Site visit inspection report on compliance with HTA minimum standards

Mid Yorkshire NHS Trust

HTA licensing number 22534

Licensed for the

- **procurement of human tissues and cells for human application under the Human Tissue (Quality and Safety for Human Application) Regulations 2007**

22 May 2014

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.

Although the HTA found that the haematology department of Mid Yorkshire NHS Trust (the establishment) had met the majority of the HTA standards, one minor shortfall was found in relation to governance and quality systems, as the establishment has no contingency plan for the transfer of traceability records and raw data to another HTA licensed establishment in the event it ceases to be licensed.

Since the last inspection, the establishment has employed a quality manager and reviewed and updated various elements of its quality systems.

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 Section 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.

Licensable activities carried out by the establishment

'E' = Establishment is licensed to carry out this activity.

'TPA' = Third party agreement; the establishment is licensed for this activity but another establishment (unlicensed) carries out the activity on their behalf.

Tissue type	Procurement	Processing	Testing	Storage	Distribution	Import	Export
PBSC	**E**						

Background to the establishment and description of inspection activities undertaken

The establishment is licensed for the procurement of tissues and cells for human application, being peripheral blood stem cells (PBSCs) from adult patients for autologous use as part of on-going medical treatment. The establishment is accredited by the Joint Accreditation Committee – ISCT (Europe) & EBMT (JACIE). This was the establishment's third HTA inspection and was a routine, scheduled inspection.

The establishment procures PBSCs by apheresis from patients as out-patients or as in-patients. Patients are scheduled for procurement following referral to the establishment and according to a treatment plan agreed during multidisciplinary team meetings. Processing, testing, storage, distribution and disposal of cells are carried out by another HTA licensed establishment under a service level agreement.

Informed consent is taken by trained medical staff, at consultant or registrar level, with consent being taken separately for virology testing prior to and at procurement, any clinical procedures required to provide vascular access, the storage of data and the procurement, processing, storage and disposal of PBSCs. At each stage of the treatment process, patients

are provided with comprehensive information, verbally and in writing. Where logistics demand it, some elements of the consenting procedures are carried out at two other hospitals within the parent NHS Trust. However, procurement and the subsequent re-infusion of cells are only carried out at the establishment.

In advance of procurement, the processing establishment provides pre-printed labels which include a unique identification number for each procurement, as well as the patient's identity details.

Procurement is by apheresis. A nurse from the haematology ward is allocated to each patient and is responsible for obtaining blood samples for mandatory testing, maintaining observation of the patient's vital signs and double checking identity details and the labelling of the cell bags and blood sample containers.

Trained members of the establishment's laboratory staff review the consent documentation prior to commencing apheresis, completing a checklist confirming that this and various other pre and post procurement steps have been carried out. They then stay with the patient to ensure that the cell procurement proceeds as expected.

Bags of cells, donor plasma and blood sample vacutainers are labelled with the pre-printed labels before being sent for processing, transportation being the responsibility of the processing laboratory.

The processing laboratory sends initial CD34+ counts to inform the decision whether to recall the patient for further procurement. Virology results are updated and sent to the establishment by e mail and fax, as are microbiology results.

Occasionally, where procurement occurs too late in the day for collection by the processing establishment's couriers, the procured cells are stored within a monitored refrigerator until the next day. As storage never exceeds 48 hours, this is not a licensable activity.

When a patient is about to undertake their chemotherapy treatment, return of cells is scheduled for a date following their treatment and consent for the transplant is sought. The processing establishment is contacted to release cells from storage. On the date that cells are required, transport to the establishment is carried out using dry shippers with data loggers, and trained nursing staff receive the shipment, check that the bags of cells are undamaged, confirm labelling and patient identity details and thaw and infuse the cells, working to a defined standard operating procedure (SOP).

This inspection was a routine, scheduled, inspection, the establishment's third. It comprised a visual inspection of the outpatients department including the day bed area where apheresis takes place, and the transplant ward where in-patient apheresis and all re-infusions are carried out. The inspection team also visited the consumables storage area and the storage refrigerator used to store cells overnight pending collection.

