



SOP-10 | Incident Reporting

Standard Operating Procedure

Document	SOP-10
Status	Draft for internal approval
Version	0.1
Effective date	Upon approval
Owner	BEER Lab Manager
Review cycle	At least annually
Applies to	Projects and personnel within the scope of this SOP

Behavioral & Experimental Economics Research Lab · Tecnológico de Monterrey

1. Purpose

Provide a rapid, non-punitive mechanism for documenting, containing, escalating, and learning from operational, ethical, safety, payment, and data incidents.

2. Incident categories

Level	Examples	Initial response
I – Minor	Small delay, isolated nonmaterial deviation	Correct and log
II – Material	Repeated payment problem, material protocol deviation, partial data loss	Notify PI/Lab Manager within 24h
III – Serious	Participant harm, confidentiality breach, wrong treatment, major randomization error, research without ethics coverage	Stop/contain and notify immediately

3. Immediate priorities

1. Protect participants and staff.
2. Stop or contain the affected process if continuing could worsen harm or compromise data integrity.
3. Preserve relevant records, logs, devices, and version information.
4. Notify the appropriate project and BEER contacts.
5. Do not conceal, rewrite, or backdate records.

4. Reporting

Level III incidents are reported to the PI and Lab Manager immediately and no later than the end of the same working period. Level II incidents are reported within 24 hours. Level I incidents are recorded in the session or project log and escalated if they recur or reveal a systemic issue.

5. Incident record

- Date/time and location
- Project ID and affected session/site
- People or participant IDs affected, using minimum necessary identifiers
- Description of what occurred
- Immediate containment
- Potential ethical/data/scientific impact
- Notifications made
- Corrective and preventive action
- Decision on restarting data collection

6. External notification

The PI remains responsible for determining and completing any required notification to the ethics committee, data-protection authority, partner, sponsor, institutional office, or affected participants. BEER may require confirmation before the project resumes.

7. Restart criteria

A paused project resumes only after the material cause is understood, appropriate corrective action is implemented, required approvals are obtained, and the Lab Manager or Lab Leadership confirms operational readiness.

8. Learning and confidentiality

Good-faith incident reporting is encouraged. Incident information should be shared on a need-to-know basis. BEER may circulate anonymized lessons learned to prevent recurrence.

9. Related documents

- Governance Rules
- SOP-05 Laboratory Sessions
- SOP-07 Lab-in-the-Field Experiments
- SOP-08 Field Experiments
- SOP-09 Data Protection and Participant IDs