

UCSF Helen Diller Family Comprehensive Cancer Center (HDFCCC) DSMP Abbreviated Templates for Protocols



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Appendix N.1 (Single Site) Phase I Dose Escalation

Data and Safety Monitoring Plan for a Phase I Dose Escalation Institutional Trial

1. Oversight and Monitoring Plan

The UCSF Helen Diller Family Comprehensive Cancer Center (HDFCCC) Data and Safety Monitoring Committee (DSMC) is responsible for monitoring data quality and participant safety for all HDFCCC institutional clinical trials.

Please see the [UCSF HDFCCC website](#) for the current version of the UCSF HDFCCC data and safety monitoring plan (DSMP) for this study. The HDFCCC DSMP specifies the monitoring plan for each type of study according to phase of study, risk level, and number of patients and sites. The DSMP includes the approximate number of patients and cycles/treatment duration to be monitored or audited as well as frequency.

The UCSF HDFCCC NCI-approved DSMP undergoes periodic review and updates according to institutional requirements and evolving monitoring standards. The monitoring plan for specific types of studies may be modified over time without individual protocol amendments for non-substantive changes.

2. Monitoring and Reporting Guidelines

Investigators will conduct a continuous review of data and participant safety at weekly site committee meetings. The discussions are documented in the site committee meeting minutes.

All institutional therapeutic dose escalation Phase I trials are generally designated with a high-risk assessment; therefore, the source documents for all enrolled participants in each dosing cohort are monitored by a DSMC DSA prior to approval of the dosing cohort.

The DSA will send both a Monitoring Visit Report (MVR) and an Action Item Report (AIR) to the study team within 1 calendar month after the monitoring visit is complete for the study team to resolve all action items from the Action Item Report (AIR) report within 8 weeks. The due date for the completion of the action items may be extended for up to an additional 2 months for extenuating circumstances, if approved by the DSMC. The AIR report must be completed by the study team prior to the next monitoring review of this study. Additionally, the action items from the AIR Report must be deemed answered and complete by the DSA after the report has been submitted by the study team; hence, the completed AIR must be sent to the DSMC by 4 weeks prior to the deadline for the DSA's review and confirmation of these completed action items. If the study team is granted a second extension by the DSMC Director, then the DSA will have 4 weeks after the report has been provided to the DSMC to review and confirm the responses on the AIR.

3. Review and Oversight Requirements

3.1 Adverse Event Monitoring

All clinically significant adverse events (AEs), whether or not considered expected or unexpected, and whether or not considered associated with the investigational agent(s) or study procedure, will be entered into OnCore, UCSF's Clinical Trial Management System.

Adverse events are graded according to the Common Terminology Criteria for Adverse Events (CTCAE) as developed and revised by the Common Therapy Evaluation Program (CTEP) of the National Cancer Institute. Adverse events are further given an assignment of attribution or relationship to investigational agent(s) or study procedure. Attribution categories are:

- **Definite** – clearly related to the investigational agent(s) or study procedure.
- **Probable** – likely related to the investigational agent(s) or study procedure.
- **Possible** – may be related to the investigational agent(s) or study procedure.
- **Unrelated** – clearly not related to the investigational agent(s) or study procedure.

All clinically significant adverse events entered into OnCore will be reviewed on a weekly basis at the site committee meetings. The site committee will review and discuss the selected toxicity, the toxicity grade, and attribution assignment.

3.2 Serious Adverse Event Reporting

By definition, an adverse event is defined as a serious adverse event (SAE) according to the following criteria:

- Death,
- Life-threatening adverse experience*,
- Inpatient hospitalization or prolongation of existing hospitalization,
- Persistent or significant disability/incapacity,
- Congenital anomaly/birth defect, or cancer, or
- Any other experience that suggests a significant hazard, contraindication, side effect or precaution that may require medical or surgical intervention to prevent one of the outcomes listed above,
- Event that changes the risk/benefit ratio of the study.

* A life-threatening adverse experience is any AE that places the patient or subject, in the view of the investigator, at immediate risk of death from the reaction as it occurred, i.e., it does not include a reaction that, had it occurred in a more severe form, might have caused death.

Serious adverse event reporting will be in accordance with all IRB regulations. For trials conducted under an investigational new drug (IND) application, the SAE will be reported in accordance with Code of Federal Regulation Title 21 Part 312.32 and will be reported on a MedWatch form.

UCSF IRB website for guidance in reporting serious

adverse events: <https://irb.ucsf.edu/adverse-event>

MedWatch forms and information:

www.fda.gov/medwatch/getforms.htm

All serious adverse events are entered into OnCore. The SAEs are reviewed and monitored by the Data and Safety Monitoring Committee on an ongoing basis and discussed at the DSMC meetings, which take place every eight weeks. The date the SAE report was sent to all required reporting agencies will be documented in OnCore.

If a death occurs during the treatment phase of the study, or within 30 days after the last administration of the study drug(s) or research-related procedure, and is determined to be possibly, probably, or definitely related either to the investigational drug or any research related procedure, the Principal Investigator or his/her designee must notify the DSMC Chair (or Vice Chair) and DSMC Director within one business day.

3.3 Dose Escalations

At the time of dose escalation, the PI submits a written and signed Dose Escalation/Expansion Report to the DSMC Chair (or Vice Chair) and DSMC Director describing the cohorts, dose levels, adverse events, safety reports, and any Dose Limiting Toxicities (DLTs) observed, in accordance with the protocol. The report will be reviewed by the DSMC Chair or Vice Chair and written authorization to proceed or a request for more information will be issued within two business days of the request. The report is then reviewed at the subsequent DSMC Committee meeting. In the event that the committee does not concur with the DSMC Chair's (or Vice Chair's) decision, study accrual is held while further investigation takes place. Also, if there are AIRs that are past the due date for completions (i.e., post 8 week timeline or post 12-16 week timeline if extensions were granted), then the Dose Escalation/Expansion review will be postponed until these action items are all addressed by the study team.

3.4 Review of Adverse Event Rates

If an increase in the frequency of Grade 3 or 4 adverse events (above the rate reported in the Investigator Brochure or package insert) is noted in the study, the PI will notify the DSMC via report at the time the increased rate is identified. The report will indicate if the incidence of adverse events observed in the study is above the range stated in the Investigator Brochure or package insert.

If at any time the PI voluntarily holds enrollment in the trial due to safety issues, the DSMC Chair (or Vice Chair) and DSMC Director must be

notified within one business day via e-mail, and the IRB must be notified as per IRB reporting regulations.

Data and Safety Monitoring Committee Contacts:

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Appendix N.2 (Single Site) High-Risk Non-Dose Finding Phase I Trial

Data and Safety Monitoring Plan for a High-Risk Non-Dose Finding Phase I Institutional Trial (Single Site)

1. Oversight and Monitoring Plan

The UCSF Helen Diller Comprehensive Cancer Center (HDFCCC) Data and Safety Monitoring Committee (DSMC) is responsible for monitoring data quality and participant safety for all HDFCCC institutional clinical trials.

Please see the [UCSF HDFCCC website](#) for the current version of the UCSF HDFCCC data and safety monitoring plan (DSMP) for this study. The HDFCCC DSMP specifies the monitoring plan for each type of study according to phase of study, risk level, and number of patients and sites. The DSMP includes the approximate number of patients and cycles/treatment duration to be monitored or audited as well as frequency.

The UCSF HDFCCC NCI-approved DSMP undergoes periodic review and updates according to institutional requirements and evolving monitoring standards. The monitoring plan for specific types of studies may be modified over time without individual protocol amendments for non-substantive changes.

2. Monitoring and Reporting Guidelines

Investigators will conduct a continuous review of data and participant safety at weekly site committee meetings where the results of each participant's treatment are discussed and documented in the site committee minutes.

The DSA will send both a Monitoring Visit Report (MVR) and an Action Item Report (AIR) to the study team within 1 calendar month after the monitoring visit is complete for the study team to resolve all action items from the Action Item Report (AIR) report within 8 weeks. The due date for the completion of the action items may be extended for up to an additional 2 months for extenuating circumstances, if approved by the DSMC. The AIR report must be completed by the study team prior to the next review of this study. Additionally, the action items from the AIR Report must be deemed answered and complete by the DSA after the report has been submitted by the study team; hence, the completed AIR must be sent to the DSMC by 4 weeks prior to the deadline for the DSA's review and confirmation of these completed action items. If the study team is granted a second extension by the DSMC Director, then the DSA will have 4 weeks after the report has been provided to the DSMC to review and confirm the responses on the AIR.

Once monitoring of all enrolled participants in these trials has been completed, regulatory reviews, safety reviews (i.e., Serious Adverse Event (SAE) and Protocol Violation (PV) report reviews), and audit/inspection preparation (as applicable) will continue until study closure.

3. Review and Oversight Requirements

3.1 Adverse Event Monitoring

All clinically significant adverse events (AEs), whether or not considered expected or unexpected and whether or not considered associated with the investigational agent(s) or study procedure, will be entered into OnCore, UCSF's Clinical Trial Management System.

Adverse events are graded according to the Common Terminology Criteria for Adverse Events (CTCAE) as developed and revised by the Common Therapy Evaluation Program (CTEP) of the National Cancer Institute. Adverse events are further given an

assignment of attribution or relationship to investigational agent(s) or study procedure. Attribution categories are:

- **Definite** – clearly related to the investigational agent(s) or study procedure.
- **Probable** – likely related to the investigational agent(s) or study procedure.
- **Possible** – may be related to the investigational agent(s) or study procedure.
- **Unrelated** – clearly not related to the investigational agent(s) or study procedure.

All adverse events entered into OnCore® will be reviewed on a weekly basis at the site committee meetings. The site committee will review and discuss the selected toxicity, the toxicity grade, and attribution assignment.

3.2 Serious Adverse Event Reporting

By definition, an Adverse Event is defined as a serious adverse event (SAE) according to the following criteria:

- Death,
- Life-threatening adverse experience*,
- Inpatient hospitalization or prolongation of existing hospitalization,
- Persistent or significant disability/incapacity,
- Congenital anomaly/birth defect, or cancer, or
- Any other experience that suggests a significant hazard, contraindication, side effect or precaution that may require medical or surgical intervention to prevent one of the outcomes listed above,
- Event that changes the risk/benefit ratio of the study.

* A life-threatening adverse experience is any AE that places the patient or subject, in the view of the investigator, at immediate risk of death from the reaction as it occurred, i.e., it does not include a reaction that, had it occurred in a more severe form, might have caused death.

Serious adverse event reporting will be in accordance with all IRB regulations. For trials conducted under an investigational new drug (IND) application, the SAE will be reported in accordance with Code of Federal Regulation Title 21 Part 312.32 and will be reported on a Med Watch form.

UCSF IRB website for guidance in reporting serious adverse

events: <https://irb.ucsf.edu/adverse-event>

Med Watch forms and information:

www.fda.gov/medwatch/getforms.htm

All serious adverse events are entered into OnCore. The SAEs are reviewed and monitored by the Data and Safety Monitoring Committee on an ongoing basis and discussed at the DSMC meetings, which

take place every eight weeks. The date the SAE report was sent to all required reporting agencies will be documented in OnCore.

If a death occurs during the treatment phase of the study or within 30 days after the last administration of the study drug(s) and is determined to be possibly, probably, or

definitely related either to the investigational drug or any research related procedure, the Investigator or his/her designee must notify the DSMC Chair (or Vice Chair) and DSMC Director within one business day.

3.3 Review of Adverse Event Rates

If an increase in the frequency of Grade 3 or 4 adverse events (above the rate reported in the Investigator Brochure or package insert) is noted in the study, the Principal Investigator will notify the DSMC via report at the time the increased rate is identified. The report will indicate if the incident of adverse events observed in the study is above the range stated in the Investigator Brochure or package insert.