A selection of governance documents was reviewed, including SOPs, audits and risk assessments, meeting minutes, cleaning and maintenance records, staff training records and overarching policies at local and Trust level.

Key staff members were interviewed.

In addition an audit of patient files was carried out:

- five files were selected, two relating to patients where procurement had been carried out at another licensed establishment, and reviewed for the presence of consent forms, traceability, procurement and processing records, virology results and records of despatch and receipt.

  No discrepancies were noted.

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

Governance and Quality

Standard	Inspection findings	Level of shortfall
GQ4 There is a systematic and planned approach to the management of records.		
m) In the event of termination of activities of the establishment a contingency plan to ensure records of traceability are maintained for 10 or 30 years as required.	The establishment has a process in place whereby patient files are marked with stickers to advise the Trust's medical records staff of the need to retain records for 30 years. Raw data are retained on site. However, there is no formal contingency plan or arrangement to deal with the transfer of such records in the event the establishment ceases to be licensed. *The establishment submitted a policy detailing how the need to store traceability details and raw data for the required periods will be addressed in the event that they chose not to remain licensed at some point in the future. The HTA has assessed this information as satisfactory to address the shortfall.*	**Minor**

Advice

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

No.	Standard	Advice
1.	C2a	The DI is advised to risk assess any potential change to consent forms or related documentation, including checklists, to ensure consistent information on treatment risks is provided. The risk assessment should determine whether any standardisation of such information may increase the risk of less common consequences of procurement or transplantation being overlooked and therefore patients not being informed of them.
2.	GQ1b, PFE2c	The DI is advised to update the relevant SOPs relating to cleaning of the apheresis machines in both locations within the establishment to reflect the recently introduced practice of using a sticker confirming that cleaning has been carried out.

3.	GQ1b	The DI is advised to consider modifying the current process where unused labels are marked and then destroyed to one where unused labels are marked and then attached to a reconciliation sheet filed with the process notes.
4.	GQ1b	The DI is advised to add a paragraph to the quality manual detailing the requirement to mark patient records for non-destruction for the period of 30 years, in order to reflect current practice.
5.	GQ2b	The DI is advised to consider carrying out an observation audit of the consent process in the event future audit of completed consent documentation continues to highlight variability in the information on treatment risks provided to patients.
6.	GQ2c	The DI is advised to ensure that the audit carried out by external auditors contains a statement making it clear that the audit is against all HTA standards.
7.	GQ4h,GQ4i	The DI is advised to add a paragraph to the quality manual detailing the retention of traceability records and raw data for the periods of 30 and 10 years respectively.

Concluding comments

The HTA saw various examples of good practice during the inspection.

The establishment has employed a quality manager to manage the quality system and to lead improvements in this area and this has led to improved oversight and review of governance processes.

The DI sends an annual request to other departments within the hospital to clarify whether any other potential licensable activity is being carried out, reminding other departments of the need to consider the licensing framework.

The seeking of consent is carried out by a small cohort of trained staff and they undertake a well-considered training programme which covers clinical aspects of consent as well as those elements specifically pertinent to the HTA licensed activity.

Quality and governance documentation is comprehensive, clear and easy to read, and there is effective use of checklists at various key stages.

There appears to be very good communication between those involved in the activity and licensed activity is discussed during various scheduled meetings attended by relevant staff, helping to ensure a thorough understanding of regulatory requirements.

There is an area of practice that requires improvement, resulting in one minor shortfall. The HTA has given advice to the Designated Individual with respect to some elements of governance and quality systems.

The HTA requires that the Designated Individual addresses the shortfall by submitting a completed corrective and preventative action (CAPA) plan within 14 days of receipt of the final report (refer to Appendix 2 for recommended timeframes within which to complete actions). The HTA will then inform the establishment of the evidence required to demonstrate that the actions agreed in the plan have been completed.

The HTA has assessed the establishment as suitable to be licensed for the activities specified subject to corrective and preventative actions being implemented to meet the shortfall identified during the inspection.

Report sent to DI for factual accuracy: 4 June 2014

Report returned from DI: 16 June 2014

Final report issued: 16 June 2014

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.

