

1 **Independent Academic Data Monitoring Committees for Clinical Trials in Cardiovascular**
2 **and Cardiometabolic Diseases**

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45

46 **Abstract**

47 Data monitoring committees (DMCs) play a crucial role in the conduct of clinical trials to ensure
48 the safety of study participants and to maintain a trial’s scientific integrity. Generally accepted
49 standards exist for DMC composition and operational conduct. However, some relevant issues
50 are not specifically addressed in current guidance documents, resulting in uncertainties regarding
51 optimal approaches for communication between the DMC, steering committee, and sponsors,
52 release of information, and liability protection for DMC members. The Heart Failure
53 Association (HFA) of the European Society of Cardiology (ESC), in collaboration with the
54 Clinical Trials Unit of the European Heart Agency (EHA) of the ESC convened a meeting of
55 international experts in DMCs for cardiovascular and cardiometabolic clinical trials to identify
56 specific issues and develop steps to resolve challenges faced by DMCs. The main
57 recommendations from the meeting relate to methodological consistency, independence,
58 managing conflicts of interest, liability protection, and training of future DMC ~~leaders~~members.
59 This paper summarizes the key outcomes from this expert meeting, and describes the core set of
60 activities that might be further developed and ultimately implemented by the ESC, HFA, and
61 other interested ESC constituent bodies. The HFA will continue to work with stakeholders in
62 cardiovascular and cardiometabolic clinical research to promote these goals.

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64 Keywords: clinical trials; data monitoring committees; data safety monitoring board; clinical
65 trials as topic; cardiovascular diseases

66

67 **INTRODUCTION**

68 Data monitoring committees (DMCs) play a key role in the conduct of clinical trials.
69 Their primary obligation is to ensure the safety of study participants while maintaining trial
70 integrity.¹ DMCs achieve these functions primarily through reviewing interim safety and
71 efficacy data, which assess the likelihood of harm, efficacy, or futility and the balance of risk
72 versus benefit, supplemented by existing knowledge and evidence external to the trial. Pre-
73 defined statistical guidelines serve as a construct for decision-making, but DMCs may
74 legitimately take action outside of these guidelines if the data are sufficiently compelling to do
75 so.

76 DMCs are required by regulatory authorities for some, but not all studies. Studies
77 requiring a DMC are typically large, later phase (usually phase 3), randomized, multi-center
78 trials that evaluate mortality or major morbidity outcomes. Early phase or feasibility trials may
79 also warrant a DMC if there is a potential for significant risks to subjects, or for complex, novel
80 therapies where little may be known about the array of potential responses to the study agent.^{2;3}
81 DMCs assembled for earlier phase studies may be responsible for multiple studies and often
82 continue through phase 3, or DMCs may be set up program-wide for more than one study in
83 parallel, to achieve continuity and maximize the DMC's experience with the therapy, which may
84 be particularly important for novel regimens.

85 Generally accepted standards exist for DMC composition and operational conduct.²⁻⁵
86 Often, some relevant issues are not specifically addressed in current guidance documents or
87 DMC charters, such as the communication structure between the DMC, steering committee, and
88 sponsors (specifically when DMC recommendations are not followed), release of information,
89 and liability protection for DMC members.

90 The Heart Failure Association (HFA) of the European Society of Cardiology (ESC), in
91 collaboration with the Clinical Trials Unit of the European Heart Agency (EHA) within ESC
92 recognized that independent, qualified, and experienced DMCs are an important vehicle for
93 protecting the integrity of cardiovascular clinical trials, and these areas of uncertainty warranted
94 discussion in an open forum. A meeting of international experts in DMCs for cardiovascular and
95 cardiometabolic clinical trials was organized in 2015 and supported by the HFA to identify
96 specific issues and advise steps to resolve challenges faced by DMCs. These societies
97 acknowledge that identifying experienced individuals without ~~prohibitive-significant~~ conflicts of
98 interest (i.e. potential for themselves or close personal connections to substantially benefit
99 financially, professionally, or intellectually from the trial results) who are willing to participate
100 on a DMC can be challenging. Finally, formal approaches are lacking to cultivate ~~the next~~
101 ~~generation of~~more qualified individuals to serve on DMCs, and the participants sought to use this
102 forum to explore training approaches for future DMC leaders and members. This paper
103 summarizes the key outcomes from this expert meeting.