If at any time the Investigator stops enrollment or stops the study due to safety issues, the DSMC Chair (or Vice Chair) and the DSMC Director must be notified within one business day via e-mail and the IRB must be notified as per their reporting regulations.

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Appendix N.3 (Single Site) Phase II, III, or IV Institutional Trial

Data and Safety Monitoring Plan for a Phase II, III, and IV Institutional Trial

1. Oversight and Monitoring Plan

The UCSF Helen Diller Family Comprehensive Cancer Center (HDFCCC) Data and Safety Monitoring Committee (DSMC) is responsible for auditing data quality and participant safety for all HDFCCC institutional clinical trials.

Please see the [UCSF HDFCCC website](#) for the current version of the UCSF HDFCCC data and safety monitoring plan (DSMP) for this study. The HDFCCC DSMP specifies the monitoring plan for each type of study according to phase of study, risk level, and number of patients and sites. The DSMP includes the approximate number of patients and cycles/treatment duration to be monitored or audited as well as frequency.

The UCSF HDFCCC NCI-approved DSMP undergoes periodic review and updates according to institutional requirements and evolving monitoring standards. The monitoring plan for specific types of studies may be modified over time without individual protocol amendments for non-substantive changes.

2. Monitoring and Reporting Guidelines

Investigators will conduct a continuous review of data and participant safety at monthly site committee meetings where the results of each participant's treatment are discussed and documented in the site committee minutes.

The DSA will send both a Monitoring Visit Report (MVR) and an Action Item Report (AIR) to the study team within 1 calendar month after the monitoring visit is complete for the study team to resolve all action items from the Action Item Report (AIR) report within 8 weeks. The due date for the completion of the action items may be extended for up to an additional 2 months for extenuating circumstances, if approved by the DSMC. The AIR report must be completed by the study team prior to the next monitoring review of this study. Additionally, the action items from the AIR Report must be deemed answered and complete by the DSA after the report has been submitted by the study team; hence, the completed AIR must be sent to the DSMC by 4 weeks prior to the deadline for the DSA's review and confirmation of these completed action items. If the study team is granted a second extension by the DSMC Director, then the DSA will have 4 weeks after the report has been provided to the DSMC to review and confirm the responses on the AIR.

3. Review and Oversight Requirements

3.1 Adverse Event Monitoring

All adverse events (AEs), whether or not considered to be expected or unexpected and whether or not considered to be associated with the use of the investigational agent(s) or study procedure, will be entered into OnCore®, UCSF's Clinical Trial Management System.

Adverse events are graded according to the Common Terminology Criteria for Adverse Events (CTCAE) as developed and revised by the Common Therapy Evaluation Program (CTEP) of the National Cancer Institute. Adverse events are further given an assignment of attribution or relationship to investigational agent or study procedure.

Attribution categories are:

- **Definite** – clearly related to the investigational agent(s) or study procedure.
- **Probable** – likely related to the investigational agent(s) or study procedure.
- **Possible** – may be related to the investigational agent(s) or study procedure.
- **Unrelated** – clearly not related to the investigational agent(s) or study procedure.

All adverse events entered into OnCore will be reviewed on a monthly basis at the Site Committee meetings. The Site Committee will review and discuss the selected toxicity, the toxicity grade, and attribution assignment.

3.2 Serious Adverse Event Reporting

By definition, an adverse event is defined as a serious adverse event (SAE) according to the following criteria:

- Death,
- Life-threatening adverse experience*,
- Inpatient hospitalization or prolongation of existing hospitalization,
- Persistent or significant disability/incapacity,
- Congenital anomaly/birth defect, or cancer, or
- Any other experience that suggests a significant hazard, contraindication, side effect or precaution that may require medical or surgical intervention to prevent one of the outcomes listed above,
- Event that changes the risk/benefit ratio of the study.

* A life-threatening adverse experience is any AE that places the patient or subject, in the view of the investigator, at immediate risk of death from the reaction as it occurred, i.e., it does not include a reaction that, had it occurred in a more severe form, might have caused death.

Serious adverse event reporting will be in accordance with all IRB regulations. For trials conducted under an investigational new drug (IND) application, the SAE will be reported in accordance with Code of Federal Regulation Title 21 Part 312.32 and will be reported on a Med Watch form.

UCSF IRB website for guidance in reporting serious adverse

events: <https://irb.ucsf.edu/adverse-event>

Med Watch forms and information:

www.fda.gov/medwatch/getforms.htm

All serious adverse events are entered into OnCore. The SAEs are reviewed and monitored by the Data and Safety Monitoring Committee on an ongoing basis and discussed at DSMC meetings, which take place every six weeks. The date the SAE is sent to all required reporting agencies will be documented in OnCore.

If the SAE involves a subject death, and is determined to be possibly, probably or definitely related to the investigational drug or any research related procedure, the event must be reported to the DSMC Chair (or Vice Chair) and DSMC Director within one business day.

3.3 Review of Adverse Event Rates

If an increase in the frequency of Grade 3 or 4 adverse events (above the rate reported in the Investigator Brochure or package insert) is noted in the study, the Principal Investigator will notify the DSMC via report at the time the increased rate is identified. The report will indicate if the incidence of adverse events observed in the study is above the range stated in the Investigator Brochure or package insert.

If at any time the Investigator voluntarily holds enrollment or stops the study due to safety issues, the DSMC Chair (or Vice Chair) and the DSMC Director must be notified within one business day and the IRB must be notified as per IRB reporting regulations.

Data and Safety Monitoring Committee Contacts:

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Appendix N.4 (Single Site) Phase II, III, or IV Device Trial

Data and Safety Monitoring Plan for a Multicenter Study Phase II, III, or IV Device Trial

1. Oversight and Monitoring Plan

The UCSF Helen Diller Family Comprehensive Cancer Center (HDFCCC) Data and Safety Monitoring Committee (DSMC) is responsible for auditing data quality and participant safety for all HDFCCC institutional clinical trials.

Please see the [UCSF HDFCCC website](#) for the current version of the UCSF HDFCCC data and safety monitoring plan (DSMP) for this study. The HDFCCC DSMP specifies the monitoring plan for each type of study according to phase of study, risk level, and number of patients and sites. The DSMP includes the approximate number of patients and cycles/treatment duration to be monitored or audited as well as frequency.

The UCSF HDFCCC NCI-approved DSMP undergoes periodic review and updates according to institutional requirements and evolving monitoring standards. The monitoring plan for specific types of studies may be modified over time without individual protocol amendments for non-substantive changes.

2. Monitoring and Reporting Guidelines

The Principal Investigator at the UCSF Coordinating Center will hold the role of Study Chair. The Study Chair is responsible for the overall conduct of the trial and for auditing its safety and progress at all participating sites. The Study Chair will conduct continuous review of data and participant safety at monthly UCSF Site Committee meetings. The discussions are documented in the UCSF Site Committee meeting minutes.

The UCSF HDFCCC Data and Safety Monitoring Committee (DSMC) is responsible for participant safety for all domestic sites for HDFCCC Multicenter and Consortium institutional clinical trials. All institutional Phase II, III, or IV therapeutic trials are generally designated with a moderate risk assessment.

The DSA will send both a Monitoring Visit Report (MVR) and an Action Item Report (AIR) to the study team within 1 calendar month after the monitoring visit is complete to be completed within 8 weeks. The due date for the completion of the action items may be extended for up to an additional 2 months for extenuating circumstances, if approved by the DSMC. The AIR report must be completed by the study team prior to the next review of this study.

3 Review and Oversight Requirements

3.1 Adverse Event Monitoring

All adverse events (AEs), regardless of being unexpected or considered to be associated with the use of the study device will be entered into OnCore, UCSF's Clinical Trial Management System. Adverse events are graded according to the Common Terminology Criteria for Adverse Events (CTCAE) as developed and revised by the Common Therapy Evaluation Program (CTEP) of the National Cancer Institute. Adverse events are further given an assignment of attribution or relationship to the investigational agent(s) or study procedure. Attribution categories are:

- Definite – clearly related to the investigational device.
- Probable – likely related to the investigational device

- Possible – may be related to the investigational device
- Unrelated – clearly not related to the investigational device

All adverse events entered into OnCore will be reviewed on a monthly basis at the UCSF Site Committee meetings. All adverse events entered into OnCore® will be reviewed on a monthly basis at the UCSF Coordinating Center Site Committee meetings. All adverse events must be reported to the UCSF Coordinating Center by the participating sites within 10 business days of becoming aware of the event or during the next scheduled monthly conference call, whichever is sooner. The UCSF Site Committee will review and discuss the selected toxicity, the toxicity grade, and attribution assignment from the UCSF Coordinating Center and the participating sites.

3.2 Serious Adverse Event and/or UADE/MDR Reporting

By definition, an adverse event is defined as a serious adverse event (SAE) according to the following criteria:

- Death,
- Life-threatening adverse experience*,
- Inpatient hospitalization or prolongation of existing hospitalization,
- Persistent or significant disability/incapacity,
- Congenital anomaly/birth defect, or cancer, or
- Any other experience that suggests a significant hazard, contraindication, side effect or precaution that may require medical or surgical intervention to prevent one of the outcomes listed above,
- Event that changes the risk/benefit ratio of the study.

* A life-threatening adverse experience is any AE that places the patient or subject, in the view of the investigator, at immediate risk of death from the reaction as it occurred, i.e., it does not include a reaction that, had it occurred in a more severe form, might have caused death.

Serious adverse event reporting will be in accordance with all IRB regulations. For trials conducted under an investigational new drug (IND) application, the SAE will be reported in accordance with Code of Federal Regulation Title 21 Part 312.32 and will be reported on a Med Watch form.

UCSF IRB website for guidance in reporting serious adverse events: <https://irb.ucsf.edu/adverse-event>
Med Watch forms and information: www.fda.gov/medwatch/getforms.htm

The Sponsor (or Sponsor-Investigator) must report any Unanticipated Adverse Device Effect (UADE) to the FDA, the Device Manufacturer (Boston Scientific), and the IRB within 10 working days after the Sponsor-Investigator first receives notice of the adverse effect.

A UADE is defined by 21 CFR 812 as “any serious adverse effect on health or safety, any life-threatening problem or death caused by, or associated with a device, if that effect, problem, or death was not previously identified in nature, severity, or degree of incidence in the application; or any other unanticipated serious problem associated with a device that relates to the rights, safety, or welfare of subjects.”

UADEs must be reported to the UCSF IRB by following the instructions on this website: <https://irb.ucsf.edu/adverse-event>

UADEs must be reported to the FDA and Boston Scientific on a MedWatch form (Form FDA 3500). Boston Scientific may be emailed at: icardioga.complaints@bsci.com

The Sponsor-Investigator must report any Medical Device Report (MDR) to the FDA, the Device Manufacturer, and the IRB within 10 working days after the Sponsor-Investigator first receives notice of the event.

An MDR is an event that user facilities become aware of that reasonably suggests that a device has or may have caused or contributed to a death or serious injury.

Caused or contributed means that a death or serious injury was or may have been attributed to a medical device, or that a medical device was or may have been a factor in a death or serious injury, including events occurring as a result of:

- (1) Failure,
- (2) Malfunction,
- (3) Improper or inadequate design,
- (4) Manufacture,
- (5) Labeling, or
- (6) User error.

