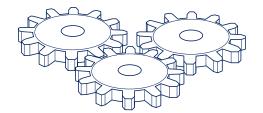
Technical Report No. 29 (Revised 2012)

Points to Consider for Cleaning Validation



Paradigm Change in Manufacturing Operationssm





www.pda.org/bookstore

PDA Task Force on Technical Report No. 29 (Revised 2012): Points to Consider for Cleaning Validation

Authors		
Destin A. LeBlanc, Cleaning Validation Technologies	Jamie Osborne, Siegfried (USA), Inc.	
(Chair)	Greg Randall, Baxter Bioscience	
Gretchen Allison, Pfizer	Pierre-Michel Riss, Eli Lilly	
Jennifer L. Carlson, Genentech	George Verghese, STERIS Corporation	
Koshy George, Consultant		
Igor Gorsky, ConcordiaValSource	Jenn Walsh, Bristol-Myers Squibb	
Irwin S. Hirsh, Novo Nordisk AS	Vivienne Yankah, Sanofi-Pasteur, Ltd.	

The content and views expressed in this Technical Report are the result of a consensus achieved by the authorizing Task Force and are not necessarily views of the organizations they represent.

Points to Consider for Cleaning Validation

Technical Report No. 29 (Revised 2012)

ISBN: 978-0-939459-48-3 © 2012 Parenteral Drug Association, Inc. All rights reserved.



www.pda.org/bookstore

Paradigm Change in Manufacturing Operations (PCMO[™])

PDA launched the project activities related to the PCMO program in December 2008 to help implement the scientific application of the ICH Q8, Q9 and Q10 series. The PDA Board of Directors approved this program in cooperation with the Regulatory Affairs and Quality Advisory Board, and the Biotechnology Advisory Board and Science Advisory Board of PDA.

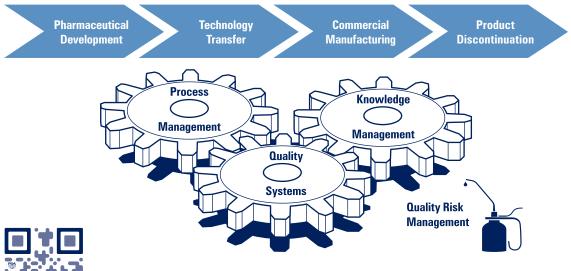
Although there are a number of acceptable pathways to address this concept, the PCMO program follows and covers the drug product lifecycle, employing the strategic theme of process robustness within the framework of the manufacturing operations. This project focuses on Pharmaceutical Quality Systems as an enabler of Quality Risk Management and Knowledge Management.

Using the Parenteral Drug Association's (PDA) membership expertise, the goal of the Paradigm Change in Manufacturing Operations Project is to drive the establishment of 'best practice' documents and /or training events in order to assist pharmaceutical manufacturers of Investigational Medicinal Products (IMPs) and commercial products in implementing the ICH guidelines on Pharmaceutical Development (ICH Q8, Q11), Quality Risk Management (ICH Q9) and Pharmaceutical Quality Systems (ICH Q10).

The PCMO program facilitates communication among the experts from industry, university and regulators as well as experts from the respective ICH Expert Working Groups and Implementation Working Group. PCMO task force members also contribute to PDA conferences and workshops on the subject.

PCMO follows the product lifecycle concept and has the following strategic intent:

- Enable an innovative environment for continual improvement of products and systems
- Integrate science and technology into manufacturing practice
- Enhance manufacturing process robustness, risk based decision making and knowledge management
- Foster communication among industry and regulatory authorities



The Product Life Cycle

For more information, including the PCMO Dossier, and to get involved, go to www.pda.org/pcmo $% \mathcal{A} = \mathcal{A} = \mathcal{A} + \mathcal{A}$

