SAFETY REPORTING (CTIMPs)

SSAR = Suspected Serious Adverse Reaction
SUSAR = Suspected Unexpected Serious Adverse Reaction

A *serious adverse reaction* is an untoward and unintended response to an IMP at any dose, that:

(a) results in death;
(b) is life-threatening;
(c) requires hospitalisation or prolongation of existing hospitalisation;
(d) results in persistent or significant disability or incapacity; or
(e) consists of a congenital anomaly or birth defect.

An adverse reaction is *unexpected* if its nature and severity are not consistent with the information about the medicinal product in question set out:

- In the case of a product with marketing authorisation, in the Summary of Product Characteristics for that product
- In the case of any other IMP, in the Investigator's Brochure relating to the trial in question

Reporting date for periodic safety reports:

IMP with a marketing authorisation in any EU member state – the International Birth Date for the product
IMP without a marketing authorisation - the date on which any trial of the IMP being conducted by the sponsor was first authorised by a competent authority in any EU member state

For more detailed guidance, see section 9 of SOPs and the European Commission guidance on adverse reaction reporting (ENTR/CT3) available from the EudraCT website http://eudract.emea.eu.int/document.html#guidance

	Who	What and when	How	To Whom	Action by REC
Reporting of individual SUSARs	Sponsor, sponsor's legal representative or Chief Investigator	Any SUSAR in the relevant trial in the UK. (a) or (b) must be reported within 7 days of the sponsor becoming aware of the event. Any additional information must be reported within 8 days of sending the first report. (c) (d) or (e) must be reported within 15 days of the sponsor becoming aware of the event.	Safety Report Form (CTIMPs) available from NRES website, enclosing: SUSAR report (no format prescribed but sponsors will usually follow CIOMS-1 format)	Main REC for the trial.	Acknowledge within 30 days by signing and returning copy of form, and file. No need for review.

	Who	What and when	How	To Whom	Action by REC
6-monthly safety Reporting	Sponsor, sponsor's legal representative or Chief Investigator *Only* where sponsor is responsible for trials of the IMP outside the UK.	All worldwide SUSARs in the reporting period with a summary of any issues affecting safety of participants. 6-monthly – within 60 days of reporting date.	Safety Report Form (CTIMPs) available from NRES website, enclosing: 6-monthly Safety Report (no format prescribed but ENTR/CT3 gives guidance on line listings).	Each main REC responsible for a trial of the IMP (separate covering form for each).	Acknowledge within 30 days by signing and returning copy of form. Review by Chair and/or suitable expert member.
Annual safety reporting	Sponsor, sponsor's legal representative or Chief Investigator	All worldwide SSARs in the reporting period, i.e. both expected and unexpected, with a summary of any issues affecting safety of participants. Annually – within 60 days of reporting date.	Safety Report Form (CTIMPs) available from NRES website, enclosing: Annual Safety Report (no format prescribed but ENTR/CT3 gives guidance on line listings).	Each main REC responsible for a trial of the IMP (separate covering form for each).	Acknowledge within 30 days by signing and returning copy of form. Review by Chair and/or suitable expert member.
Urgent safety measures	Sponsor, sponsor's legal representative or Chief Investigator *Or exceptionally by local Principal Investigator (PI)*	(i) Immediate notification. (ii) Within 3 days, setting out in full the reasons for the urgent safety measures and the plan for further action.	(i) By telephone. (ii) Notice in writing.	Main REC for the trial. *If notified by local PI, relevant local REC should also be informed.*	Review at REC or sub-committee meeting. *If notified by PI, consult local REC.* Write to sponsor and CI following review.

SAFETY REPORTING (Research other than CTIMPs)

In other research other than CTIMPs, a *serious adverse event* (SAE) is defined as an untoward occurrence that:

(a) results in death;
(b) is life-threatening;
(c) requires hospitalisation or prolongation of existing hospitalisation;
(d) results in persistent or significant disability or incapacity;
(e) consists of a congenital anomaly or birth defect; or
(f) is otherwise considered medically significant by the investigator.

An SAE occurring to a research participant should be reported to the main REC where in the opinion of the Chief Investigator the event was:

- *Related* – that is, it resulted from administration of any of the research procedures, and
- *Unexpected* – that is, the type of event is not listed in the protocol as an expected occurrence.

	Who	What and when	How	Action by REC
SAE	Chief Investigator (CI) or sponsor	Any SAE that is related and unexpected. Within 15 days of the CI becoming aware of the event.	SAE report form for non-CTIMPs, available from NRES website. To main REC only.	Acknowledge by signing and returning copy of form. Review at REC or sub-committee meeting. Write to sponsor and CI following review if appropriate.
Urgent safety measures	Chief Investigator or sponsor	(i) Immediate notification. (ii) Within 3 days, setting out in full the reasons for the urgent safety measures and the plan for further action.	(i) By telephone. (ii) Notice in writing. To main REC only.	Review at REC or sub-committee meeting. Write to sponsor and CI following review.

PROGRESS REPORTING

Type	Who	When	How	Action by REC
Progress reports	May be submitted by sponsor, sponsor's legal representative or Chief Investigator (CI). Must always be signed by CI.	Annually (starting 12 months after the date of the favourable opinion) *Main REC may exceptionally request more frequent reports.* Co-ordinator of main REC to send reminder using SL38 if not received.	Annual progress report form on NRES website. Separate forms to be used for CTIMPs and non-CTIMPs.	Acknowledge using SL37. Review by Chair and/or any member of the REC. Notify REC in Co-ordinators' report.
Declaration of the conclusion or early termination of the research (CTIMPs)	Sponsor, sponsor's legal representative or CI	Within 90 days (conclusion). Within 15 days (early termination). *The end of the trial should be defined in the protocol.*	"Declaration of the end of a clinical trial" form prescribed by the European Commission (Annex 3 to ENTR/CT1), available from EudraCT website.	Acknowledge using SL39. Review by Chair and/or any member of the REC or Scientific Officer. Notify REC in Co-ordinators' report.
Declaration of the conclusion or early termination of the research (non-CTIMPs)	May be submitted by sponsor or CI. Must always be signed by CI.	As for CTIMPs.	End of study declaration form (non-CTIMPs) on NRES website	As for CTIMPs.
Summary of final report	Sponsor, sponsor's legal representative or CI	Within one year of the conclusion of the research. Co-ordinator of main REC to send reminder using SL41 if not received.	No standard format. The summary should include information on whether the study achieved its objectives, the main findings and arrangements for publication or dissemination including feedback to participants.	Acknowledge using SL40. Review by Chair and/or any member of the REC or Scientific Officer. Notify REC in Co-ordinators' report.