

# Protocol Deviation Tracking System (PDTS) User Guide

*January 2024*

*VERSION 1.9.2*

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# Introduction

The Protocol Deviation Tracking System (PDTS) is an application that allows the user to record protocol deviations (minor and major). Protocol deviations are defined by the NIH human research protection program below:

- Deviation: Any change, divergence, or departure from the IRB-approved research protocol.
- Major: Deviation from the IRB-approved protocol that have, or may have the potential to, negatively impact, the rights, welfare or safety of the subject, or to substantially negatively impact the scientific integrity or validity of the study.
- Minor: A Deviation that does not have the potential to negatively impact the rights, safety, or welfare of subjects or others, or the scientific integrity or validity of the study.

For CCR-held INDs/IDEs, the PDTS also tracks non-adherences which is defined as any noncompliance with the clinical trial protocol, GCP, or protocol-specified procedural requirements. PDTS allows non-adherence events that are not deviations (e.g., issues related to Informed Consent) to be entered but not as a deviation so they will not be reported in the Continuing Review report. This is done by having some fields be optional – see table in the entering a deviation section of the manual.

The user interface (UI) is a Web Application compatible with Google Chrome, Microsoft Edge, Mozilla Firefox, and Apple Safari. It has been developed by the Office of Information Technology, CCR, NCI, NIH, that also supports and updates the system.

### Getting to PDTS

To access PDTS, open your preferred Web Browser and enter <https://pdts.ccr.cancer.gov> in the URL bar. PDTS is only accessible while connected to the NIH network.

### Login


Users are prompted to login by using PIV card or NIH Username and Password with Authenticator.


## Sign in

**Smart Card Login**

Insert your PIV card into your smart card reader or sign in using your mobile PIV-D credentials. [Need help?](#)

[Sign in](#)



 **Authenticator App**

Use your account credentials and check your phone for a one-time code or push notification. [Need help?](#)

Username

Password

[Forgot Password?](#)

[Sign in](#)

[Trouble signing in?](#)

FIGURE 1 - LOGIN SCREEN

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If you are not able login or receive an error message, please contact PDTS via email at [ncipres@nih.gov](mailto:ncipres@nih.gov)

### Help

Help button is located at the right top part before Login/Logout button on every page. Click on it to see the Help page which lists User Manual link, and Frequently Asked Questions (FAQs) along with an option to create support ticket. See [help](#) section for more details.

### Home Page

After you are logged in , the system will redirect you to the home page. The tiles on the home page will enable the user to access different sections based on the user's privileges. The tiles that appear in the figure below belong to a System Admin. Other users will not be able to see all sections.

The home page consists of 4 sections.

