**GUIDANCE 35**

**GUIDANCE FOR REPORTING UNANTICIPATED PROBLEMS**

This guidance is based on two regulations 45 CFR 46 (Common Rule) and FDA regulations 21 CFR parts 56.108(b)(1), 312.53(c)(1)(vii), 312.66 and 812, requiring adverse drug events and unanticipated adverse device effects, together referred to as ‘'unanticipated problems" **must be reported to the IRB, study sponsor, and FDA.**

This guidance requires investigators conducting human subject research protocols must submit their proposals for review by the Institution Review Board. RowanSOM IRB is the designated IRB to review clinical research and clinical trials irrespective of the campus where research is conducted.

1. **Definitions**

An unanticipated problem or event must fulfill the following criteria:

1. It is unexpected in terms of nature, severity or frequency, given the research protocol, investigator’s brochure, IRB-approved informed consent document, product labeling and other sources of information, and given the characteristics of the subject population being studied (expected natural progression of subjects’ disease, disorder or condition or predisposing risk factor profiles)

2. It is related or possibly related to participation in the research (i.e. is there a definite or reasonable possibility that the incident, experience or outcome may have been caused by the research drug/device or research procedures?)

3. The event can potentially place the research subjects or others at a greater risk of harm (including physical, psychological, economic or social harm) than was previously known or recognized).

1. **Criteria for unanticipated events**

Incidents, experiences, outcomes and adverse events, which meet all the criteria below. When the criteria are met, a report should be sent to RowanSOM IRB. The criteria are:

1. **Unexpected** in terms of nature, severity or frequency, given the research protocol, investigator's brochure, IRB-approved informed consent document, product labeling and other sources of information, and given the characteristics of the subject population being studied (expected natural progression of subjects' disease, disorder or condition or predisposing risk factor profiles)?
2. **Related or possibly related** to participation in the research, i.e., is there a definite or reasonable possibility that the incident, experience or outcome may have been caused by the research drug/device or research procedures?
3. **Potentially place the research subjects or others at a greater risk of harm** (including physical, psychological, economic or social harm) than was previously known or recognized?
4. **Researchers responsibility**

Researchers must make a determination that the event is unexpected, unanticipated, and potentially impacts risk before submitting a reportable event to the IRB. Event reports not fulfilling the above criteria will be returned to the investigator but may be submitted at time of continuing review in an aggregate or summary format

1. **Reporting timeline**

1. Reported within 24 hours of discovery when a death in an interventional study for which the RowanSOM IRB is the IRB of record.

2. Reported within one week of discovery when an unanticipated problem which is a serious adverse event (See definition for serious adverse event)

3. Reported within two weeks of discovery for all other unanticipated problems.

1. **Reporting**
2. Unanticipated adverse events that are also unanticipated problems involving risks to subject or others (e.g., those that are related and or possibly related to the research) must be reported to the IRB and other appropriate agencies as they occur. Further guidance on reporting external un-anticipated adverse events and local unanticipated adverse is available at: <http://www.hhs.gov/ohrp/policy/advevntguid.html>. and <http://www.fda.gov/downloads/RegulatoryInformation/Guidances/UCM126572.pdf>.

1. To report to adverse events to sponsors (Clinical trials), use forms supplied by the sponsor. In January 2009, FDA issued further guidance on reporting adverse events. The purpose was to distinguish between adverse events that are unanticipated problems that must be reported to IRBs from those that are not. For further information on adverse event reporting go to <http://www.fda.gov/downloads/drugs/guidancecomplianceregulatoryinformation/guidances/ucm079753.pdf>.
2. **IRB Review**

In accordance with federal regulations 45 CFR 46 and 21 CFR 56.108(b) (1), 312.53(c) (1) (vii), RowanSOM IRB will review only unanticipated problems involving risks to subject or others; or a death in an interventional study for which a RowanSOM IRB is the IRB of record that occurred within 30 days of the intervention or interaction.

1. **IRB Actions**

Following review, the Unanticipated Problem/Serious Adverse Event will receive one of the following status determinations: Accepted or Not Accepted. The principal investigator will receive a communication from the IRB outlining steps to follow as deemed necessary to mitigate the event.