For m

Table of Contents

1.0) Introduction1	
	1.1	Purpose/Scope1
2.0	Glossary of Terms3	
	2.1	Definition of Acronyms5
3.0	Clea	aning Process Design and Development7
	3.1	Cleaning Process Design7
		Cleaning Process Overview
		3.2.1 Physical-chemical Aspects
	3.3	Design Considerations
	••••	3.3.1 Location of Cleaning
		3.3.1.1 In-Place Cleaning10
		3.3.1.1.1 Clean-in-Place (CIP) Systems 10
		3.3.1.1.2 Solvent Reflux Cleaning
		3.3.1.1.3 Placebo Batches as a
		Cleaning Method
		3.3.1.2 Out-of-Place Cleaning
		3.3.1.2.1 Clean-Out-of-Place Systems12
		3.3.2 Automated vs. Manual Systems 12
		3.3.2.1 Manual Processes
		3.3.2.2 Semi-Automated Processes 12
		3.3.2.3 Automated Processes
		3.3.3 Soil Evaluation and Categorization 13
		3.3.3.1 Soil Categories
		3.3.3.2 Soil Removal
		3.3.4 Equipment Considerations 14
		3.3.4.1 Dedicated – Nondedicated
		Manufacturing Equipment
		3.3.4.2 Nonproduct Contact – Product
	Contact Surfaces15	
		3.3.4.3 Low-Risk Sites – High-Risk Sites . 15
		3.3.4.4 Materials of Construction
		3.3.5 Operational Considerations15
		3.3.6 Cleaning Agent Selection
		3.3.7 Product Considerations
		3.3.7.1 Product Risk Considerations 17
	3.4	Cleaning Development
		Laboratory Experiments
		3.4.1 Soil Selection
		3.4.2 Parameter Selection
		3.4.2.1 Parameter Interactions
		3.4.3 Measurements to Determine
		Cleaning Effectiveness
	3.5	Cleaning Process Scale-Up19
		3.5.1 Setting Process Controls 19
	3.6	Applying the "Design Space" Concept to

		Cleaning Processes	
	3.7	Standard Operating Procedures21	
		Operator Training for the Cleaning Pro	cess 21
	3.9	Introduction of New Products to a	
		Validated Cleaning System	
4.0	Qua	lification	23
	4.1	Protocol Elements	23
	4.2	Key Protocol Issues	
		4.2.1 Number of Runs in a Protocol	
		4.2.2 Mock Soiling	
		4.2.3 Worst-Case Process Condition	
		4.2.4 Disposition of Products and Ed during Validation	
	12	Grouping/Family Approach	
	4.5	4.3.1 Product Grouping	
		4.3.2 Equipment Grouping	
		4.3.3 Introduction of a New Product	
		Equipment into a Group	27
	4.4	"Cleaning Verification" Documentation	າ27
5.0	Res	due and Limits	
	5.1		
	0.1	5.2 The Basis for Quantitative Limits	
		5.3 Acceptable Concentration of Res	idue in
		Next Product	
		5.3.1 ARL Based on Drug Active Do	
		5.3.2 ARL Based on Toxicity	
		5.3.2.1 ADE Determinations Based or Risk-MaPP	
		5.3.2.2 Toxicity Calculations Based	
		on LD ₅₀ Data	
		5.3.3 Other ARL Determinations	
	5.4	Acceptable Total Carryover	
		Surface Area Limit	
	5.0	Limit in Protocol Samples 5.6.1 Limit per Swab	
		5.6.2 Concentration Limit in	
		Extracted Swab Solvent	
		5.6.3 Concentration Limit in	
		Rinse Sampling Solution	35
	5.7	Consolidated Expressions	35
		Example Calculations	
	5.9	Other Considerations	
		5.9.1 Multiple Next Products	
		5.9.2 Next Product in Verification	27
		Approach 5.9.3 Default Limits	

