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| Data and Safety Monitoring Board (DSMB) Charter  <Insert protocol title or DSMB name here> |

**C o n f i d e n t i a l**

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| --- | --- |
| **Name of Sponsor:** | <Insert name of sponsor or sponsor/ investigator> |
| **ClinicalTrials.gov ID:** | < Clinicaltrials.gov ID> |
| **Protocol Number:** | < Insert protocol number> |
| **Date of Charter:** | <Insert the date that the Charter is issued> |

[NIH Policy for Data and Safety Monitoring](https://grants.nih.gov/grants/guide/notice-files/not98-084.html)

# [NIAAA Guidelines for establishing and operating a Data and Safety Monitoring Board (DSMB)](https://www.niaaa.nih.gov/research/guidelines-and-resources/guidelines-establishing-and-operating-data-and-safety-monitoring)

****Sponsor Signature Page****

<Insert protocol title or DSMB name here>

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| **Reviewed and Accepted by sponsor:** | |  |
|  |  |  |
| <Name of Sponsor Representative> |  | Date |

1. STUDY OVERVIEW

* Study name: <insert title of trial/trial identifier>
* Study summary: <insert brief description of protocol>
* Study sponsor: <insert name of sponsor (and funding agency if different from sponsor>
* Study design: <list characteristics (multi-center/randomized/placebo-controlled)>
* Phase: <insert appropriate phase for device trial (feasibility/first-in-man/pilot/pivotal) or drug phase (I/II/III/IV)>
* Number of subjects: <insert number of subjects>
* Number of sites: <insert # of sites>

2 STATEMENT OF PURPOSE

## 2.1 Purpose of Data and Safety Monitoring Board

An independent Data and Safety Monitoring Board (DSMB) has been convened to assess the progress of a clinical study, the safety data, and critical efficacy endpoints (if appropriate) and provide recommendations to the sponsor. The members of the DSMB serve in an individual capacity and provide their expertise, including recommendations regarding the continuation, modification, or termination of any or all arms of the study. The DSMB will review cumulative study data to evaluate safety, study conduct, scientific validity and data integrity of the study.

## 2.2 Purpose of DSMB Charter

The purpose of this charter is to define the roles and responsibilities of the DSMB, delineate qualifications of the membership, describe the purpose and timing of meetings, provide the procedures for ensuring confidentiality and proper communication, and outline the content of the reports. This charter will serve as the Standard Operating Procedure (SOP) for the DSMB. The DSMB will be independent of the sponsor, regulatory agencies, IRBs and investigators.

3 DSMB MEMBERSHIP

* DSMB members are appointed by the clinical trial sponsor or by the Principal Investigator (PI). DSMB members sign confidentiality agreements covering DSMB activities.
* The Chairperson of the DSMB is selected among the voting members and has previous experience in monitoring clinical trials.
* Remuneration will be provided by the <study sponsor or funding agent> in accordance with standard procedures of the DSMB*.(delete if not applicable*)
* The Committee will be composed of *<insert number>* members (inclusive of the DSMB Chair). The DSMB includes experts in or representatives of the fields of <insert field of medicine pertaining to this study>, epidemiology, and/or clinical trials methodology.
* Quorum – A quorum will occur when < #> members are present.
* Each DSMB member will be expected to serve for the duration of the trial; in the unlikely event that a member is unable to continue participation, the reason will be documented and a replacement will be selected by <the sponsor or PI>.

4 COMPOSITION OF THE DSMB

Members of the DSMB are:

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| --- | --- | --- |
| **NAME** | **ROLE** | **EXPERTISE** |
|  | Chair |  |
|  |  |  |
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5 INDEPENDENCE OF THE DSMB

It is essential that the judgment of members of the DSMB not be influenced by factors other than those necessary to maintain subject safety, and to preserve the integrity of the study. Independence is essential to ensure that DSMB members are objective and capable of an unbiased assessment of the study's safety and efficacy data.

The following will ensure the independence of the DSMB:

Members of the DSMB will not participate as investigators in any study under review and will not be supervised by study investigators.

Members of the DSMB must not have a direct interest in knowing or influencing trial outcome or have a financial or intellectual interest in the outcome of any studies under review.

