**Instructions for Reporting Serious Adverse Events, Adverse Events, Withdrawals and Protocol Violations**

***The following are the definitions used by the DSMB. We acknowledge that these may differ from the UK IRB or other organizations. All communication made by this DSMB will use the following definitions.***

**Serious Adverse Events**

A Serious Adverse Event (SAE) is an adverse event that is any death, life-threatening, required hospitalization (initial or prolonged), caused disability or permanent damage, required intervention to prevent permanent impairment/damage, caused a congenital anomaly or birth defect, or other serious adverse event.

All Serious Adverse Events must be reported using the CCTS DSMB **Adverse Event Log**. This will be a cumulative log throughout the lifespan of the study in order for the CCTS DSMB to be able to identify trends and make recommendations.

In addition to the Adverse Event Log a cumulative SAE summary of events with the participant ID, SAE type, date of event, description of each SAE, where the patient was in the study at the time of the event and the outcome of the event must be submitted.

The CCTS DSMB defines an anticipated event as an event that is listed in the informed consent and an unanticipated event as one that is not listed in the informed consent. This definition is different than the definition used by the UK IRB.

All new serious adverse event information that has occurred since the last CCTS DSMB review should be recorded in blue font. All previously reviewed data should be recorded in black font.

**Adverse Events**

An Adverse Event (AE) is an anticipated or unanticipated problem involving risks to the subject

All Adverse Events must be reported using the CCTS DSMB **Adverse Event Log**. This will be a cumulative log throughout the lifespan of the study in order for the CCTS DSMB to be able to identify trends and make recommendations.

The Adverse Event Log should be updated prior to each meeting and any events that were continuing at the previous meeting must be updated. For events that are ongoing at the time of the report enter “Continuing” (C). When the event resolves revise the report to reflect the date of resolution.

The CCTS DSMB defines an anticipated event as an event that is listed in the informed consent and an unanticipated event as one that is not listed in the informed consent. This definition is different than the definition used by the UK IRB.

The CCTS DSMB requires the principal investigator to provide an update on any adverse events that are unresolved at the end of a study.

All new adverse event information that has occurred since the last CCTS DSMB review should be recorded in blue font. All previously reviewed data should be recorded in black font.

When reporting adverse events be sure to include the number of AEs since the last CCTS DSMB review on the Study Overview.

**Withdrawals**

A withdrawal is a subject that was enrolled in the study and then either decided not to participate or was withdrawn by the PI. It does not matter if any study protocols were started or not; after enrollment it is considered a withdrawal. A death occurring after enrollment is not a withdrawal, but an SAE. Again, it does not matter if any study protocols were started or not, if a death occurs after enrollment it is an SAE.

All Withdrawals must be reported using the CCTS DSMB Withdrawal log. This will be a cumulative log throughout the lifespan of the study in order for the CCTS DSMB to be able to identify trends and make recommendations.

In addition to the Withdrawal Log a cumulative withdrawal summary with the participant ID, description of withdrawal and where the patient was in the study at the time of the withdrawal must be submitted.

All new withdrawal information that has occurred since the last CCTS DSMB review should be recorded in blue font. All previously reviewed data should be recorded in black font.

When reporting withdrawals be sure to include the number of withdrawals since the last CCTS DSMB review on the Study Overview.

**Protocol Violations**

**A protocol violation** is an exception or deviation involving a single participant that is not approved by the IRB prior to its initiation or implementation

**A protocol exception** is enrollment of a participant in a protocol that fails to meet protocol inclusion criteria or who should not have been enrolled based on protocol exclusion criteria.

**A protocol deviation** is a departure from the protocol for a participant once that participant has been satisfactorily enrolled

All protocol violations must be reported using the CCTS DSMB **Protocol Violation (Deviation/Exception) Log**. This will be a cumulative log throughout the lifespan of the study in order for the CCTS DSMB to be able to identify trends and make recommendations.

In addition to the Protocol Violation (Deviation/Exception) Log a cumulative Protocol Violation summary with the participant ID, type of violation (exception or deviation), date of violation, description of violation and where the subject was in the study at the time of the violation must be submitted.

All new violation information that has occurred since the last CCTS DSMB review should be recorded in blue font. All previously reviewed data should be recorded in black font.

When reporting violations be sure to include the number of violations since the last CCTS DSMB review on the Study Overview.