Study Management
SM – 306.00

STANDARD OPERATING PROCEDURE FOR
Adverse Event Reporting

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President and CEO

24 May 2017
(Signature and Date)

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Chief Medical Officer

30 May 2017
(Signature and Date)

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1. INTRODUCTION

Subject safety is of the greatest importance for both the individual subject and the goals of the clinical study. Investigators are required to report to the sponsor all adverse events occurring during a study. If the event is serious and unexpected, prompt reporting to pharma (the manufacturer of the investigational product) and to the IRB is mandatory. This standard operating procedure (SOP) describes the steps Georgia CORE follows to fulfill the regulatory and clinical requirements for adverse event reporting.

2. SCOPE

This standard operating procedure (SOP) describes the responsibilities of Georgia CORE for managing, reporting and documenting adverse events from the time Georgia CORE is notified that an adverse event is identified until all follow-up activities associated with its resolution have been completed. This SOP also describes the mechanisms used to provide the information necessary for Georgia CORE to prepare Investigational New Drug (IND) safety reports. Finally, the procedures for Georgia CORE to process and transmit IND safety reports received from pharma to the IRB are defined.

3. APPLICABLE REGULATIONS AND GUIDELINES

<table>
<thead>
<tr>
<th>Code</th>
<th>Description</th>
</tr>
</thead>
<tbody>
<tr>
<td>21 CFR 312.32</td>
<td>IND safety reports</td>
</tr>
<tr>
<td>21 CFR 312.33</td>
<td>Annual reports</td>
</tr>
<tr>
<td>21 CFR 312.44</td>
<td>Termination</td>
</tr>
<tr>
<td>21 CFR 50.25</td>
<td>Elements of informed consent</td>
</tr>
<tr>
<td>21 CFR 56.108</td>
<td>IRB functions and operations</td>
</tr>
<tr>
<td>21 CFR 56.109</td>
<td>IRB review of research</td>
</tr>
<tr>
<td>21 CFR 56.115</td>
<td>IRB records</td>
</tr>
<tr>
<td>45 CFR 46.103</td>
<td>Assuring compliance with this policy-research conducted or supported by any Federal Department or Agency</td>
</tr>
<tr>
<td>45 CFR 46.109</td>
<td>IRB review of research</td>
</tr>
<tr>
<td>45 CFR 46.115</td>
<td>IRB records</td>
</tr>
<tr>
<td>45 CFR 46.116</td>
<td>General requirements for informed consent</td>
</tr>
<tr>
<td>01 March 2014</td>
<td>NCI Guidelines for Auditing Clinical Trials for the NCI</td>
</tr>
<tr>
<td></td>
<td>National Clinical Trial Network for the (NCTN) Program, Community Clinical Oncology Program (CCOP/NCI) Community Oncology Research Program (NCORP) and Research Bases.</td>
</tr>
</tbody>
</table>
Investigators: Adverse Event Reporting Requirements for DCTD (CTEP and CIP) and DCP INDs and IDEs
https://ctep.cancer.gov/protocolDevelopment/electronic_applications/adverse_events.htm

October 1998 FDA Information Sheets: Continuing Review After Study Approval
May 1997 International Conference on Harmonization; Good Clinical Practice: Consolidated Guideline
January 15, 2007 Office for Human Research Protections (OHRP), Department of Health and Human Services (HHS): Guidance on Reviewing and Reporting Unanticipated Problems Involving Risks to Subjects or Others and Adverse Events
January, 2009 FDA Guidance for Clinical Investigators, Sponsors, and IRBs: Adverse Event Reporting to IRBs – Improving Human Subject Protection

4. REFERENCES TO OTHER APPLICABLE SOPS

GA-102 Sponsor Responsibility and Delegation of Responsibility
SM-301 Communication
SM-302 Interactions with the IRB
SM-304 Routine Monitoring Visits
SM-305 Closeout Visits
DM-401 Data Management

5. ATTACHMENTS

A. Procedures for Managing Adverse Events
B. FDA Form 3500
C. FDA Form 3500A
D. Algorithm for Review and Distribution of IND Safety and MedWatch Reports

6. RESPONSIBILITY

This SOP applies to Georgia CORE leadership and staff members involved in ensuring the appropriate management of adverse events. This includes the following:

- President and CEO
- Chief Medical Officer (CMO)
- Georgia CORE staff and consultants
7. DEFINITIONS AND GLOSSARY

The following definitions from the Code of Federal Regulations and the International Conference on Harmonization, Good Clinical Practice: Consolidated Guideline apply to this SOP.

