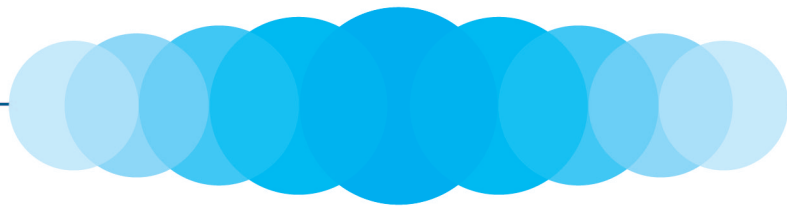


ENCYCLOPEDIA
OF
RAPID
MICROBIOLOGICAL
METHODS

VOLUME 1



Michael J. Miller
Editor

CONTENTS

Preface		xvii
	<i>David Hussong</i>	
Foreword		xix
	<i>Michael J. Miller</i>	
1. Early History of Microbiology and Microbiological Methods		1
	<i>Robert F. Guardino</i>	
Introduction		1
An Overview		2
Era of Speculation		3
<i>A Drama in the Making</i>		3
Era of Observation		6
<i>The Script is Drafted</i>		6
Early Microbiologists		7
<i>Anton van Leeuwenhoek (1632 – 1723)</i>		7
<i>The First Man Ever to See Bacteria</i>		
<i>Lazzaro Spallanzani 1729 – 1799</i>		8
Era of Cultivation		10
<i>The Drama Unfolds</i>		10
<i>Louis Pasteur 1822 – 1895</i>		10
<i>Robert Koch 1843 – 1910</i>		13
On the Staining of Bacteria and Stained Preparations		18
Advances in Immunology		20
Hunters of Insect-Born Diseases		21

The Dawning of the 'Modern' Age of Chemotherapy	23
A Brief Look at the 20 th Century	24
The First Rapid Method	26
References	26
About the Author	27
2. Risk-based Approach to Pharmaceutical Microbiology	29
<i>Anthony M. Cundell</i>	
Introduction	29
Risk of Microbial Contamination by Pharmaceutical Dosage Form	29
Risk of Microbial Contamination as Reflected in Regulatory Actions	30
Increased Risks Associated with New Trends in the Pharmaceutical Industry	34
The FDA Response to Risk in the Pharmaceutical Industry	36
The Role of Rapid Microbial Methods in the Process Analytical Technology Initiative	39
Major Regulatory Changes in Response to Serious Public Health Events	41
<i>Reclassification of Inhalation Solutions as Sterile Products</i>	41
<i>Thimerosal as a Preservative in Vaccines</i>	42
<i>Virus Inactivation of Parenteral Products</i>	43
<i>A Recall Due to the Microbial Contamination of a Pharmaceutical Ingredient</i>	46
<i>Microbial Risk in Bulk Drug Manufacturing</i>	47
<i>Aseptic Processing versus Terminal Sterilization</i>	48
<i>Extrinsic Contamination as a Risk with Sterile Products</i>	50
Risk Assessment Tools Applied to the Pharmaceutical and Medical Device Industries	50
Comparison of the Risk of Microbial Contamination of Pharmaceutical Products to Food	56
The Role of Microbiologists in the Investigation of Microbial Contamination Issues	57

References	60
About the Author	62
3. The Importance of Emerging Rapid Methods Technology to Regulators and Industry	65
<i>Michael S. Korczynski</i>	
Abstract	65
Introduction	66
New Drug GMP Approaches for the 21 st Century	66
Current Status of Rapid Microbial Methods	67
Historical Basis for the FDA Advocacy Role	
Related to Rapid Microbial Methods	69
<i>LAL Testing Methodology</i>	69
<i>Membrane Filtration Test</i>	70
<i>Reduction of Biological Indicator Incubation Time</i>	70
<i>PAT Initiative and Relationship to Rapid Microbial Methods</i>	71
Importance and Benefits of Rapid Methods to the Industry	72
In-Process Testing: Need for Rapid Microbial Methods	73
Rapid Microbial Methods: Quantitative vs. Qualitative	74
Three Areas of Microbial Determinations	74
Application for Rapid Quantitative Microbiological Methods	76
<i>Quantitative Tests for Microbial Enumeration</i>	76
In-Process Rapid Microbial Evaluation Methods Testing: Potential for Application in Various Industries	78
Use of On-line Rapid Microbial Methods During In-Process Testing: Pharmaceutical Manufacturing Scenario	79
Development of Quality Enhancement Program Strategy	80
Establishment of Equipment or Process On-Line Testing or Monitoring Module	81
Establishment of Critical Control Points	82
Overall Description of an On-line or In-line Data Measurement Program	82