5.9.4	Use of Different Safety Factors
5.9.5	Different Routes of Administration 38
5.9.6	Different Doses for Adults and Children
5.9.7	Human and Veterinary Products Manufactured on the
	Same Equipment
5.9.8	Residues of Genotoxic and Other Highly Hazardous Active Ingredients
5.9.9	Limits Based on Analytical Detection Limits
5.9.10	Degradation of the Active Ingredient. 39
	Limits Not Measureable
5.9.12	Limits for Organic Solvents
	Dedicated Equipment 40
	Dividing a Limit among Various Pieces of Equipment
5.9.15	Limits for Preferential Transfer to a First Portion of the Next Product
5.9.16	Limits for Biotechnology Manufacture
5.9.17	Products with More Than One Active Ingredient
5.10 Bi	oburden Limits 41
	dotoxin Limits
	sually Clean Criterion
	sually Clean Criterion42
5.12 Vi	sually Clean Criterion42
5.12 Vis 6.0 Sampling.	
5.12 Vis 6.0 Sampling. 6.1 Sampli	
5.12 Vis 6.0 Sampling. 6.1 Sampli 6.1.1	43 ing Method Selection
5.12 Vis 6.0 Sampling. 6.1 Sampli 6.1.1 6.1.1.1	43 ing Method Selection
5.12 Vis 6.0 Sampling. 6.1 Sampli 6.1.1 6.1.1.1 6.1.1.2	43 ing Method Selection
5.12 Vis 6.0 Sampling. 6.1 Sampli 6.1.1 6.1.1.1 6.1.1.2	43 ing Method Selection
5.12 Vis 6.0 Sampling. 6.1 Sampli 6.1.1 6.1.1.1 6.1.1.2 6.1.2 6.1.2.1	43 ing Method Selection
5.12 Vis 6.0 Sampling. 6.1 Sampli 6.1.1 6.1.1.1 6.1.1.2 6.1.2 6.1.2.1 6.1.2.2	43 ing Method Selection
5.12 Vis 6.0 Sampling. 6.1 Sampli 6.1.1 6.1.1.2 6.1.2 6.1.2 6.1.2.1 6.1.2.2 6.1.3	43 ing Method Selection
5.12 Vis 6.0 Sampling. 6.1 Sampli 6.1.1 6.1.1.1 6.1.1.2 6.1.2.1 6.1.2.2 6.1.3 6.2 Placeb	43 ing Method Selection
5.12 Vis 6.0 Sampling. 6.1 Sampli 6.1.1 6.1.1.1 6.1.1.2 6.1.2 6.1.2.1 6.1.2.2 6.1.3 6.2 Placeb 6.3 Sampli	43 ing Method Selection
5.12 Vis 6.0 Sampling. 6.1 Sampli 6.1.1 6.1.1.1 6.1.1.2 6.1.2 6.1.2.1 6.1.2.2 6.1.3 6.2 Placeb 6.3 Sampli Endoto	43 ing Method Selection
5.12 Vis 6.0 Sampling. 6.1 Sampli 6.1.1 6.1.1.1 6.1.1.2 6.1.2 6.1.2 6.1.2.1 6.1.2.2 6.1.3 6.2 Placeb 6.3 Sampli Endoto 6.4 Additio	43 ing Method Selection
5.12 Vis 6.0 Sampling. 6.1 Sampli 6.1.1 6.1.1.1 6.1.1.2 6.1.2.1 6.1.2.2 6.1.2.1 6.1.2.2 6.1.3 6.2 Placeb 6.3 Sampli Endoto 6.4 Additio 6.5 Sampli	43 ing Method Selection
5.12 Vis 6.0 Sampling. 6.1 Sampli 6.1.1 6.1.1 6.1.1.2 6.1.2 6.1.2.1 6.1.2.2 6.1.3 6.2 Placeb 6.3 Sampli Endoto 6.4 Additio 6.5 Sampli 6.5.1	43 ing Method Selection
5.12 Vis 6.0 Sampling. 6.1 Sampli 6.1.1 6.1.1.1 6.1.1.2 6.1.2 6.1.2 6.1.2 6.1.2 6.1.2 6.1.2 6.1.2 6.1.2 6.1.2 6.1.2 6.1.3 6.2 Placeb 6.3 Sampli Endoto 6.4 Additio 6.5 Sampli	43ing Method Selection43Direct Sampling Methods43Visual Inspection43Visual Inspection43Instrumental Methods44Rinse Sampling44Extraction Rinse Sampling for SmallPartsParts46Solvent Reflux Sampling46Swab and Wipe Sampling46o Sampling47ing for Microbial andoxin Analysis48General Considerations48Swab/Wipe Recovery
5.12 Vis 6.0 Sampling. 6.1 Sampli 6.1.1 6.1.1.1 6.1.1.2 6.1.2 6.1.2.1 6.1.2.2 6.1.3 6.2 Placeb 6.3 Sampli Endoto 6.4 Additio 6.5 Sampli 6.5.1 6.5.2 6.5.3	43ing Method Selection43Direct Sampling Methods43Visual Inspection43Visual Inspection43Instrumental Methods44Rinse Sampling44Extraction Rinse Sampling for SmallParts46Solvent Reflux Sampling46Swab and Wipe Sampling46o Sampling47ing for Microbial and47nal Considerations48General Considerations48Swab/Wipe Recovery49Rinse Recovery50
5.12 Vis 6.0 Sampling. 6.1 Sampli 6.1.1 6.1.1.1 6.1.1.2 6.1.2.1 6.1.2.2 6.1.2.1 6.1.2.2 6.1.3 6.2 Placeb 6.3 Sampli Endoto 6.4 Additio 6.5 Sampli 6.5.1 6.5.2 6.5.3 6.5.4	43 ing Method Selection
5.12 Vis 6.0 Sampling. 6.1 Sampli 6.1.1 6.1.1.1 6.1.1.2 6.1.2 6.1.2.1 6.1.2.2 6.1.3 6.2 Placeb 6.3 Sampli Endoto 6.4 Additio 6.5 Sampli 6.5.1 6.5.2 6.5.3	43 ing Method Selection
5.12 Vis 6.0 Sampling. 6.1 Sampli 6.1.1 6.1.1.1 6.1.1.2 6.1.2 6.1.2 6.1.2 6.1.2 6.1.2 6.1.3 6.2 Placeb 6.3 Sampli Endoto 6.4 Additio 6.5 Sampli 6.5.1 6.5.2 6.5.3 6.5.4 6.5.5	43 ing Method Selection

