to review of signed consent documents, eligibility and adverse event reporting

**Risk Level 3**
Interventional treatment and non-treatment trials with a risk of death* (1% – 5% or grade 4 – 5 SAE 1% – 5%), e.g. moderate risk procedures Phase I or II clinical trials with available safety data in humans, studies treating subjects with placebo for a recognized disease, and trials with risk of radiation exposure.

**Study Safety Review**
An independent study monitor and/or the DSMC Chair (or designee), will review study data (provided by the PI/available in OnCore) and communicate with the PI at least annually. A copy of this communication will be forwarded to the DSMC and PRMC Chairs. DSMC monitoring reports should also be submitted to the IRB at the time of Continuing Review.

**Additional Reporting Requirements**
- Subject accrual data will be obtained from OnCore on an ongoing basis by PDM staff during accrual review for the PRMC.
The research team will register new subjects in OnCore. A scanned copy of the completed eligibility checklist, with screening information and PI signature, will be attached in OnCore for ongoing review by the study monitor.

Adverse events will be documented and reported to the DSMC as defined in the DSMP for the study.

Serious adverse events will be entered directly into an OnCore SAE report by the research team. OnCore will send an automatic notification to DSMC Chair/acting Chair and/or staff for review.

The DSMC utilizes a risk-based monitoring approach. The trial's research records will be monitored at minimum once per year. Monitoring may be done more frequently depending on the protocol, risks to subjects, reported serious/adverse events, patient population and accrual rate. A minimum of 25% of subject records will be monitored for the entire study.

Monitoring will involve the following:

- review eligibility of patients accrued to the study,
- check for the presence of a signed informed consent,
- determine compliance with protocol’s study plan,
- determine whether SAEs are being appropriately reported to internal and external regulatory agencies,
- compare accuracy of data in the research record with the primary source documents,
- review investigational drug processing and documentation,
- assess cumulative AE/SAE reports for trends and compare to study stopping rules.

If the study is multi-institutional, and HCCC is the lead organization, a separate DSMB must be appointed by the DSMC Chair.

**Risk Level 4**

Interventional treatment trials involving investigational agents or devices with a risk of death*(>5% or grade 4 – 5 SAE >5%), e.g. all investigator initiated INDs, most Phase I/II trials, gene therapy, gene manipulation or viral vector systems high-risk clinical procedures if performed solely for research purposes. The use of a new chemical or drug for which there is limited or no available safety data in humans.

**Study Safety Review**

An independent study monitor and/or the DSMC Chair (or designee), will review study data (provided by the PI/available in OnCore) and communicate with the PI at least biannually. A copy of this communication will be forwarded to the DSMC and PRMC Chairs. DSMC monitoring reports should be submitted to the IRB at the time of Continuing Review.

**Additional Reporting Requirements:**

- Subject accrual data will be obtained from OnCore on an ongoing basis by the PDM staff during accrual review for the PRMC.
- The research team will register new subjects in OnCore. A scanned copy of the completed eligibility checklist, with screening information and PI signature, will be attached in OnCore for ongoing review by the study monitor.
- Adverse events will be documented and reported to the DSMC as defined in the DSMP for the study.
- Serious adverse events will be entered directly into an OnCore SAE report by the research team. OnCore will send an automatic notification to the DSMC Chair/acting Chair and/or staff for review.
- The DSMC utilizes a risk-based monitoring approach. The trial's research records will be monitored at minimum twice per year. Monitoring may be done more frequently depending on the protocol, risks to subjects, reported serious/adverse events, patient population and accrual rate. A minimum of 25% of subject records will be monitored for the entire study.

Monitoring will involve the following:

- review eligibility of patients accrued to the study,
- check for the presence of a signed informed consent,
- determine compliance with protocol’s study plan,
- determine whether SAEs are being appropriately reported to internal and external regulatory agencies,
- compare accuracy of data in the research record with the primary source documents,
- review investigational drug processing and documentation,
- assess cumulative AE/SAE reports for trends and compare to study stopping rules.

* “risk of death” refers specifically to 100-day treatment-related mortality

Compassionate Use or Expanded Access

Drugs being used on a compassionate or expanded access basis are available in the HCCC because an investigator has agreed to be the investigative sponsor.

The DSMC will monitor:

- eligibility
- serious adverse events
- ultimate outcome
- patients enrolled on these studies. The sponsoring investigator will be the responsible HCCC agent for a drug’s use.

