When to Submit What & Reportable Events

Melinda Allie, CIP

OHSU Research Integrity Office Analyst Brown Bag Session
Topics for today

• Options for submitting changes to studies
• Modification and Continuing Review submission tips
• Basics of Unanticipated Problems (UP) and Protocol Deviations (PD) Reporting

• Please ask questions as you have them
Modification (MR) v. Continuing (CR)

- Staff changes
- Administrative changes
- Substantive changes, requiring full board review
- Timeline: how quickly do you need the revisions approved?
- Is your study full board or minimal risk?
- Are the changes full board or minimal risk?
MR Submission Tips

Q5 and Q5.1 are the most important questions in the form.

- Q5: Briefly describe the change(s) included in the modification.
- Q5.1: Explain the rationale for these changes, including if any changes are due to an UP, PD, DSMB recommendations, Investigator Brochure update, etc.
MR Tips, Continued

• You must clarify whether the risk profile of the drug has changed if you are submitting
  ▪ a new or revised protocol or investigators brochure and
  ▪ the AE table or drug information has been updated

• If the sponsor does not provide this information, you must create a memo for the IRB reviewers.

• Not providing this information will delay your review.
MR Tips, Continued

• Make sure all forms affected by the change(s) are updated appropriately.

• Double check that you have uploaded all revised forms and your changes are tracked.

• When uploading revised documents, please use the same title as the currently approved document.

• It is helpful to include in the title if the document is “New” or “Revised.”
Continuing Review Tips

• The expiration date of the study is not the due date of the Continuing Review (CR).
• The CR is due to the IRB 6–10 weeks prior to the study’s expiration date.
• Closure information and total numbers enrolled must match numbers in treatment/follow-up.
• CR is the best time to archive documents.
• Q13 is like Q5 and Q5.1 on the MR form.
UP Policy – Reportable Events

• An adverse event (AE) is considered reportable if it falls into any of the four reportable categories in the decision tree.

• Use the checkbox to indicate the category that applies to the event.

• UP Case Studies of each category are available on our website.

• If an event does not fit into a category, it does not need to be reported to the IRB.
UP Category #1

Must fit all 4:

• On protocol
• Serious Adverse Event
• Unanticipated
• Related or possibly related
**UP Category #2**

Must fit all 4:

- On protocol
- Anticipated
- Related or possibly related
- Occurring at a significantly higher frequency or severity than expected
**UP Category #3**

Must fit all 3:

- Unanticipated
- Related or possibly related
- May alter the risks and warrants changes to the protocol and/or consent process

**Notes:**

- May be on or off protocol
**UP Category #4**

Must fit all 3:

- Unanticipated
- “Other” event(s)
- May place subjects or others at a greater risk of harm or discomfort.

**Notes:**

- This can be on or off protocol
- Harm to a subject need not have occurred
**Notes about Reporting UPs**

- It is up to the investigator or monitor to determine the UP category.
- Supporting documentation must be uploaded. This could be a MedWatch report, a note from the medical file, etc.
- De-identify all documents prior to uploading.
- If it is not a UP but the sponsor wants you to report it to the IRB, let us know.
Protocol Deviations (PD)

• It is the responsibility of the PI to avoid deviations from the IRB approved protocol.
• Planned changes, must be submitted prior to initiation or implementation.
• 3 levels of protocol deviations
  ▪ Minor
  ▪ Moderate
  ▪ Major
Minor PDs - No Need to Report

• No substantive direct harm or risk of harm to subject(s) or does not result in or require action to be taken or result in change to the subject’s status or condition
• No substantive effect on the value of the data collected
• Did not result from willful or knowing misconduct on the part of the investigator
• The deviation is easily corrected
Moderate PDs – Must be Reported

• The deviation resulted in a direct harm or risk of harm that is not greater than minimal risk and/or minimal risk interventions
• Resulted in the loss or improper collection or recording of data for one or more subjects, but did not invalidate the entire data set
• Can be acceptably resolved
• Repeated minor protocol deviations from same group
• Failure to follow action ordered to correct minor or moderate PDs
Major PDs – must be reported

- Resulted in or required substantive action to be taken or resulted in a change to subject’s condition or status
- Has harmed or posed a significant risk of substantive harm to research participants
- Has substantially damaged the scientific integrity of the data
- Is evidence of willful or knowing misconduct on the part of the investigator(s)
- There have been repeated minor and/or moderate PD from same site or failure to follow action to correct them
How to submit a UP or PD

• Click on **New** Unanticipated Problem

• Click on the **New** Protocol Deviation

• Answer all questions
Thank you for joining us!

Mark your calendars!

Next Brown Bag Session is December 13th
Recruitment & Consent

11:00 to 12:00
UHS 8B60

Visit our website for more information:
www.ohsu.edu/researchintegrity