		6.6.1	Key Issues for Training	F 0
			for Swab Sampling	. 52
		6.6.2	Key Issues for Training for Rinse Sampling	. 52
		6.6.3	Training for Visual Inspection	
7.0	Ana	alytical	Methods	.54
	7.1	Purpos	es of the Analytical Methods	. 54
		Practic	al Considerations in Selecting Analyti	cal
			ds	
	7.3		c vs. Nonspecific Analytical Methods ion Protocols	
		7.3.1	Regulatory Status of Specific and	
		,	Nonspecific Methods	
	7.4	Most (Commonly Used Analytical Techniques	s 56
		7.4.1	Liquid Chromatography (LC)	. 56
		7.4.2	UltraViolet/Visible Spectrophotometry	
			(UV/Vis)	
		7.4.3	Total Organic Carbon (TOC)	
		7.4.4	Conductivity	
		7.4.5	Organoleptic Evaluation	. 58
	7.5	Other l	Jseful Analytical Techniques	. 59
		7.5.1	рН	
		7.5.2	InfraRed (IR)	. 59
		7.5.3	Light Microscopy	. 59
		7.5.4	Titrations	
		7.5.5	Gravimetric Analysis	. 59
		7.5.6	Enzyme Linked Immunosorbant	
			Assay (ELISA)	
		7.5.7	Capillary Zone Electrophoresis (CZE)	.60
		7.5.8	Atomic Absorption (AA) and	<u> </u>
		7.5.9	Inductively Coupled Plasma (ICP)	
			Ion Mobility Spectrometry (IMS)	
	7.6		bial Test Methods	
		7.6.1	Endotoxin	
		7.6.2	Bioburden	
	7.7		ical Method Validation	
		7.7.1	General Principles	
		7.7.2	Compendial Methods	
		7.7.3	Visual Inspection	
		7.7.4	Bioburden Methods	. 63
		7.7.5	Transfer to another Laboratory and Use of Contract Laboratories	63
				. 00
8.0	Ма		ice of Validated State	
	8.1	Critica	Parameter Measurement	. 64
			s Alarms	
	8.3	Change	e Control	. 65

