



Site visit inspection report on compliance with HTA minimum standards

St George's University of London

HTA licensing number 12335

Licensed under the Human Tissue Act 2004 for the

- **storage of relevant material which has come from a human body for use for a scheduled purpose**

15 November 2012

Summary of inspection findings

The HTA found the Designated Individual, the Licence Holder, the premises and the practices to be suitable in accordance with the requirements of the legislation.

St George's University of London (the establishment) was found to have met all HTA standards.

This was the establishment's first, site-based inspection. Particular examples of strengths and good practice are included in the concluding comments section of the report.

The HTA's regulatory requirements

The HTA must assure itself that the Designated Individual, Licence Holder, premises and practices are suitable.

The statutory duties of the Designated Individual are set down in Paragraph 18 of the Human Tissue Act 2004. They are to secure that:

- the other persons to whom the licence applies are suitable persons to participate in the carrying-on of the licensed activity;
- suitable practices are used in the course of carrying on that activity; and
- the conditions of the licence are complied with.

The HTA developed its licensing standards with input from its stakeholders. They are designed to ensure the safe and ethical use of human tissue and the dignified and respectful treatment of the deceased. The HTA inspects the establishments it licences against four groups of standards:

- consent
- governance and quality systems
- premises facilities and equipment
- disposal.

This is an exception-based report: only those standards that have been assessed as not met are included. Where the HTA determines that a standard is not met, the level of the shortfall is classified as 'Critical', 'Major' or 'Minor' (see Appendix 2: Classification of the level of shortfall). Where HTA standards are fully met, but the HTA has identified an area of practice that could be further improved, advice is given to the DI.

Reports of HTA inspections carried out from 1 November 2010 are published on the HTA's website.

Background to the establishment and description of inspection activities undertaken

The establishment stores material from approximately 50 research groups on campus, and maintains a pathology museum containing around 2500 samples. The vast majority of groups store material under separate, NHS recognised research ethics (REC) approval, however the DI is collating a database of information on all projects, to develop an alert system to show when REC approval has lapsed. Once ethics approval has expired, material will be stored under the licence, however, to minimise the risk of non-compliance with HTA standards, the DI has a policy for all tissue to be stored according to HTA standards, regardless of ethics approval status.

This first, routine inspection included document review, interviews with staff, and a visual inspection of a pathology museum and storage areas for three research groups. One group was storing ovarian tissue, in a -80°C freezer; another group was storing blocks and slides from brain biopsies at room temperature, in a laboratory; and the last group visited, had seven skin biopsy samples stored exclusively under the licence, in a -80°C freezer.

The inspection team completed traceability audits in each storage area visited. All material was traceable to spreadsheets, or the establishment's IT tracking system. Where applicable, all material was fully traceable to consent forms. Minor anomalies were found. In one case, two samples were written on the bag, but the number was not on the record sheet. In another case, five samples were recorded on the bag, but "six" was the number marked on the form (see Advice GQ6). In another case, the time, reason and method of disposal of slides were not recorded (see Advice D2).

Inspection findings

The HTA found the Designated Individual and the Licence Holder to be suitable in accordance with the requirements of the legislation.

Compliance with HTA standards

All applicable HTA standards have been assessed as fully met.

Advice

The HTA advises the DI to consider the following to further improve practices:

No.	Standard	Advice
1.	GQ2	The DI is compiling a database to capture all information about ethics approval end dates. Once the full range of activity under the licence is established, the DI will be able to develop a detailed audit schedule to monitor material stored under the licence.
2.	GQ6	Some minor anomalies were found during the traceability audits. While this information was backed up elsewhere in laboratory notes and all samples and consent forms were traceable, the DI is advised to continue implementing wider uptake of the establishment's IT tracking system and auditing of records to manage such discrepancies, to assist with the establishment's policy to hold all tissue according to HTA standards, regardless of ethics status.
3.	GQ8	The establishment had completed a number of risk assessments including assessment of freezer security and monitoring. The DI is advised to consider extending risk assessments to cover a wider range of incidents related to preserving the quality and traceability of relevant material.
4.	D2	<p>During a traceability audit, the time, reason and method of disposal of slides were not recorded for a sample. In this particular case, the disposal occurred while slides were held under project-specific ethics approval.</p> <p>The establishment's policy is to capture all tissue held on site under a uniform governance structure. The DI is therefore advised to record disposal information in all instances, in particular, to ensure material from the deceased is treated as sensitive material, in accordance with the establishment's existing policy.</p> <p>The DI is advised to consider monitoring wider compliance with HTA standards through audit and further communication and training to staff, to encourage wider awareness of the establishment's disposal policies.</p>

Concluding comments

There were a number of areas of good practice seen during the inspection. The establishment's approach to consent, traceability and contingency planning was well-considered. The establishment is also rolling out a 24-hour alarm system for all freezers and all the storage areas visited during the inspection were monitored and secure.

The pathology museum maintains high standards of traceability and there was evidence of completion of an external audit.

