

## Systems-Based Inspections for Cleaning Validation

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Destin A. LeBlanc  
Cleaning Validation Technologies  
www.cleaningvalidation.com

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## Objectives

- Describe cleaning processes and approaches
- Identify various techniques utilized to measure the effectiveness of cleaning processes
- Identify documents associated with cleaning validation processes
- Identify significant issues and typical problems with cleaning validation

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## Cleaning

- **Definition:** The process of removing potential contaminants from process equipment such that the equipment can be safely used for subsequent product manufacture
- Focus for this presentation is process equipment, not cleanroom cleaning

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## Critical cleaning?

- **Critical cleaning must be validated**
  - Cleaning between products
  - Focus on product contact surfaces
    - **Significant** indirect product contact surfaces
  - Applies to drug products and APIs
- **Dedicated equipment**
  - Documented evidence of effectiveness
  - Also address cleaning agent and bioburden

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## Non-critical cleaning?

- **Validation not required for non-critical cleaning**
  - Floors, walls, outside of vessels
    - Still have cleaning SOP
    - Residues on such surfaces are addressed by containment procedures and personnel practices
    - Only loosely adherent residues can become airborne for cross-contamination
    - For highly hazardous actives, may evaluate as part of a overall risk assessment
  - Some API intermediate steps (ICH Q7)

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## Life Cycle Approach

- **Stage 1: Process Design (and Development)**
- **Stage 2: Process Qualification**
  - Utilities, equipment, facility
  - Process Performance qualification (PPQ)
- **Stage 3: Continued Process Verification (or maintenance of state of control, or validation maintenance)**
- Based on FDA Process Validation guidance

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## Paradigm change

- Companies moving to "lifecycle" approach
- Legacy products will be in traditional paradigm
- But --
  - Design and development has always been done
  - Monitoring and control after validation runs has always been done
- So, don't be afraid to ask for it

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## Cleaning validation

- Documented evidence (reports)
- High degree of assurance (data)
- Consistency (traditionally multiple PQ runs)
- Predetermined quality attributes (of equipment)
  - For repeated cleaning processes
  - Throughout life cycle

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## Cleaning verification

- Documented evidence
- High degree of assurance
- For unique or non-repeatable events
- Quality attributes may be evaluated later depending on next product
  - For clinical products cleaning, infrequent production, cleaning after maintenance or deviations
  - One time

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## Systems-Based?

- Inspection starts with higher level documents to determine if appropriate practices are specified
- Moves to lower documents as appropriate to confirm compliance with higher level documents
  - SOPs (cleaning and cleaning validation)
  - Rationales
  - Protocols and protocol reports
  - Batch records
  - Validation maintenance documents

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## Differences PV vs. CV

- Analytical values
  - PV has a goal for conc. of active (for example); want a *narrow range* ( $\pm$ )
  - CV has limits for active (for example) that firm wants to be *below* ( $<$ )

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## Differences PV vs. CV (2)

- Sampling
  - PV based on statistics - uniformity throughout batch and from batch to batch
  - CV based on worst cases - swab sample locations most likely to have higher levels of residues (difficult to clean)

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## Differences PV vs. CV (3)

- Processes
  - For production process, each manufacturing process is more or less unique
  - For cleaning process, firms prefer to use one cleaning process for all manufactured products

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## Cleaning process

- Cleaning agent
- Cleaning parameters
- Cleaning method
- ALL three are critical for defining and controlling the cleaning process
  - Addressed initially in design phase, but may be modified based on info from qualification and validation maintenance phase

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## Cleaning agent options

- Organic solvents
  - e.g., methanol
- Water
- Commodity chemicals (aqueous)
  - e.g., caustic, phosphoric acid
- Detergents
  - Surfactants
  - Formulated aqueous cleaners

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## Cleaning parameters

- Time (3 aspects)
  - Time before cleaning
  - Time of cleaning steps
  - Time after cleaning
- Action (agitation or impingement)
- Chemistry (includes concentration)
- Temperature

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## Cleaning parameters (cont.)