104

105 **OVERVIEW OF THE ROLE OF THE DATA MONITORING COMMITTEE**

106 DMCs are primarily in place to ensure that patient safety is not compromised in an
107 ongoing trial, and these committees consider safety from several perspectives. The most
108 straightforward aspect is monitoring for emergence of serious or unexpected adverse events or
109 toxicities and stopping a trial for evidence of harm. For less severe safety signals, the DMC may
110 convey relevant information to the steering committee or study sponsor that triggers a protocol
111 amendment, increased surveillance, or additional training in studies that involve devices or
112 procedures. More complex considerations include stopping a trial early when there is

113 overwhelming evidence (i.e., beyond a reasonable doubt and statistically supported) of a
114 mortality or morbidity benefit, such that the trial can be brought to rapid completion to expedite
115 the availability of an effective therapy to the broader patient population, and to protect
116 placebo/control group and future patients from the risk of delayed access to treatment. However,
117 stopping early for benefit must be balanced against the risk of stopping too early on a “random
118 high” such that the results, once released, are misleading, uninterpretable, or insufficiently
119 convincing to obtain regulatory approval/marketing authorization, change clinical practice, or
120 satisfy payers.⁶⁻¹¹ A trial stopped inappropriately early also faces the ethical problem of wasting
121 the contributions of study participants if the data are ultimately not informative. DMCs are also
122 charged with protecting subjects from assuming unnecessary risks of clinical trial participation
123 when a study appears to be futile (i.e., no chance for participating patients to benefit). Both
124 industry and publicly funded trials may consider futility analysis to avoid wasting limited
125 resources. However, declaring futility also assumes risks, such as the potential for missing a
126 delayed treatment effect, an effect on important secondary endpoints, or definitive evidence of
127 neutrality which is important information especially for marketed products (Table 1).

128 DMCs may also provide recommendations for clinical trial operations to the extent that it
129 impacts the DMCs ability to effectively monitor safety (e.g., timeliness of adjudication and
130 obtaining source documentation, interim data, or event reporting) or if study integrity is at risk
131 (e.g., minimizing missing data or dropouts, avoiding excessive regional variation in application
132 of guideline-directed medical therapy). DMCs are becoming more pro-active in recognizing
133 problems that may impact study integrity as they are occurring in real-time. For example, the
134 DMC in the Treatment of Preserved Cardiac Function Heart Failure with an Aldosterone
135 Antagonist Trial [TOPCAT] (e.g., reviewed characteristics and event rates of enrollment of

136 ~~inappropriate populations~~ patients and made recommendations for subsequent enrollment as well
137 ~~as substudies to assess heart failure severity during the trial¹²) as they are occurring in real time.~~
138 DMCs can also be responsible for other functions, such as recommending protocol adjustments
139 for sample size or dose selection based on accrued data for studies with adaptive designs (i.e.,
140 where the study design can be modified at planned interim analyses, controlling for type I
141 error^{13:14}) according to a valid, pre-specified plan.¹⁵

142 The DMC charter should include the responsibilities of the DMC, its structure, format for
143 reports, statistical guidelines for recommending trial termination, contractual and
144 indemnification information, processes for conducting open meetings (may include sponsor,
145 steering committee, study personnel to facilitate sharing information relevant to study progress
146 but interim data are not discussed) and closed sessions (limited to DMC members and the data
147 center statistician since interim data are discussed), procedures to ensure confidentiality, and
148 communication pathways.^{4;16;17} Although charter templates have been proposed,¹⁶ none have
149 been uniformly adopted.

150

151 **IMPORTANCE OF AN INDEPENDENT DATA MONITORING COMMITTEE**

152 Independence is an attribute that is necessary for the DMC to perform its intended
153 function. The DMC must be free to evaluate the data, request analyses, and make
154 recommendations without influence (or the perception of influence) from the sponsor, steering
155 committee, investigators, or other parties involved in the trial. DMC members should have no
156 other involvement with the trial and maintain strict confidentiality with regards to interim data.
157 Relevant financial or intellectual conflicts of interest should be avoided or mitigated.