- Side Navigation Bar
- Header
- Deviations Tile
- Reports Tile
- Help Tile

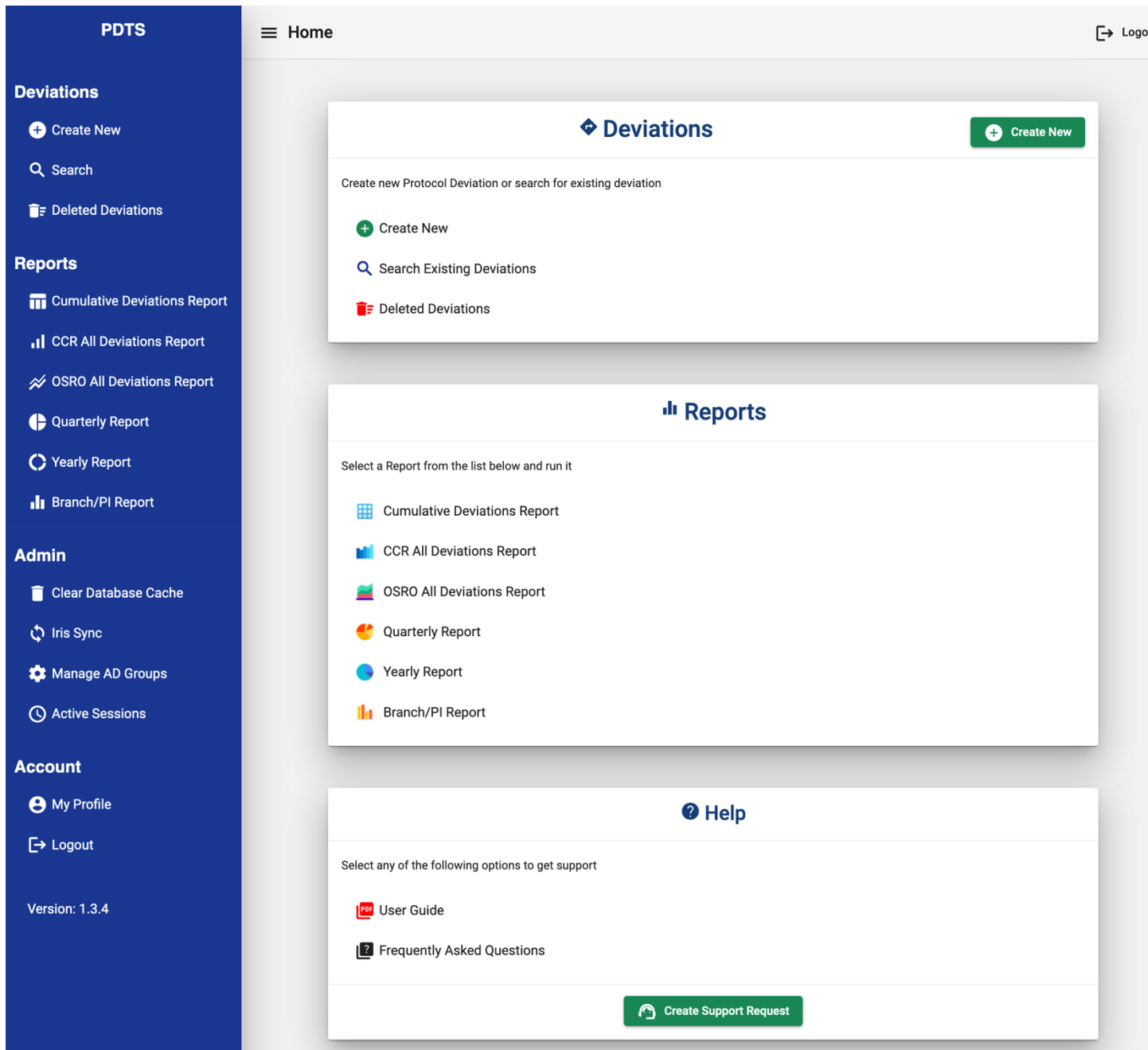


FIGURE 3 - HOME PAGE

### Side Navigation Bar

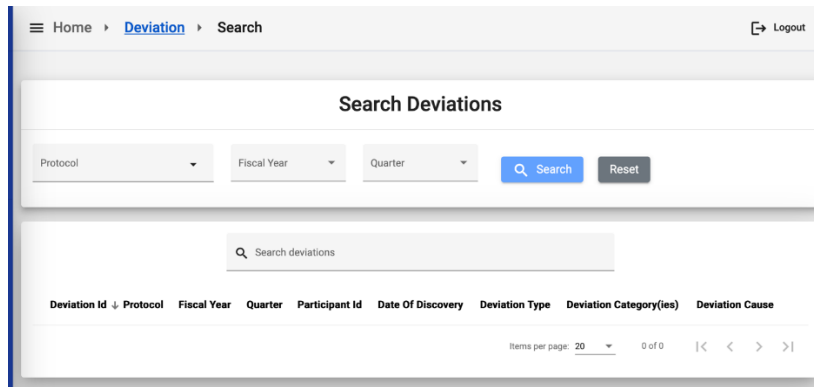
The side navigation bar present in all pages provides quicker navigation between pages. You can minimize the side bar by clicking on menu or hamburger icon on left side of header.

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## Header

The header present in all pages contains Menu button, Breadcrumbs section and Login/Logout button.

- Menu button – Menu button allows you to Show/Hide side navigation bar
- Breadcrumbs - Breadcrumbs give you orientation and show you exactly where you are on a website. With breadcrumbs, if you've reached a page you don't want to be on, you can easily find your way back or go back a step or two and start over.
- Login button – Login button shown if you are not already logged in
- Logout button – Logout button shown when you are logged in and clicking on it will initiate logout process and redirects to Login page



## Deviations Tile

Deviation's tile shows links to create new deviation, search existing deviations and see deleted deviations.