MDRs must be reported to the UCSF IRB by following the instructions on this website:
<https://irb.ucsf.edu/adverse-event>

MDRs must be reported to the FDA and Boston Scientific on a MedWatch form (Form FDA 3500). Boston Scientific may be emailed at: icardioqa.complaints@bsci.com. All serious adverse events and/or UADE/MDRs are entered into OnCore. All SAE/UADEs/MDRs, whether expected or unexpected, must be reported to the UCSF Coordinating Center within one business days of becoming aware of the event. The SAE/UADEs/MDRs are reviewed and audited by the UCSF Data and Safety Monitoring Committee on an ongoing basis and discussed at DSMC meetings, which take place every eight weeks. The date the SAE/UADE/MDR report was sent to all required reporting agencies will be documented in OnCore.

If a death occurs during the treatment phase of the study or within 30 days after the last administration of the study device and is determined to be possibly, probably, or definitely related either to the investigational device or any research related procedure, the Study Chair at the UCSF Coordinating Center or the assigned designee must be notified within 1 business day from the participating site(s) and the Study Chair must then notify the DSMC Chair or Vice Chair and the DSMC Director within 1 business day of this notification.

3.3 Review of Adverse Event Rates

If an increase in the frequency of Grade 3 or 4 adverse events from the device (above the rate reported in the Investigator Brochure or package insert) is noted in the study, the PI is responsible for notifying the DSMC Chair (or Vice Chair) and the DSMC Director at the time the increased rate is identified via a report. The report will indicate if the incidence of adverse events observed in the study is above the range stated in the Investigator Brochure or package insert.

If at any time the Study Chair stops enrollment or stops the study due to safety issues, the DSMC Chair (or Vice Chair) and the DSMC Director must be notified within one business day and the IRB must be notified within their reporting guidelines.

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Appendix N.5 (Single Site) Phase II Trial or Pilot Study with Safety Lead-In Phase

Data and Safety Monitoring Plan: Institutional (Single Site) Phase II Trial or Pilot Study with Safety Lead-In Phase

1. Oversight and Monitoring Plan

The UCSF Helen Diller Family Comprehensive Cancer Center (HDFCCC) Data and Safety Monitoring Committee (DSMC) is responsible for auditing data quality and participant safety for all HDFCCC institutional clinical trials.

Please see the [UCSF HDFCCC website](#) for the current version of the UCSF HDFCCC data and safety monitoring plan (DSMP) for this study. The HDFCCC DSMP specifies the monitoring plan for each type of study according to phase of study, risk level, and number of patients and sites. The DSMP includes the approximate number of patients and cycles/treatment duration to be monitored or audited as well as frequency.

The UCSF HDFCCC NCI-approved DSMP undergoes periodic review and updates according to institutional requirements and evolving monitoring standards. The monitoring plan for specific types of studies may be modified over time without individual protocol amendments for non-substantive changes.

2. Monitoring and Reporting Guidelines

Investigators will conduct a continuous review of data and participant safety at monthly site committee meetings where the results of each participant's treatment are discussed and documented in the site committee minutes.

After the completion of enrollment in the safety lead-in phase, the Principal Investigator will submit a report to the DSMC Chair (or Vice Chair) outlining all AEs, SAEs, and DLTs (as defined in the protocol) with a request to proceed onto the next phase of the study. For the Safety Lead-in Cohorts, the HDFCCC PI and study team representative must notify the DSMC once the final participant in the cohort is enrolled in the trial and will be required to complete the [DSMC Study Safety Lead-In Report](#) and [DSMC Dose Escalation/Expansion and Safety Lead-In Request Checklist](#). The DSMC Director will review and provide approval on a case by case basis for Dose Escalation review that requires a more

expedited review timeline (i.e., less than 4 weeks' notice). The study team representative must complete the report and checklist and send it to the DSMC DSA to review prior to PI's sign off. The DSMC DSA will then review the report for completeness and accuracy, and will submit the completed DSMC Study Safety Lead-In Report, signed and dated by the PI, to the DSMC Chair (or Vice Chair) and Director requesting approval from the DSMC prior to further enrollment in the trial as per protocol. The DSMC Chair (or Vice Chair) will grant approval of this request within 2 business days from receipt from the DSMC DSA if there aren't any significant safety issues (i.e., SAEs, protocol violations, etc.) in the participant cohort that was audited.

Within two business days of receipt, the DSMC Chair or designee will review the report and issue written authorization to proceed or a request for more information. The report is then reviewed at the subsequent DSMC meeting.

After DSMC authorization to enroll beyond the safety lead-in phase is granted, study data is audited annually, with a random selection of participants reviewed. The DSA will send both a Monitoring Visit Report (MVR) and an Action Item Report (AIR) to the study team within 1 calendar month after the monitoring visit is complete for the study team to resolve all action items from the Action Item Report (AIR) report within 8 weeks. The due date for the completion of the action items may be extended up to an additional 2 months for extenuating circumstances if approved by the DSMC. The AIR report must be completed by the study team prior to the next monitoring review of this study. Additionally, the action items from the AIR Report must be deemed answered and complete by the DSA after the report has been submitted by the study team; hence, the completed AIR must be sent to the DSMC by 4 weeks prior to the deadline for the DSA's review and confirmation of these completed action items. If the study team is granted a second extension by the DSMC Director, then the DSA will have 4 weeks after the report has been provided to the DSMC to review and confirm the responses on the AIR.

3. Review and Oversight Requirements

3.1 Adverse Event Monitoring

All adverse events (AEs), whether or not considered to be expected or unexpected and whether or not considered to be associated with the investigational agent(s) or study procedure, will be entered into OnCore, UCSF's Clinical Trial Management System.

Adverse events are graded according to the Common Terminology Criteria for Adverse Events (CTCAE) as developed and revised by the Common Therapy Evaluation Program (CTEP) of the National Cancer Institute. Adverse events are further given an assignment of attribution or relationship to the investigational agent(s) or study procedure. Attribution categories are:

- **Definite** – clearly related to the investigational agent(s) or study procedure.
- **Probable** – likely related to the investigational agent(s) or study procedure.
- **Possible** – may be related to the investigational agent(s) or study procedure.
- **Unrelated** – clearly not related to the investigational agent(s) or study procedure.

All adverse events entered into OnCore will be reviewed on a monthly basis at the UCSF Coordinating Center's Site Committee. The Site Committee will review and discuss the selected toxicity, the toxicity grade, and the attribution assignment.

3.2 Serious Adverse Event Reporting

By definition, an adverse event is defined as a serious adverse event (SAE) according to the following criteria:

- Death,
- Life-threatening adverse experience*,
- Inpatient hospitalization or prolongation of existing hospitalization,
- Persistent or significant disability/incapacity,
- Congenital anomaly/birth defect, or cancer, or
- Any other experience that suggests a significant hazard, contraindication, side effect or precaution that may require medical or surgical intervention to prevent one of the outcomes listed above,
- Event that changes the risk/benefit ratio of the study.

* A life-threatening adverse experience is any AE that places the patient or subject, in the view of the investigator, at immediate risk of death from the reaction as it occurred, i.e., it does not include a reaction that, had it occurred in a more severe form, might have caused death.

Serious adverse event reporting will be in accordance with all IRB regulations. For trials conducted under an investigational new drug (IND) application, the SAE will be reported in accordance with Code of Federal Regulation Title 21 Part 312.32 and will be reported on a Med Watch form.

UCSF IRB website for guidance in reporting serious adverse

events: <https://irb.ucsf.edu/adverse-event>

Med Watch forms and information:

www.fda.gov/medwatch/getforms.htm

All serious adverse events are entered into OnCore, All SAEs are reviewed and monitored by the DSMC on an ongoing basis and discussed at DSMC meetings, which take place every eight weeks. The date the SAE report was sent to all required reporting agencies will be documented in OnCore.

If an SAE involves death and occurs during the treatment phase of the study or within 30 days after the last administration of the study drug(s), and is determined to be possibly, probably, or definitely related either to the investigational drug or any research related procedure, then the event must be

reported to the DSMC Chair (or Vice Chair) and DSMC Director within one business day.

3.3 Review of Adverse Event Rates

If an increase in the frequency of Grade 3 or 4 adverse events (above the rate reported in the Investigator Brochure or package insert) is noted in the study, the Principal Investigator is responsible for notifying the DSMC via report at the time the increased rate is identified. The report will indicate if the incidence of adverse events observed in the study is above the range stated in the Investigator's Brochure or package insert.

If at any time the Principal Investigator stops enrollment or stops the study due to safety issues, the DSMC Chair (or Vice Chair) and DSMC Director must be notified within one business day.

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Appendix N.6 (Single Site) Non-therapeutic Institutional Study

Data and Safety Monitoring Plan for a Non-therapeutic Institutional Study for a Non-Therapeutic Greater than Minimal Risk, Low Risk Category Study

1. Oversight and Monitoring Plan

The UCSF Helen Diller Family Comprehensive Cancer Center (HDFCCC) Data and Safety Monitoring Committee (DSMC) is responsible for monitoring data quality and participant safety for all HDFCCC institutional clinical trials. Greater than minimal risk non-therapeutic studies are characterized as low risk studies due to a research component which introduces risk without therapeutic intent (e.g., a study including an invasive procedure such as a biopsy for research purposes), as there isn't administration of drugs or complementary therapy that puts the participants at significant risk.

Please see the [UCSF HDFCCC website](#) for the current version of the UCSF HDFCCC data and safety monitoring plan (DSMP) for this study. The HDFCCC DSMP specifies the monitoring plan for each type of study according to phase of study, risk level, and number of patients and sites. The DSMP includes the approximate number of patients and cycles/treatment duration to be monitored or audited as well as frequency.

The UCSF HDFCCC NCI-approved DSMP undergoes periodic review and updates according to institutional requirements and evolving monitoring standards. The monitoring plan for specific types of studies may be modified over time without individual protocol amendments for non-substantive changes.

2. Monitoring and Reporting Guidelines

Investigators will conduct a continuous review of data and participant safety at monthly site committee meetings where the status of each participant is discussed and documented in the site committee minutes.

After completion of each auditing visit, the DSA will send both a Monitoring Visit Report (MVR) and an Action Item Report (AIR) to the study team within 1 calendar month after the monitoring visit is complete for the study team to resolve all action items from the Action Item Report (AIR) report within 8 weeks. The due date for the completion of the action items may be extended for up to an additional 2 months for extenuating circumstances, if approved by the DSMC. The AIR report must be completed by the study team prior to the next auditing review of this study.

Additionally, the action items from the AIR Report must be deemed answered and complete by the DSA after the report has been submitted by the study team; hence, the completed AIR must be sent to the DSMC by 4 weeks prior to the deadline for the DSA's review and confirmation of these completed action items. If the study team is granted a second extension by the DSMC Director, then the DSA will have 4 weeks after the report has been provided to the DSMC to review and confirm the responses on the AIR.

AA limited regulatory review (i.e., reviewing protocol and consent versions, SAEs, PVs, DOA logs, 1572 forms, etc.) will occur at each participant monitoring review; however, a full regulatory review will occur on a biennially basis by the DSMC for regulatory compliance.

3. Review and Oversight Requirements

3.1 Adverse Event Monitoring

All adverse events (AEs) related to study procedures, whether considered expected or unexpected, will be entered into OnCore, UCSF's Clinical Trial Management System.

Adverse events are graded according to the Common Terminology Criteria for Adverse Events (CTCAE) as developed and revised by the Common Therapy Evaluation Program (CTEP) of the National Cancer Institute. Adverse events are further given an assignment of attribution or relationship to study intervention or procedure. Attribution categories are:

- **Definite** – clearly related to the study intervention or procedure.
- **Probable** – likely related to study intervention or procedure.
- **Possible** – may be related to study intervention or procedure.
- **Unrelated** – clearly not related to the study intervention or procedure.

All clinically significant adverse events entered into OnCore® will be reviewed on a monthly basis at the Site Committee meetings.