158

159 **Conflicts of Interest**

160 Independence as it relates to a DMC can be complex. Steering committee members may
161 propose potential candidates to serve on a DMC to the study sponsor. ~~Although sponsors may~~
162 ~~sometimes~~ propose and choose DMC membership without steering committee input, ~~it is~~
163 ~~discouraged~~. It is pertinent to note that the term “sponsor” is a single term but it can describe
164 different entities or roles, depending on the study. The sponsor generally maintains final
165 responsibility for the study, and may be the “owner” of the data and results, but the sponsor is
166 not necessarily the funding source, and the funding source is not necessarily a commercial
167 company. It is important to note that DMCs are in place to protect patient safety and the overall
168 integrity of the trial, which is in the interest of all stakeholders (i.e., patients, investigators,
169 sponsors, clinicians). However, remuneration for DMC services could be perceived as a conflict.
170 Serving on a DMC requires considerable expertise and time commitment; thus, reasonable
171 compensation commensurate with the time commitment and work involved is justified and in
172 accordance with regulatory guidance,³ although no compensation standards are available.
173 Involving highly knowledgeable individuals on a DMC is desirable, but these individuals may be
174 more likely than non-experts to have conflicts that need to be managed.¹⁸ Although some
175 conflicts may exist, DMC members should not have relationships that would result in significant
176 financial, academic, intellectual, career, professional advancement, or other gains for themselves,
177 their family members, or other close personal relationships based on the trial outcome.¹⁷
178 Potential conflicts should be initially disclosed, and comprehensive reporting at routine intervals
179 (i.e. every 6 to 12 months) should occur throughout the study. Using contract or academic
180 research organizations, professional organizations such as the HFA, or other third parties
181 independent of the sponsor to handle contracts and payments to DMC members has been

182 proposed as a method to manage conflicts. The structure of the contractual relationship should
183 be transparently provided in legal documents and the “independence” of the third party should
184 also be clearly described. T, but this approach has not yet been systematically implemented.^{4;17}
185 and whether it would promote more efficient management of potential conflicts or create
186 reporting inefficiencies remains to be determined.

187

188 **Liability**

189 The issue of liability has been raised as a theoretical concern among DMC members.¹⁷⁻²⁰

190 The lay public and legal personnel are unlikely to appreciate the nuances of interpreting

191 fluctuations in interim data, and they may fail to understand how early data may be misleading.¹⁹

192 In the context of a litigious society, DMC members may be appropriately concerned that

193 uninformed misinterpretations of safety data could expose them to legal action.²⁰ Although

194 actual cases have not yet been reported, many DMC members are concerned about potential

195 legal action taken by patients who feel they have been harmed by participation in a study (and

196 not adequately protected by the DMC), patients enrolled in placebo or standard therapy arms

197 when the therapy tested is ultimately shown to be advantageous (i.e. holding DMC members

198 liable for recommending that a study continue), or investors (e.g., either for allowing a study that

199 was negative to continue or for not stopping a positive study earlier). ~~Many s~~Sponsors ~~may de~~

200 not provide indemnification of DMC members, a factor which may be a disincentive to DMC

201 participation or unduly influence DMC decision-making.²⁰ Several authors have called for

202 indemnification of DMC members by the study sponsor, which should include support to cover

203 legal counsel for the DMC member independent from the sponsor’s legal counsel to avoid legal

204 conflicts of interest.^{4;19;20}

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Communication with Steering Committee and Sponsor

Processes for communication should be clearly specified in the DMC charter.