DSMB members must disclose all pharmaceutical companies, biotechnology companies, and CROs in which they hold financial interest. Members must disclose all consultancies (direct or indirect) with pharmaceutical companies, biotechnology companies, and CROs.

* The DSMB will follow conflict of interest guidelines referenced by <insert document name, e.g., Department of Health and Human Services, Financial Relationships and Interests in Research Involving Human Subjects: Guidance for Human Subject Protection (<http://www.hhs.gov/ohrp/humansubjects/finreltnn/fguid.pdf>)>.
* By agreeing to be a board member, the member is stating that there is no conflict of interest with regard to the trial under review by the DSMB.

6 RESPONSIBILITIES OF THE DSMB

DSMB members should only agree to serve if they are generally supportive of the study’s

overall aims and general design. This is because the study has already been through a scientific

review. The DSMB will consider study-specific data as well as current relevant background

knowledge about the disease, test agent, or patient population under study.

The responsibilities of the DSMB and its members are:

To evaluate, on an ongoing basis, the accumulating safety assessments to ensure the ongoing safety of study subjects

To consider factors external to the study when relevant information becomes available, such as scientific or therapeutic developments that may have an impact on the safety of the participants or the ethics of the study

To review all documents provided in the DSMB data review packets upon receipt

To review the conduct of the study, including protocol violations

To review data on participant recruitment, accrual, and retention, as well as assessments of data quality, completeness, and timeliness

Protect the confidentiality of the study data and the DSMB discussions

* Review specific interim analyses for efficacy (see Study Review Criteria/Stopping Rules and Guidelines)

To make recommendations to continue, modify, or terminate the study depending upon these analyses

* Operate according to the procedures described in this charter and all procedures of the DSMB.
* Follow conflict of interest guidelines as detailed in this charter (see DSMB Membership).
* Maintain documentation and records of all activities as described below (see DSMB Meetings, DSMB Reports).

7 DSMB CHAIR RESPONSIBILITIES

The following responsibilities are those of the DSMB Chair:

Serves as a voting member

Facilitates the meetings, assists in the development of the agenda, and ensures that the meeting minutes and recommendation(s) are appropriately documented

Serves as the primary contact person for the DSMB

Reviews and approves the Charter

Ensures that those involved in the day-to-day management of the study are excluded from DSMB voting procedures

Discusses DSMB recommendations with appropriate members of the study team.

Takes and maintains minutes from DSMB sessions, or delegates another member to do so.

**8 PRINCIPAL INVESTIGATOR (PI) RESPONSIBILITIES**

* The following activities are the responsibility of the PI
* Provides DSMB regularly scheduled reports 2 weeks prior to scheduling meetings
* Provides ad hoc reports requested by the DSMB in a timely manner
* Provides official DSMB reports to all study co-investigators
* Provises official DSMB reports to all IRBs associated with the study

9 MEETINGS OF THE DSMB

DSMB meetings may be an open, closed or executive session.

* **Open Session**

The purpose of the open session is to provide relevant information to the Board about general aspects of the trial. The open session may focus on: the background of the study, the protocol, status of the study, problems with accrual and follow-up, baseline demographic data, compliance issues, frequency of adverse events[[4]](https://www.niaaa.nih.gov/research/guidelines-and-resources/guidelines-establishing-and-operating-data-and-safety-monitoring" \l "_ftn4" \o "), documentation of endpoints, data quality issues, flow of forms, data based protocol modification issues, external monitoring of coordinating center operations in multicenter trials, and any other study-related issues that can be discussed without reference to interim comparative results. The principal investigator, co-investigators, and statisticians may attend the open session and present information during the meeting.

* **Closed Session**

During the closed session, the DSMB reviews and votes on all issues.  This session is usually attended by the DSMB members only. The principal investigator or clinical trial sponsor may attend the closed session at the request of the DSMB. During the closed session, the discussions should focus on: treatment safety, efficacy data, whether the primary study question has been answered, the interim results by treatment arm (usually masked), determination of when study data may be released, review of requests for access to the results of the interim analysis, and results of Board actions and recommendations made in the previous meeting.

* **Executive Session**

It is recommended that the DSMB have the option of conducting an executive session with DSMB members only. During these sessions, the Board may discuss any unmasked analysis of a blinded clinical trial and other sensitive issues related to the clinical trial.