3.2 Serious Adverse Event Reporting

By definition, an adverse event is defined as a serious adverse event (SAE) according to the following criteria:

- Death,
- Life-threatening adverse experience*,
- Inpatient hospitalization or prolongation of existing hospitalization,
- Persistent or significant disability/incapacity,
- Congenital anomaly/birth defect, or cancer, or
- Any other experience that suggests a significant hazard, contraindication, side effect or precaution that may require medical or surgical intervention to prevent one of the outcomes listed above,
- Event that changes the risk/benefit ratio of the study.

* A life-threatening adverse experience is any AE that places the patient or subject, in the view of the investigator, at immediate risk of death from the reaction as it occurred, i.e., it does not include a reaction that, had it occurred in a more severe form, might have caused death.

Serious adverse event reporting will be in accordance with all IRB regulations. For studies conducted under an investigational new drug (IND) application, the SAE will be reported in accordance with Code of Federal Regulation Title 21 Part 312.32 and will be reported on a Med Watch form.

UCSF IRB website for guidance in reporting serious adverse

events: <https://irb.ucsf.edu/adverse-event>

Med Watch forms and information:

www.fda.gov/medwatch/getforms.htm

All serious adverse events are entered into OnCore. The SAEs are reviewed and monitored by the Data and Safety Monitoring Committee on an ongoing basis and discussed at DSMC meetings, which take place every eight weeks. The date the SAE report was sent to all required reporting agencies will be documented in OnCore.

If a death occurs during the treatment phase of the study and is determined to be possibly, probably, or definitely related either to the study intervention or procedure, the Investigator or his/her designee must notify the DSMC Chair or Vice Chair and DSMC Director within one business day.

3.3 Review of Adverse Event Rates

If at any time the Investigator voluntarily holds enrollment or stops the study due to safety issues, the DSMC Chair (or Vice Chair) and the DSMC Director must be notified within one business day and the IRB must be notified as per IRB reporting requirements.

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Appendix N.7 (Single or Multicenter Site): Non-therapeutic Institutional Study – Minimal Risk

Data and Safety Monitoring Plan for a Minimal Risk Institutional Study

1. Oversight and Monitoring Plan

The UCSF Helen Diller Family Comprehensive Cancer Center (HDFCCC) Data and Safety Monitoring Committee (DSMC) is responsible for monitoring data quality and participant safety for all HDFCCC institutional clinical trials. This non-therapeutic study has been determined to be “minimal risk.” A summary of DSMC activities for this trial includes:

- Review of serious adverse events and protocol violations only.

The UCSF HDFCCC Data and Safety Monitoring Committee (DSMC) is responsible for participant safety for all HDFCCC institutional clinical trials. Minimal risk non-therapeutic studies are characterized as studies without risk due to a research component which introduces procedures which don't involve risk to the participants (e.g., a blood draw study).

Safety reviews (i.e., Serious Adverse Event (SAE) reviews and Protocol Violation (PV) reviews) will continue until the study is closed by the IRB. Regulatory reviews will not be performed for minimal risk institutional studies and are only performed for above minimal risk studies.

2. Serious Adverse Event Reporting

By definition, an adverse event is defined as a serious adverse event (SAE) according to the following criteria:

- Death,
- Life-threatening adverse experience*,
- Inpatient hospitalization or prolongation of existing hospitalization,
- Persistent or significant disability/incapacity,
- Congenital anomaly/birth defect, or cancer, or
- Any other experience that suggests a significant hazard, contraindication, side effect or precaution that may require medical or surgical intervention to prevent one of the outcomes listed above,
- Event that changes the risk/benefit ratio of the study.

* A life-threatening adverse experience is any AE that places the patient or subject, in the view of the investigator, at immediate risk of death from the reaction as it occurred, i.e., it does not include a reaction that, had it occurred in a more severe form, might have caused death.

Serious adverse event reporting will be in accordance with all IRB regulations.

UCSF IRB website for guidance in reporting serious adverse events:

<https://irb.ucsf.edu/adverse-event>

Med Watch forms and information:

www.fda.gov/medwatch/getforms.htm

All serious adverse events are entered into OnCore, as well as submitted to the IRB. The SAEs are reviewed and monitored by the Data and Safety Monitoring Committee on an ongoing basis and discussed at DSMC meetings, which take place every eight weeks. The date the SAE report was sent to all required reporting agencies will be documented in OnCore.

If a death occurs during the course of study participation and is determined to be possibly, probably, or definitely related either to the study procedure, the Investigator or his/her designee must notify the DSMC Chair or Vice Chair and DSMC Director within one business day.

3. Review of Adverse Event Rates

If at any time the Investigator voluntarily holds enrollment or stops the study due to safety issues, the DSMC Chair (or Vice Chair) and the DSMC Director must be notified within one business day and the IRB must be notified as per IRB reporting requirements.

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Appendix N.8 (Multicenter) Non-Therapeutic Multicenter Institutional Study

Data and Safety Monitoring Plan for a Non-therapeutic Institutional Study for a Non-Therapeutic Greater than Minimal Risk, Low Risk Category Study

Data and Safety Monitoring Plan for a Non-Therapeutic Multicenter Institutional Study

1. Oversight and Monitoring Plan

The UCSF Helen Diller Family Comprehensive Cancer Center (HDFCCC) Data and Safety Monitoring Committee (DSMC) is responsible for monitoring data quality and participant safety for all HDFCCC institutional clinical trials. This non-therapeutic study of a new diagnostic agent has been determined to be “greater than minimal risk.” and low risk.

Please see the [UCSF HDFCCC website](#) for the current version of the UCSF HDFCCC data and safety monitoring plan (DSMP) for this study. The HDFCCC DSMP specifies the monitoring plan for each type of study according to phase of study, risk level, and number of patients and sites. The DSMP includes the approximate number of patients and cycles/treatment duration to be monitored or audited as well as frequency.

The UCSF HDFCCC NCI-approved DSMP undergoes periodic review and updates according to institutional requirements and evolving monitoring standards. The monitoring plan for specific types of studies may be modified over time without individual protocol amendments for non-substantive changes.

The UCSF HDFCCC Data and Safety Monitoring Committee (DSMC) is responsible for participant safety for all domestic sites for HDFCCC Multicenter and Consortium institutional clinical studies. The International sites must be audited by a Clinical Research Organization (CRO) that is formally approved by the HDFCCC Cancer Center Clinical Research Oncology Committee (CCCROC) and the HDFCCC DSMC via the [HDFCCC Policy of Minimum Standards for Partnership with International CROs](#).

If blood or tissue banking studies are determined to be “greater than minimal risk”, then only Serious Adverse Events (SAEs) recorded in OnCore will be reviewed at each DSMC meeting for these studies.

The DSA will send both a Monitoring Visit Report (MVR) and an Action Item Report (AIR) to the study team within 1with one calendar month after the monitoring visit is complete for the study team to resolve all action items from the Action Item Report (AIR) report within 8 weeks. The due date for the completion of the action items may be extended for up to an additional 2 months for extenuating circumstances, if approved by the DSMC. The AIR report must be completed by the study team prior to the next monitoring review of this study.

Additionally, the action items from the AIR Report must be deemed answered and

complete by the DSA after the report has been submitted by the study team; hence, the completed AIR must be sent to the DSMC by 4 weeks prior to the deadline for the DSA's review and confirmation of these completed action items. If the study team is granted a second extension by the DSMC Director, then the DSA will have 4 weeks after the report has been provided to the DSMC to review and confirm the responses on the AIR.

The Principal Investigator at the UCSF Coordinating Center will hold the role of Study Chair. The Study Chair is responsible for the overall conduct of the study and for monitoring its safety and progress at all participating sites. Investigators will conduct a continuous review of data and participant safety at monthly site committee meetings where the status of each participant is discussed and documented in the site committee minutes.

2. Multicenter communication

The UCSF Coordinating Center provides administration, data management, and organizational support for the participating sites in the conduct of a multicenter clinical study. The UCSF Coordinating Center will also coordinate monthly conference calls with the participating sites. The following issues will be discussed as appropriate:

- Enrollment information.
- Adverse events (i.e., new adverse events and updates on unresolved adverse events and new safety information).
- Protocol Violations.
- Other issues affecting the conduct of the study.

Adverse events reporting to the DSMC will include reports from both the UCSF Coordinating Center, as well as the participating sites. The DSMC will be responsible for monitoring all data entered in OnCore at the UCSF Coordinating Center and the participating sites as per the study-specific guidelines. The data (i.e., copies of source documents) from the participating sites will be downloaded into the CRA console of OnCore prior to the monitoring visits in order for the DSMC to perform a remote audit of the participating site's compliance with the protocol.

3 Review and Oversight Requirements

3.1 Adverse Event Monitoring

All adverse events (AEs) related to study procedures, whether considered expected or unexpected, will be entered into OnCore, UCSF's Clinical Trial Management System.

Adverse events are graded according to the Common Terminology Criteria for Adverse Events (CTCAE) as developed and revised by the Common Therapy Evaluation Program (CTEP) of the National Cancer Institute. Adverse events are further given an assignment of attribution or relationship to the study intervention or procedure.

Attribution categories are:

- **Definite**— clearly related to the study intervention or procedure.

- **Probable** –likely related to the study intervention or procedure.
- **Possible** – may be related to the study intervention or procedure.
- **Unrelated** – clearly not related to the study intervention or procedure.

All adverse events entered into OnCore will be reviewed on a monthly basis at the UCSF Site Committee meetings. All adverse events entered into OnCore will be reviewed on a monthly basis at the UCSF Coordinating Center Site Committee meetings. All clinically significant adverse events must be reported to the UCSF Coordinating Center by the participating sites within 10 business days of becoming aware of the event or during the next scheduled monthly conference call, whichever is sooner. The UCSF Site Committee will review and discuss the selected toxicity, the toxicity grade, and the attribution assignment for adverse events that occurred at the UCSF Coordinating Center and the participating sites.

3.2 Serious Adverse Event Reporting

By definition, an adverse event is defined as a serious adverse event (SAE) according to the following criteria:

- Death,
- Life-threatening adverse experience*,
- Inpatient hospitalization or prolongation of existing hospitalization,
- Persistent or significant disability/incapacity,
- Congenital anomaly/birth defect, or cancer, or
- Any other experience that suggests a significant hazard, contraindication, side effect or precaution that may require medical or surgical intervention to prevent one of the outcomes listed above,
- Event that changes the risk/benefit ratio of the study.

* A life-threatening adverse experience is any AE that places the patient or subject, in the view of the investigator, at immediate risk of death from the reaction as it occurred, i.e., it does not include a reaction that, had it occurred in a more severe form, might have caused death.

Serious adverse event reporting will be in accordance with all IRB regulations. For studies conducted under an investigational new drug (IND) application, the SAE will be reported in accordance with Code of Federal Regulation Title 21 Part 312.32 and will be reported on a Med Watch form.

UCSF IRB website for guidance in reporting serious adverse

events: <https://irb.ucsf.edu/adverse-event>

Med Watch forms and information:

www.fda.gov/medwatch/getforms.htm

All serious adverse events are entered into OnCore. All SAEs, whether expected or unexpected, must be reported to the UCSF Coordinating Center within one business day of becoming aware of the event.

The SAEs are reviewed and monitored by the UCSF Data and Safety Monitoring Committee on an ongoing basis and discussed at DSMC meetings, which take place every eight weeks. The date of the submission of the SAE report to all required reporting agencies will be documented in OnCore.

If a death occurs during the treatment phase of the study and is determined to be possibly, probably, or definitely related either to the investigational drug or any research related procedure, the Study Chair at the UCSF Coordinating Center or the assigned designee must be notified within one business day from the participating site(s) and the Study Chair must then notify the DSMC Chair (or Vice Chair) and the DSMC Director within one business day of this notification.