Opportunities for inadvertent, informal communication between the DMC and other parties involved in the trial should be minimized; for instance, the DMC should avoid sponsor hospitality or advisory boards. Interactions among these groups should be conducted under a principle of maintaining confidentiality of interim results,²¹ since release of interim data could bias investigators, study personnel, potential study enrollees, and the general public, and damage the integrity of the trial (e.g., Rosiglitazone Evaluated for Cardiac Outcomes and Regulation of Glycemia in Diabetes [RECORD], Simvastatin and Ezetimibe in Aortic Stenosis [SEAS]).^{22;23}

The steering committee or sponsor may discuss blinded data with the DMC when appropriate to inform them about the overall study progress, status of endpoint adjudication, or adverse event reporting.²⁴ In the context of adaptive designs, a limited group from the sponsor may interact with the DMC and have access to unblinded data, but beyond this purpose the authors strongly view that unblinded data should never be shared with the study sponsor, steering committee, investigators, or other study personnel that are involved with potential protocol changes or whom have contact with investigators, unless the DMC is recommending premature termination, a position that is in agreement with regulatory standards (Figure 1).^{2;3} Even with strict data confidentiality procedures in place, release of unblinded interim data for any purpose (e.g., planning of phase 3, regulatory submissions, business purposes) can have detrimental and irrecoverable effects on the integrity of an ongoing trial (e.g., naltrexone/bupropion).²⁵ While representation of government sponsors, including project officers and other administrative staff, during DMC meetings sometimes occurs,²⁴ the authors of this paper discourage such

228 involvement since the government sponsor’s role is to select centers, monitor progress, and
229 financially support a clinical trial. Minimally, unblinded staff should not participate in
230 discussions or decisions to modify the protocol or be in a position to directly or indirectly,
231 knowingly or unknowingly, convey information about interim data to others involved in the
232 study.

233 In special circumstances, regulatory agencies may request information from the sponsor
234 on interim, unblinded data when adverse events of concern have been observed in other studies
235 of the same drug, drug class, or device. The DMC may provide this information to regulatory
236 agencies if the sponsor agrees with the request. However, regulatory actions taken in response to
237 the interim data may have major implications on the ability of the study to continue to
238 completion. Thus, before undertaking this approach, regulatory agencies should give careful
239 consideration to all factors, including the strength of the safety signal, quantity of the data,
240 potential for exposure of the general public (e.g., if the study involves a commercially available
241 drug), potential for the action to result in premature cessation of the study, and loss of the ability
242 to achieve a precise answer to the research question of interest. Rather than request access to
243 unblinded data, it may be preferable for regulatory agencies to communicate with the sponsor
244 and request that the DMC undertake closer monitoring for a specific adverse event and allow the
245 DMC to review the data and make appropriate recommendations regarding study continuation or
246 termination. However, this may lead to problems in practice, and regulatory authorities may
247 have to take their own, independent, responsibility (e.g., Aliskiren Trial to Minimize Outcomes
248 in Patients with Heart Failure [ATMOSPHERE]).^{26,27} Clear communication between the
249 regulators, sponsor, steering committee, and DMC ~~and regulators~~ can help to ensure optimal
250 decisions are made that both protect patient safety and trial integrity. These groups should

251 jointly develop processes to streamline interactions (e.g., sharing statistical analysis plans rather
252 than unblinded data in certain circumstances), which might help resolve difficult situations
253 without compromising the role and responsibilities of either group.^{26;27}

254 The DMC acts in an advisory capacity to the executive leadership of the trial and the
255 study sponsor. They make recommendations, which the steering committee and/or sponsor must
256 decide whether or not to follow. Cases have arisen where steering committees or sponsors chose
257 not to follow the recommendation of the DMC.²⁸ Likewise, cases have arisen where sponsors
258 have chosen to release information without involving the DMC (e.g., RECORD, SEAS,
259 naltrexone/bupropion).^{22;23;25;29} The DMC charter should describe the course of action that will
260 be taken in the case of such disagreements (e.g., clear reporting structure to delineate which party
261 has final decision-making capabilities, processes that will be implemented to resolve
262 disagreements and achieve consensus such as use of a third-party expert panel to act as
263 arbitrator).