- Water quality
- Rinsing
- Soil condition
  - Dried during manufacture
  - Dried during dirty hold time
- Soil levels (amount on surfaces)

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## Application methods

- Objective of application method is to contact the cleaning solution with ALL the surfaces to be cleaned to meet the requisite cleaning parameters
  - Time
  - Action
  - Temperature

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## How apply

- **Static immersion**
  - Fill tank with water to slowly dissolve
- **Agitated immersion**
- **CIP (Clean In Place)**
- **Automated parts washer**
  - Like home dishwasher
- **Ultrasonic**
  - Use of sound waves to remove particles
- **Manual**
- **Solvent reflux**
  - Boil with organic solvent like methanol

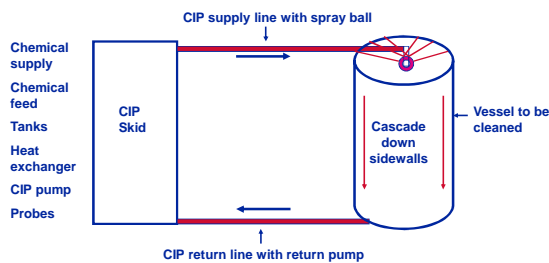
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## Common steps

- **Pre-rinse**
  - Water or solvent to remove bulk of residue
- **Wash step**
  - Utilizes cleaning agent or detergent
- **Rinse**
  - May include a final rinse with purer grade of solvent or water
- **Drying and storage**

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## CIP parts



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## Manual cleaning

- **Types**
  - Wipe
  - Soak
  - Brush
  - Spray
  - Combinations of above

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## Manual issues

- **Control through...**
  - More detail in SOP
    - Disassembly
    - Cleaning agent preparation
    - Specific cleaning actions
    - Rinsing
    - Drying
    - Reassembly
    - Storage
  - Training/qualifying of operators

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## Measuring effectiveness

- **Key aspects**
  - Setting residue limits
  - Analytical techniques
  - Sampling techniques

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## Residues measured

- How selected?
- Should be based on what cleaned, how cleaned, and effects on next product
- Minimum is usually active, cleaning agent, and bioburden
- Others that may be important
  - Endotoxin
  - Degradants or byproducts

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## Key aspect of CV

- "Intersection" of two products
  - Product just manufactured- good cleaning to remove residues to acceptable level
  - Product subsequently manufactured- "acceptable level" is based on possible contamination of this product
- Must always evaluate effects on subsequently produced product

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## Residue limits

- For actives
  - Traditional approach is dose-based calculation
  - Newer approach is "health based limit"
    - ADE: acceptable daily exposure
    - PDE: permitted daily exposure
- For compounds without dose (such as detergents), use ADI (acceptable daily intake) based on toxicity information (LD<sub>50</sub>)

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## How low?

- May contain measurable residues, but no contaminants
- A "contaminant" is an "unacceptable" residue
- Any residue must...
  - be medically safe
  - not affect product quality
  - be reasonably avoidable
  - leave equipment visually clean
- Last four points in FDA's Q&A on CGMP (6/8/2015)

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## Overall dose-based equation

$$\frac{(0.001)(\text{min.dose Act.A})(\text{B.S.})(\text{S.A.})}{(\text{max.dose Prod.B})(\text{S.S.A.})(\text{S.E.A.})}$$

Where

B.S. = minimum batch size Prod.B

S.A. = sampled area

S.S.A. = shared surface area

S.E.A. = solvent extraction amount

(For finished drug product manufacture)

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## Other considerations

- For highly hazardous actives (allergens, cytotoxics, actives with reproductive concerns, etc.)
  - May set limit based on LOD (limit of detection) of analytical technique using best available procedure, **OR**
  - May dedicate equipment, **OR**
  - May set limit on ADE or PDE using the specific highly hazardous property (substitute for 0.001 minimum daily dose of active in equation in previous slide)

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## Other considerations (2)

- For highly hazardous actives, may want to look at other modes of potential contamination (these are not strictly process equipment cleaning validation, but may be addressed by risk analysis)
  - Non-product contact surfaces (from dusts that become airborne, settle on surfaces, become airborne again, and contaminate next product)
    - Containment practices (including HVAC)
    - Room cleaning practices
  - Operator practices, garments