Human Tissue (Quality and Safety for Human Application) Regulations 2007 Standards

Consent

Standard
C1 Consent is obtained in accordance with the requirements of the HT Act 2004, the Human Tissue (Quality and Safety for Human Application) Regulations 2007 and as set out in the HTA's Codes of Practice.
a) If the establishment acts as a procurer of tissues and / or cells, there is an established process for acquiring donor consent which meets the requirements of the HT Act 2004 the Human Tissue (Quality and Safety for Human Application) Regulations 2007 (Q&S Regulations) and the HTA's Codes of Practice
c) The establishment or the third party's procedure on obtaining donor consent includes how potential donors are identified and who is able to take consent.
d) Consent forms comply with the HTA Codes of Practice.
e) Completed consent forms are included in records and are made accessible to those using or releasing tissue and / or cells for a Scheduled Purpose.
C2 Information about the consent process is provided and in a variety of formats.
a) The procedure on obtaining consent details what information will be provided to donors. As a minimum, the information specified by Directions 003/2010 is included.
c) Information is available in suitable formats and there is access to independent interpreters when required.
d) There are procedures to ensure that information is provided to the donor or donor's family by trained personnel.
C3 Staff involved in seeking consent receive training and support in the implications and essential requirements of taking consent.
a) Staff involved in obtaining consent are provided with training on how to take informed consent in accordance with the requirements of the HT Act 2004 and Code of Practice on Consent.
b) Training records are kept demonstrating attendance at training on consent.

Governance and Quality

Standard
GQ1 All aspects of the establishment's work are supported by ratified documented policies and procedures as part of the overall governance process.
a) There is an organisational chart clearly defining the lines of accountability and reporting

relationships.
b) There are procedures for all licensable activities that ensure integrity of tissue and / or cells and minimise the risk of contamination.
c) There are regular governance meetings, for example health and safety, risk management and clinical governance committees, which are recorded by agendas and minutes.
d) There is a document control system to ensure that changes to documents are reviewed, approved, dated and documented by an authorised person and only current documents are in use.
e) There are procedures for tissue and / or cell procurement, which ensure the safety of living donors.
g) There are procedures to ensure that an authorised person verifies that tissues and / or cells received by the establishment meet required specifications.
o) There is a complaints system in place.
p) There are written agreements with third parties whenever an activity takes place that has the potential to influence the quality and safety of human tissues and / or cells.
q) There is a record of agreements established with third parties.
r) Third party agreements specify the responsibilities of the third party and meet the requirements set out in Directions 003/2010.
s) Third party agreements specify that the third party will inform the establishment in the event of a serious adverse reaction or event.
t) There are procedures for the re-provision of service in an emergency.
GQ2 There is a documented system of quality management and audit.
a) There is a quality management system which ensures continuous and systematic improvement.
b) There is an internal audit system for all licensable activities.
c) An audit is conducted in an independent manner at least every two years to verify compliance with protocols and HTA standards, and any findings and corrective actions are documented.
d) Processes affecting the quality and safety of tissues and / or cells are validated and undergo regular evaluation to ensure they continue to achieve the intended results.
GQ3 Staff are appropriately qualified and trained in techniques relevant to their work and are continuously updating their skills.
a) There are clearly documented job descriptions for all staff.
b) There are orientation and induction programmes for new staff.
c) There are continuous professional development (CPD) plans for staff and attendance at training is recorded.
d) There is annual documented mandatory training (e.g. health and safety and fire).
e) Personnel are trained in all tasks relevant to their work and their competence is recorded.