**Adverse event:** An adverse event (AE) is any untoward medical occurrence in a patient or clinical investigation subject administered a pharmaceutical product and that does not necessarily have a causal relationship with this treatment. An AE can therefore be any unfavorable and unintended sign (including an abnormal laboratory finding), symptom, or disease temporally associated with the use of a medicinal (investigational) product, whether or not related to the medicinal (investigational) product.

**Associated with the use of the drug:** There is a reasonable possibility that the experience may have been caused by the drug.

**Disability:** A substantial disruption of a person’s ability to conduct normal life functions.

**Life-threatening adverse drug experience:** Any adverse drug experience that places the patient, in the view of the investigator, at immediate risk of death from the reaction as it occurred, i.e., it does not include a reaction that, had it occurred in a more severe form, might have caused death.

**Serious adverse drug experience (ADE) (also known as Serious Adverse Event (SAE):** Any experience that results in death, in a life-threatening ADE, inpatient hospitalization or prolongation of hospitalization, a persistent or significant disability or incapacity, or congenital anomaly.

**Sponsor:** An individual, company, institution, or organization which takes responsibility for the initiation, management, and/or financing of a clinical trial.

**Unexpected adverse drug experience:** Any adverse experience the specificity or severity of which is not consistent with the current Investigator Brochure, or if an Investigator Brochure is not required, that is not consistent with the specificity or severity in the risk information described in the general investigational plan or elsewhere in the current application, as amended.

8. PROCESS OVERVIEW

A. Managing adverse events
B. Handling IND safety reports from Pharma
C. Reporting to the IRB

9. PROCEDURES

A. Managing adverse events

- Research Staff/Consultant When a site reports an adverse change in a subject from
baseline or pretreatment condition, check that all appropriate resources have been directed toward subject safety and well-being and that the subject is followed until the event is resolved. (Attachment A Site procedures for managing adverse events applicable to Non-NCTN trials only)

If necessary for the immediate medical care of the subject only, facilitate breaking the drug blind after consultation (if possible) with the Investigator who initiated the study or Chief Medical Officer.

Determine if the adverse event is serious and/or unexpected with the assistance of the Investigator who initiated the study and/or Chief Medical Officer, if needed, and inform pharma as directed in the protocol. Provide as much information as is available from the site using the Med Watch Form FDA 3500 or 3500A (Attachment B/C) and/or the Serious Adverse Event Report Form in the protocol, if applicable. For NCI NCTN trials report online at CTEP-AERs within 24 hours for Research staff learning of SAE: https://ctepcore.nci.nih.gov/ctepaers/pages/task?rand=1490109392775

At the next site visit, ensure that details of the adverse event are recorded in the source documentation and the appropriate CRFs are completed.

At the next site visit, ensure that originals or photocopies of all relevant documentation, including facsimile confirmations have been filed in the study binder and document findings in the monitoring report.

B. Handling IND safety reports from pharma

- Research Staff/Consultant

Promptly review IND safety reports received from pharma and follow the Algorithm for Review and Distribution of IND Safety and MedWatch Reports (Attachment D).

File IND safety reports and MedWatch Reports and related communication in the Georgia CORE IND Safety Report electronic folder for the appropriate trial.

C. Reporting to the IRB
• Research Staff/Consultant

Notify the central IRB of all serious or alarming events occurring at a Georgia CORE network site, which is using the central IRB, according to the central IRB guidelines.

For NCTN trials approved by the local IRB or NCI CIRB notify the local IRB of all serious or alarming events. If no local IRB of record report SAEs and any updates to Georgia CORE by including them on the CTEP-AERS report.

Ensure that all IND safety reports received from pharma are submitted to the central IRB according to the central IRB guidelines and the Algorithm for Review and Distribution of IND Safety and MedWatch Reports (Attachment D).

