Yale Cancer Center Investigator Initiated Trial Advisory Committee

Charter

Version 1.0

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1.0   DEFINITIONS

Ancillary clinical trials*:* Studies that are stimulated by, but are not a required part of, a main clinical trial/study, and that utilize patient or other resources of the main trial/study to generate information relevant to it. Ancillary studies must be linked to an active clinical research study and should include only patients accrued to that clinical research study. Only studies that can be linked to individual patient or participant data should be reported.

Behavioral clinical trials*:* Studies among cancer patients and healthy populations that involve no intervention or alteration in the status of the participants, e.g. surveillance, risk assessment, outcome, environmental, and behavioral studies.

Correlative clinical trials*:* Laboratory-based studies using specimens to assess cancer risk, clinical outcomes, response to therapies, etc. Only studies that can be linked to individual patient or participant data should be reported.

Clinical Research Team (CRT): Disease and/ or modality-specific study teams who promote translational research at Smilow Cancer Hospital and its network of affiliated care centers through scientific discovery, testing new discoveries in the clinics and, ultimately, turning new innovations into viable disease-specific therapeutics.

Interventional clinical trials: Individuals are assigned prospectively by an investigator based on a protocol to receive specific interventions. The participants may receive diagnostic, treatment, behavioral, or other types of interventions. The assignment of the intervention may or may not be random. The participants are followed and biomedical and/or health outcomes are assessed.

Investigator-initiated clinical trials (IIT)*:* Also referred to as institutional clinical trials. In-house clinical research studies authored or co-authored by Yale Cancer Center investigators and undergoing scientific peer review solely by the Protocol Review and Monitoring System of the Yale Cancer Center. The Yale Cancer Center investigator has primary responsibility for conceptualizing, designing, and implementing the clinical research study and reporting results. It is acceptable for industry and other entities to provide support (e.g., drug, device, other funding), but the trial should clearly be the intellectual product of the center investigator. This category may also include:

- Institutional studies authored and implemented by investigators at another Center in which your Center is participating
- Multi-Institutional studies authored and implemented by investigators at your Center (Note: National and externally peer-reviewed studies should be listed with those categories, not as Institutional studies)

Observational clinical trials: Studies that focus on cancer patients and healthy populations and involve no prospective intervention or alteration in the status of the participants. Biomedical and/or health outcome(s) are assessed in pre-defined groups of participants. The participants in the study may receive diagnostic, therapeutic, or other interventions, but the investigator of the observational study is not responsible for assigning specific interventions to the participants of the study.

Treatment trials: Protocol designed to evaluate one or more interventions for treating a disease, syndrome, or condition.

2.0   MISSION

The mission of the Yale Cancer Center (YCC) Investigator Initiated Trial (IIT) Advisory Committee is to support IIT protocol development to ensure YCC-investigator initiated research is highly successful and impactful.

The IIT Advisory Committee functions to:
1. Support PIs in the planning and scientific development of investigator-initiated trials (IITs) to improve the feasibility, scientific merit, and success of YCC IITs.
2. Create and foster a research culture that yields highly impactful YCC-investigator initiated research which aligns with the YCC mission and meets the needs of the catchment area.
3. Offer consultation to PIs regarding collaboration with external entities, third-party vendors, and internal partners.
4. Facilitate access to protocol development support, project management, regulatory management, statistical support, and budget development resources.
5. Review trial feasibility and financial viability.

2.1   Scope

The IIT Advisory Committee will review protocols initiated by a Yale investigator that cover a broad scope of interventional studies that are cancer and cancer-relevant.

Non-interventional studies, such as quality of life studies and observational studies, may be reviewed at the discretion of the IIT Advisory Committee chair or upon PI request. Non-clinical, non-hypothesis driven research, such as retrospective chart reviews, biorepositories, tissue banks and single patient investigational new drug applications, are exempt from review by this committee.

3.0   AUTHORITY

The IIT Advisory Committee was constituted at the direction of the Cancer Center Director. The committee facilitates access to institutional support resources and works collaboratively with the PI and interdepartmental partners to put forward YCC-investigator initiated research of the highest quality and design. The IIT Advisory Committee ultimately provides a determination letter indicating the Committee agrees the project can continue to regulatory submissions, or outlines items that must be addressed prior to submission to regulatory authorities.

