

Post-Approval Reporting Requirements Summary Sheet

Federal regulations and the UCSF IRB/HRPP require investigator reporting of any post-approval research-related event or information that may meet the HRPP’s institutional definitions of “*unanticipated problem involving risk to participants or others*” or “*serious or continuing noncompliance*.” The IRB determines whether these definitions apply when evaluating investigator event reports. The following table summarizes which types of events or information should be reported to the IRB/HRPP, the reporting window and appropriate reporting form to use.

See the [Adverse Event](#) and/or [Protocol Violation or Incident](#) sections of the UCSF HRPP website for definitions and details. Questions? Contact the IRB at 415-476-1814 or IRB@ucsf.edu and ask to speak with the QIU (Quality Improvement Unit) Analyst of the day.

What, When, and How to Report to the HRPP

Type of Event	When to Report*	Reporting Form
* The SFVAMC has a shorter timeline and different definitions than UCSF for reporting certain categories of post- approval events. (The website pages noted above include links to the relevant SFVAMC information.)		
ADVERSE EVENTS		
Internal (on-site) adverse event that PI determines to be 1. Definitely, Probably, Possibly or Unlikely related <i>AND</i> 2. Serious or Unexpected	Within 5 working days of UCSF PI awareness Internal, related deaths and life-threatening events: Report immediately	iRIS Adverse Event Reporting Form
External (off-site) adverse even that UCSF PI determines • changes the study risks or benefits, <i>OR</i> • necessitates modification to the IRB-approved consent document(s), and/or the IRB-approved application/protocol	Within 10 working days of UCSF PI awareness	iRIS Adverse Event Reporting Form
OTHER TYPES of EVENTS or SAFETY INFORMATION		
Audit or Monitoring Report with significant findings	Within 10 working days of awareness	iRIS Reporting Form
DSMB/DMC Report		
Hold on Study Activities due to unexpected risk or required by any oversight entity e.g. UCSF, FDA, OHRP		
Updated Investigator Brochure		
Other Safety Information or Publication	Change to risk language: Within 10 working days of awareness	iRIS Reporting Form
Pharmacy Packet Inserts	No change to risk language: Reporting not required	
PROTOCOL VIOLATIONS and RESEARCH-RELATED INCIDENTS		
Major Violation including, but not limited to incorrect intervention given, enrollment of ineligible participant, key safety procedure/lab not done or done outside window.	Within 10 working days of awareness	iRIS Protocol Violation/Incident Report Form
Immediate Protocol Change to Protect Participant Safety	Within 10 working days of occurrence	
Major Incident including, but not limited to problem with consent or recruitment process, significant complaint or concern, lapse in study approval, loss of adequate resources, potential breach of confidentiality or privacy.	Potential breaches of privacy or confidentiality: Within 48 hours of awareness Other Major Incidents: Within 10 working days of awareness	