3.3 Review of Adverse Event Rates

If at any time the Study Chair voluntarily holds enrollment or stops the study due to safety issues, the DSMC Chair (or Vice Chair) and DSMC Director must be notified within one business day and the IRB must be notified as per their reporting requirements.

3.4 Data and Safety Monitoring Board (DSMB) Reports

Data and Safety Monitoring Board (DSMB) Reports which provide information on trial accrual, participant safety, and data integrity will be provided to all sites, including the domestic and international sites, on an annual basis. The DSMB Report will be signed by the DSMC Chair (or Vice Chair) and provided to the DSMC Committee for formal review at the next scheduled DSMC Committee meeting.

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Appendix N.9 (Multicenter) Phase 1 Dose Escalation

Data and Safety Monitoring Plan for a Multicenter Institutional Trial (Phase 1 Dose Escalation)

1. Oversight and Monitoring Plan

The UCSF Helen Diller Family Comprehensive Cancer Center (HDFCCC) Data and Safety Monitoring Committee (DSMC) is responsible for monitoring data quality and participant safety for all HDFCCC institutional clinical trials and cancer-specific trials at UCSF.

Please see the [UCSF HDFCCC website](#) for the current version of the UCSF HDFCCC data and safety monitoring plan (DSMP) for this study. The HDFCCC DSMP specifies the monitoring plan for each type of study according to phase of study, risk level, and number of patients and sites. The DSMP includes the approximate number of patients and cycles/treatment duration to be monitored or audited as well as frequency.

The UCSF HDFCCC NCI-approved DSMP undergoes periodic review and updates according to institutional requirements and evolving monitoring standards. The monitoring plan for specific types of studies may be modified over time without individual protocol amendments for non-substantive changes.

2. Monitoring and Reporting Guidelines

The Principal Investigator at the UCSF Coordinating Center will hold the role of Study Chair. The Study Chair is responsible for the overall conduct of the trial and for monitoring its safety and progress at all participating sites. The Study Chair will conduct continuous review of data and participant safety at weekly UCSF Site Committee meetings. The discussions are documented in the UCSF Site Committee meeting minutes.

The UCSF HDFCCC Data and Safety Monitoring Committee (DSMC) is responsible for participant safety for all domestic sites for HDFCCC Multicenter and Consortium institutional clinical trials. The International sites must be monitored by a Clinical Research Organization (CRO) that is formally approved by the HDFCCC Cancer Center Clinical Research Oncology Committee (CCCROC) and the HDFCCC DSMC via the [HDFCCC Policy of Minimum Standards for Partnership with International CROs](#).

All institutional multicenter therapeutic dose escalation Phase I trials are generally designated with a high-risk assessment; therefore, the source documents for all enrolled participants in each dosing cohort are monitored by a DSMC DSA prior to approval of the dosing cohort.

The DSA will send both a Monitoring Visit Report (MVR) and an Action Item Report (AIR) to the study team within 1 calendar month after the monitoring visit is complete for the study team to resolve all action items from the Action Item Report (AIR) report within 8 weeks. The due date for the completion of the action items may be extended for up to an additional 2 months for extenuating circumstances, if approved by the DSMC. The

AIR report must be completed by the study team prior to the next monitoring review of this study.

Additionally, the action items from the AIR Report must be deemed answered and complete by the DSA after the report has been submitted by the study team; hence, the completed AIR must be sent to the DSMC by 4 weeks prior to the deadline for the DSA's review and confirmation of these completed action items. If the study team is granted a second extension by the DSMC Director, then the DSA will have 4 weeks after the report has been provided to the DSMC to review and confirm the responses on the AIR.

Multicenter communication

The UCSF Coordinating Center includes the UCSF PI (Study Chair) and the UCSF study team. The UCSF Coordinating Center provides administration, data management, and organizational support for the participating sites in the conduct of a multicenter clinical trial. The UCSF Coordinating Center will also coordinate monthly conference calls with the participating sites. The following issues will be discussed as appropriate:

- Enrollment information.
- Cohort updates (i.e., DLTs).
- Adverse events (i.e., new adverse events and updates on unresolved adverse events and new safety information).
- Protocol violations.
- Other issues affecting the conduct of the study.

Dose Level Considerations

The PI/Study Chair, participating investigators, and research coordinators from each site will review enrollment for each dose level cohort during the regularly scheduled conference calls. The dose level for ongoing enrollment will be confirmed for each participant scheduled to be enrolled at a site. Dose level assignments for any participant scheduled to begin treatment must be confirmed by the UCSF Coordinating Center via e-mail.

If a participant experiences a Dose Limiting Toxicity (DLT), the UCSF Coordinating Center will notify all sites within one business day of awareness. If the DLT occurs at a participating site, the local investigator must report the DLT to the UCSF Coordinating Center within one business day. The Study Chair has one business day (after first becoming aware of the event at either the UCSF Coordinating Center or the participating site) in which to report the DLT information to all participating sites.

Adverse events reporting to the DSMC will include reports from both the UCSF Coordinating Center, as well as the participating sites. The DSMC will be responsible for monitoring all data entered in OnCore at the UCSF Coordinating Center and the participating sites as per the study-specific guidelines. The data (i.e., redacted copies of

source documents) from the participating sites will be downloaded into the PC console of OnCore prior to the monitoring visits in order for the DSMC to perform remote monitoring of the participating site's compliance with the protocol and applicable FDA regulations.

Dose Escalations

At the time of dose escalation, a written and signed Dose Escalation/Expansion Report will be submitted to the DSMC Chair (or Vice Chair) and DSMC Director describing the cohorts, dose levels, adverse events, safety reports, and any Dose Limiting Toxicities (DLTs) observed, in accordance with the protocol. The report will be reviewed by the DSMC Chair or Vice Chair and written authorization to proceed or a request for more information will be issued within two business days of the request. The report is then reviewed at the subsequent DSMC Committee meeting. In the event that the committee does not concur with the DSMC Chair's (or Vice Chair's) decision, study accrual is held while further investigation takes place. However, if there are AIRs that are past the due date for completions (i.e., post 8 week timeline or post 12-16 week timeline if extensions were granted), then the Dose Escalation/Expansion review will be postponed until these action items are all addressed by the study team.

3. Review and Oversight Requirements

3.1 Adverse Event Monitoring

All clinically significant adverse events (AEs), whether or not considered to be expected or unexpected and whether or not considered to be associated with the use of study drug, will be entered into OnCore, UCSF's Clinical Trial Management System.

Adverse events are graded according to the Common Terminology Criteria for Adverse Events (CTCAE) as developed and revised by the Common Therapy Evaluation Program (CTEP) of the National Cancer Institute. Adverse events are further given an assignment of attribution or relationship to investigational agent or study procedure.

Attribution categories are:

- **Definite** – clearly related to the investigational agent(s) or study procedure.
- **Probable** – likely related to the investigational agent(s) or study procedure.
- **Possible** – may be related to the investigational agent(s) or study procedure.
- **Unrelated** – clearly not related to the investigational agent(s) or study procedure.

All adverse events entered into OnCore will be reviewed on a weekly basis at the UCSF Coordinating Center's Site Committee meetings. The UCSF Site Committee will review and discuss the selected toxicity, grade, and the attribution assignment for the adverse events that occurred at both the UCSF Coordinating Center and the participating sites.

3.2 Serious Adverse Event Reporting

By definition, an adverse event is defined as a serious adverse event (SAE) according to the following criteria:

- Death,
- Life-threatening adverse experience*,
- Inpatient hospitalization or prolongation of existing hospitalization,
- Persistent or significant disability/incapacity,
- Congenital anomaly/birth defect, or cancer, or
Any other experience that suggests a significant hazard, contraindication, side effect or precaution that may require medical or surgical intervention to prevent one of the outcomes listed above,
- Event that changes the risk/benefit ratio of the study.

* A life-threatening adverse experience is any AE that places the patient or subject, in the view of the investigator, at immediate risk of death from the reaction as it occurred, i.e., it does not include a reaction that, had it occurred in a more severe form, might have caused death.

Serious adverse event reporting will be in accordance with all IRB regulations. For trials conducted under an investigational new drug (IND) application, the SAE will be reported in accordance with Code of Federal Regulation Title 21 Part 312.32 and will be reported on a Med Watch form.

UCSF IRB website for guidance in reporting serious adverse

events: <https://irb.ucsf.edu/adverse-event>

Med Watch forms and information:

www.fda.gov/medwatch/getforms.htm

All serious adverse events are entered into OnCore. All SAEs, whether expected or unexpected, must be reported to the UCSF Coordinating Center within 10 business days of becoming aware of the event or during the next scheduled conference all, whichever is sooner. The SAEs are reviewed and monitored by the Data and Safety Monitoring Committee on an ongoing basis and discussed at DSMC meetings, which take place every eight weeks. The date the SAE report was sent to all required reporting agencies will be documented in OnCore.

If a death occurs during the treatment phase of the study or within 30 days after the last administration of the study drug(s) and is determined to be possibly, probably, or definitely related either to the investigational drug or any research related procedure, the Study Chair at the UCSF Coordinating Center or the assigned designee must be notified within 1 business day from the participating site(s) and the Study Chair must then notify the DSMC Chair (or Vice Chair) and the DSMC Director within one business day of this notification.

3.3 Review of Adverse Event Rates

If an increase in the frequency of Grade 3 or 4 adverse events (above the rate reported in the Investigator Brochure or package insert) is noted in the study, the Study Chair at the UCSF Coordinating Center is responsible for notifying the DSMC at the time the increased rate is identified via a report. The report will indicate if the incidence of adverse events observed in the study is above

the range stated in the Investigator's Brochure or package insert.

If at any time the Study Chair voluntarily holds enrollment or stops the study due to safety issues, the DSMC Chair (or Vice Chair) and the DSMC Director must be notified within one business day via e-mail and the IRB must be notified their reporting requirements.

3.4 Data and Safety Monitoring Board (DSMB) Reports

Data and Safety Monitoring Board (DSMB) Reports which provide information on trial accrual, participant safety, and data integrity will be provided to all sites, including the domestic and international sites, on an annual basis. The DSMB Report will be signed by the DSMC Chair (or Vice Chair) and provided to the DSMC Committee for formal review at the next scheduled DSMC Committee meeting.

Data and Safety Monitoring Committee Contacts:

Katie Kelley, MD (DSMC Chair)
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Appendix N.10 (Multicenter) Non-Dose Finding Phase I Multicenter Trial

Data Safety Monitoring Plan for Non-Dose Finding Phase I Multicenter Trial

1. Oversight and Monitoring Plan

The UCSF-Helen Diller Family Comprehensive Cancer Center (HDFCCC) Data and Safety Monitoring Committee (DSMC) is responsible for monitoring data quality and participant safety for all HDFCCC institutional clinical trials.

Please see the [UCSF HDFCCC website](#) for the current version of the UCSF HDFCCC data and safety monitoring plan (DSMP) for this study. The HDFCCC DSMP specifies the monitoring plan for each type of study according to phase of study, risk level, and number of patients and sites. The DSMP includes the approximate number of patients and cycles/treatment duration to be monitored or audited as well as frequency.

The UCSF HDFCCC NCI-approved DSMP undergoes periodic review and updates according to institutional requirements and evolving monitoring standards. The monitoring plan for specific types of studies may be modified over time without individual protocol amendments for non-substantive changes.

2. Monitoring and Reporting Guidelines

The Principal Investigator at the UCSF Coordinating Center will hold the role of Study Chair. The Study Chair is responsible for the overall conduct of the trial and for monitoring its safety and progress at all participating sites. The Study Chair will conduct a review of data and participant safety at the weekly UCSF Site Committee meetings. The discussions are documented in the UCSF Site Committee meeting minutes.