## 9.1 Communications

<insert how communication will be conducted with regard to notification of meetings, etc.>

## 9.2 Meeting Format

<insert how the meeting will be conducted, how votes will be managed, etc.>

## 9.3 Materials

<insert what materials will be reviewed, how they will be distributed etc.>

## 9.4 Minutes

A formal report of the meeting minutes containing recommendations for continuation or modification of the study will be prepared by the DSMB Chairperson or designee.

10 RECOMMENDATIONS

The DSMB shall provide a meeting report to the clinical trial sponsor or principal investigator that includes the Board’s recommendation(s) and sufficient information to explain the rationale for any recommended changes. The report should also include the minutes of the open session. Meeting minutes of the closed or executive session should not be included, but rather a statement that a closed/executive session was held.  The draft report shall be reviewed, edited, and finalized by all Board members, and signed by the Board Chairperson prior to issuance to the clinical trial sponsor or the PI. The PI is responsible for forwarding the DSMB report and any recommendations to their IRB.

The DSMB can recommend that the current study continue without modification, continue with specified modifications, discontinue one or more arms of the study, or halt or modify the study until more information is available.

11 STUDY REVIEW CRITERIA/STOPPING RULES AND GUIDELINES

## 11.1 Individual Stopping Criteria

The DSMB will review data related to individual stopping criteria as detailed in the study protocol. The DSMB may recommend modifications to individual stopping rules if additional safety concerns arise during from their continuing reviews of the study data.

## 11.2 Study Stopping Criteria

The DSMB may recommend stopping the study for the following reasons *{keep*

*all that apply}*:

* The data show a significantly increased risk of serious adverse effects in one of the treatment groups.
* Interim efficacy analyses show significant treatment benefits or futility in the intervention group. The interim efficacy analyses are based on pre-specified stopping boundaries for the primary endpoint of the study.
* It becomes clear that successful completion of the study is not feasible (e.g. there is an excess of patient dropout, missing data, lack of recruitment etc).

If the DSMB votes to terminate the study, the DSMB chair will prepare a final study report for the DSMB and a final DSMB meeting will be held. The DSMB’s recommendations at the final DSMB meeting may include continuing action items to <sponsor, investigator(s)> based upon the final review.

12 AMENDMENTS TO THE CHARTER

This DSMB charter can be amended as needed during the course of the study. Information to be included as amendments will be any modifications or supplements to the reports prepared for the DSMB, as well as amendments to other information addressed in this charter.

<insert person responsible> will approve all changes to the Charter. All amendments will be documented with sequential version numbers and revision dates, and will be recorded in the minutes of the DSMB meetings. All versions of the charter will be archived in accordance with this document (see Document Retention section).

13 COMPLETION OF DSMB ACTIVITIES

<Insert when DSMB activities will be completed. This is often when all sites have completed enrollment and a final review of SAEs has taken place.>

14 DOCUMENT RETENTION

<insert appropriate sponsor regulations regarding document retention and specify who is responsible and where documents will be stored>

15 CONFIDENTIALITY

All data provided to the DSMB and all deliberations of the DSMB will be privileged and confidential. The DSMB will agree to use this information to accomplish the responsibilities of the DSMB and will not use it for other purposes without written consent from the <study sponsor, study steering committee> as specified in this document. Individual DSMB members must not have direct communication regarding the study outside the DSMB (including, but not limited to the investigators, IRB, regulatory agencies, or sponsor) except as authorized by the DSMB.

Appendix A: DSMB Member Signature Page

| **Member Information** | | |  |
| --- | --- | --- | --- |
| **Role: DSMB Chair \_\_\_\_\_ Member \_\_\_\_**  **Voting Rights: Yes \_\_\_\_ No \_\_\_** | | | |
|  | | | |
| **Name: \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_** | | | |
| **Affiliation: \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_** | | | |
| **Phone: \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_** | |  | |
| **E-mail address: \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_** | | | |
| **Re: DSMB Charter** | **Version Date: \_\_\_\_\_\_\_\_\_\_\_\_\_** | | |
| **I have reviewed the attached DSMB Charter and approve it as written. I understand my role as a member of this DSMB, and will adhere to the confidentiality and conflict of interest policies, as stated in this document.** | | | |
| **Signature: \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_ Date: \_\_\_\_\_\_\_\_\_\_\_\_\_** | | | |