8.4	Routine Monitoring6	6
	Data Trending and Review6	
	Evaluation of Cumulative Changes6	
	Training6	
8.8	Periodic Review6	57
9.0 Doo	cumentation6	9
9.1	Cleaning Validation Master Plans6	
	9.1.1 Elements of a Comprehensive Plan7	0
	9.1.2 Harmonization of Site Cleaning	
	Validation Programs7	
	Documentation for Design/Development7	
9.3	Documentation for Qualification	
	Other Documentation Considerations	
9.5		5
10.0 S _I	pecial Considerations7	
10.	1 Cleaning Agents7	
	10.1.1 Types	
	10.1.1.1 Water	
	10.1.1.2 Organic Solvents7 10.1.1.3 Commodity Alkali7	
	10.1.1.4 Commodity Acids	
	10.1.1.5 Formulated Detergents	
	10.1.2 Factors in Selection7	
	10.1.2.1 Broad Spectrum Effectiveness 7	
	10.1.2.2 Substrate Compatibility7	
	10.1.2.3 Stability and Shelf Life	
	10.1.2.4 Analyzability7	
	10.1.2.5 Disposal7	
	10.1.2.6 Safety	
	10.1.2.7 Toxicity7 10.1.2.8 Rinsability7	
	10.1.2.8 Rinsability7 10.1.2.9 Quality7	
10		
10. 10.		
10.	3 Process Analytical Technology	
	10.3.2 PAT for Cleaning Process Control7	
	10.3.3 Additional Considerations for Online	'
	Measurements7	8
10.		
10.	1 1	
	10.5.1 New Equipment	
	10.5.1.1 Cleaning Procedure Development8	
	10.5.1.2 Post-Installation Cleaning	51

10.5.1.3 Grouping Impact81
10.5.1.4 Limit Calculation Impact
10.5.2 Used Equipment
10.6 Measurement Systems Analysis (MSA) 81
10.6.1 MSA Components
10.6.3 Minimizing Variations
10.6.4 MSA and Cleaning
Validation Strategy82
10.7 Cleaning for API Manufacture
10.8 Topical Drug Products84
10.8.1 Topical Drug Products with
Systemic Availability
Limited Systemic Availability
10.8.2.1 Adjusted Calculation
10.8.2.2 Modification Based on
Frequency of Application
10.8.2.3 Modification Based on Amount Applied per Surface Area
10.8.2.4 Additional Considerations
10.8.3 Additional Safety Considerations 86
10.8.4 Additional Cleaning Considerations 86
10.9 Animal Drug Products
10.10 Packaging Components and
Packaging Equipment
10.10.1 Primary Packaging Components 86 10.10.1.1 Oral Dosage Forms Primary
Packaging Components
10.10.1.2 Parenteral Dosage Forms Primary
Packaging Components
10.10.2 Packaging Equipment
10.10.2.1 Primary Packaging Equipment 87
10.10.2.2 Secondary Packaging Equipment . 88
10.11 Tubing and Hoses 88 10.12 Excipients 89
10.13 Dedicated Equipment
10.13.1 Reasons for Dedication
10.13.2 Cleaning Validation Issues
11.0 Regulatory and Guidance Documents91
12.0 References
13.0 Suggested Readings94

FIGURES AND TABLES INDEX

Table 3.1-1	CPP and COA Considerations that have Potential Risk Impact to a	Table 6.1 .2
	Cleaning Process7	Table 6.1.3
Table 3.1-2	The Cleaning Spectrum8	
Table 3.2-1	Cleaning Process Steps (Examples) 9	Figure 9.5
Table 6.1.2-1	Comparison of Grab Sampling versus Separate Sampling Rinse45	

Table 6.1.2-2	Advantages and Limitations of Rinse Sampling45
Table 6.1.3-1	Advantages and Limitations of Swab/Wipe Sampling
Figure 9.5-1	Documentation for Process Flow 74

1.0 Introduction

Cleaning validation plays an important role in reducing the possibility of product contamination from pharmaceutical manufacturing equipment. It demonstrates that the cleaning process adequately and consistently removes product residues, process residues and environmental contaminants from the manufacturing equipment/system, so that this equipment/system can be safely used for the manufacture of specified subsequent products (which may be the same or a different product). As used in this Technical Report, "product" may be a drug product, active pharmaceutical ingredient, intermediate, or another type of formulation. If "drug product" is intended, that terminology will be utilized. Principles and practices given in this report may apply to a variety of manufacturing situations. It is incumbent on the reader to decide the appropriateness of those principles and practices to his/her specific situation.

