DATA AND SAFETY MONITORING REVIEW REQUIREMENTS
FOR YALE INVESTIGATOR-INITIATED STUDIES

Per the DSMC Charter, Trials being monitored by the YCC DSMC will remain under the YCC DSMC purview until a DSMC review has occurred that includes the research activity of the last subject who completed the intervention, or until the DSMC feels there are no patient safety concerns that require further monitoring. The DSMC will determine the length of continued DSMC review on a study-by-study basis. Typically for studies without external monitoring, such as investigator-initiated trials, the protocol specific Data and Safety Monitoring Plan includes DSMC review every six months.

Submission Requirements

- Most recent renewal Form 5R submitted to the HIC
- Study Narrative

Study Narrative Criteria (to be written, signed, and dated by PI)

- Objectives of the study
- Design & treatment administration
- Safety data
  - PI should comment on adverse events observed to date i.e. noting expectedness and unexpectedness of observed toxicities
- Dose Limiting Toxicities (DLTs) for Phase 1 studies
  - Describe in detail protocol specific DLTs and if any DLTs have been observed to date
  - Definition: Describes side effects of a drug or other treatment that are serious enough to prevent an increase in dose or level of that treatment
- Efficacy results
  - Summarize subject response data as determined by protocol i.e. RECIST
- Study specific stopping rules:
  - Per DSMC Charter: For investigator-initiated trials led by Yale that have a two stage design with stopping rules, the Principal Investigator will submit a summary of progress to date outlining responses or other criteria used in the protocol to determine moving to the second stage of the trial. Prior to beginning accrual to the second stage, the DSMC will review the summary and data and approve continuing as planned.
    - Definition: in randomized controlled trials and other systematic experiments on human subjects, rules laid down in advance that specify conditions under which the experiment will be terminated, unequivocal demonstration that one regimen in a randomized controlled trial is clearly superior to the other, or that one is clearly harmful.
- Conclusion and plans
- eCRF completeness
- Verification of accuracy and completeness of OnCore- OnCore DSMC Console Export Report* should be used to verify that all information in OnCore is up-to-date for committee review

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DATA AND SAFETY MONITORING REVIEW REQUIREMENTS FOR EXTERNALLY MONITORED STUDIES

Effective April 2015, all new submissions to the PRC of studies that are externally monitored will not require annual DSMC review unless otherwise determined by the Protocol Review Committee (PRC) or DSMC. Externally monitored studies submitted to the PRC prior to April 2015 that were assigned a schedule of DSMC review will have a final DSMC review. Deviations and SAEs for all YCC trials will continue to be reviewed on a monthly basis.

The Principal Investigator or research team designee will update OnCore on an on-going and timely basis with all deviations and SAEs per the FDA definition (http://www.fda.gov/Safety/MedWatch/HowToReport/ucm053087.htm) from the time of each subject’s first intervention thru 30 days after the last intervention, unless the protocol dictates SAE reporting after consent or a longer follow-up period for SAE reporting.

The Principal Investigator in conjunction with the research team designee in each Translational Working Group (TWG) will review monitoring reports from external sponsors to ensure that all applicable deviations and SAEs identified are entered into OnCore in order to facilitate a complete monthly report of SAEs and deviations for the DSMC review.

Requirements for Industry-Sponsored Studies
- Study Narrative
- Most recent renewal Form 5R submitted to the HIC/continuing review from the IRB of record
- Most recent monitoring report

Requirements for NCTN/NCI CIRB Studies
- Study Narrative
- Most recent DSMB report and/or summary from Cooperative Group

Requirements for External Investigator-Initiated Studies
- Study Narrative
- Most recent renewal Form 5R submitted to the HIC
- Most recent DSMB report and/or summary (if applicable)

Study Narrative Criteria (to be written, signed, and dated by PI)
- Objectives of the study
- Design & treatment administration
- Safety data
  Summarize toxicity data of Yale subjects. If the sponsor has provided any updates on safety data of the study/recent publishing of data, please include this information.
- Efficacy results
  Summarize response data for Yale subjects. If the sponsor has provided any updates on efficacy data of the study/recent publishing of data, please include this information.
- Conclusion and plans
- Verification of accuracy and completeness of OnCore - OnCore DSMC Console Export Report* should be used to verify that all information in OnCore is up-to-date for committee review

*Instructions for Exporting Data from OnCore DSMC Console:
- Under Reviews tab, select DSMC Console
- Enter Protocol Number
- On Left column – Select Export
- Check all boxes EXCEPT Accrual History and Baseline Demographics
- Select View RTF and Print Generated Report
- Protocol Deviations are generated from the PC Console. Select PC Console>enter Protocol>Select Deviations Side Tab>Protocol Deviations. Select “View PDF” and download.