The UCSF HDFCCC Data and Safety Monitoring Committee (DSMC) is responsible for participant safety for all domestic sites for HDFCCC Multicenter and Consortium institutional clinical trials. The International sites must be monitored by a Clinical Research Organization (CRO) that is formally approved by the HDFCCC Cancer Center Clinical Research Oncology Committee (CCCROC) and the HDFCCC DSMC via the [HDFCCC Policy of Minimum Standards for Partnership with International CROs](#).

The DSA will send both a Monitoring Visit Report (MVR) and an Action Item Report (AIR) to the study team within 20 business days after the monitoring visit is complete for the study team to resolve all action items from the Action Item Report (AIR) report within 8 weeks. The due date for the completion of the action items may be extended for up to an additional 2 months for extenuating circumstances, if approved by the DSMC. The AIR report must be completed by the study team prior to the next monitoring review of this study. This due date for the completion of the action items may be extended an additional 2 months for extenuating circumstances approved by the DSMC. The AIR report must be completed by the study team prior to the next review of this study.

Additionally, the action items from the AIR Report must be deemed answered and complete by the DSA after the report has been submitted by the study team; hence, the completed AIR must be sent to the DSMC by 4 weeks prior to the deadline for the DSA's review and confirmation of these completed action items. If the study team is granted a second extension by the DSMC Director, then the DSA will have 4 weeks after the report has been provided to the DSMC to review and confirm the responses on the AIR.

A limited regulatory review (i.e., reviewing protocol and consent versions, SAEs, PVs, DOA logs, 1572 forms, etc.) will occur at each participant monitoring review; however, a full regulatory review will occur on a biennially basis by the DSMC for regulatory compliance.

The UCSF Coordinating Center provides administration, data management, and organizational support for the participating sites in the conduct of a multicenter clinical trial. The UCSF Coordinating Center will also coordinate monthly conference calls with the participating sites to communicate the review of adverse events, safety data, and other study matters.

Multicenter communication

The UCSF Coordinating Center includes the UCSF PI (Study Chair) and the UCSF study team. The UCSF Coordinating Center provides administration, data management, and organizational support for the participating sites in the conduct of a multicenter clinical trial. The UCSF Coordinating Center will also coordinate monthly conference calls with the participating sites. The following issues will be discussed as appropriate:

- Enrollment information.
- Adverse events
- Protocol Violations.
- Other issues affecting the conduct of the study.

Adverse events reporting to the DSMC will include reports from both the UCSF Coordinating Center, as well as the participating sites. The DSMC will be responsible for monitoring all data entered in OnCore at the UCSF Coordinating Center and the participating sites as per the study-specific guidelines. The data (i.e., redacted copies of source documents) from the participating sites will be downloaded into the CRA module of OnCore prior to the monitoring visits in order for the monitoring of the participating site's compliance with the protocol and applicable FDA regulations.

3. Review and Oversight Requirement

3.1 Adverse Event Monitoring

All clinically significant adverse events (AEs), whether or not considered to be expected or unexpected and whether or not considered to be associated with the use of study drug, will be entered into OnCore, UCSF's Clinical Trial Management System.

Adverse events are graded according to the Common Terminology Criteria for

Adverse Events (CTCAE) as developed and revised by the Common Therapy Evaluation Program (CTEP) of the National Cancer Institute. Adverse events are further given an assignment of attribution or relationship to investigational agent or study procedure.

Attribution categories are:

- **Definite** – clearly related to the investigational agent(s) or study procedure.
- **Probable** – likely related to the investigational agent(s) or study procedure.
- **Possible** – may be related to the investigational agent(s) or study procedure.
- **Unrelated** – clearly not related to the investigational agent(s) or study procedure.

All adverse events entered into OnCore® will be reviewed on a weekly basis at the UCSF Coordinating Center's Site Committee meetings. The UCSF Site Committee will review and discuss the selected toxicity, grade, and the attribution assignment for the adverse events that occurred at both the UCSF Coordinating Center and the participating sites.

3.2 Serious Adverse Event Reporting

By definition, an adverse event is defined as a serious adverse event (SAE) according to the following criteria:

- Death,
- Life-threatening adverse experience*,
- Inpatient hospitalization or prolongation of existing hospitalization,
- Persistent or significant disability/incapacity,
- Congenital anomaly/birth defect, or cancer, or
- Any other experience that suggests a significant hazard, contraindication, side effect or precaution that may require medical or surgical intervention to prevent one of the outcomes listed above,
- Event that changes the risk/benefit ratio of the study.

* A life-threatening adverse experience is any AE that places the patient or subject, in the view of the investigator, at immediate risk of death from the reaction as it occurred, i.e., it does not include a reaction that, had it occurred in a more severe form, might have caused death.

Serious adverse event reporting will be in accordance with all IRB regulations. For trials conducted under an investigational new drug (IND) application, the SAE will be reported in accordance with Code of Federal Regulation Title 21 Part 312.32 and will be reported on a Med Watch form.

UCSF IRB website for guidance in reporting serious adverse

events: <https://irb.ucsf.edu/adverse-event>

Med Watch forms and information:

www.fda.gov/medwatch/getforms.htm

All serious adverse events are entered into OnCore. All SAEs, whether expected or unexpected, must be reported to the UCSF Coordinating Center within one

business days of becoming aware of the event.

The SAEs are reviewed and monitored by the Data and Safety Monitoring Committee on an ongoing basis and discussed at DSMC meetings, which take place every eight weeks. The date the SAE report was sent to all required reporting agencies will be documented in OnCore.

If a death occurs during the treatment phase of the study or within 30 days after the last administration of the study drug(s) and is determined to be possibly, probably, or definitely related either to the investigational drug or any research related procedure, the Study Chair at the UCSF Coordinating Center or the assigned designee must be notified within one business day from the participating site(s) and the Study Chair must then notify the DSMC Chair or Vice Chair and DSMC Director within one business day of this notification.

3.3 Review of Adverse Event Rates

If an increase in the frequency of Grade 3 or 4 adverse events (above the rate reported in the Investigator Brochure or package insert) is noted in the study, the Study Chair at

the UCSF Coordinating Center is responsible for notifying the DSMC at the time the increased rate is identified. The report will indicate if the incidence of adverse events observed in the study is above the range stated in the Investigator Brochure or package insert.

If at any time the Study Chair holds enrollment or stops the study due to safety issues, the DSMC Chair or Vice Chair and DSMC Director must be notified within one business day via e-mail and the IRB must be notified within their reporting requirements.

3.4 Data and Safety Monitoring Board (DSMB) Reports

Data and Safety Monitoring Board (DSMB) Reports which provide information on trial accrual, participant safety, and data integrity will be provided to all sites, including the domestic and international sites, on an annual basis. The DSMB Report will be signed by the DSMC Chair (or Vice Chair) and provided to the DSMC Committee for formal review at the next scheduled DSMC Committee meeting.

Data and Safety Monitoring Committee Contacts:

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Appendix N.11 (Multicenter) Phase II, III, or IV Trial

Data and Safety Monitoring Plan for a Multicenter Study Phase II, III, or IV Trial

1. Oversight and Monitoring Plan

The UCSF Helen Diller Family Comprehensive Cancer Center (HDFCCC) Data and Safety Monitoring Committee (DSMC) is responsible for auditing data quality and participant safety for all HDFCCC institutional clinical trials.

Please see the [UCSF HDFCCC website](#) for the current version of the UCSF HDFCCC data and safety monitoring plan (DSMP) for this study. The HDFCCC DSMP specifies the monitoring plan for each type of study according to phase of study, risk level, and number of patients and sites. The DSMP includes the approximate number of patients and cycles/treatment duration to be monitored or audited as well as frequency.

The UCSF HDFCCC NCI-approved DSMP undergoes periodic review and updates according to institutional requirements and evolving monitoring standards. The monitoring plan for specific types of studies may be modified over time without individual protocol amendments for non-substantive changes.

2. Monitoring and Reporting Guidelines

The Principal Investigator at the UCSF Coordinating Center will hold the role of Study Chair. The Study Chair is responsible for the overall conduct of the trial and for auditing its safety and progress at all participating sites. The Study Chair will conduct continuous review of data and participant safety at monthly UCSF Site Committee meetings. The discussions are documented in the UCSF Site Committee meeting minutes.

The UCSF HDFCCC Data and Safety Monitoring Committee (DSMC) is responsible for participant safety for all domestic sites for HDFCCC Multicenter and Consortium institutional clinical trials. The International sites must be audited by a Clinical Research Organization (CRO) that is formally approved by the HDFCCC Cancer Center Clinical Research Oncology Committee (CCCROC) and the HDFCCC DSMC via the [HDFCCC Policy of Minimum Standards for Partnership with International CROs](#).

All institutional Phase II, III, or IV therapeutic trials are generally designated with a moderate risk assessment.

The DSA will send both a Monitoring Visit Report (MVR) and an Action Item Report (AIR) to the study team within 1 calendar month after the monitoring visit is complete to be completed within 8 weeks. The due date for the completion of the action items may be extended for up to an additional 2 months for extenuating circumstances, if approved by the DSMC. The AIR report must be completed by the study team prior to the next review of this study.

Additionally, the action items from the AIR Report must be deemed answered and

complete by the DSA after the report has been submitted by the study team; hence, the completed AIR must be sent to the DSMC by 4 weeks prior to the deadline for the DSA's review and confirmation of these completed action items. If the study team is granted a second extension by the DSMC Director, then the DSA will have 4 weeks after the report has been provided to the DSMC to review and confirm the responses on the AIR.

Multicenter communication

The UCSF Coordinating Center includes the UCSF PI (Study Chair) and the UCSF study team. The UCSF Coordinating Center provides administration, data management, and organizational support for the participating sites in the conduct of a multicenter clinical trial. The UCSF Coordinating Center will also coordinate monthly conference calls with the participating sites. The following issues will be discussed as appropriate:

- Enrollment information.
- Adverse events.
- Protocol Violations.
- Other issues affecting the conduct of the study.

Adverse events reporting to the DSMC will include reports from both the UCSF Coordinating Center, as well as the participating sites. The data (i.e., copies of source documents) from the participating sites will be downloaded into the PC console of OnCore prior to the remote monitoring visits in order for the DSMC to monitor the participating site's compliance with the protocol and applicable FDA regulations.

3 Review and Oversight Requirements

3.1 Adverse Event Monitoring

All adverse events (AEs), regardless of being unexpected or considered to be associated with the use of the study drug will be entered into OnCore, UCSF's Clinical Trial Management System.

Adverse events are graded according to the Common Terminology Criteria for Adverse Events (CTCAE) as developed and revised by the Common Therapy Evaluation Program (CTEP) of the National Cancer Institute. Adverse events are further given an assignment of attribution or relationship to the investigational agent(s) or study procedure. Attribution categories are:

- **Definite** – clearly related to the investigational agent(s) or study procedure.
- **Probable** – likely related to the investigational agent(s) or study procedure.
- **Possible** – may be related to the investigational agent(s) or study procedure.
- **Unrelated** – clearly not related to the investigational agent(s) or study procedure.

All adverse events entered into OnCore will be reviewed on a monthly basis at the UCSF Site Committee meetings. All adverse events entered into OnCore® will be reviewed on a monthly basis at the UCSF Coordinating Center Site Committee meetings. All adverse events must be reported to the UCSF Coordinating Center by the participating sites within 10 business days of

becoming aware of the event or during the next scheduled monthly conference call, whichever is sooner. The UCSF Site Committee will review and discuss the selected toxicity, the toxicity grade, and attribution assignment from the UCSF Coordinating Center and the participating sites.