Use of Rapid Methods in Sterility Testing	83
Arguments for Rapid Sterility Testing Methods	84
Arguments Against Using Rapid Sterility Testing Methods	85
Cost Analysis Approach	85
Evaluation of Resulting Data: How to Deal with High Numbers	86
Possible Guidance to Regulatory Inspectors	87
Compendial Issues	88
Rapid Methods Validation	89
Validation of Alternative Microbiological Methods	90
Acceptance of New Rapid Methods	91
The Imperative Initiative	91
References	92
Acknowledgements	94
About the Author	94
4. Obstacles and Opportunities to the Introduction of Pharmaceutical Rapid Microbiological Methods	95
<i>Paul Newby</i>	
Introduction	95
The Drivers For Change	96
Technical Issues	97
Cultural Issues	99
Manufacturing Paradigms - Process Analytical Technology	101
Conclusions	102
References	103
About The Author	104
5. Fact Versus Fiction: Rapid Methods in the Manufacturing Environment	105
<i>Chris Bierman</i>	
Introduction	105

<i>Assumptions And Theory</i>	107
<i>Logistics</i>	109
Validation	118
Summary	119
References	120
About the Author	121
6. Opportunities for the Pharmaceutical Industry	123
<i>Scott V.W. Sutton</i>	
Introduction	123
<i>Why Look for Rapid Microbiological Methods (RMM)?</i>	123
Guidance Documents	126
<i>FDA Guidance</i>	126
USP Guidance	129
<i>Other Guidance</i>	131
Major Alternate Technologies	132
<i>Qualitative and Quantitative Methods</i>	132
<i>Applications</i>	137
<i>Identification Technologies</i>	140
<i>Technologies</i>	141
Summary	147
References	147
About the Author	156
7. Rapid Microbial Methods in Biodefense	157
<i>George A. Robertson</i>	
Introduction	157
Criteria for the Selection of a Biological Agent/Weapon	158
<i>Category A Diseases/Agents</i>	159
<i>Category B Diseases/Agents</i>	160
<i>Category C Diseases/Agents</i>	160
<i>Biological Weapon Agent Detectors</i>	161
<i>Point Detectors</i>	161
BioWatch	164

Future Systems	164
References	165
About the Author	166
8. Rapid and Automated Methods for Food Microbiology	167
<i>Daniel Y. C. Fung</i>	
Introduction	167
Sample Preparation and Treatments	168
Total Viable Cell Count and Alternative Rapid Methods	168
Advances in Miniaturization and Diagnostic Kits	173
Immunological Testing	174
Instrumentation and Biomass Measurements	179
Genetic Testing	182
Biosensors	188
Prediction of the Future	190
References	191
Acknowledgment	193
About the Author	193
9. The Impact of Process Analytical Technology (PAT), cGMPs for the 21st Century and Other Regulatory and Compensatory Initiatives on the Implementation of Rapid Microbiological Methods	195
<i>Michael J. Miller</i>	
Introduction	195
FDA Science Board and Advisory Committee for Pharmaceutical Science Meetings	196
Pharmaceutical Operations are Inefficient and Costly	200
Moving Toward the “Desired State”	201
Process Analytical Technology (PAT)	202
PAT and the FDA’s Acceptance of New	

Microbiological Methods	203
<i>The Industry's Continued Hesitancy</i>	206
<i>Science and Technology</i>	206
<i>Economics</i>	207
<i>Regulatory and Compendial Acceptance</i>	208
Encouragement from the Pharmacopoeias	209
Applications and Opportunities	210
Summary	212
References	213
About the Author	215
10. Comparability Protocols	217
<i>Jeanne Moldenhauer</i>	
Introduction	217
When Should A Comparability Protocol Be Used?	218
Regulatory Strategies Using Comparability Protocols	219
Preparing for an Initial Meeting with the FDA	219
Content of a Comparability Protocol	220
<i>Purpose</i>	220
<i>Documentation</i>	226
<i>Attachments</i>	226
Making the Regulatory Submission	226
The Regulatory Response	227
Conclusion	227
Disclaimer	227
References	228
About the Author	228
11. FDA Perspectives on 21 CFR Part 11 Requirements and Its Application in Rapid Microbiological Methods	229
<i>Brenda Uratani and George R. Smith Jr.</i>	
Introduction	229

Brief History of Part 11	229
Issues with the Rule	230
<i>Validation (21 CFR 11 SubPart B Sec. 11.10 (b))</i>	231
<i>Audit Trails (21 CFR 11 SubPart B Sec. 11.10 (e))</i>	231
<i>Record Retention (21 CFR 11 SubPart B Sec. 11.10 (c))</i>	232
<i>Copies of Records (21 CFR 11 SubPart B Sec. 11.10 (a))</i>	232
<i>Legacy Systems</i>	233
Part 11 Development, Interpretation, and Scope	235
Overall Approach to the Determination of Part 11 Applicability	236
Where Part 11 Fits in a Typical Validation Methodology for RMM Systems	237
Predicate Rules and Practical Examples	239
Typical Laboratory Testing Process and Part 11 Applicability	241
Some Frequently Asked Questions	242
What to Expect Next with Part 11	244
Disclaimer	245
About the Authors	245