4.0 MEMBERSHIP

4.1 Composition

The IIT Advisory Committee is a multidisciplinary cross-section of faculty and staff engaged in cancer and cancer-related clinical research. The composition of the committee is designed to encourage collaboration across Clinical Research Teams (CRTs), the Community Engagement and Outreach (COE) team, and YCC Research Programs,; to provide a broad perspective of constructive feedback, discuss operational considerations specific to the project, and offer an opportunity for real time discourse.

Committee members include CRT Leaders, COE representative, Associate Professor-level or higher faculty engaged in cancer and cancer-related clinical research, and basic scientists. Non-member meeting attendees may include Yale staff engaged in cancer and cancer-related clinical research. Non-member attendees fill an advisory role and may include scientific writers, Clinical Trial Project Management, the Investigational New Drug (IND)/ Investigational Device Exemption (IDE) Management Office, Business Office, Research operations staff, and YCC leadership.

4.2 Terms

The Chair and members of the IIT Advisory Committee are appointed by the Cancer Center Director. Members are appointed for a three-year term. Reappointment may occur when a member has successfully completed a term and wishes to remain on the committee. The IIT Advisory Committee Chair may recommend reappointment of a member after assessing the member's contribution over the course of the term, meeting attendance, meeting preparation and the current and future needs of the committee. Reappointment terms are for the same duration as initial terms, i.e., three years. One reappointment can be made for a total term of six years. Exceptions may be made, depending on individual circumstance and committee need.

4.2.1 Evaluation of Members

Whenever a member leaves the committee, the IIT Advisory Committee Chair will perform an assessment of the membership composition. The assessment considers areas of expertise and committee needs in addition to ongoing member's rate of attendance and participation in meetings. The Chair may consult senior members of the YCC leadership team for membership recommendations.

Decisions regarding new member recruitment and additional non-member attendee involvement will be made to ensure that the committee has the expertise and knowledge required for appropriate review of the research within the scope of the committee.

4.3 Duties

4.3.1 Chair

The IIT Advisory Committee is appointed by the Cancer Center Director. In the event the Chair cannot attend a meeting, a senior member will assume the responsibilities of the Chair for the meeting. The Chair will identify the senior member to fill the role of Chair in their absence.

The Chair duties include, but are not limited to:
- Attending meetings

- Following up on committee actions
- Ensuring timely execution of correspondence
- Completing reviews
- Communicating with PIs regarding committee recommendations and feedback
- Embody and maintain a culture of collaboration and support in the context of committee reviews
- Build consensus among members for determinations
- Reviewing meeting agendas
- Reviewing and approving meeting minutes
- Evaluating member attendance and performance
- Recommending appointment of members
- Mentoring members
- Evaluating committee composition

4.3.2   Members
Members are appointed by Cancer Center Director.

Member duties include, but are not limited to:
- Attending meetings
- Completing reviews
- Contributing to the discussion

4.3.3   Non-Member Attendees
Non-member attendees are invited by the IIT Review Committee Chair.

Non-Member Attendee duties include, but are not limited to:

- Attending meetings

5.0   ROLES AND OBLIGATIONS

5.1   Principal Investigator
The PI or their designee is responsible for submitting all required documents for committee review. The PI must attend the committee meeting where the submitted concept is being discussed. Advance notice (at least one business day, when feasible) must be given to the Chair and Research Oversight Committee staff if the PI cannot attend a scheduled meeting. The PI will present the concept to the committee and answer any questions that arise before, during and after review.

5.2   CRT Leader
The CRT Leader must endorse in writing proceeding with development of the concept and submission to the IIT Advisory Committee.

5.3   Research Oversight Committee Staff
YCC CTO Research Oversight Committee staff administratively coordinate the committee meetings. This includes but is not limited to:
- Triaging submission materials

- Notifying PI of assigned review date
- Preparing the agenda and meeting materials
- Sending meeting materials to the members in advance of the meeting
- Setting up virtual conferencing or preparing the meeting room including audio-visual equipment
- Documenting attendance
- Preparing high level meeting minutes
- Obtaining approval from Chair of meeting minutes
- Maintaining committee activity tracking document(s) and metrics
- Preparing and sending committee communications

6.0 PROCEDURES

6.1 Submission Requirements

Submissions are made electronically by submitting an initial intake form. Submissions are reviewed on a rolling basis and will be assigned to an agenda based upon the order in which they were received. A complete submission must be received in advance of the scheduled meeting to be included on the agenda. Incomplete submissions will not be assigned to a meeting.