3.2 Serious Adverse Event Reporting

By definition, an adverse event is defined as a serious adverse event (SAE) according to the following criteria:

- Death,
- Life-threatening adverse experience*,
- Inpatient hospitalization or prolongation of existing hospitalization,
- Persistent or significant disability/incapacity,
- Congenital anomaly/birth defect, or cancer, or
- Any other experience that suggests a significant hazard, contraindication, side effect or precaution that may require medical or surgical intervention to prevent one of the outcomes listed above,
- Event that changes the risk/benefit ratio of the study.

* A life-threatening adverse experience is any AE that places the patient or subject, in the view of the investigator, at immediate risk of death from the reaction as it occurred, i.e., it does not include a reaction that, had it occurred in a more severe form, might have caused death.

Serious adverse event reporting will be in accordance with all IRB regulations. For trials conducted under an investigational new drug (IND) application, the SAE will be reported in accordance with Code of Federal Regulation Title 21 Part 312.32 and will be reported on a Med Watch form.

UCSF IRB website for guidance in reporting serious adverse

events: <https://irb.ucsf.edu/adverse-event>

Med Watch forms and information:

www.fda.gov/medwatch/getforms.htm

All serious adverse events are entered into OnCore. All SAEs, whether expected or unexpected, must be reported to the UCSF Coordinating Center within one business days of becoming aware of the event. The SAEs are reviewed and audited by the UCSF Data and Safety Monitoring Committee on an ongoing basis and discussed at DSMC meetings, which take place every eight weeks. The date the SAE report was sent to all required reporting agencies will be documented in OnCore.

If a death occurs during the treatment phase of the study or within 30 days after the last administration of the study drug(s) and is determined to be possibly, probably, or definitely related either to the investigational drug or any research related procedure, the Study Chair at the UCSF Coordinating Center or the assigned designee must be notified within 1 business day from the participating site(s) and the Study Chair must then notify the DSMC Chair or Vice Chair and the DSMC Director within 1 business day of this notification.

3.3 Review of Adverse Event Rates

If an increase in the frequency of Grade 3 or 4 adverse events (above the rate reported in the Investigator Brochure or package insert) is noted in the study, the Study Chair at the UCSF Coordinating Center is responsible for notifying the DSMC Chair (or Vice Chair) and the DSMC Director at the time the increased rate is identified via a report. The report will indicate if the incidence of adverse events observed in the study is above the range stated in the Investigator Brochure or package insert.

If at any time the Study Chair stops enrollment or stops the study due to safety issues, the DSMC Chair (or Vice Chair) and the DSMC Director must be notified within one business day and the IRB must be notified within their reporting guidelines.

3.4 Data and Safety Monitoring Board (DSMB) Reports

Data and Safety Monitoring Board (DSMB) Reports which provide information on trial accrual, participant safety, and data integrity will be provided to all sites, including the domestic and international sites, on an annual basis. The DSMB Report will be signed by the DSMC Chair (or Vice Chair) and provided to the DSMC Committee for formal review at the next scheduled DSMC Committee meeting.

Data and Safety Monitoring Committee Contacts:

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Appendix N.12 (Multicenter) Phase II, III, or IV Device Trial

Data and Safety Monitoring Plan for a Multicenter Study Phase II, III, or IV Device Trial

1. Oversight and Monitoring Plan

The UCSF Helen Diller Family Comprehensive Cancer Center (HDFCCC) Data and Safety Monitoring Committee (DSMC) is responsible for auditing data quality and participant safety for all HDFCCC institutional clinical trials.

Please see the [UCSF HDFCCC website](#) for the current version of the UCSF HDFCCC data and safety monitoring plan (DSMP) for this study. The HDFCCC DSMP specifies the monitoring plan for each type of study according to phase of study, risk level, and number of patients and sites. The DSMP includes the approximate number of patients and cycles/treatment duration to be monitored or audited as well as frequency.

The UCSF HDFCCC NCI-approved DSMP undergoes periodic review and updates according to institutional requirements and evolving monitoring standards. The monitoring plan for specific types of studies may be modified over time without individual protocol amendments for non-substantive changes.

2. Monitoring and Reporting Guidelines

The Principal Investigator at the UCSF Coordinating Center will hold the role of Study Chair. The Study Chair is responsible for the overall conduct of the trial and for auditing its safety and progress at all participating sites. The Study Chair will conduct continuous review of data and participant safety at monthly UCSF Site Committee meetings. The discussions are documented in the UCSF Site Committee meeting minutes.

The UCSF HDFCCC Data and Safety Monitoring Committee (DSMC) is responsible for participant safety for all domestic sites for HDFCCC Multicenter and Consortium institutional clinical trials. All institutional Phase II, III, or IV therapeutic trials are generally designated with a moderate risk assessment.

The DSA will send both a Monitoring Visit Report (MVR) and an Action Item Report (AIR) to the study team within 1 calendar month after the monitoring visit is complete to be completed within 8 weeks. The due date for the completion of the action items may be extended for up to an additional 2 months for extenuating circumstances, if approved by the DSMC. The AIR report must be completed by the study team prior to the next review of this study.

Multicenter communication

The UCSF Coordinating Center includes the UCSF PI (Study Chair) and the UCSF study team. The UCSF Coordinating Center provides administration, data management, and organizational support for the participating sites in the conduct of a multicenter clinical trial. The UCSF Coordinating Center will also coordinate monthly conference calls with the participating sites. The following issues will be discussed as appropriate:

- Enrollment information.
- Adverse events.
- Protocol Violations.
- Other issues affecting the conduct of the study.

Adverse events reporting to the DSMC will include reports from both the UCSF Coordinating Center, as well as the participating sites.

3 Review and Oversight Requirements

3.1 Adverse Event Monitoring

All adverse events (AEs), regardless of being unexpected or considered to be associated with the use of the study device will be entered into OnCore, UCSF's Clinical Trial Management System.

Adverse events are graded according to the Common Terminology Criteria for Adverse Events (CTCAE) as developed and revised by the Common Therapy Evaluation Program (CTEP) of the National Cancer Institute. Adverse events are further given an assignment of attribution or relationship to the investigational agent(s) or study procedure. Attribution categories are:

- Definite – clearly related to the investigational device.
- Probable – likely related to the investigational device
- Possible – may be related to the investigational device
- Unrelated – clearly not related to the investigational device

All adverse events entered into OnCore will be reviewed on a monthly basis at the UCSF Site Committee meetings. All adverse events entered into OnCore® will be reviewed on a monthly basis at the UCSF Coordinating Center Site Committee meetings. All adverse events must be reported to the UCSF Coordinating Center by the participating sites within 10 business days of becoming aware of the event or during the next scheduled monthly conference call, whichever is sooner. The UCSF Site Committee will review and discuss the selected toxicity, the toxicity grade, and attribution assignment from the UCSF Coordinating Center and the participating sites.

3.2 Serious Adverse Event and/or UADE/MDR Reporting

By definition, an adverse event is defined as a serious adverse event (SAE) according to the following criteria:

- Death,
- Life-threatening adverse experience*,
- Inpatient hospitalization or prolongation of existing hospitalization,
- Persistent or significant disability/incapacity,
- Congenital anomaly/birth defect, or cancer, or
- Any other experience that suggests a significant hazard, contraindication, side effect or precaution that may require medical or surgical intervention to prevent one of the outcomes listed above,
- Event that changes the risk/benefit ratio of the study.

* A life-threatening adverse experience is any AE that places the patient or subject, in the view of the investigator, at immediate risk of death from the reaction as it occurred, i.e., it does not include a reaction that, had it occurred in a more severe form, might have caused death.

Serious adverse event reporting will be in accordance with all IRB regulations. For trials conducted under an investigational new drug (IND) application, the SAE will be reported in accordance with Code of Federal Regulation Title 21 Part 312.32 and will be reported on a Med Watch form.

UCSF IRB website for guidance in reporting serious adverse events: <https://irb.ucsf.edu/adverse-event>
Med Watch forms and information: www.fda.gov/medwatch/getforms.htm

The Sponsor (or Sponsor-Investigator) must report any Unanticipated Adverse Device Effect (UADE) to the FDA, the Device Manufacturer (Boston Scientific), and the IRB within 10 working days after the Sponsor-Investigator first receives notice of the adverse effect.

A UADE is defined by 21 CFR 812 as “any serious adverse effect on health or safety, any life-threatening problem or death caused by, or associated with a device, if that effect, problem, or death was not previously identified in nature, severity, or degree of incidence in the application; or any other unanticipated serious problem associated with a device that relates to the rights, safety, or welfare of subjects.”

UADEs must be reported to the UCSF IRB by following the instructions on this website:
<https://irb.ucsf.edu/adverse-event>

UADEs must be reported to the FDA and Boston Scientific on a MedWatch form (Form FDA 3500). Boston Scientific may be emailed at: icardioqa.complaints@bsci.com

The Sponsor-Investigator must report any Medical Device Report (MDR) to the FDA, the Device Manufacturer, and the IRB within 10 working days after the Sponsor-Investigator first receives notice of the event.

An MDR is an event that user facilities become aware of that reasonably suggests that a device has or may have caused or contributed to a death or serious injury.

Caused or contributed means that a death or serious injury was or may have been attributed to a medical device, or that a medical device was or may have been a factor in a death or serious injury, including events occurring as a result of:

- (1) Failure,
- (2) Malfunction,
- (3) Improper or inadequate design,
- (4) Manufacture,
- (5) Labeling, or
- (6) User error.

MDRs must be reported to the UCSF IRB by following the instructions on this website:
<https://irb.ucsf.edu/adverse-event>

MDRs must be reported to the FDA and Boston Scientific on a MedWatch form (Form FDA 3500). Boston Scientific may be emailed at: icardioqa.complaints@bsci.com. All serious adverse events and/or UADE/MDRs are entered into OnCore. All SAE/UADEs/MDRs, whether expected or unexpected, must be reported to the UCSF Coordinating Center within one business days of becoming aware of the event. The SAE/UADEs/MDRs are reviewed and audited by the UCSF Data and Safety Monitoring Committee on an ongoing basis and discussed at DSMC meetings, which take place every eight weeks. The date the SAE/UADE/MDR report was sent to all required reporting agencies will be documented in OnCore.

If a death occurs during the treatment phase of the study or within 30 days after the last administration of the study device and is determined to be possibly, probably, or definitely related either to the investigational device or any research related procedure, the Study Chair at the UCSF Coordinating Center or the assigned designee must be notified within 1 business day from the participating site(s) and the Study Chair must then notify the DSMC Chair or Vice Chair and the DSMC Director within 1 business day of this notification.

3.3 Review of Adverse Event Rates

If an increase in the frequency of Grade 3 or 4 adverse events from the device (above the rate reported in the Investigator Brochure or package insert) is noted in the study, the Study Chair at

the UCSF Coordinating Center is responsible for notifying the DSMC Chair (or Vice Chair) and the DSMC Director at the time the increased rate is identified via a report. The report will indicate if the

incidence of adverse events observed in the study is above the range stated in the Investigator Brochure or package insert.

If at any time the Study Chair stops enrollment or stops the study due to safety issues, the DSMC Chair (or Vice Chair) and the DSMC Director must be notified within one business day and the IRB must be notified within their reporting guidelines.

3.4 Data and Safety Monitoring Board (DSMB) Reports

Data and Safety Monitoring Board (DSMB) Reports which provide information on trial accrual, participant safety, and data integrity will be provided to all sites, including the domestic and international sites, on an annual basis. The DSMB Report will be signed by the DSMC Chair (or Vice Chair) and provided to the DSMC Committee for formal review at the next scheduled DSMC Committee meeting.

