**Purpose**: Protection of participants involved in clinical trials at UNC-CH is of the utmost importance. In order to effectively implement appropriate protections, UNC research staff are required to comply with all necessary reporting requirements related to federal guidelines on adverse event reporting, sponsor requirements, and UNC Human Research Protection Program requirements. This standard operating procedure (SOP) describes the process for managing, reporting and documenting adverse events that occur in subjects participating in clinical trials at this investigative site.

**Scope:** This SOP applies to Investigators and clinical research team members conducting human subjects research at UNC.

**Definitions:**

Adverse Event: Any untoward or unfavorable medical occurrence in a human subject, including any abnormal sign (for example, abnormal physical exam or laboratory finding), symptom, or disease, temporally associated with the subject’s participation in the research, whether or not considered related to the subject’s participation in the research. Adverse events encompass both physical and psychological harms and occur most frequently in the context of biomedical research, although they can occur in the context of social and behavioral research.

Hospitalization: admission to the hospital for longer than 24 hours.

Serious Adverse Event: Serious adverse event means any event temporally associated with the subject’s participation in research that meets any of the following criteria:

* results in death;
* is life threatening (places the subject at immediate risk of death from the

event as it occurred);

* requires inpatient hospitalization or prolongation of existing hospitalization;
* results in a persistent or significant disability/incapacity;
* results in a congenital anomaly/birth defect; or
* any other adverse event that, based upon appropriate medical judgment, may jeopardize the subject’s health and may require medical or surgical intervention to prevent one of the outcomes listed above (examples of such events include allergic bronchospasm requiring intensive treatment in the emergency room or at home, blood dyscrasias or convulsions that do not result in inpatient hospitalization, or the development of drug dependency or drug abuse)

Unanticipated Problem Involving Risk to Subjects or Others (UPIRSO): Any incident, experience, or outcome that

* is unexpected (in terms of nature, severity, or frequency) given (a) the research procedures that are described in the protocol-related documents, such as the IRB-approved research protocol and informed consent document; and (b) the characteristics of the participant population being studied;
* is related or possibly related to a participant’s participation in the research; and
* is serious or suggests that the research places participants or others at a greater risk of harm (including physical, psychological, economic, or social harm) than was previously known or recognized.

**Procedures:**

1. The investigator or designee is made aware that a subject may have experienced an adverse event and documents such in the subject’s case history file.
2. A qualified investigator will assess each event for seriousness, expectedness, severity, and causality and document in the subject’s case history file.
3. The investigator signs and dates the assessment of each adverse event by written or electronic signature.
4. The investigator or designee determines whether the event meets IRB reporting criteria.
   1. Refer to OHRE SOP 1401 and 1402
5. If applicable, the event is reported to the sponsor/funding agency or FDA according to the protocol and contractual obligations.

**Applicable Policies and Guidelines:**

* UNC Office of Human Research Ethics Standard Operating Procedures
* 21 CFR 312 – Investigational New Drug Application
* 21 CFR 314 – Post Marketing Reporting of Adverse Drug Experiences
* 21 CFR 50 – Protection of Human Subjects
* 21 CFR 56 – Institutional Review Boards
* 21 CFR 812 - Investigational Device Exemptions
* 21 CFR 822 – Postmarket Surveillance
* 45 CRF 46 – HHS Policy for Protection of Human Research Subjects
* ICH Good Clinical Practices E6 (R2)

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| **Revision History** | |
| Date of Revision: | Revision Description: |
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