264

265 **IMPORTANCE OF AN EXPERIENCED DATA MONITORING COMMITTEE**

266 The need for an experienced DMC, particularly the committee chair, has been
267 underscored by other authors^{4;17} and regulatory guidance documents.^{2;3} DMCs should ideally
268 comprise 3-5 members, including ideally a specialized statistician with experience in
269 cardiovascular clinical trials and physicians who have clinical training and experience in the field
270 relevant to the specific study, which might extend beyond the immediate disease state of interest
271 to other fields (e.g., hepatology, nephrology, neurology, oncology) if there is pre-existing
272 concern about specific adverse events or toxicities. The data center statistician is a non-voting

273 contributor who should have pertinent experience to construct reports, may maintain minutes,
274 and will ensure confidentiality of interim data and DMC proceedings.¹⁷

275 Prior participation in steering committees is desirable preparation for individuals
276 interesting in serving on a DMC. Important knowledge is generated through this experience
277 regarding clinical trial protocol design, study execution and operations, and DMC interactions
278 that cannot be obtained through seminars, training modules, or reading textbooks or journal
279 articles on the topic.³⁰

280 The need to ~~educate the next generation of~~ prepare more individuals for DMC
281 ~~servicemembers~~ has been acknowledged (Table 2).^{4;17;30;31} Membership on a DMC involves
282 reviewing data and making decisions that can be highly nuanced, concepts which are challenging
283 to convey in didactic type training programs.³⁰ Mentoring programs are one mechanism that
284 could be implemented to provide opportunity for individuals to participate as ~~junior (non-voting)~~
285 DMC members, alongside experienced DMC members, to gain the skills required for
286 independent DMC service. These programs should be extended to individuals at any career
287 stage. Targeting early career individuals will provide an opportunity to realize many years of
288 qualified service for the training investment. However, late career individuals represent a
289 valuable resource in terms of clinical and research experience, and may have less competing
290 responsibilities than early or mid-career investigators. Sharing DMC experiences after a trial has
291 concluded through publications^{7;28;32-34} or other avenues of dissemination (e.g., supplementary
292 material available with the primary publication, postings on clinical trial registry database
293 websites) is also encouraged as a means to educate current and future DMC members and to
294 achieve transparency in the DMC process. The substantial contribution that DMCs often make
295 to clinical trials deserves greater recognition, which might include being a co-author on papers of

296 study design or primary results, although the potential for introduction of academic or
297 intellectual bias should be considered.
298

299 **ROLE OF THE HEART FAILURE ASSOCIATION AND EUROPEAN HEART** 300 **AGENCY**

301 A key objective of the HFA workshop was to identify areas where HFA, ESC constituent
302 bodies, and the EHA could contribute to strengthening the utilization of DMCs in cardiovascular
303 and metabolic clinical trials. Several areas of potential involvement were identified and will be
304 further explored and developed by the leadership of these organizations.
305

306 **Develop Registry of Data Monitoring Committee Members**

307 The importance of access to experienced DMC members was a recurring theme raised
308 during the workshop. DMC members may be selected on the basis of recommendations from the
309 steering committee or industry sponsor, but smaller companies or newcomers to the field may
310 have less knowledge about suitable individuals for DMC service or may lack access to them.
311 The HFA in collaboration with other ESC constituent bodies (i.e., the Clinical Trials Unit of the
312 ESC) could create a registry of potential DMC members, including information on past steering
313 or DMC committee experience and unique expertise they may have in specific disease states or
314 novel therapeutics. This would be a valuable resource for Steering Committees and Sponsors,
315 while also serving to enhance the independence of the DMC since potential members would be
316 first identified by querying the HFA DMC registry rather than by direct nomination from the
317 sponsor or steering committee.
318

319 **Advisory Body for Data Monitoring Committees**

320 Managing conflicts of interest was also emphasized during the workshop as a concern for
321 modern DMCs. Conflict of interest information would also be maintained in the registry, and
322 individuals with conflicts that could not be adequately managed (according to clearly pre-defined
323 criteria) would be excluded from selection. For individuals where potential, but manageable,
324 conflicts were present, the HFA or other relevant ESC constituent bodies could advise steps to
325 further mitigate the conflict (e.g., discontinue consultant or advisory activities during the course
326 of the trial). Finally, HFA or other relevant ESC constituent bodies could lobby sponsors to
327 provide indemnification with language that protects DMC members from liability and ensures
328 individual legal counsel will be provided in the event it is needed.

