**PROTOCOL STATEMENTS regarding Study Oversight**

**Medical Director**

It is the responsibility of the Principal Investigator to oversee the safety of the study. This safety monitoring will include careful assessment and appropriate reporting of adverse events as noted above, as well as adherence to the study protocol. Medical monitoring will include real time reporting (one business day) and an assessment annually of the number and type of adverse events. Additionally the medical monitor will be consulted for protocol exceptions and deviations and as needed for enrollment decisions. All decision or recommendation making reviews should be thoroughly documented and the documentation retained in the study records.

OR

Patient safety will be monitored continuously by sponsor-principal Investigator, (INSERT NAME). (INSERT NAME) will serve as the medical monitor the study. The principal investigator at each site has the primary responsibility for identifying potential adverse events experienced by study participants and reporting the experience as outlined in the protocol to the sponsor and to the IRB as required. The sponsor-investigator is responsible for reviewing these reports and making the final determination of relatedness, reporting to the medical monitor, and distributing reports to the other site investigator as needed.

**Medical Director (as part of the Data Safety Monitoring Board)**

An independent Medical Director will be recruited by the sponsor/investigator to monitor the study. The medical director will be independent of the study and operates independently of the principal investigator. The medical director will be a physician, practitioner with expertise in the relevant therapeutic field and will receive and review real-time reporting of any event that could potentially affect subject safety. The medical director will have access to all data, including adverse event data, through the electronic data capture system. The medical director will correspond via email to acknowledge and make inquiries, and/or recommendations regarding any items communicated by the sites or study team. In response to events reported by the study team, the medical director may make recommendations to the Data Safety Monitoring Board (DSMB), principal investigator, and/or sponsor to stop or pause the study or amend the study. All decision or recommendation making reviews should be thoroughly documented and the documentation retained in the regulatory binder/trial master file. The medical director will be part of the DSMB that will meet to review safety data during the conduct of the study.

**Data Safety Monitoring Board (DSMB)**

The data safety monitoring board will be composed of the medical director, the principal investigator, the biostatistician, and a sponsor representative, medical personnel with expertise in relevant therapeutic field. During the conduct of the study, the DSMB will meet on a regular basis (at least quarterly, and more frequently if necessary) to review accumulating safety data and monitor study conduct to ensure the continuing safety of the study subjects and address study conduct issues, including protocol deviations and exceptions.

**Data Safety Monitoring Board (DSMB) for sponsor/investigator studies (Higher Risk Studies)**

An independent DSMB will be established to protect participants through analysis of emerging data from the trial. The DSMB for this trial includes three medical experts not affiliated with the sponsor/investigator or the study. This DSMB will conduct safety reviews prior to dose escalation, enrollment of more than X participants. The DSMB will review all unanticipated problems involving risks to participants or others and assess serious adverse events for causality and relatedness and comment on their agreement with the principal investigator/site assessment.

The DSMB will be responsible for reviewing all safety data. The DSMB will, will not have access to investigational product randomization information. The DSMB will convene every X weeks, at regularly scheduled safety reviews. Ad hoc meetings may be scheduled as needed. The DSMB will be charged with advising whether there appears to be any safety concerns and to make recommendations regarding dose escalation, study pause, study termination, or amending the protocol or informed consent. A DSMB charter will be provided separately to define the membership, responsibilities and procedures for safety reviews. All reviews and recommendations of the DSMB will be documented.