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## Limit for microbes

- Limits based on scientifically justified carryover calculations usually result in impractically high values
- Most will default to limit of  $\leq 25-50$  CFU per  $25 \text{ cm}^2$  ( $\leq 1-2$  CFU/ $\text{cm}^2$ ) for *non-sterile manufacture*
- For rinse water (non-sterile manufacturing), default to Purified Water specifications

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## Visual cleanness

- Include visual inspection
- Complements rinse and/or swab sampling
- Key is to not have **cleaning residues** left behind
- Issues
  - Background variations
  - Rouge - may be indicative of a maintenance problem, but generally not a cleaning problem

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## Analytical method

- Is it a *direct* measure of residue?
- Is LOD/LOQ appropriate for limit in analytical sample?
- Both **specific** and **non-specific** methods may be used

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## Specific method

- **Unequivocally** measure target residue in the presence of expected possible interferences
- Examples: HPLC, UPLC, UV, ELISA

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## Specific method (2)

- Potential problems with specific methods
  - Interference from cleaning agent or cleaning process by-products
- Active degraded in cleaning process so that residues are degradants, not intact active
  - If degrades and use specific method for active, will always be non-detectable
- Addressed in method design and development

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## Non-specific methods

- Measure any species with a certain response
- Most common is TOC (Total Organic Carbon)
- See FDA's Q&A on cGMP for Drugs, May 2005 for issues in proper use

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## Why TOC acceptable?

- Residue limit is NOT goal
- Goal is to be *below limit*
- If treat all measured Carbon as if it were from the target residue (worst case), AND it is below the acceptance limit, can have assurance that residue is below limit

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## Analytical method validation

- Generally done for cleaning validation
  - LOD/LOQ
  - Accuracy - closeness to true value
  - Precision - closeness among measurements
  - Range
  - Linearity
- For cleaning verification mode in clinical manufacture, may have simpler analytical method validation (pass/fail test, for example)

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## Sampling methods

- "Swab" sampling
  - Sometimes called "direct" sampling
- "Rinse" sampling
  - Sometimes called "indirect" sampling

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## Swabs

- Advantages
  - Can focus on "worst-case" locations
  - Mechanical means of removing substances
- Issues
  - Interferences from swab
  - Swabbing is a manual procedure
  - Access to sampling sites

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## Swabbing SOP

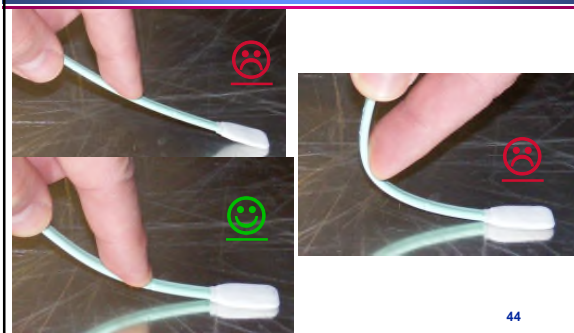
- Specify swab (supplier and part no.)
- Specify surface area to be swabbed (usually 25-100 cm<sup>2</sup>)
- Specify wet or dry (& solution, if wet)
- Specify template (if used)
- Specify number of swabs
- Specify swab pattern
- Specify vial
- Specify swab transport
- Specify blanks/controls

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## Swabs



## Pressure effects



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## Template vs. "Eyeball"

- Template more consistent
- But template less useful on "non-flat"
- Non-flat surfaces are generally going to be the worst-case locations that require the eyeball method
- My preference: Rather than training on both methods, spend more time on training on eyeball method, since this will be on *most critical* surfaces

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## Swab sampling locations

- Most difficult-to-clean locations
  - Good practical common sense
  - Prior experience
- Sites for non-uniform contamination
  - Different materials
  - Functional locations

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## Rinse sampling

- Definition: Using a solvent to contact all surfaces of sampled item to quantitatively remove target residue
- Solvent can be water, water with pH adjusted, or organic solvent
- Must contact all surfaces
- Residue measured in collected sample

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## "Rinse" sampling

- Advantages
  - Sample "inaccessible" locations
  - Provides overall picture
- Issues
  - Solubility of residue in rinse solution
  - Need to relate amount in rinse sample to potential contamination of next product