Studies Requiring a Data and Safety Monitoring Board (DSMB)

Risk level 4, multi-center phase studies, when HCCC is the lead organization. All procedures described above for review, communications, and auditing for risk level 4 trials conducted at HCCC apply to these trials. In addition, the DSMP should include:

- Definition of a Data and Safety Monitoring Board that includes:
  - a chair trained in oncology,
  - a study monitor at each of the participating sites,
Holden Comprehensive Cancer Center
Data and Safety Monitoring Plan

- a biostatistician,
- 1 – 2 additional members whose training or expertise relates to the subject of the investigation and, therefore, enhances the quality of the monitoring. These individuals will serve as scientific advisors,
- a plan for reporting the research data for the DSMB to review

- Description of how the PI or DSMB at participating sites will report monitoring findings, patient accruals, AE/SAEs and other critical data to the HCCC DSMC.
- Description of a communication plan between HCCC investigators and PIs at participating sites.
- Multi-institutional Studies and NIH-supported Trials
  - All such studies originating within the HCCC will have a DSMB regardless of the level of risk
  - The HCCC DSMC will be responsible for establishing a DSMB as above
  - Cooperating institutions will appoint an independent study monitor (through their respective Cancer Center)
  - Study data will be monitored/audited as described above for the respective risk level involved by the study monitor
  - Monitoring and audit reports – as prescribed by the level of risk for the study – will be sent to the DSMB
  - The DSMB and cooperating institution study monitors will review the study at least quarterly by conference call
  - All DSMB reports will be copied to the DSMC and IRB of each site
  - The DSMC at the HCCC will be considered the parent committee of each HCCC-appointed DSMB and will provide overall supervision of their activities.

Adverse Event Reporting

Adverse Events
It is a requirement that each protocol have specified guidelines regarding the identification of, and procedures to be followed for, the investigation and reporting of adverse events [AE]. An AE is defined in the CTEP, NCI Guidelines [2005] as “any unfavorable and unintended sign (including an abnormal laboratory finding), symptom or disease temporally associated with the use of a medical treatment or procedure (attribution of unrelated, unlikely, possible, probably or definite).” These procedures must delineate when such reporting is to occur, to whom and who specifically is charged with ensuring appropriate reporting takes place. Each investigator is required to report adverse events in a timely manner to the DSMC via the assigned monitor as well as the appropriate regulatory authority. (“Reports to DSMC” means that the report is available for review by the DSMC monitor or entered into OnCore and communicated to the DSMC.)
The adverse event may also require reporting to the IRB. For IRB reporting requirements please refer to the University of Iowa Human Subjects Office (HSO) website.
The timing of these reports is defined below. Cumulative SAEs will be monitored by the DSMC for trends and compared to stopping rules for the specific study.

CTEP, NCI Guidelines: Adverse Event Reporting Requirements
The CTEP, NCI guidelines provide the underlying structure for adverse event reporting by investigators on HCCC institutional protocols. However, the guidelines are flexible and allow for exceptions to general reporting requirement, but these must be clearly stated as protocol-specific requirements in the protocol. Clinical investigators, and ultimately the Principal Investigator, have the primary responsibility for AE identification, documentation, grading, and assignment of attribution. Protocol specific AE/SAE reporting requirements should consider the following factors:

1. Phase of the trial
2. Criteria for unexpected vs. expected toxicities
3. Commercial agent used as standard of care or a commercial agent used under an IND
4. Investigational agent under a CTEP, NCI or other external agency’s IND
5. Routine reporting vs. expedited reporting

Commercial Agent
A commercial agent may also be used as an investigational agent (under an IND). Refer to the protocol document to determine if an agent is being used as an investigational or commercial agent for the protocol. In general, only Grade 4 and 5 events that are unexpected with at least “possible” attribution to the commercial agent require an expedited report. Refer to each protocol for specific AE reporting requirements or exceptions.

Documenting Routine Adverse Events (AEs)
For non-serious Adverse Events, documentation must begin from the first day of study treatment and typically continues through the 30 day follow-up period after treatment is discontinued. Some protocols may require different timelines for AE reporting.

Collected information should be recorded in the electronic/Case Report Forms (eCRF/CRF) for that subject. A description of the event, its severity or toxicity grade (according to NCI’s Common Toxicity Criteria (CTCAE)), onset and resolved dates (if applicable), and the relationship to the study drug should be included. Documentation should occur in real time. The Principal Investigator has final responsibility for determining the attribution of the event as it is related to the study drug.