## Reports Tile

Reports tile shows links to of reports present in the system.

## Help Tile

Help tile shows links to User Manual link, and Frequently Asked Questions (FAQs) along with an option to create support ticket.

## Entering a Deviation

### Create Deviation

To create a new deviation select Create New Deviation tab in Deviation’s tile.

Chose the protocol from the list.

The branch, PI and type of protocol will be auto populated.

Fill out all required fields and then submit the deviation.

The following table is a list of the fields and descriptions:

Field Name	Description
Protocol*	Use the pick list to select the protocol. Start typing in the protocol number to narrow the list.
PI Branch	Derived field
Type of Protocol	Derived field. Will be either observational or interventional
PI	Derived field
Participant ID <sup>1</sup>	Use the subject’s unique study ID. Should be the same as what is being used for CRF data collection.
Date of Occurrence	Date the deviation occurred. The field will pre-populate to current date.
Date of Discovery*	Date when the deviation was discovered.
Discovered By*	Select from pick list: Monitor/Auditor or Research Team
Description <sup>1</sup>	Describe the deviation. Justify the selected deviation category and cause in the deviation description
Type of Deviation <sup>1</sup>	Select either Major or Minor**
Deviation Category <sup>1, 2, 4, 5, 6,7</sup>	Select all that apply from the following list: <ul style="list-style-type: none"> <li>• Non-lab study procedure/assessment conducted out of timeframe</li> <li>• Laboratory procedure conducted out of timeframe</li> <li>• Non-lab study procedure/assessment not done</li> <li>• Laboratory procedure not done</li> <li>• Study visit out of timeframe</li> </ul>



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	<ul style="list-style-type: none"> <li>• Study visit not done</li> <li>• Participant failure to return diary</li> <li>• Eligibility</li> <li>• Study drug administration</li> <li>• Study drug accountability</li> <li>• Sample loss or unanticipated destruction</li> <li>• Expedited event reported to Sponsor or IRB outside of timeframe</li> <li>• Expedited event not reported to Sponsor or IRB</li> <li>• Informed consent</li> <li>• Site over-enrollment</li> <li>• Study drug storage</li> <li>• Prohibited Concomitant medication/measure used</li> <li>• Other, please specify reason</li> </ul>
<p>Deviation Causes <sup>1, 2, 3,7</sup></p>	<p>Select all that apply from the following list:</p> <ul style="list-style-type: none"> <li>• Study Team</li> <li>• Non-Study Team Staff Member (use for NIH staff)</li> <li>• Participant</li> <li>• Weather/Travel Issues</li> <li>• Sponsor/CRO</li> <li>• COVID-19 pandemic</li> <li>• Non-NIH staff</li> <li>• Other, please specify reason</li> </ul>
<p>* Mandatory Field</p> <p>** When multiple minor deviations were submitted with the same description, cause and category, and during the CR review IRB determines the events as non-compliance, along with the RNI a major deviation must be submitted. Please do not delete the minor deviations that were already in the PDTS.</p> <p><sup>1</sup> Optional in the PDTS to report the events that are non-adherence and don't meet the definition of a protocol deviation for CCR held IND/IDE studies. To report those events, leave the field blank and fill out Sponsor Required Information section only. This field will be mandatory for a deviation for CCR held IND/IDE studies.</p> <p><sup>2</sup> If the deviation with the same category/cause occurred with a participant at different dates, make a separate entry for each case.</p> <p><sup>3</sup> If the cause of deviation is the outside provider's decision/oversight, please select <i>Non-NIH Staff</i> as a deviation cause.</p> <p><sup>4</sup> If visit was not done per protocol or done out of time frame, submit one deviation for the event, not multiple deviations for every missed/delayed procedure.</p> <p><sup>5</sup> If the visit/procedure was not done per protocol or done out of time frame allowed due to AE/ SAE, select the <i>Study Team</i> and not a <i>Participant</i> as a cause, since it is the PI's decision to deviate from the protocol schedule.</p>	

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<sup>6</sup> If the blood for the labs was collected per protocol, but appropriate tests weren't done due to technical issues, select *Sample loss or unanticipated destruction* option for deviation cause.

<sup>7</sup> If the deviation with the same category/cause occurred with multiple participants on the same protocol, make a separate entry for each case.