Data and Safety Monitoring Committee Contacts:

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Appendix N.13 (Multicenter) Phase II, III, or IV Trial with Safety Lead-In Phase

Data and Safety Monitoring Plan: Multicenter Phase II, III, or IV Trial with Safety Lead-In

1. Oversight and Monitoring Plan

The UCSF Helen Diller Family Comprehensive Cancer Center (HDFCCC) Data and Safety Monitoring Committee (DSMC) is responsible for auditing data quality and participant safety for all HDFCCC institutional clinical trials.

Please see the [UCSF HDFCCC website](#) for the current version of the UCSF HDFCCC data and safety monitoring plan (DSMP) for this study. The HDFCCC DSMP specifies the monitoring plan for each type of study according to phase of study, risk level, and number of patients and sites. The DSMP includes the approximate number of patients and cycles/treatment duration to be monitored or audited as well as frequency.

The UCSF HDFCCC NCI-approved DSMP undergoes periodic review and updates according to institutional requirements and evolving monitoring standards. The monitoring plan for specific types of studies may be modified over time without individual protocol amendments for non-substantive changes.

2. Monitoring and Reporting Guidelines

The Principal Investigator at the UCSF Coordinating Center will hold the role of Study Chair. The Study Chair is responsible for the overall conduct of the trial and for auditing its safety and progress at all participating sites. The Study Chair will conduct continuous review of data and participant safety at monthly UCSF Site Committee meetings. The discussions are documented in the UCSF Site Committee meeting minutes.

The UCSF HDFCCC Data and Safety Monitoring Committee (DSMC) is responsible for participant safety for all domestic sites for HDFCCC Multicenter and Consortium institutional clinical trials. The International sites must be audited by a Clinical Research Organization (CRO) that is formally approved by the HDFCCC Cancer Center Clinical Research Oncology Committee (CCCROC) and the HDFCCC DSMC via the [HDFCCC Policy of Minimum Standards for Partnership with International CROs](#).

All institutional Phase II, III, or IV therapeutic studies with a lead-in are generally designated with a high-risk assessment during the safety lead-in phase and a moderate risk assessment.

After the completion of enrollment in the safety lead-in phase, the Study Chair will submit a report to the DSMC Chair outlining all AEs, SAEs, and DLTs (as defined in the protocol) with a request to proceed onto the next phase of the trial. Within two business days of receipt, the DSMC Chair or designee will review the report and issue written authorization to proceed or a request for more information. The report is then reviewed at the subsequent DSMC

meeting. However, if there are AIRs that are past the due date for completions (i.e., post 8 week timeline or post 12-16 week timeline if extensions were granted), then the safety lead-in review will be postponed until these action items are all addressed by the study team.

The DSA will send both a Monitoring Visit Report (MVR) and an Action Item Report (AIR) to the study team within 1 calendar month after completion of the monitoring visit to be completed within 8 weeks. The due date for the completion of the action items may be extended for up to an additional 2 months for extenuating circumstances, if approved by the DSMC. The AIR report must be completed by the study team prior to the next review of this study. A limited regulatory review (i.e., reviewing protocol and consent versions, SAEs, PVs, DOA logs, 1572 forms, etc.) will occur at each participant monitoring review; however, a full regulatory review will occur on a biennially basis by the DSMC for regulatory compliance.

The participating site's source documents are audited remotely via either review of redacted source documents downloaded by the site into the CRA console of OnCore. The DSMC Monitor/Auditor will audit no more than three participant charts at each participating site during the course of auditing this trial.

Multicenter communication

The UCSF Coordinating Center includes the UCSF PI (Study Chair) and the UCSF study team. The UCSF Coordinating Center provides administration, data management, and organizational support for the participating sites in the conduct of a multicenter clinical trial. The UCSF Coordinating Center will also coordinate monthly conference calls with the participating sites. The following issues will be discussed as appropriate:

- Enrollment information.
- Adverse events (i.e., new adverse events and updates on unresolved adverse events and new safety information).
- Protocol Violations.
- Other issues affecting the conduct of the study.

Adverse events reporting to the DSMC will include reports from both the UCSF Coordinating Center, as well as the participating sites. The data (i.e., copies of source documents) from the participating sites will be downloaded into the PC console of OnCore prior to the remote monitoring visits in order for the DSMC to monitor the participating site's compliance with the protocol and applicable FDA regulations.

3 Review and Oversight Requirements

3.1 Adverse Event Monitoring

All adverse events (AEs), whether or not considered to be expected or unexpected and whether or not considered to be associated with the investigational agent(s) or study procedure, will be entered into OnCore, UCSF's Clinical Trial Management System.

Adverse events are graded according to the Common Terminology Criteria for Adverse Events (CTCAE) as developed and revised by the Common Therapy

Evaluation Program (CTEP) of the National Cancer Institute. Adverse events are further given an assignment of attribution or relationship to the investigational agent(s) or study procedure. Attribution categories are:

- **Definite** – clearly related to the investigational agent(s) or study procedure.
- **Probable** – likely related to the investigational agent(s) or study procedure.
- **Possible** – may be related to the investigational agent(s) or study procedure.
- **Unrelated** – clearly not related to the investigational agent(s) or study procedure.

All adverse events entered into OnCore will be reviewed on a monthly basis at the UCSF Site Committee meetings. All adverse events entered into OnCore will be reviewed on a monthly basis at the UCSF Coordinating Center Site Committee meetings. All adverse events must be reported to the UCSF Coordinating Center by the participating sites within 10 business days of becoming aware of the event or during the next scheduled monthly conference call, whichever is sooner. The UCSF Site Committee will review and discuss the selected toxicity, the toxicity grade, and the attribution assignment from the UCSF Coordinating Center and the participating sites.

3.2 Serious Adverse Event Reporting

By definition, an adverse event is defined as a serious adverse event (SAE) according to the following criteria:

- Death,
- Life-threatening adverse experience*,
- Inpatient hospitalization or prolongation of existing hospitalization,
- Persistent or significant disability/incapacity,
- Congenital anomaly/birth defect, or cancer, or
- Any other experience that suggests a significant hazard, contraindication, side effect or precaution that may require medical or surgical intervention to prevent one of the outcomes listed above,
- Event that changes the risk/benefit ratio of the study.

* A life-threatening adverse experience is any AE that places the patient or subject, in the view of the investigator, at immediate risk of death from the reaction as it occurred, i.e., it does not include a reaction that, had it occurred in a more severe form, might have caused death.

Serious adverse event reporting will be in accordance with all IRB regulations. For trials conducted under an investigational new drug (IND) application, the SAE will be reported in accordance with Code of Federal Regulation Title 21 Part 312.32 and will be reported on a Med Watch form.

UCSF IRB website for guidance in reporting serious adverse

events: <https://irb.ucsf.edu/adverse-event>

Med Watch forms and information:

www.fda.gov/medwatch/getforms.htm

All serious adverse events are entered into OnCore. All SAEs, whether expected or unexpected, must be reported to the UCSF Coordinating Center within one business days of becoming aware of the event. The SAEs are reviewed and audited by the UCSF Data and Safety Monitoring Committee on an ongoing basis and discussed at DSMC meetings, which take place every eight weeks. The date the SAE report was sent to all required reporting agencies will be documented in OnCore.

If a death occurs during the treatment phase of the study or within 30 days after the last administration of the study drug(s) and is determined to be possibly, probably, or definitely related either to the investigational drug or any research related procedure, then the Study Chair at the UCSF Coordinating Center or the assigned designee must be notified within 1 business day from the participating site(s) and the Study Chair must then notify the DSMC Chair (or Vice Chair) and the DSMC Director within 1 business day of this notification.

3.3 Review of Adverse Event Rates

If an increase in the frequency of Grade 3 or 4 adverse events (above the rate reported in the Investigator Brochure or package insert) is noted in the study, the Study Chair at the UCSF Coordinating Center is responsible for notifying the DSMC Chair (or Vice Chair) and the DSMC Director at the time the increased rate is identified via a report.

The report will indicate if the incidence of adverse events observed in the study is above the range stated in the Investigator's Brochure or package insert.

If at any time the Study Chair stops enrollment or stops the study due to safety issues, the DSMC Chair (or Vice Chair) and the DSMC Director must be notified within one business day and the IRB must be notified within their reporting guidelines.

3.4 Data and Safety Monitoring Board (DSMB) Reports

Data and Safety Monitoring Board (DSMB) Reports which provide information on trial accrual, participant safety, and data integrity will be provided to all sites, including the domestic and international sites, on an annual basis. The DSMB Report will be signed by the DSMC Chair (or Vice Chair) and provided to the DSMC Committee for formal review at the next scheduled DSMC Committee meeting.

Data and Safety Monitoring Committee Contacts:

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Appendix O. Risk Assessment for Institutional Studies

The table below lists the risk assessment for the institutional studies monitored by the DSMC.

Risk assignment	Study type	Monitoring	Surveillance
High	Institutional Phase 1 dose-escalation therapeutic	Monitor all participants in real-time as prior to dose escalation through DLT period. Once DLT is determined, then audit 20% of participants (up to a maximum of 3/year or a total of 10 participants) through first three cycles of therapy, all study staff are required to receive HDFCCC training prior to working on trial.	Real time monitoring of AEs and SAEs weekly at site committees; DSMC monitors SAEs every eight weeks at DSMC Meetings
High	Non-dose finding Phase I Institutional therapeutic	Monitor all participants on a quarterly basis as enrolled through the first cycle of therapy, all study staff are required to receive HDFCCC training prior to working on trial.	Real time monitoring of AEs and SAEs weekly at site committees; DSMC monitors SAEs every eight weeks at DSMC Meetings
Moderate	Institutional Phase II therapeutic	Audit first three cycles of treatment in 20% of study participants (up to a maximum of 10 participants or 3 per year) on an annual basis, all study staff are required to receive HDFCCC training prior to working on trial.	Real time monitoring of AEs and SAEs monthly at site committees; DSMC monitors SAEs every eight weeks at DSMC Meetings
Moderate	Institutional Phase II therapeutic with Safety Lead-In	Monitor all patients in the safety lead-in cohort, then audit first three cycles of treatment in 20% of study participants (up to a maximum of 3 per year or a total of 10 participants) thereafter on an annual basis, all study staff are required to receive HDFCCC training prior to working on trial.	Real time monitoring of AEs and SAEs monthly at site committees; DSMC monitors SAEs every eight weeks at DSMC Meetings

Moderate	Institutional Phase III therapeutic	Audit first three cycles of treatment in 20% of participants (up to a maximum of 3 per year or a total of 10 participants) on an annual basis., All study staff are required to receive HDFCCC training prior to working on trial.	Real time monitoring of AEs and SAEs monthly at site committees; DSMC monitors for SAEs every eight weeks at DSMC Meetings
Moderate	Institutional Phase IV/other therapeutic	Audit a pre-determined number of cycles of treatment	Real time monitoring of AEs and SAEs monthly at
Risk assignment	Study type	Monitoring	Surveillance
		and/or specific time period post-intervention (according to the window of risk for the intervention being studied as pre-defined in protocol) in 20% of participants on an annual basis. All study staff are required to receive HDFCCC training prior to working on trial.	site committees; DSMC monitors for SAEs every eight weeks at DSMC Meetings
Low	Non-therapeutic trials with research specific study procedures that are deemed above minimal risk (i.e., novel tracers for radiology trials)	Audit participants enrolled in trial once per year, with a total of 20% of participants reviewed, up to a maximum of ten total participants overall reviewed. All study staff are required to receive HDFCCC training prior to working on trial.	Real time monitoring of AEs and SAEs monthly at site committees; DSMC monitors for SAEs every eight weeks at DSMC Meetings
Minimal Risk	Non-therapeutic trials with minimal risk study procedures	Not responsible for auditing, all study staff are required to receive HDFCCC training prior to working on trial.	Real time monitoring of SAEs monthly at site committees; DSMC monitors SAEs every eight weeks at DSMC Meetings