

December 9, 2022

**RESEARCH STANDING OPERATING PROCEDURES (SOP)**  
**Reporting of Unanticipated Problems Involving Risk to Subjects and Others (UPIRSO),**  
**Unanticipated Adverse Device Effects (UADE), and Adverse Events (AE)**

1. **PURPOSE:** To outline the procedures for reporting of Unanticipated Problems Involving Risk to Subjects and Others (UPIRSO), Unanticipated Adverse Device Effects (UADE), and adverse events (AE) related to human subjects' research studies at the STVHCS.

2. **POLICY:**

a. The monitoring and reporting of UPIRSOs, UADEs, and AEs is a critical component of the Human Research Protection Program (HRPP) at the STVHCS.

b. Congruent with Federal Policy (Common Rule) for the protection of human subjects in research, VA regulations require written procedures for the reporting of UPIRSOs to the IRB. Federal policy, and VA and FDA regulations do not contain explicit requirements for the prompt reporting of adverse events (AE) that do not meet the definition of UPIRSO to the IRB, however, investigators must promptly report Unanticipated Adverse Device Effect (UADE) to the IRB.

c. Definitions:

(1) Adverse event (AE): The STVHCS adheres to the broad definition of AE found in VHA Directive 1058.1 where an AE is defined as "any untoward occurrence [physical, psychological, social, or economic] in a human subject participating in research" and where "the imminent threat of an AE" is included as a reportable event.

(2) Unanticipated Adverse Device Effect (UADE): See definition in the UTHSCSA IRB glossary at: <https://www.uthscsa.edu/vpr/services/glossary>

(3) Unanticipated Problems Involving Risk to Subjects and Others (UPIRSO): See definition in the UTHSCSA IRB glossary at: <https://www.uthscsa.edu/vpr/services/glossary>

(4) Unexpected death: The STVHCS adheres to the definition of unexpected death found in VHA Directive 1058.1 where an unexpected death is a death of a research subject in which a high risk of death is not projected, as indicated by the written protocol, informed consent form, or sponsor brochure. This definition does not include deaths associated with a terminal condition unless the research intervention clearly hastened the subject's death. A subject's death that is determined to be clearly not associated with the research is not an "unexpected death" for purposes of this SOP.

3. **ACTION:**

a. **Principal Investigator:**

(1) The Principal Investigator is responsible to review all incidents, experiences, and outcomes that may represent an UPIRSO or UADE; determine whether any reviewed incidents, experiences,

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and outcomes represents a possible UPIRSO or UADE; and promptly report possible UPIRSOs and UADEs to the IRB according to the UTHSCSA UPIRSO and UADE Policy ([https://www.uthscsa.edu/sites/default/files/Services/forms/upirso\\_uade\\_policy.pdf](https://www.uthscsa.edu/sites/default/files/Services/forms/upirso_uade_policy.pdf) ) .

- (2) The timeline for reporting UPIRSOs and UADEs by the principal investigator to the IRB is specified in the UTHSCSA UPIRSO and UADE Policy ([https://www.uthscsa.edu/sites/default/files/Services/forms/upirso\\_uade\\_policy.pdf](https://www.uthscsa.edu/sites/default/files/Services/forms/upirso_uade_policy.pdf)) –5 business days or 7 calendar days for UPIRSOs based on internal information (e.g. experienced by subjects enrolled by the investigator(s)) or 14 calendar days for UPIRSOs based on external information at an institution not affiliate with the STVHCS or the UTHSCSA IRB.
- (3) Any AE, or an imminent threat of an AE, that does not constitute an UPIRSO does not need to be reported promptly to the IRB but is summarized and reported to the IRB during Continuing Review.
- (4) Any unexpected death of a research subject must be reported promptly to the IRB as specified in the UTHSCSA UPIRSO and UADE Policy ([https://www.uthscsa.edu/sites/default/files/Services/forms/upirso\\_uade\\_policy.pdf](https://www.uthscsa.edu/sites/default/files/Services/forms/upirso_uade_policy.pdf))

### b. **IRB:**

(1) The IRB will receive, review, and make a determination whether a Report of Possible UPIRSO or UADE meets criteria as an UPIRSO or UADE.

(2) Possible UPIRSOs or UADEs will be reported as soon as possible, but no later than 48 hours by the IRB via encrypted email or phone to the ACOS for R&D, or his/her designee with a copy to the protocol managers.

(a) The Protocol Managers will then log all received possible UPIRSOs or UADEs on IRBNet (<https://gov.irbnet.org/>) and place copies in the respective protocols on IRBNet (<https://gov.irbnet.org/>).

(3) Following IRB determination of a confirmed UPIRSO or UADE, the Protocol Managers are copied on the IRB determination letters that are sent to the Principal Investigators.