### CCR-held IND/IDE protocols

The Office of Sponsor and Regulatory Oversight (OSRO) also tracks issues of non-compliance with GCP. If the protocol is a CCR-held IND/IDE study, an additional mandatory Sponsor Required Information section will need to be completed.

**Sponsor Required Information (Mandatory)**

Report Date  
3/4/2022

Completed By  
tumasyana

Non-Adherence Category \*

Non-Adherence Reason \*

The following table is a list of the fields and descriptions for this section:

Field Name	Description
Report Date	Current date. This will always be the day your start the deviation and is prepopulated.
Completed By	Prepopulated since NIH log in is required to access the database.
Non-Adherence Category*	Select from the following pick list: <ul style="list-style-type: none"> <li>• Lab specimen related</li> <li>• Protocol procedure or assessment</li> <li>• Study product related</li> <li>• Treatment dose administration</li> <li>• Treatment Schedule</li> </ul>
Non-Adherence Reason*	Select from the following pick list: <ul style="list-style-type: none"> <li>• Equipment failure</li> <li>• Laboratory error</li> <li>• Other, added to description</li> <li>• Pharmacy error</li> <li>• PI/Team decision</li> <li>• Staff member error</li> </ul>
Date of Non-Adherence*	Enter the date the non-adherence occurred.
Date of IRB Report, if required	Enter date the non-adherence event was reported to the IRB via a REF in iRIS, if applicable per HRPP Policy 801.

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Description of the Non-Adherence*	Describe the non-adherence in detail.
Non-Adherence Action*	Describe the action(s) taken to resolve or avoid non-adherence recurrence.
Did non-adherence result in AE or SAE?	Select “yes” or “no”. Automatic default set to No
Did non-adherence result in subject withdrawal?	Select “yes” or “no”. Automatic default set to No
Did or could non-adherence affect product stability?	Select “yes” or “no”. Automatic default set to No
* Mandatory field	

The Office of Education and Compliance receives an email notification when deviation is submitted into the PDTS. The deviation will be reviewed. If any clarifications are needed, a member from the OEC, will contact the submitter. If minor changes need to be done in PDTS, OEC team will do after verification with the team.

### Search/Update Existing Deviations

To search an existing deviation, use Search Deviations tab in Deviation’s tile. Choose the protocol from the list. The search can be narrowed by fiscal year or/and quarter.

Search Deviations

Protocol Fiscal Year Quarter Search Reset

Search deviations

Deviation Id	Protocol	Fiscal Year	Quarter	Participant Id	Date Of Discovery	Deviation Type	Deviation Category(les)
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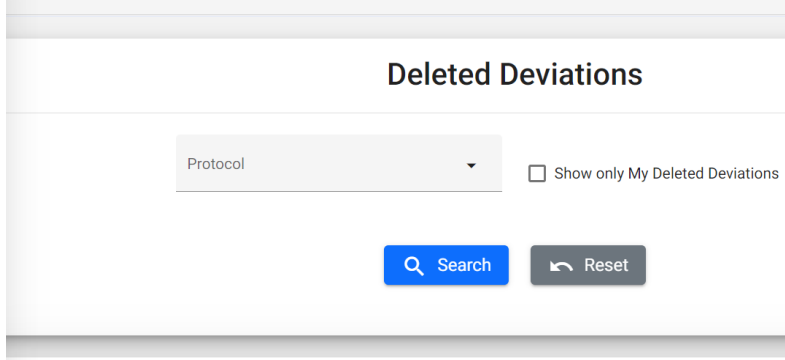
Items per page: 20 0 of 0

After the deviation pops up, you can delete or update the entry.

### Deleted Deviation

To search the deleted deviation, use Deleted deviations tab in Deviation’s tile.

Choose the protocol from the list and search. You can only view the deleted deviations. There is no option to retrieve them.