Reporting Serious Adverse Events (SAEs)
For any experience or condition that meets the definition of a serious adverse event (SAE), recording of the event typically begins after signing of the informed consent and continues through the 30 day follow-up period after treatment is discontinued.

Investigators must report to the DSMC any serious adverse events (SAE), whether or not they are considered related to the investigational agent(s)/intervention (21 CFR 312.64). SAEs must be reported via an OnCore SAE Report within 24 hours of learning of the event.
An adverse event is considered serious if it results in ANY of the following outcomes:

1. Death
2. A life-threatening adverse event
3. An adverse event that results in inpatient hospitalization or prolongation of existing hospitalization for ≥ 24 hours
4. A persistent or significant incapacity or substantial disruption of the ability to conduct normal life functions
5. A congenital anomaly/birth defect.
6. Important Medical Events (IME) that may not result in death, be life threatening, or require hospitalization may be considered serious when, based upon medical judgment, they may jeopardize the patient or subject and may require medical or surgical intervention to prevent one of the outcomes listed in this definition. (FDA, 21 CFR 312.32; ICH E2A and ICH E6).

Additional Reporting Requirements

FDA Reporting Requirements
HCCC study personnel are responsible for informing the Principal Investigator of the SAE, and, if it is also unexpected, for forwarding all MedWatch 3500A forms to the FDA in accordance with 21 CFR 312.32 (for drugs under an IND) and 21 CFR 314.80 (for marketed drugs).

For multi-site trials, the PI is responsible for informing each Affiliate Principal Investigator of all serious and unexpected SAEs or AEs.

IRB Reporting Requirements
The PI is responsible for reporting to the IRB all serious adverse events that are possibly, probably or definitely related to the research, as well as other reportable events, in accordance with the reporting guidelines of the IRB (see reportable events).

Sponsor Reporting Requirements
The PI is responsible for meeting reporting requirements to applicable external sponsors.

Data Monitoring and Management
A key function of HCCC’s Protocol Review and Monitoring System (PRMS) is to maintain the OnCore database that is essential to the HCCC’s ability to comply with NCI reporting requirements. All studies that undergo PRMC review and/or utilize HCCC Clinical Research Services (CRS) resources are required to register subjects in OnCore. Subject registration includes the following:

• Consent date and the IRB approved consent used
• Date of eligibility and eligibility status (eligible, not eligible)
• On study date and subject’s disease site (and histology if applicable)
• On treatment date (if applicable)

Subject Data
In addition to the subject registration and subject status data entered in OnCore for all HCCC trials, research staff also enter the subject study data into electronic case report forms (eCRFs) for HCCC investigator initiated studies. eCRFs are approved by the PI and statistician prior to study activation to
ensure the most effective data acquisition. All information on eCRFs will be traceable to the source documents which are generally maintained in the subject’s file or in the subject’s Epic medical record. eCRF data are expected to be entered into OnCore within 30 calendar days after a subject’s study visit.

**Forms Monitoring**

OnCore eCRF data are monitored on a routine basis (dependent on accrual) to ensure all mandatory fields are entered completely, accurately and within time requirements. The assigned DSMC monitor manages the logistics associated with the data monitoring review. Once the clinical trial is identified for monitoring, the monitor arranges for a selection of cases to review from among the subjects registered in OnCore. As part of the forms monitoring process, the assigned monitor will issue queries within the eCRF to resolve missing, incomplete and/or incorrect information. A member of the research team is expected to respond to monitoring queries within 14 business days.

This process can often identify a misunderstanding or deficiency in protocol requirements early in the study and can improve data quality.

**Final Reports**

A summary of each subject’s data record is continually available to the PI, research staff, and DSMC from OnCore’s Biostat Console. The availability of this information is a valuable tool for the preparation of final reports and manuscripts as well as ongoing deficiency reports.

**Quality Assurance Audit Program**

HCCC’s Clinical Protocol and Data Management (CPDM) efforts are managed through Clinical Research Services (CRS) of HCCC through two related components - The Clinical Trials Support Office (CTSO) and Data and Safety Monitoring (DSM). These components are critical shared resources that support clinical cancer research including treatment, non-treatment interventional and non-interventional studies conducted by members of the HCCC. They encompass clinical research, regulatory, and data and safety monitoring and include investigator initiated trials, NCTN trials, consortium trials, and industry sponsored trials.