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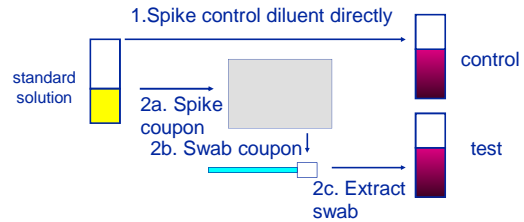


## Recovery studies

- Recovery study - swabs & rinse
- Procedure
  - Spike coupon with known amount
  - Remove in swab or simulated rinse procedure
  - For swab, desorb
  - Analyze sample
- Done at or below surface acceptance limit
- In method validation or separate study

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## Swab recovery schematic



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## Acceptable recovery

- >80% is good
- >50% is okay
- <50% is questionable
- Caution: May use recovery factor to correct measured analytical value or acceptance limit (but not both)

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## Challenges

- For PPQ runs
  - Process conditions (within normal process conditions)
  - Different operators for manual cleaning
  - Bioburden
  - Dirty hold time
  - Clean hold time
- Under life cycle approach, may be addressed in design/development

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## Dirty hold time

- What?
  - Time between end of manufacture and beginning of cleaning
- Why?
  - Manufactured product may be harder to clean (dries, bioburden growth)
- Issues
  - Sometimes cleanability does NOT change with time (e.g., dry products)

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## Dirty hold time (2)

- What do?
  - Specify a maximum hold time in cleaning SOP
  - Challenge worst-case condition in validation (at least one run at maximum if not addressed in design/development)

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## Clean hold time

- **What?**
  - Time from end of cleaning to beginning of manufacture
  - Sometimes called expiry period
- **Why?**
  - Equipment may become recontaminated during storage (bioburden, dust)
- **Issues**
  - If dry and sealed, should not be recontaminated

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## Clean hold time (2)

- **What done?**
  - Specify maximum hold time in SOPs
  - For extended storage, dry equipment (as part of cleaning SOP)
  - For extended storage, seal/wrap equipment appropriately
  - Measure residues before and after storage (may be in separate protocol)
  - Usually are measuring bioburden and visual cleanliness
  - Criteria is change from baseline

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## Grouping strategies

- **Grouping**
  - By product (soil)
  - By equipment
- Also called matrixing, family approach, bracketing
- **Rationale**
  - Simplify amount of validation work

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## Grouping conditions

- **Conditions to meet for product grouping**
  - Similar product type
  - In same equipment train
  - Identical cleaning process
    - Cleaning agent
    - Cleaning method
    - Process parameters

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## Representative product

- **Representative: most difficult to clean**
- **Basis of selection**
  - Historical
  - Solubility data
  - "Point system" based on several factors
  - Lab/pilot study

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## Representative limit

- **Residue limit selection**
  - Lowest limit among group
- OR
- Validate most difficult to clean (at its limit) and most "toxic" (product with lowest limit)

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## Equipment grouping

- Must be similar type
- Identical equipment (identical for cleaning purposes)
- May involve simple equipment of different sizes
  - Example: 300L, 500L and 1000L tanks
- Alternatives --
  - Validate separately largest & smallest sizes
  - Validate together testing extremes

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## Grouping conditions

- Look for rationales for:
  - Forming groups
  - Selecting worst case
  - Selecting residue limits

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## CV maintenance

- Monitoring
- Change control
- Deviations
- Training and retraining
- Continuing control
- Note: "revalidation" is disappearing from FDA lexicon

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## Monitoring objective

- Different companies may use the word "monitoring" differently
  - For me, *routine* monitoring is done every cleaning event initially, and then perhaps on a reduced schedule
- Collect data to determine process control
- Monitoring alert/action levels generally more stringent than limits in protocol

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## Monitoring during routine cleaning

- May monitor key control parameters
  - Time(s)
  - Temperature(s)
  - Cleaning agent concentration
  - Pressure
- May monitor key indicators of control
  - Rinse water TOC or conductivity
- Visual examination

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## Regular review

- Repeat of PPQ run on any *significant* change
- On a "regular" basis (such as yearly) evaluate consistency based on
  - Monitoring data
  - Change control data
  - Deviations
  - Quality records
  - Training

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