12. European Perspectives on Rapid Microbiological Methods and Risk Assessment **247**

Klaus Haberer

Microbiological Methods of the European Pharmacopoeia for Quality Assurance of Pharmaceutical Products	247
<i>Significance of Pharmacopoeial Microbiological Methods</i>	247
<i>Historical Development</i>	248
<i>International Harmonization</i>	249
<i>Position of the European Pharmacopoeia and Authorities</i>	
<i>Towards Alternative Microbiological Methods</i>	250
<i>The Draft Informational Chapter of the European Pharmacopoeia on Alternative Microbiological Methods</i>	251
Reference Tests and Alternative Methods in Microbiological Quality Assurance	252
<i>Determination of Microbiological Purity</i>	253

<i>Characterization of Microorganisms</i>	262
<i>Determination of Antimicrobial Effectiveness</i>	265
Summary	269
References	270
About the Author	272
13. Current USP Perspectives on Validation of Alternative Microbiological Methods: Proposed General Information Chapter < 1223 >	273
<i>Radhakrishna S. Tirumalai</i>	
Introduction	273
Types of Microbiological Tests	274
<i>General Concerns</i>	275
Validation of Qualitative Tests for Demonstration of Viable Microorganisms in a Sample	276
<i>Specificity</i>	276
<i>Limit Of Detection</i>	276
<i>Ruggedness</i>	277
<i>Robustness</i>	277
Validation of Quantitative Estimation of Viable Microorganisms in a Sample	278
<i>Accuracy</i>	278
<i>Precision</i>	279
<i>Specificity</i>	279
<i>Limit of Quantification</i>	280
<i>Linearity</i>	280
<i>Limit of Detection</i>	280
<i>Range</i>	281
<i>Ruggedness</i>	281
<i>Robustness</i>	281
Summary	281
References	281
Acknowledgment	282
About The Author	282

14. PDA Technical Report No. 33: Evaluation, Validation and Implementation of New Microbiological Testing Methods	283
<i>Jeanne Moldenhauer</i>	
Introduction	283
Organization of the Technical Report	284
Selection of New Microbiological Methods	284
<i>Categories of Microbiological Test Methods</i>	284
<i>Technology Review</i>	285
<i>Regulatory Review</i>	286
<i>Changing a Microbiological Test Method</i>	286
Validation and Implementation of a New Microbial Test Method	288
<i>The Validation Process</i>	288
<i>Method/Vendor Requirements</i>	289
<i>Validation Plan Design</i>	289
<i>Installation Qualification (IQ)</i>	290
<i>Operational Qualification (OQ)</i>	291
<i>Performance Qualification (PQ)</i>	292
<i>Microbiological Method Validation Criteria</i>	293
<i>Protocol Design Using Recommended Validation Criteria</i>	295
Special Considerations for the Validation of Microbiological Methods	297
<i>Use of Multiple Pieces of Same Equipment within the Laboratory and Company</i>	297
<i>Unique Testing Requirements for Microbiological Equipment</i>	298
Glossary of Terms	298
Acknowledgements	298
Note	298
References	299
About the Author	299
 15. Validation of Rapid Microbiological Methods	 301
<i>Jeanne Moldenhauer</i>	
Introduction	301

What is Validation?	301
Very Simplistic Systems	302
Pre-validation Activities	302
Validation Plan	304
<i>User Requirements Specification (URS)</i>	305
<i>Functional and Design Specifications (FDS)</i>	305
<i>Establishing Acceptance Criteria</i>	309
<i>Requirements Traceability Matrix (RTM)</i>	309
<i>Regulatory Requirements (21CFR 11)</i>	310
<i>Training and Procedures (SOPs)</i>	310
<i>Test Plan and Protocols</i>	310
Conclusion	320
Acknowledgements	321
References	321
About the Author	321
16. 21 CFR Part 11 for Laboratory Systems – A Case Study	323
<i>Arjun Castelino</i>	
Introduction	323
Part 11 Explained – A Synopsis	324
<i>Background</i>	324
<i>Recent Developments</i>	327
Reference System	329
<i>System Architecture</i>	329
<i>System Description</i>	329
Reference System Analysis	332
<i>GxP Data Definition and Identification</i>	332
<i>21 CFR Part 11.10 – Controls for Closed Systems</i>	334
Acronyms, Terms and Definitions	356
References	359
About the Author	360
17. End User Expectations of Rapid Microbiology Vendors	361
<i>Casey J. Costello</i>	
Introduction	361

Getting Started	362
Quality Assessment	363
Drug Master File	365
Contracts and Conditions of Sale	365
Contingency Plans	367
Conclusion	368
About the Author	369
Index	371