To help ensure quality assurance, all CRS managed trials are subject to quality assurance audits. CRS periodically selects and audits regulatory and/or subject documents to ensure HCCC monitoring standards are met. HCCC conducts these reviews for staff education, quality assurance and improvement, as well as for compliance with the Data and Safety Monitoring Plan and relevant CRS Standard Operating Procedures.

The goals of the quality assurance auditing process are:
- To ensure ongoing clinical protocol compliance with IRB guidelines, FDA regulations, GCP guidelines and HCCC policies and procedures
- To educate clinical research staff to promote greater awareness and understanding of policies, procedures, and objectives, and to increase efficiency and consistency across trials
- To identify system changes needed within the HCCC to ensure quality improvement
All HCCC protocols are eligible for audit; however, priority is given to the following:

- Protocols not subject to frequent external auditing and monitoring, such as HCCC investigator-initiated trials
- Protocols with new principal investigators and/or primary research coordinators

These internal audits are coordinated by the Assistant Director for Administration – Clinical Research Services and performed by a senior investigator not involved with the trial and DSMC staff not involved in the routine monitoring of selected studies. Audits are scheduled on a quarterly basis, with follow up or ad hoc auditing occurring as needed. Trials are subjects to audits after the first subject is accrued. The assigned auditor reviews records for a randomly selected percentage of the accrual.

A written report of all audit deviations will be completed by the assigned auditor and reviewed with the PI and primary research coordinator. Audit findings will be reviewed by Assistant Director for Administration and communicated to the DSMC. For any major deviations and/or multiple minor deviations, the DSMC will issue a letter to the PI and request a written corrective action plan. Follow-up audits may be requested for protocols with multiple major deviations. Failure of the PI to adequately address protocol deviations may result in protocol suspension or termination.
Appendix

Template for Trial-Specific Data and Safety Monitoring Plan

Note for protocol writers/submitters: A complete protocol and data and safety monitoring plan (DSMP) includes specific information. Please carefully review the below template and directions prior to submission to help ensure timely review of the protocol.

1. All investigator-initiated protocols must identify the following information on the cover page:
   - IRB#
   - Protocol Title
   - Principal Investigator
   - Co-Investigator(s)
   - Sub-Investigator(s)
   - Biostatistician(s)
   - Consultant(s)

2. All investigator-initiated protocols must include the following information within the protocol:
   - Subject inclusion criteria
   - Subject exclusion criteria
   - Stopping rules (subject and study)
   - Subject risks
   - Expected toxicities

3. The below DSMP template may be attached as an appendix to the protocol or incorporated into the body of the protocol. In either case, the same information must be included.

*Template directions in blue text should be deleted prior to protocol submission.

*Optional text in red should be edited or deleted prior to protocol submission.
Type of Clinical Trial:

- Investigator-initiated (UI/HCCC)
- Investigator-initiated, participating site
- Pilot study
- Phase I/II
- Phase I
- Phase II
- Phase III
- Compassionate-use/Expanded Access
- Interventional Treatment
- Interventional Non-Treatment
- Non-Interventional

Study risk-level:

- Level 1—low risk of morbidity or death, * <1% of death or any adverse event
- Level 2—risk of death* <1% or any adverse event 1% – 5%
- Level 3—risk of death* 1% – 5% or grade 4 – 5 SAE 1% – 5%
- Level 4—risk of death* >5% or grade 4 – 5 SAE >5%
- Drugs being used on a “compassionate” basis

*Risk of death” refers specifically to 100-day treatment-related mortality

Reporting and Monitoring Requirements:

All institutional investigator initiated trials (IITs), regardless of assigned risk level are subject to routine DSMC monitoring activities which may include but are not limited to review of signed consent documents, eligibility and adverse event reporting.

All institutional IITs have the following reporting requirements as part of their DSMP:

- Provide an annual progress report to the DSMC and PRMC
- Register subjects in HCCC’s Clinical Trial Management System, OnCore
- Document Adverse Events
- Document protocol deviations
Select monitoring strategy based on risk-level (delete others):

**Risk Level 1**
Non-physical, non-interventional studies with a low risk of morbidity or death,* (<1% of death or any adverse event), e.g. observational, epidemiologic, laboratory use of left over samples from clinically indicated procedures, and
Physical, non-interventional studies with a low risk of morbidity or death, * (<1% of death or any adverse event), e.g. behavioral surveys and questionnaires, music therapy, coping strategy assessment, nutrition assessment, healing touch studies, imaging (not using sedation), EKGs and gait assessments.