329

330 **Develop Training Modules and Facilitate Mentorship Programs**

331 The suggested DMC registry would also provide infrastructure to match ~~junior~~
332 investigators interested in gaining DMC experience with seasoned DMC members willing to
333 provide mentorship opportunities. The mentorship program would combine web-based training
334 modules with real-life, hands-on experience within a DMC (Table 2). Trainees would be non-
335 voting members of the DMC and would gain exposure to all aspects of the DMC process,
336 including developing a charter, regulatory requirements and expectations for DMCs, reviewing
337 DMC reports, participating in open and closed DMC sessions, and exposure to communication
338 pathways between the DMC, sponsor, steering committee, investigators, and regulatory bodies.
339 The HFA encourages publication of DMC proceedings after completion of those trials where
340 “lessons learned” would be of value for future DMCs. HFA, and more broadly ESC, may be

341 positioned to facilitate the transparent reporting and public dissemination of this information
342 through its journal, website, and annual meeting.

343

344 **CONCLUSION**

345 Data monitoring committees play a vital role in protecting human subjects enrolled in
346 clinical trials, and they instill confidence that the integrity of the trial is intact and the data are
347 reliable. The increasingly widespread use of DMCs is accompanied by concerns related to their
348 independence, conflicts of interest, liability protection, and a lack of qualified individuals for
349 DMC service. The topic of DMCs is often discussed in the literature and academic circles, but
350 few efforts have been adopted to address these challenges. During the workshop, the HFA
351 suggested a core set of activities that might be further developed and ultimately implemented to
352 impact these areas. The HFA will continue to advise stakeholders in cardiovascular and
353 cardiometabolic clinical research to promote the integration of independent DMCs in clinical
354 trials where needed, protect the interests of those serving as DMC members, and cultivate ~~the~~
355 ~~next generation of~~ highly skilled individuals for DMC service.

356

357 **Figure Legends**

358 Figure 1. Ideal Communication Pathways for Unblinded Data

359 Figure represents a “firewall” around the DMC (denoted by thicker border), where one-way
360 input to the DMC can be provided by regulatory authorities or external DMCs, usually with the
361 knowledge or approval of the steering committee or sponsor. One-way output of unblinded data
362 to the steering committee or sponsor only occurs when premature termination is recommended,
363 although partial flow of unblinded information may occur between a small group of people
364 within the steering committee or sponsor in an adaptive design. The only two-way
365 communication of blinded data occurs between the DMC and the data center statistician.

366 *Regulatory bodies may request (with the knowledge/approval of the steering committee or
367 sponsor) that the DMC monitor specific events if concerns emerge from external trials or data.

368 †Other DMCs may suggest specific events for monitoring if concerns emerge from ongoing
369 external trials (with the knowledge/approval of the steering committee or sponsor).

370 ‡Blinded data may be communicated between the DMC and steering committee and/or sponsor
371 when the DMC has concerns about issues that affect the quality of the study (e.g., concerns about
372 data integrity, timeliness of reporting adverse events, concerns about the nature of the patients
373 enrolled)

374

375 ARO, academic research organization; CRO, contract research organization; DMC, data
376 monitoring committee; EC, ethics committee; IRB, institutional review board

377

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381

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384

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Table 1. Overview of DMC Monitoring Decisions

| Decision | Considerations | Examples of studies (not intended to be comprehensive) |
|------------------------------------|---|---|
| Stopping for harm ^{11;28} | <ul style="list-style-type: none"> • Evidence of harm that creates an unfavorable balance between risks and potential benefits • Review interim data more frequently • For known or suspected safety issues, stopping boundaries may be defined; often less stringent than applied when stopping for benefit or futility • Safety is multi-factorial and less amenable to statistical planning. Unexpected safety signals need to be interpreted in the context of multiplicity, biologic plausibility, | <ul style="list-style-type: none"> • ILLUMINATE • PALLUS • MOXCON • CAST • PROMISE • HERS • ALLHAT • TRACER |