Ensure that all routine adverse events are reported to the central IRB as part of the periodic or annual reporting requirements as outlined in the central IRB guidelines.

Obtain documentation from Georgia CORE network sites, using local IRBs, showing that they have completed reports to the local IRB as noted in the above 3 action items.

File documentation in the Georgia CORE IND Safety Report electronic folder for the appropriate trial.

10. History of Changes

<table>
<thead>
<tr>
<th>Version Number</th>
<th>Section Number</th>
<th>Modification</th>
<th>Approval Date</th>
</tr>
</thead>
<tbody>
<tr>
<td>306.00</td>
<td>All</td>
<td>Original Version</td>
<td></td>
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<tr>
<td>306.00</td>
<td>All</td>
<td>No change was necessary</td>
<td>09 March 2012</td>
</tr>
<tr>
<td>306.00</td>
<td>All</td>
<td>No change was necessary</td>
<td>01 June 2014</td>
</tr>
<tr>
<td>306.00</td>
<td>3, 7, 9A, C</td>
<td>Additional guidelines added, clarification, NCTN and NCI CIRB reporting guidelines added</td>
<td>21 March 2017</td>
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</tbody>
</table>
## PROCEDURES for MANAGING ADVERSE EVENTS

1. Identification, assessment and management of an adverse event by the Georgia CORE Network Sites

<table>
<thead>
<tr>
<th>REGULATIONS</th>
<th>PROCEDURES</th>
</tr>
</thead>
<tbody>
<tr>
<td>Definition of an adverse event (AE):</td>
<td>Ensure that the following are appropriately investigated:</td>
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<tr>
<td>• Any adverse change from baseline (pretreatment) intercurrent illness which</td>
<td>• Spontaneous reports by subjects</td>
</tr>
<tr>
<td>occurs during the course of a clinical study after treatment has started,</td>
<td>• Observations by clinical research staff</td>
</tr>
<tr>
<td>whether considered related to treatment or not</td>
<td>• Reports to research staff by family or medical care providers</td>
</tr>
<tr>
<td>• Any effect that is unintended and unfavorable, such as a sign, a symptom,</td>
<td>• Possible AEs documented in medical records, progress notes, etc.</td>
</tr>
<tr>
<td>a laboratory abnormality or a disease or condition</td>
<td>• Reports of a subject death within four weeks after stopping treatment</td>
</tr>
<tr>
<td></td>
<td>or during the protocol-defined follow-up period, whichever is longer,</td>
</tr>
<tr>
<td></td>
<td>whether considered treatment-related or not</td>
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</table>

Serious adverse events (SAEs) include:

• Death
• Life-threatening experience
• Inpatient hospitalization or prolongation
• Persistent or significant disability/incapacity
• Congenital anomaly/birth defect
• Events that would require medical or surgical intervention to prevent any of the above

Manage the adverse event to ensure that all appropriate resources are directed toward subject safety and well-being. Institute therapeutic intervention/support measures. If applicable:

• Discontinue the investigational product, comparator, or placebo
• Reduce dosage (as per protocol)
• Interrupt drug (as per protocol)
• Challenge (as per protocol)

Follow the subject and assess the adverse event until stabilized/resolved.
2. Site SAE Reporting to Sponsor (Georgia CORE)

- Report **serious and unexpected** adverse experiences, whether considered drug-related or not, to the Sponsor as directed in the protocol.
- Provide details to the Sponsor as they become available. If additional information cannot be obtained for whatever reason, document this.
- Inform the Sponsor when no other information is expected.

### SPONSOR RESPONSIBILITIES

Sponsors are required to notify the FDA by IND safety reports of **any serious adverse experience associated with use of the drug** in the clinical studies conducted under an IND as soon as possible but no later than **10 calendar days** after initial receipt of the information. When Georgia CORE is the sponsor, Georgia CORE is required to notify pharma within the time period specified in the protocol.

If the event is **fatal or life-threatening and associated with use of the drug**, sponsors are required to notify the FDA by telephone or fax within **7 calendar days** of initial receipt of the information.

### SITE RESPONSIBILITIES

To meet expedited reporting requirements, inform the sponsor as soon as possible after the subject is stabilized.