**Study Safety Review**
The PI or designated study personnel will review all study data for completeness

**Risk Level 2**
Interventional trials with a risk of death* (<1% or any adverse event 1% – 5%), e.g. behavioral interventions, nutritional therapies, low risk procedures (e.g., endoscopy, glucose-tolerance tests, induced sputum, skin or muscle biopsy, nasal wash, lumbar puncture, bone marrow biopsy, imaging requiring sedation), as well as therapeutic trials involving agents with known safety profiles already licensed for the indication and age group. Most disease-prevention trials will be considered at least a Risk Level 2.

**Study Safety Review**
The PI or designated study personnel will review all study data for completeness

**Additional Reporting Requirements**
- A scanned copy of the completed eligibility checklist, with screening information and PI signature, will be attached in OnCore for review by the study monitor (Note: this is required if the protocol includes an eligibility checklist OR if required by PRMC/DSMC/IRB)
- Serious adverse events will be entered directly into an OnCore SAE report by the research team. OnCore will send an automatic notification to the DSMC Chair/acting Chair and staff for review.

**Risk Level 3**
Interventional treatment and non-treatment trials with a risk of death* (1% – 5% or grade 4 – 5 SAE 1% – 5%), e.g. moderate risk procedures Phase I or II clinical trials with available safety data in humans, studies treating subjects with placebo for a recognized disease, and trials with risk of radiation exposure.

**Study Safety Review**
An independent study monitor and/or the DSMC Chair (or designee), will review study data (provided by the PI/available in OnCore) and communicate with the PI at least annually. A copy of this communication will be forwarded to the DSMC and PRMC Chairs.
Additional Reporting Requirements

- A scanned copy of the completed eligibility checklist, with screening information and PI signature, will be attached in OnCore for ongoing review by DSMC staff.
- Serious adverse events will be entered directly into an OnCore SAE report by the research team. OnCore will send an automatic notification to DSMC Chair/acting Chair and staff for review.
- The DSMC utilizes a risk-based monitoring approach. The trial’s research records will be monitored at minimum once per year. Monitoring may be done more frequently depending on the protocol, risks to subjects, reported serious/adverse events, patient population and accrual rate. A minimum of 25% of subject records will be monitored for the entire study.

Monitoring will involve the following:

- review eligibility of patients accrued to the study,
- check for the presence of a signed informed consent,
- determine compliance with protocol’s study plan,
- determine whether SAEs are being appropriately reported to internal and external regulatory agencies,
- compare accuracy of data in the research record with the primary source documents,
- review investigational drug processing and documentation,
- assess cumulative AE/SAE reports for trends and compare to study stopping rules.

Risk Level 4

Interventional treatment trials involving investigational agents or devices with a risk of death* (>5% or grade 4 – 5 SAE >5%), e.g. all investigator initiated INDS, most Phase I/II trials, gene therapy, gene manipulation or viral vector systems high-risk clinical procedures if performed solely for research purposes. The use of a new chemical or drug for which there is limited or no available safety data in humans.

Study Safety Review

An independent study monitor and/or the DSMC Chair (or designee), will review study data (provided by the PI/available in OnCore) and communicate with the PI at least biannually. A copy of this communication will be forwarded to the DSMC and PRMC Chairs.

Additional Reporting Requirements:

- A scanned copy of the completed eligibility checklist, with screening information and PI signature, will be attached in OnCore for ongoing review by DSMC staff.
- Serious adverse events will be entered directly into an OnCore SAE report by the research team. OnCore will send an automatic notification to the DSMC Chair/acting Chair and staff for review.
- The DSMC utilizes a risk-based monitoring approach. The trial’s research records will be monitored at minimum twice per year. Monitoring may be done more frequently depending on the protocol, risks to subjects, reported serious/adverse events, patient population and accrual rate. Records for a minimum of 25% of subjects will be monitored for the entire study.

Monitoring will involve the following:
Holden Comprehensive Cancer Center
Data and Safety Monitoring Plan

• review eligibility of patients accrued to the study,
• check for the presence of a signed informed consent,
• determine compliance with protocol’s study plan,
• determine whether SAEs are being appropriately reported to internal and external regulatory agencies,
• compare accuracy of data in the research record with the primary source documents,
• review investigational drug processing and documentation,
• assess cumulative AE/SAE reports for trends and compare to study stopping rules.

-If the study is multi-institutional, and HCCC is the lead organization, a separate DSMB must be appointed by the DSMC Chair.