Table 1. Overview of DMC Monitoring Decisions (continued)

| Decision | Considerations | Examples of studies (not intended to be comprehensive) |
|--------------------------------------|--|--|
| | external data, and the anticipated benefit. | |
| Stopping for benefit ⁶⁻¹¹ | <ul style="list-style-type: none"> • Should be based on proof beyond a reasonable doubt that a treatment effect is adequately robust to allow a benefit:risk assessment sufficient to impact clinical practice and regulatory decision-making for pivotal trials • Pre-specified statistical stopping guidelines should be more stringent early in the trial when the number of events is likely to be small • Stopping for benefit should not be considered until at least one-half of | <ul style="list-style-type: none"> • ASCOT • CIBIS-II • MERIT-HF • COPERNICUS • RALES • A-HeFT • EMPHASIS • MADIT • MADIT II • MADIT-CRT • COMPANION • PARADIGM-HF |

Table 1. Overview of DMC Monitoring Decisions (continued)

| Decision | Considerations | Examples of studies (not intended to be comprehensive) |
|---|--|--|
| | <p>the patients have been enrolled or one-half of the expected events have accumulated</p> | <ul style="list-style-type: none"> • Physician’s Health Study • DCCT |
| <p>Stopping for futility¹¹</p> | <ul style="list-style-type: none"> • Stopping for futility should not be considered until at least one-half of the patients have been enrolled or one-half of the expected events have accumulated • Should consider potential for loss of information on clinically relevant secondary endpoints, safety, a delayed treatment effect, definitive evidence of neutrality, or other important | <ul style="list-style-type: none"> • PERFORM • CONSENSUS II (stopped for futility + harm in other endpoints) • ALTITUDE (stopped for futility + harm in other endpoints) • EchoCRT |

Table 1. Overview of DMC Monitoring Decisions (continued)

| Decision | Considerations | Examples of studies (not intended to be comprehensive) |
|-----------------|--|---|
| | <p>knowledge that may be generated by the trial</p> <ul style="list-style-type: none"> • Predictive and conditional power are useful concepts when considering futility | |

ALLHAT = Antihypertensive and Lipid-Lowering Treatment to Prevent Heart Attack Trial; ALTITUDE = Aliskiren Trial in Type 2 Diabetes Using Cardiorenal Endpoints; CAST = Cardiac Arrhythmia Suppression Trial; DCCT = Diabetes Control and Complication Trial; EchoCRT = Echocardiography Guided Cardiac Resynchronization Therapy; HERS = Heart and Estrogen/Progestin Replacement Trial; ILLUMINATE = Investigation of Lipid Level Management to Understand its Impact in Atherosclerotic Events; MERIT-HF = Metoprolol CR/XL Randomized Intervention Trial in Chronic Heart Failure; MOXCON = Moxonidine Congestive Heart Failure Trial; PALLUS = Permanent Atrial Fibrillation Outcome Study Using Dronedarone on Top of Standard Therapy); PERFORM = Prevention of Cerebrovascular and Cardiovascular Events of Ischemic Origin with Terutroban in Patients with a History of Ischemic Stroke or Transient Ischemic Attack; PROMISE = Prospective Randomized Milrinone Survival Evaluation; RALES = Randomized Aldactone Evaluation Study; TRACER = Thrombin Receptor Antagonist for Clinical Event Reduction in Acute Coronary Syndrome

Table 2. Methods of Training Future DMC Members

| | Type of Training | | |
|---------|--|---|--|
| | Web-based Didactic Training Modules | Training Workshops (1-2 day) | Hands-on Training |
| Content | <ul style="list-style-type: none"> • Review of regulatory guidance involving DMCs • Discussion of charter and what should be included • Introduction to contractual agreements and indemnification considerations • Introduction to viewing and interpreting sample interim data reports • Methods and processes to maintain appropriate firewalls between DMC and other study personnel • Presentation of case examples | <ul style="list-style-type: none"> • Presentation of case studies from past real-life DMC experiences and interactive discussion about possible actions, DMC decision making and implications • Basic training on statistical issues including stopping rules and analysis of safety data • Interpretation of data reports • Sample exercises for writing a DMC charter | <ul style="list-style-type: none"> • Assign trainee to a DMC as non-voting DMC member • Partner trainee with experienced DMC member, provide mentorship • Participate in all aspects of DMC (e.g., drafting charter, reviewing contracts, negotiating indemnification, review of protocol and analysis plan, review of draft data report, review of actual data reports, participation in all meetings, including sponsor or steering committee interactions) |