This report builds on the 1998 PDA Technical Report No. 29, Points to Consider for Cleaning Validation (1). This report also has utilized principles and specific wording from the 2010 PDA Technical Report No. 49, Points to Consider for Biotechnology Cleaning Validation (2). The authors of this revised Technical Report #29 would like to thank the members of the Task Forces who were responsible for those two earlier documents for making our job easier.

This revised Technical Report presents updated information that is aligned with lifecycle approaches to validation and the International Conference on Harmonisation (ICH) guidelines Q8 (R2) - *Pharmaceutical Development*, Q9 - *Quality Risk Management* and Q10 - *Pharmaceutical Quality System (3,4,5)*. Also, this report aims to assist readers who want to create or benchmark a cleaning validation program for their equipment and facilities.

This Task Force was composed of European and North American professionals from pharmaceutical manufacturers, cleaning chemical suppliers, and consulting companies. The report has undergone a global, technical peer review to ensure concepts, terminology, and practices presented are reflective of sound science and can be used globally.

1.1 Purpose/Scope

This Technical Report covers all facets of cleaning validation for pharmaceutical manufacturers, including both manufacturers of APIs and drug products. It also applies to biotechnology manufacturing; however, the reader should consult *PDA Technical Report No. 49, Points to Consider for Biotechnology Cleaning Validation* for more detail and specifics for biotechnology manufacturing (2). We have included a lifecycle cleaning validation approach, including design/development of the cleaning process, process qualification (including the protocol runs), and ongoing validation maintenance. While the document discusses risk-based approaches, it does not provide details about risk-based manufacturing. PDA has formed a Task Force to write a Technical Report on that topic.

We cannot emphasize enough how important risk analyses are in the selection of and validation of cleaning processes and their validation. This includes the traditional risk analysis based on effects on product quality and on patients. It also includes business risk considerations, such as steps taken to minimize lost product from contamination (even if detection systems are in place to prevent release of that contaminated product for consumer use).

These practices and the associated guidance in this Technical Report are based on technical considerations and should be applicable in all regulatory environments. However, the intent of this Technical Report is not to provide a detailed plan or roadmap for a pharmaceutical manufacturer to perform cleaning validation. Rather, as the title suggests, it presents "points to consider" as one designs a cleaning validation program for process equipment based on an understanding of one's manufacturing and cleaning processes. In cleaning validation, there are generally *multiple* ways to accomplish the

1

same goal of a compliant, scientifically sound and practical cleaning validation program. Where options are given, the rationales for such options are also generally given. Examples are not meant to be prescriptive or limiting; they merely illustrate a certain practice. Actual acceptable practices should not be considered limited by the discussion in this Technical Report. Based on an understanding of the unique nature of any individual situation, different approaches or additional issues should also be considered. Sound science based on an understanding of the cleaning and manufacturing processes may lead to other equally acceptable practices. The Task Force that developed this document hopes that the report will be used in this spirit and will not be solely used as a checklist.

This report should be considered to be a resource to help guide the development or evaluation of a cleaning validation program. It is not intended to establish mandatory standards for cleaning validation. It is intended to be a single-source overview for pharmaceutical manufacturers that complements existing regulatory guidance and other documents referenced in this document. The reader should also be aware that a specific topic may be discussed in several sections of this Technical Report. Therefore, a more complete perspective may be obtained by considering all relevant sections about a certain topic. Furthermore, while many approaches are presented here, specific approaches utilized for a given cleaning process should be selected based on a good understanding of that process, as well as the appropriateness of the selected practice for that specific situation. It is not enough to merely say that the practice is mentioned as an acceptable one in PDA Technical Report No. 29; each firm should be prepared to defend why the selected approach is a valid one for its operations (1).