The current DI has been in the role since early 2011, so many new initiatives have been put in place recently, to continuously improve the establishment's ability to control samples and manage storage of material under the licence. This includes: encouraging groups to use the establishment's IT tracking system, through general communication and training sessions; use of an "HTA Registration of Collection Form", to gather information on group activity; integrating the need for registration of material as part of the "host site approval" process, managed by the Joint Research and Enterprise Office; and working with human resources to coordinate HTA-specific training and training attendance records. The DI is also a member of the St. George's University of London, Human Tissue Licence Review Group, which supports communication between DIs and Persons Designate working under HTA licences on the site.

The HTA has assessed the establishment as suitable to be licensed for the activities specified and has given advice to the Designated Individual with respect to audits, risk assessments and disposal. Following the inspection, the DI advised the HTA that the establishment is acting on the advice provided during the inspection and presented in this report.

Report sent to DI for factual accuracy: 6 December 2012

Report returned from DI: 17 December 2012

Final report issued: 3 January 2013

Appendix 1: HTA standards

The HTA standards applicable to this establishment are shown below; those not assessed during the inspection are shown in grey text. Individual standards which are not applicable to this establishment have been excluded.

Consent standards
C1 Consent is obtained in accordance with the requirements of the Human Tissue Act 2004 (HT Act) and as set out in the code of practice
<ul style="list-style-type: none">• Consent forms comply with the HTA's Code of Practice• Consent forms are in records and are made accessible to those using or releasing relevant material for a scheduled purpose• If the establishment obtains consent, a process is in place for acquiring consent in accordance with the requirements of the HT Act 2004 and the HTA's Codes of Practice• Where applicable, there are agreements with third parties to ensure that consent is obtained in accordance with the requirements of the HT Act 2004 and the HTA's Codes of Practice• Consent procedures have been ethically approved
C2 Information about the consent process is provided and in a variety of formats
<ul style="list-style-type: none">• Standard operating procedures (SOPs) detail the procedure for providing information on consent• Agreements with third parties contain appropriate information• Independent interpreters are available when appropriate• Information is available in suitable formats, appropriate to the situation• Consent procedures have been ethically approved
C3 Staff involved in seeking consent receive training and support in the implications and essential requirements of taking consent
<ul style="list-style-type: none">• Standard operating procedures (SOPs) detail the consent process• Evidence of suitable training of staff involved in seeking consent• Records demonstrate up-to-date staff training• Competency is assessed and maintained
Governance and quality system standards
GQ1 All aspects of the establishments work are supported by ratified documented policies and procedures as part of the overall governance process
<ul style="list-style-type: none">• Policies and procedures in place are in place, covering all activities related to the storage of relevant material for research in connection with disorders, or the functioning, of the human body• Appropriate risk management systems are in place• Regular governance meetings are held; for example, health and safety and risk management

<p>committees, agendas and minutes</p> <ul style="list-style-type: none"> • Complaints system
<p>GQ2 There is a documented system of quality management and audit</p>
<ul style="list-style-type: none"> • A document control system, covering all documented policies and standard operating procedures (SOPs). • Schedule of audits • Change control mechanisms for the implementation of new operational procedures
<p>GQ3 Staff are appropriately qualified and trained in techniques relevant to their work and are continuously updating their skills</p>
<ul style="list-style-type: none"> • Qualifications of staff and training are recorded, records showing attendance at training • Orientation and induction programmes • Documented training programme, (e.g. health and safety, fire, risk management, infection control), including developmental training • Training and reference manuals • Staff appraisal / review records and personal development plans are in place
<p>GQ4 There is a systematic and planned approach to the management of records</p>
<ul style="list-style-type: none"> • Documented procedures for the creation, amendment, retention and destruction of records • Regular audit of record content to check for completeness, legibility and accuracy • Back-up / recovery facility in the event of loss of records • Systems ensure data protection, confidentiality and public disclosure (whistle-blowing)
<p>GQ5 There are documented procedures for distribution of body parts, tissues or cells</p>
<ul style="list-style-type: none"> • A process is in place to review the release of relevant material to other organisations • An agreement is in place between the establishment and the organisation to whom relevant material is supplied regarding the tracking and use of material and eventual disposal or return
<p>GQ6 A coding and records system facilitates traceability of bodies, body parts, tissues and cells, ensuring a robust audit trail</p>
<ul style="list-style-type: none"> • There is an identification system which assigns a unique code to each donation and to each of the products associated with it • An audit trail is maintained, which includes details of when and where the relevant material was acquired, the consent obtained, the uses to which the material was put, when the material was transferred and to whom

GQ7 There are systems to ensure that all adverse events are investigated promptly

- Corrective and preventive actions are taken where necessary and improvements in practice are made
- System to receive and distribute national and local information (e.g. HTA communications)

GQ8 Risk assessments of the establishment's practices and processes are completed regularly and are recorded and monitored appropriately

- Documented risk assessments for all practices and processes
- Risk assessments are reviewed when appropriate
- Staff can access risk assessments and are made aware of local hazards at training

Premises, facilities and equipment standards

PFE1 The premises are fit for purpose

- A risk assessment has been carried out of the premises to ensure that they are appropriate for the purpose
- Policies in place to review and maintain the safety of staff, authorised visitors and students
- The premises have sufficient space for procedures to be carried out safely and efficiently
- Policies are in place to ensure that the premises are secure and confidentiality is maintained

PFE 2 Environmental controls are in place to avoid potential contamination

- Documented cleaning and decontamination procedures
- Staff are provided with appropriate protective equipment and facilities that minimise risks from contamination
- Appropriate health and safety controls are in place

PFE3 There are appropriate facilities for the storage of bodies, body parts, tissues and cells, consumables and records.