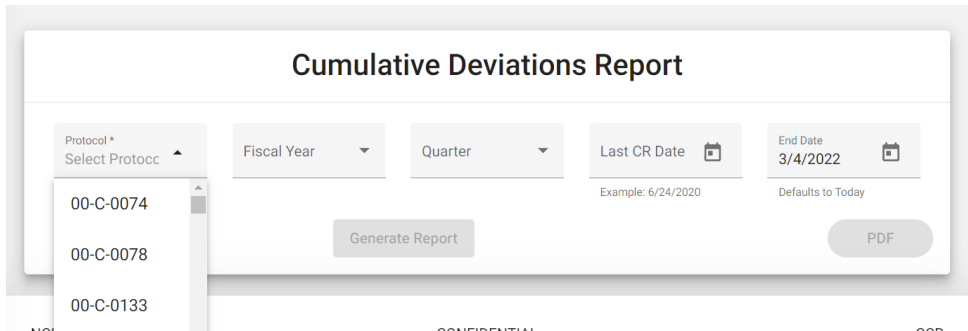


## Reports

### Cumulative Deviations Report

Use Cumulative Deviations Report to get a number of submitted deviations both total and by category/cause.

Choose the protocol number. The search can be narrowed by fiscal year, quarter and last CR date. Please leave those fields blank if you want to see all submitted deviations for the protocol. After report is submitted it can be transferred into PDF format.



### CCR All Deviations Report

Use CCR All Deviations Report to get the deviations with all submitted details, description.

Choose the protocol number. The search can be narrowed by fiscal year, quarter and start date. Please leave those fields blank if you want to see all submitted deviations for the protocol. After report is submitted it can be transferred into PDF and Excel format.

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### CCR All Deviations Report

Protocol: 00-C-0071    
Fiscal Year:   
Quarter:   
Start Date:    
End Date: 3/4/2022   
Example: 6/24/2020 Defaults to Today

#### CCR All Deviations Report

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### OSRO All Deviations Report

Use OSRO All Deviations Report to the non-adherence report with all submitted details, description. Choose the protocol number. The search can be narrowed by fiscal year, quarter and start date. Please leave those fields blank if you want to see all submitted non-adherences for the protocol. After report is submitted it can be transferred into PDF and Excel format.

### OSRO All Deviations Report

Protocol: 21-C-001    
Fiscal Year:   
Quarter:   
Start Date:    
End Date: 3/4/2022   
Example: 6/24/2020 Defaults to Today

#### OSRO All Deviations Report

.....

Quarterly, Yearly and Branch/PI reports are used for the Office of Education and Compliance purposes.

## Help

Help button is located at the right top part before Login/Logout button on every page. Click on it to see the Help page which lists User Manual link, and Frequently Asked Questions (FAQs) along with an option to create support ticket.

## User Guide

User Manual hosted on CCR wiki page and clicking on the User Guide link redirects you to that page.

## Frequently Asked Questions

The Frequently Asked Questions (FAQs) page lists commonly asked questions from the users. See the below image for reference.

Home ▶ FAQS Logout

### Frequently Asked Questions

- What is PDTS?** ^  
PDTS stands for Patient Registration and Enrollment System in short PDTS. It is a web application built and managed by CCR OIT.
- How do I login to PDTS?** v
- What browsers are supported?** v
- I am new to PDTS, whom should I contact for access?** v
- I can not login to PDTS, what should I do?** v
- I see error "Unable to login due to Internal Server error. Please try after few minutes", what should I do?** v
- PDTS website does not load, All I see is blank white screen?** v
- How do I contact support?** v

## Create Support Ticket

If the Frequently Asked Questions page does not have an answer for your question and you want to contact support team, click **Create Support Request** button. It will open a pop-up window in which you need provide issue details. Your information is automatically populated if you already logged in and provide below.

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- Issue Summary
- Issue Detailed Description
- Attachments (optional)

See below image for reference.

The screenshot shows a web interface for creating a support request. At the top left, there is a navigation menu with 'Home' and 'Help'. The main heading is 'Create Support Request'. The form is divided into two main sections: 'Your Information' and 'Issue Details'. In the 'Your Information' section, there are four input fields: 'Full Name \*' with the value 'Pavan Kumar Jadda', 'Email \*' with 'pavankumar.jadda@nih.gov', 'NIH Username' with 'jaddap2', and 'Application Version \*' with '1.3.4'. There is also a dropdown menu for 'Environment \*' set to 'Production'. The 'Issue Details' section contains two text areas: 'Summary \*' and 'Detailed Description \*'. Both text areas have red error messages below them: 'Summary is required' and 'Detailed Description of the issue is required'. Below the text areas is a blue button with a paperclip icon and the text 'Attachment(s)'. At the bottom right of the form, there are two buttons: a 'Close' button and a green '+ Create' button.