f) There is a documented training programme that ensures that staff have adequate knowledge of the scientific and ethical principles relevant to their work, and the regulatory context.
g) There is a documented training programme that ensures that staff understand the organisational structure and the quality systems used within the establishment.
h) There is a system of staff appraisal.
i) Where appropriate, staff are registered with a professional or statutory body.
j) There are training and reference manuals available.
k) The establishment is sufficiently staffed to carry out its activities.
GQ4 There is a systematic and planned approach to the management of records.
a) There are procedures for the creation, identification, maintenance, access, amendment, retention and destruction of records.
b) There is a system for the regular audit of records and their content to check for completeness, legibility and accuracy and to resolve any discrepancies found.
c) Written records are legible and indelible. Records kept in other formats such as computerised records are stored on a validated system.
d) There is a system for back-up / recovery in the event of loss of computerised records.
e) The establishment keeps a register of the types and quantities of tissues and / or cells that are procured, tested, preserved, processed, stored and distributed or otherwise disposed of, and on the origin and destination of tissues and cells intended for human application.
f) There are procedures to ensure that donor documentation, as specified by Directions 003/2010, is collected and maintained.
g) There is a system to ensure records are secure and that donor confidentiality is maintained in accordance with Directions 003/2010.
h) Raw data which are critical to the safety and quality of tissues and cells are kept for 10 years after the use, expiry date or disposal of tissues and / or cells.
i) The minimum data to ensure traceability from donor to recipient as required by Directions 003/2010 are kept for 30 years after the use, expiry or disposal of tissues and / or cells.
j) Records are kept of products and material coming into contact with the tissues and / or cells.
k) There are documented agreements with end users to ensure they record and store the data required by Directions 003/2010.
l) The establishment records the acceptance or rejection of tissue and / or cells that it receives and in the case of rejection why this rejection occurred.
m) In the event of termination of activities of the establishment a contingency plan to ensure records of traceability are maintained for 10 or 30 years as required.
GQ5 There are documented procedures for donor selection and exclusion, including donor criteria.
b) The testing of donors by the establishment or a third party on behalf of the establishment is carried

out in accordance with the requirements of Directions 003/2010.
d) There is a system in place either at the establishment or at a third party acting on its behalf to record results of donor selection and associated tests.
e) Testing of donor samples is carried out using CE marked diagnostic tests.
f) Samples taken for donor testing are clearly labelled with the time and place the sample was taken and a unique donor identification code.
GQ6 A coding and records system facilitates traceability of tissues and / or cells, ensuring a robust audit trail.
a) There is a donor identification system which assigns a unique code to each donation and to each of the products associated with it.
b) An audit trail is maintained, which includes details of when the tissues and / or cells were acquired and from where, the uses to which the tissues and / or cells were put, when the tissues and / or cells were transferred elsewhere and to whom.
c) The establishment has procedures to ensure that tissues and / or cells imported, procured, processed, stored, distributed and exported are traceable from donor to recipient and vice versa.
GQ7 There are systems to ensure that all adverse events, reactions and/or incidents are investigated promptly.
a) There are procedures for the identification, reporting, investigation and recording of adverse events and reactions, including documentation of any corrective or preventative actions.
b) There is a system to receive and distribute national and local information (e.g. HTA regulatory alerts) and notify the HTA and other establishments as necessary of serious adverse events or reactions.
c) The responsibilities of personnel investigating adverse events and reactions are clearly defined.
d) There are procedures to identify and decide the fate of tissues and / or cells affected by an adverse event, reaction or deviation from the required quality and safety standards.
GQ8 Risk assessments of the establishment's practices and processes are completed regularly and are recorded and monitored appropriately.
a) There are documented risk assessments for all practices and processes.
b) Risk assessments are reviewed regularly, as a minimum annually or when any changes are made that may affect the quality and safety of tissues and cells.
c) Staff can access risk assessments and are made aware of local hazards at training.
d) A documented risk assessment is carried out to decide the fate of any tissue and / or cells stored prior to the introduction of a new donor selection criteria or a new processing step, which enhances the quality and safety of tissue and / or cells.