(a) Confirmed UPIRSOs or UADEs reports, will be printed along with the IRB determination letters and provided to the R&D Committee meeting administrator prior to the R&D committee meeting.

(b) The R&D Administrator will then update the significant research findings on IRBNet (<https://gov.irbnet.org/>) and provide the reports along with their respective determination letters to the ACOS for review, prior to the R&D meeting.

(c) Confirmed UPIRSO or UADE will be reviewed at the next convened R&D meeting.

### c. **ACOS for R&D:**

(1) If the ACOS for R&D becomes aware of a possible UPIRSO or UADE, either directly through the PI or any other component of the STVHCS HRPP, that has not been reported to the IRB, the Principal

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Investigator will be informed of the requirement to promptly notify the IRB. The ACOS for R&D will also promptly report the possible UPIRSO or UADE to the IRB.

(2) For possible UPIRSOs that identify any real or suspected unauthorized use, loss, or disclosure of individually identifiable information related to a VA research protocol, the ACOS for R&D or designee will then promptly notify the STVHCS Privacy Officer of the breach of confidentiality or privacy.

(3) For possible UPIRSO's that identify any compromise of VA information Security, or any real or suspected violation of Information Security requirements related to a VA research protocol, the ACOS for R&D, or designee, will then promptly notify the STVHCS Information Security Officer of the compromise of VA information Security.

(4) The ACOS for R&D will ensure that external regulatory and oversight agencies are notified of confirmed UPIRSOs and UADEs as required by VHA Directive 1058.01.

(a) Confirmed local UPIRSOs and UADEs (i.e. local research deaths, local SAEs, and serious problems that are confirmed by the IRB to be both unanticipated and related to the research) involving VA research will be reported by the IRB to the STVHCS Director within 5 business days of the IRB's determination that a Report of Possible UPIRSO or UADE meets criteria as an UPIRSO or UADE. The STVHCS Director will notify the Office of Research Oversight (ORO) within 5 business days of being notified of the event/determination. This notification will include the official correspondence from the IRB, and will include the following information when not already included in the IRB correspondence:

- i. The nature of the event (UPIRSO or UADE)
- ii. Name of the institution conducting the research.
- iii. Title of the research project or grant proposal in which the problem occurred.
- iv. Name of the principal investigator on the protocol.
- v. Identification numbers of the research project as assigned by the UTHSCSA IRB and the STVHCS R&D Office and the identification number of any applicable federal award(s), grant, contract, or cooperative agreement.
- vi. A detailed description of the problem including the findings of the organization and the reasons for the R&D Committee and/or IRB's decision.
- vii. Actions that the UTHSCSA IRB has taken or plans to take to address the problem (e.g., requirement to revise the protocol, suspend subject enrollment, terminate the research, revise the informed consent document, inform enrolled subjects, increase monitoring of subjects, etc.).
- viii. Additional actions that the STVHCS R&D Committee has taken or plans to take to address the problem (e.g., requirement to revise the protocol, suspend subject enrollment, terminate the research, revise the informed consent document, inform enrolled subjects, increase monitoring of subjects, etc.).
- ix. Plans, including a timetable for completion of the investigation and/or corrective action if appropriate, for the UTHSCSA IRB to send a follow-up or final report.

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x. Plans, including a timetable for completion of the investigation and/or corrective action if appropriate, for the STVHCS R&D Committee to send an additional follow-up or final report.

(b) Confirmed UPIRSOs or UADEs involving a violation of information security requirements will also be reported by the STVHCS ISO to the VHA Information Security Officer (ISO) within 59 minutes of the STVHCS ISO receiving the notification.

(c) Confirmed UPIRSOs or UADEs involving real or suspected unauthorized use, loss, or disclosure of individually identifiable information related to a VA research protocol will be reported by the STVHCS Privacy Officer through the Privacy Violation Tracking System to the VHA Privacy Officer within one hour of the STVHCS Privacy Officer receiving notification.

(d) Confirmed UPIRSOs or UADEs involving a VA-funded research protocol will also be reported to the VA Office of Research and Development (in addition to the report to ORO) within 10 days of the IRB's determination that a Report of Possible UPIRSO or UADE meets criteria as an UPIRSO or UADE.

(e) Reporting to non-VA regulatory agencies such as the Office for Human Research Protections (to the same timelines outlined in the "IRB Reporting to Internal and External Entities Policy and Procedure".

(f) Reports to regulatory agencies by the STVHCS or the UTHSCSA IRB will be copied to the reciprocal office.

4. **REFERENCES:** STVHCS UTHealth IRB MOU; VHA Directive 1200.05(2); VHA Directive 1058.01
5. **RESPONSIBILITY:** Associate Chief of Staff for Research (151)
6. **RECISSIONS:** Research Service Policy Memorandum 18-48; dated July 9, 2013
7. **RECISSION:** This policy will expire December 2027

[Signature on File]

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