Memorandum

Date: March 28, 2012

To: Investigators, Sponsors, Other Interested Parties

From: UAMS Institutional Review Board

RE: UAMS requirements for reporting Unanticipated Problems Involving Risks to Subjects or Others (UPIRTSOs) and IND safety reports

This memorandum describes the UAMS Institutional Review Board's practice regarding the handling of IND Safety Reports and UPIRTSOs.

IND Safety Reports

UAMS complies with the federal regulations at 21 CFR 312.32(c) which state, in relevant part:

The sponsor shall notify FDA and all participating investigators in a written IND safety report of:

- Serious and unexpected suspected adverse reaction
- Findings from other studies or from animal or *in vitro* testing that suggest a significant risk in humans exposed to the drug
- Increased rate of occurrence of serious suspected adverse reaction

Note: 21 CFR 312.32(c)(1) states, "In each IND safety report, the sponsor must identify all IND safety reports previously submitted to FDA concerning a similar suspected adverse reaction, and must analyze the significance of the suspected adverse reaction in light of previous, similar reports or any other relevant information."

Events meeting the criteria in this regulation should be reported to the IRB office as UPIRTSOs in accordance with UAMS IRB Policy 10.2 and as described below. By their nature, such reports would likely require changes to the IRB-approved study documents to address the new information.

Federal regulations do not require immediate reporting to the IRB of IND/outside safety reports for events that do NOT meet the criteria outlined above *UNLESS*

- The information represents a change in the study's potential risks or benefits
- If, after review, the UAMS PI believes the information indicates a change to the potential risks or benefits of the study overseen by the UAMS IRB.

Thus, IND/Outside Safety reports that do NOT meet the regulatory requirement for immediate reporting and do NOT meet the exception criteria noted above may only be reported IN SUMMARY FORMAT on the study Continuing Review application. Note that the reports must be summarized and compiled Medwatch reports will not be reviewed if submitted at Continuing Review.

Sponsors in disagreement with this policy must submit in writing to the investigator the specific Federal law or regulation under which they believe immediate reporting of other IND/Outside safety reports is required as well as written discussion of the basis for their disagreement.

UPIRTSOs

In accordance with UAMS IRB policy 10.2, only events which meet the following criteria will be accepted for immediate IRB review:

1) Event or Information is unanticipated and /or unexpected;
2) Event or Information is related to the research (as defined by IRB Policy 10.2); **and**
3) Event or Information represents new or increased risk to local subjects or others.

Events meeting all of these criteria must be accompanied by documentation of the following:

1) A description of the event including date and location
2) Nature of the risk to subjects from the event, noting whether the Investigator believes the event increases the risk to local subjects or others;
3) How the event relates to the research;
4) Whether the Investigator believes the consent or protocol should be changed or if currently-enrolled subjects should be notified.

Events that do not meet the above criteria for submission will not be accepted through the event reporting process for immediate consideration by the UAMS IRB and should be reported in summary form at continuing review. Submissions that do not contain the appropriate documentation will be returned.

A copy of IRB Policy 10.2 is available on the UAMS IRB web site at: http://www.uams.edu/irb/03-23-2011%20IRB%20Policy%20Updates/IRB%20Policy%2010.2.pdf

If you have any questions regarding this matter, please contact the UAMS IRB at irb@uams.edu or 501-686-5667.