Routine Adverse Event Reporting

For non-serious Adverse Events, documentation must begin from the first day of study treatment and typically continue through the 30 day follow-up period after treatment is discontinued [or the specified time point as defined in the protocol. Some protocols may require different timelines for AE reporting].

Collected information should be recorded in the electronic/Case Report Forms (eCRF/CRF) for that subject. A description of the event, its severity or toxicity grade (according to NCI’s Common Toxicity Criteria (CTCAE)), onset and resolved dates (if applicable), and the relationship to the study drug should be included. Documentation should occur in real time. The principal investigator has final responsibility for determining the attribution of the event as it is related to the study drug.

Serious Adverse Event Reporting

For any experience or condition that meets the definition of a serious adverse event (SAE), recording of the event must begin after signing of the informed consent and continue through the 30 day follow-up period after treatment is discontinued.

Investigators must report to the DSMC any serious adverse events (SAE), whether or not they are considered related to the investigational agent(s)/intervention (21 CFR 312.64). SAEs must be reported via an OnCore SAE Report within 24 hours of learning of the event.

An adverse event is considered serious if it results in ANY of the following outcomes:

1. Death
2. A life-threatening adverse event
3. An adverse event that results in inpatient hospitalization OR prolongation of existing hospitalization for ≥ 24 hours
4. A persistent or significant incapacity or substantial disruption of the ability to conduct normal life functions
5. A congenital anomaly/birth defect.
6. Important Medical Events (IME) that may not result in death, be life threatening, or require hospitalization may be considered serious when, based upon medical judgment, they may jeopardize the patient or subject and may require medical or surgical intervention to prevent one of the outcomes listed in this definition. (FDA, 21 CFR 312.32; ICH E2A and ICH E6).

FDA Reporting Requirements (for Sponsor-Investigators) [remove entire section if not applicable]

[The following reporting requirements should be included in the DSMP of investigator initiated trials for which the PI holds an Investigational New Drug Application (IND)]

It is the responsibility of the IND sponsor-investigator to comply with IND safety reporting as set forth in the Code of Federal Regulations, Section 312.32. This responsibility includes providing an annual IND report to the FDA.

All IND safety reports must be submitted on Form 3500A and be accompanied by Form 1571. The type of report (initial or follow-up) should be checked in the respective boxes on Forms 3500A and 1571. See Instructions for completing Form 3500A. Please note all instance of UIHC, location, and faculty/staff should be redacted from supporting documentation and the 3500A.

The submission must be identified as:

- “IND safety report” for 15-day reports, or
- “7-day IND safety report” for unexpected fatal or life-threatening suspected adverse reaction reports, or
- “Follow-up IND safety report” for follow-up information.

For detailed explanation of the above definitions, requirements, and procedures related to IND application safety reports and the responsibilities of IND applications sponsors with regard to such reporting, refer to Guidance for Industry and Investigators: Safety Reporting Requirements for INDs and BA/BE Studies (PDF - 227KB)

In addition to completing appropriate patient demographic and suspect medication information, the report should include the following information within the Event Description (section 5) of the MedWatch 3500A form:

- Treatment regimen (dosing frequency, combination therapy)
- Protocol description (and number, if assigned)
- Description of event, severity, treatment, and outcome, if known (grading the event per CTCAE)
- Supportive laboratory results and diagnostics
- Sponsor-Investigator’s assessment of the relationship of the adverse event to each investigational product and suspect medication
Data Monitoring and Management

All studies that undergo PRMC review and/or utilize HCCC Clinical Research Services (CRS) resources are required to register subjects in OnCore. Subject registration includes the following:

- Consent date and the IRB approved consent used
- Date of eligibility and eligibility status (eligible, not eligible)
- On study date and subject’s disease site (and histology if applicable)
- On treatment date (if applicable)

[The following sections typically apply to interventional trials – if the study will not utilize OnCore eCRFs these last two sections can be deleted]

Subject Data

In addition to the subject registration and subject status data entered in OnCore for all HCCC trials, research staff also enters the subject study data into electronic case report forms (eCRFs) for HCCC investigator initiated studies. eCRFs are approved by the PI and statistician prior to study activation to ensure the most effective data acquisition. All information on eCRFs will be traceable to the source documents which are generally maintained in the subject’s file. eCRF data are expected to be entered into OnCore within 30 calendar days after a subject’s study visit.

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This process can often identify a misunderstanding or deficiency in protocol requirements early in the study and can improve data quality.

Final Reports

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