Submissions for the concept review (initial review) must include the following unless otherwise noted:

- IIT Advisory Committee Submission Form
- Written endorsement of applicable CRT Leader
- Concept Synopsis
- Slides outlining the project (3-4 slides)

Submissions for the protocol (second level) review must include the following unless otherwise noted:

- Funding commitment letter
- Protocol
- IND/IDE management sign-off
- Project management sign-off
- Financial
  - Medicare Coverage Analysis Results
  - Full cost study budget

Additional items may be requested at the discretion of the Chair.

6.2 Committee Review

The committee reviews each submitted study initially to review scientific merit and feasibility. The IIT Advisory Committee reviews each project at two timepoints. The first review is at the time of initial concept, ideally prior to discussions with external parties or development of the study protocol.

Review of the concept may include discussion of the following:

1. Scientific Considerations:
   - Planned Endpoints
   - Population Considerations

- Industry Landscape Assessment
2. Operational Considerations:
     - Regulatory Requirements
     - Research team support (i.e., YCC CTO (including CRSL))
     - Potential Funders
     - Funder Relationships (Collaboratives)
3. Financial Considerations:
     - High Level Budget Scenario Review
     - Funding Expectations
4. Review of Resources & Next Steps
     - Scientific Writer to support Protocol Development
     - Biostats Consultation
     - IIT Project Manager
     - IND/IDE Support
     - Budget Development

The second review is a Scientific Review conducted by the Committee Chair or designee . Review of the submission ready protocol will include review of the following:
1. Funding received and project costs
2. Final protocol with schedule of events

A final YCC administrative review will be conducted after the Scientific Review to ensure site level feasibility and final budgetary considerations. A final approval letter is issued post- administrative review.

6.3   Determinations
The possible committee determinations of a concept review are:
- <u>Acceptable for resource allocation</u>: The concept is scientifically sound, the meets the needs of the catchment area and aligns with the YCC mission. The IIT Advisory Committee supports deployment of YCC resources to support further development.
- <u>Hold pending revisions</u>: Further concept reviews and clarifications required before deployment of YCC resources to support further development.
- <u>Deferred</u>: Protocol could not be reviewed during scheduled meeting and will be reviewed at the next available meeting. Among other reasons, a study may be deferred because the submission was found to be incomplete, the PI did not attend the committee meeting, the CRT Leader did not provide written endorsement of the protocol and/ or the committee did not have quorum to hold a meeting.

The possible Scientific Review determinations of a protocol review are:
- <u>Approve As Is</u>: Protocol is well written, funding is appropriate or alternative funding arrangements are in place, expected to succeed and ready for submission back to YCC Administrative Operational Review.
- <u>Revisions Requested</u>: Protocol requires further development and refinement or a sufficient financial support plan is not in place. Specific comments noting areas of concern will be sent to

PIs in writing. IIT will require re-review by the IIT Advisory Committee once revised.

A memo is provided to the PI via email at each review interval which states the determination and outlines next steps.

6.4 Committee Meetings

6.4.1 Schedule
The IIT Advisory Committee generally meets twice monthly. Meetings are subject to rescheduling if quorum cannot be met or at the discretion of the Chair. The meeting schedule and corresponding submission deadlines can be found within a dedicate IIT Committee SharePoint.

6.4.2 Attendance
The YCC Administrative Support Staff in attendance will keep an attendance log of the Members who were present. Attendance records will be maintained within committee materials.

Meeting Conduct

The Chair will begin the meeting. The PI presents the study concept/protocol to the committee. Members present a detailed evaluation of each study concept/protocol on the agenda and offer critique against the criteria that protocols be well focused, hypothesis-driven and based on sound scientific rationale. Non-member attendees provide input on the discussion within their areas of expertise. Brief educational materials may be presented to the PI as part of the meeting, if required. The meeting conduct will support valuable exchange of information and collaborative discourse with the goal of putting forward high quality IITs. The discussion culminates in a determination by the committee. The Chair is expected to build consensus and put forward a unified determination on behalf of the committee.

6.4.3 Minutes
YCC Administrative Support Staff attends IIT Advisory Committee meetings to record minutes, which include a high-level summary of the meeting discussion and all determinations and required follow-up actions and next steps outlined by the committee. Minutes are provided to the Chair for review and approval post-meeting. Final minutes are stored by the YCC Administrative Support staff.

7.0 ESCALATION
IIT Advisory Committee issues will be resolved and adjudicated by the Chair.

8.0 APPENDICES
8.1   IIT Advisory Committee Process Chart
8.2   IIT Advisory Committee Intake Form
8.3   IIT Advisory Committee Reviewer Form