- Relevant material, consumables and records are stored in suitable secure environments and precautions are taken to minimise risk of damage, theft or contamination
- Contingency plans are in place in case of failure in storage area
- Critical storage conditions are monitored and recorded
- System to deal with emergencies on 24 hour basis
- Records indicating where the material is stored in the premises

PFE 4 Systems are in place to protect the quality and integrity of bodies, body parts, tissues and cells during transport and delivery to a destination

- Documented policies and procedures for the appropriate transport of relevant material, including a risk assessment of transportation
- A system is in place to ensure that traceability of relevant material is maintained during transport
- Records of transportation and delivery
- Records are kept of any agreements with recipients of relevant material
- Records are kept of any agreements with courier or transport companies

PFE5 Equipment is appropriate for use, maintained, quality assured, validated and where appropriate monitored

- Records of calibration, validation and maintenance, including any agreements with maintenance companies
- Users have access to instructions for equipment and receive training in use and maintenance where appropriate
- Staff aware of how to report an equipment problem
- Contingency plan for equipment failure

Disposal Standards

D1 There is a clear and sensitive policy for disposing of human organs and tissue

- Documented disposal policy
- Policy is made available to the public
- Compliance with health and safety recommendations

D2 The reason for disposal and the methods used are carefully documented

- Standard operating procedures (SOPs) for tracking the disposal of relevant material detail the method and reason for disposal
- Where applicable, disposal arrangements reflect specified wishes

Appendix 2: Classification of the level of shortfall

Where the HTA determines that a licensing standard is not met, the improvements required will be stated and the level of the shortfall will be classified as 'Critical', 'Major' or 'Minor'. Where the HTA is not presented with evidence that an establishment meets the requirements of an expected standard, it works on the premise that a lack of evidence indicates a shortfall.

The action an establishment will be required to make following the identification of a shortfall is based on the HTA's assessment of risk of harm and/or a breach of the HT Act or associated Directions.

1. Critical shortfall:

A shortfall which poses a significant risk to human safety and/or dignity or is a breach of the Human Tissue Act 2004 (HT Act) or associated Directions

or

A combination of several major shortfalls, none of which is critical on its own, but which together could constitute a critical shortfall and should be explained and reported as such.

A critical shortfall may result in one or more of the following:

- (1) A notice of proposal being issued to revoke the licence
- (2) Some or all of the licensable activity at the establishment ceasing with immediate effect until a corrective action plan is developed, agreed by the HTA and implemented.
- (3) A notice of suspension of licensable activities
- (4) Additional conditions being proposed
- (5) Directions being issued requiring specific action to be taken straightaway

2. Major shortfall:

A non-critical shortfall that:

- poses a risk to human safety and/or dignity, or
- indicates a failure to carry out satisfactory procedures, or
- indicates a breach of the relevant CoPs, the HT Act and other relevant professional and statutory guidelines, or
- has the potential to become a critical shortfall unless addressed

or

A combination of several minor shortfalls, none of which is major on its own, but which, together, could constitute a major shortfall and should be explained and reported as such.

In response to a major shortfall, an establishment is expected to implement corrective and preventive actions within 1-2 months of the issue of the final inspection report. Major shortfalls pose a higher level of risk and therefore a shorter deadline is given, compared to minor shortfalls, to ensure the level of risk is reduced in an appropriate timeframe.

3. Minor shortfall:

A shortfall which cannot be classified as either critical or major, but which indicates a departure from expected standards.

This category of shortfall requires the development of a corrective action plan, the results of which will usually be assessed by the HTA either by desk based or site visit.

In response to a minor shortfall, an establishment is expected to implement corrective and preventive actions within 3-4 months of the issue of the final inspection report.

Follow up actions

A template corrective and preventive action plan will be sent as a separate Word document with both the draft and final inspection report. You must complete this template and return it to the HTA within 14 days of the issue of the final report.

Based on the level of the shortfall, the HTA will consider the most suitable type of follow-up of the completion of the corrective and preventive action plan. This may include a combination of

- a follow-up site-visit inspection
- a request for information that shows completion of actions
- monitoring of the action plan completion
- follow up at next desk-based or site-visit inspection.

After an assessment of your proposed action plan you will be notified of the follow-up approach the HTA will take.