Premises, Facilities and Equipment

Standard
PFE1 The premises are fit for purpose.
a) A risk assessment has been carried out of the premises to ensure that they are fit for purpose.
b) There are procedures to review and maintain the safety of staff, visitors and patients.
c) The premises have sufficient space for procedures to be carried out safely and efficiently.
e) There are procedures to ensure that the premises are secure and confidentiality is maintained.
f) There is access to a nominated, registered medical practitioner and / or a scientific advisor to provide advice and oversee the establishment's medical and scientific activities.
PFE2 Environmental controls are in place to avoid potential contamination.
c) There are procedures for cleaning and decontamination.
d) Staff are provided with appropriate protective clothing and equipment that minimise the risk of contamination of tissue and / or cells and the risk of infection to themselves.
PFE3 There are appropriate facilities for the storage of tissues and / or cells, consumables and records.
a) Tissues, cells, consumables and records are stored in secure environments and precautions are taken to minimise risk of damage, theft or contamination.
b) There are systems to deal with emergencies on a 24 hour basis.
PFE4 Systems are in place to protect the quality and integrity of tissues and / or cells during transport and delivery to its destination.
b) There are procedures for the transport of tissues and / or cells which reflect identified risks associated with transport.
c) There is a system to ensure that traceability of tissues and / or cells is maintained during transport.
d) Records are kept of transportation and delivery.
e) Tissues and / or cells are packaged and transported in a manner and under conditions that minimise the risk of contamination and ensure their safety and quality.
f) There are third party agreements with courier or transport companies to ensure that any specific transport conditions required are maintained.
g) Critical transport conditions required to maintain the properties of tissue and / or cells are defined and documented.
h) Packaging and containers used for transportation are validated to ensure they are fit for purpose.
i) Primary packaging containing tissues and / or cells is labelled with the information required by Directions.
j) Shipping packaging containing tissues and / or cells is labelled with the information required by

Directions.
PFE5 Equipment is appropriate for use, maintained, quality assured, validated and where appropriate monitored.
a) Critical equipment and technical devices are identified, validated, regularly inspected and records are maintained.
b) Critical equipment is maintained and serviced in accordance with the manufacturer's instructions.
c) Equipment affecting critical processes and storage parameters is identified and monitored to detect malfunctions and defects and procedures are in place to take any corrective actions.
d) New and repaired equipment is validated before use and this is documented.
e) There are documented agreements with maintenance companies.
f) Cleaning, disinfection and sanitation of critical equipment is performed regularly and this is recorded.
g) Instruments and devices used for procurement are sterile, validated and regularly maintained.
h) Users have access to instructions for equipment and receive training in the use of equipment and maintenance where appropriate.
i) Staff are aware of how to report an equipment problem.
j) For each critical process, the materials, equipment and personnel are identified and documented.
k) There are contingency plans for equipment failure.

Disposal

Standard
D1 There is a clear and sensitive policy for disposing of tissues and / or cells.
a) The disposal policy complies with HTA's Codes of Practice.
b) The disposal procedure complies with Health and Safety recommendations.
c) There is a documented procedure on disposal which ensures that there is no cross contamination.
D2 The reasons for disposal and the methods used are carefully documented.
a) There is a procedure for tracking the disposal of tissue and / or cells that details the method and reason for disposal.
b) Disposal arrangements reflect (where applicable) the consent given for disposal.

Appendix 2: Classification of the level of shortfall (HA)

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 direct risk of causing harm to a recipient patient or to a living donor,

   Or

   A number of 'major' shortfalls, none of which is critical on its own, but viewed cumulatively represent a systemic failure and therefore are considered 'critical'.

   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.

   A shortfall in the carrying out of licensable activities which poses an indirect risk to the safety of a donor or a recipient

   or

   A shortfall in the establishment's quality and safety procedures which poses an indirect risk to the safety of a donor or a recipient;

   or

   A shortfall which indicates a major deviation from the **Human Tissue (Quality and Safety for Human Application) Regulations 2007** or the **HTA Directions**;

   or

   A shortfall which indicates a failure to carry out satisfactory procedures for the release of tissues and cells or a failure on the part of the designated individual to fulfil his or her legal duties;

   or

   A combination of several 'minor' shortfalls, none of which is major on its own, but which, viewed cumulatively, could constitute a major shortfall by adversely affecting the quality and safety of the tissues and cells.

   In response to a major shortfall, an establishment is expected to implement corrective and preventative 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 and, which can be addressed by further development by the establishment.

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 review or at the time of the next inspection.

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

Follow up actions

A template corrective and preventative 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 preventative 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.