Management of Protocol Deviations, Violations and Urgent Safety Measures

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Author: Lucy Parker, Research Governance Manager
Approved by: GARY ROPER  Date: 29/11/12

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1. PURPOSE

This Standard Operating Procedure (SOP) describes the process for identifying and managing protocol deviations, violations and urgent safety measures.

2. INTRODUCTION

A protocol that has received ethics approval (and regulatory approval as applicable) is a formal document defining what can and cannot be done as part of a research project and must be adhered to so that participant safety and research integrity can be maintained. This is of particular importance where a trial is being conducted under the Medicines for Human Use (Clinical Trials) Regulations 2004 and related amendments as there are strict legal requirements that must be upheld to ensure the legitimacy of research activity.

In some circumstances it may be necessary to deviate from protocol to protect the safety of a research participant, which is classed as an urgent safety measure. For trials under the Clinical Trials Regulations there are defined reporting requirements that will be explained in the section three of this SOP.

Most deviations from protocol relate to variance from the defined inclusion and exclusion criteria or changes to protocol defined processes.

Deviations from protocol can occur for a number of reasons and depending on the occurrence can be classes as protocol deviation or protocol violation.

2.1 A protocol deviation occurs when a process or criteria has not been actioned in line with the approved protocol. For example, a study visit outside defined visit schedule, or a variation in the management of a participant due to minor safety concerns. Deviations are occurrences which can be classed as minor and not affect participant safety or the integrity of the research.

2.2 A protocol violation occurs when there is a consistent variation in practice from the defined protocol. For example, changes to the protocol that have not been approved by an ethics committee or regulator that are classed as substantial amendments (see JRO/SOP/006). A violation is a significant occurrence or event which may affect participant safety or the integrity of the research.

2.3 An urgent safety measure occurs when a research participant has been identified as being at risk of harm in relation to their involvement in a research project and urgent action, which deviates from the protocol, is required to manage the event and protect the participant.

A protocol deviation may become a violation if it occurs on multiple occasions and/or affects multiple participants.

Non-compliance with the inclusion and exclusion criteria is always classed as a significant protocol violation regardless of how minor the deviation appears to be, as these criteria define the participant group in relation to the scientific requirements of the protocol.

3. PROCEDURE
3.1 Identification of a Protocol Deviation or Violation
The Chief Investigator of a research project is responsible for ensuring there are appropriate oversight systems in place to monitor research activity and identify any deviations from the study protocol. This responsibility may be shared with other members of the research team, e.g. a Trial Steering Committee.

3.1.1 All deviations identified must be reviewed by the Chief Investigator (CI) to assess whether participant safety or study integrity has been affected by the deviation and to what extent the deviation has affected the project.

3.1.2 The CI will notify the sponsor if a deviation has an impact on safety or research integrity. The sponsor will advise whether the event is a protocol violation and take appropriate measures to address the occurrence which may include audit of the research project and defining a corrective action plan to be implemented by the CI.

3.1.3 Where a protocol deviation is not judged to impact on safety or research integrity, a file note should be added to the Trial Master File and/or CRF and source documents explaining the action taken and its justification.

3.1.4 If the CI is unsure whether an occurrence is a deviation or violation they should seek advice from the sponsor to ensure appropriate action is taken.

3.2 Reporting a Protocol Violation
When a protocol violation is identified it is essential to inform the appropriate parties of the occurrence and any corrective actions that have been implemented.

3.2.1 The CI must notify the sponsor of the violation immediately upon identifying the issue. The sponsor will advise on what action is required and may initiate a triggered audit of research activity to assess the extent of the violation and its relation to any other protocol compliance issues.

3.2.2 If the sponsor identifies a protocol violation during routine audit the process described in JRO/SOP/018 – JRO Audit, will be followed. For IMP trials requiring MHRA approval, should the violation be identified as a serious breach of good clinical practice or the trial protocol, the sponsor will follow JRO/SOP/021 – Notification of Serious Breaches of GCP or the Trial Protocol, and inform the MHRA of the incident within seven day of being notified of the event.

3.2.3 Once a violation has been identified it may be necessary to inform the ethics committee and/or regulator of the incident and any corrective actions. The sponsor will inform the CI of reporting requirements and direct them to submit a report explaining the event. Key areas to include in a report are:

- An overview of the incident and its cause
- Description of corrective action
- An assessment of likelihood of reoccurrence
- Outline of any changes to the protocol that may be required
- Time line for corrective action and amendment approval (if applicable)
3.2.4 If the protocol violation is deemed to be of a serious nature the sponsor will suspend the research project until all necessary corrective actions have been taken.

3.3 **Management of Urgent Safety Measures (Clinical Trials)**
Under the Medicine for Human Use (Clinical Trials) Regulations the sponsor, Chief Investigator or Principal Investigator may carry out urgent safety measures (USM) to protect trial subject from immediate harm.

3.3.1 Any urgent safety measure relating to an IMP trial must be notified to the sponsor, ethics committee and MHRA within three days of the action being taken. The notification should describe the event, the measures taken and justification for the measures taken. The MHRA can be contacted via email at [clinicaltrials helpline@mhra.gsi.gov.uk](mailto:clinicaltrialshelpline@mhra.gsi.gov.uk) by titling the email ‘Urgent Safety Measures’. The ethics committee will need to be informed in writing with a copy to the sponsor.

3.3.2 The sponsor must be notified of the USM before submitting to the MHRA and ethics to advise on content and process, and to ensure the sponsor is aware of the event should the ethics committee or regulator contact for further information.

4. **REFERENCES**

JRO/SOP/006 – Amendments to Healthcare Research
JRO/SOP/018 – Joint Research Office Audit
**Statutory instrument 2004/1031:** The Medicines for Human Use (Clinical Trials) Regulations 2004.
**Statutory Instrument 2006/1928:** The Medicines for Human Use (Clinical Trials) Amendment Regulations 2006.