Provide as much of the following information as is available:

- Protocol name and number
- The possible test articles: investigational product, comparator, or placebo
- Lot number and expiration date
- Subject identifiers
- Demographic data
- The nature of the event
- The severity of the event
- The probable relationship of the AE to the investigational product
- The date (and time) of AE onset
- The date (and time) of AE resolution, if available
- The dose, frequency, and route of administration
- The start and stop dates of test article administration
- Concomitant medications and therapies
- Clinical assessment of the subject at this time
- The results of any laboratory and/or diagnostic procedures, treatment, autopsy findings
- The follow-up plan
- The outcome
### 3. Site Research documentation

<table>
<thead>
<tr>
<th>SOURCE DOCUMENTATION</th>
<th>CASE REPORT FORM COMPLETION</th>
</tr>
</thead>
<tbody>
<tr>
<td>Record in the source documentation, noting</td>
<td>Complete the appropriate case report form(s)</td>
</tr>
<tr>
<td>• The nature of the event</td>
<td>• The site-prepared data collection form for SAEs or</td>
</tr>
<tr>
<td>• The severity of the event</td>
<td>• The sponsor-generated CRF for routine AEs</td>
</tr>
<tr>
<td>• The probable relationship of the AE to the investigational product</td>
<td></td>
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<tr>
<td>• The date (and time) of AE onset</td>
<td></td>
</tr>
<tr>
<td>• The date (and time) of AE resolution, if available</td>
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<tr>
<td>• The outcome</td>
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### 4. Pharma-generated IND safety reports

<table>
<thead>
<tr>
<th>RESPONSIBILITIES TO IRB</th>
<th>RESPONSIBILITIES TO Pharma</th>
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<tbody>
<tr>
<td>• Submit IND safety reports to the IRB if applicable, see Algorithm for Review and</td>
<td>• Acknowledge receipt of expedited safety report to Pharma with letter/facsimile.</td>
</tr>
<tr>
<td>Distribution of IND Safety and MedWatch Reports (Attachment D) and retain a copy of</td>
<td>• Copy Pharma on the transmittal memo to the IRB, if required.</td>
</tr>
<tr>
<td>the transmittal memo in the study regulatory binder.</td>
<td>• Inform Pharma of action required by the IRB, such as revisions to the informed consent</td>
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<tr>
<td></td>
<td>form.</td>
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<tr>
<td></td>
<td>• Follow up with the Pharma as required.</td>
</tr>
</tbody>
</table>
Attachment B
FORM FDA 3500

Attachment C
FORM FDA 3500B

To retrieve the above forms go to the appropriate web site:

https://www.fda.gov/downloads/AboutFDA/ReportsManualsForms/Forms/UCM163919.pdf

https://www.fda.gov/downloads/AboutFDA/ReportsManualsForms/Forms/UCM163919.pdf

Download the appropriate form.
Attachment D

Algorithm for Review and Distribution of IND Safety and MedWatch Reports

- IND Safety and/or MedWatch Reports sent to Georgia CORE and the Principal Investigator (i.e. the Investigator who initiated the study) by pharma

  - ≤48 hours of receipt
    - YES
      - PI modifies protocol and/or informed consent
      - ≤10 days (7 days if life threatening or fatal)
        - YES
          - Send revised protocol and/or informed consent to PI’s IRB with IND safety report
        - YES
          - Georgia CORE sends IRB approved revised protocol and/or informed consent to the central IRB for community investigators
        - YES
          - Georgia CORE sends IRB approved revised protocol and/or informed consent to community investigators (who sends them to their local IRB, if applicable)
    - NO
      - Georgia CORE determines if action plan (e.g., recommended change to protocol and/or informed consent) is present
      - NO
        - PI reviews documents to determine if adverse events place subjects or others at greater risk of physical or psychological harm than was previously known or recognized as it applies to the Georgia CORE PI initiated study
      - NO
        - Georgia CORE sends documents to community investigators with note that states that upon review by the PI there is no need to change the protocol and/or informed consent
      - NO
        - Community investigators review the documents and determine if they need to discuss a potential need for a change with the PI
      - NO
        - Community investigators send documents to local IRB, if required by their local IRB guidelines