## CONTENTS

**Preface**  
David Hussong  

**Foreword**  
Michael J. Miller  

1. **Early History of Microbiology and Microbiological Methods**  
   Robert F. Guardino  

<table>
<thead>
<tr>
<th>Section</th>
<th>Page</th>
</tr>
</thead>
<tbody>
<tr>
<td>Introduction</td>
<td>1</td>
</tr>
<tr>
<td>An Overview</td>
<td>2</td>
</tr>
<tr>
<td>Era of Speculation</td>
<td>3</td>
</tr>
<tr>
<td>A Drama in the Making</td>
<td>3</td>
</tr>
<tr>
<td>Era of Observation</td>
<td>6</td>
</tr>
<tr>
<td>The Script is Drafted</td>
<td>6</td>
</tr>
<tr>
<td>Early Microbiologists</td>
<td>7</td>
</tr>
<tr>
<td>Anton van Leeuwenhoek (1632 – 1723)</td>
<td>7</td>
</tr>
<tr>
<td>The First Man Ever to See Bacteria</td>
<td>8</td>
</tr>
<tr>
<td>Lazzaro Spallanzani 1729 – 1799</td>
<td>8</td>
</tr>
<tr>
<td>Era of Cultivation</td>
<td>10</td>
</tr>
<tr>
<td>The Drama Unfolds</td>
<td>10</td>
</tr>
<tr>
<td>Louis Pasteur 1822 – 1895</td>
<td>10</td>
</tr>
<tr>
<td>Robert Koch 1843 – 1910</td>
<td>13</td>
</tr>
<tr>
<td>On the Staining of Bacteria and Stained Preparations</td>
<td>18</td>
</tr>
<tr>
<td>Advances in Immunology</td>
<td>20</td>
</tr>
<tr>
<td>Hunters of Insect-Born Diseases</td>
<td>21</td>
</tr>
</tbody>
</table>
The Dawning of the ‘Modern’ Age of Chemotherapy
A Brief Look at the 20th Century
The First Rapid Method
References
About the Author

2. **Risk-based Approach to Pharmaceutical Microbiology**
   *Anthony M. Cundell*

Introduction
Risk of Microbial Contamination by Pharmaceutical Dosage Form
Risk of Microbial Contamination as Reflected in Regulatory Actions
Increased Risks Associated with New Trends in the Pharmaceutical Industry
The FDA Response to Risk in the Pharmaceutical Industry
The Role of Rapid Microbial Methods in the Process Analytical Technology Initiative
Major Regulatory Changes in Response to Serious Public Health Events
   - Reclassification of Inhalation Solutions as Sterile Products
   - Thimerosal as a Preservative in Vaccines
   - Virus Inactivation of Parenteral Products
   - A Recall Due to the Microbial Contamination of a Pharmaceutical Ingredient
   - Microbial Risk in Bulk Drug Manufacturing
   - Aseptic Processing versus Terminal Sterilization
   - Extrinsic Contamination as a Risk with Sterile Products
Risk Assessment Tools Applied to the Pharmaceutical and Medical Device Industries
Comparison of the Risk of Microbial Contamination of Pharmaceutical Products to Food
The Role of Microbiologists in the Investigation of Microbial Contamination Issues
3. The Importance of Emerging Rapid Methods Technology to Regulators and Industry

Michael S. Korczynski

Abstract

Introduction

New Drug GMP Approaches for the 21st Century

Current Status of Rapid Microbial Methods

Historical Basis for the FDA Advocacy Role

Related to Rapid Microbial Methods

LAL Testing Methodology

Membrane Filtration Test

Reduction of Biological Indicator Incubation Time

PAT Initiative and Relationship to Rapid Microbial Methods

Importance and Benefits of Rapid Methods to the Industry

In-Process Testing: Need for Rapid Microbial Methods

Rapid Microbial Methods: Quantitative vs. Qualitative

Three Areas of Microbial Determinations

Application for Rapid Quantitative Microbiological Methods

Quantitative Tests for Microbial Enumeration

In-Process Rapid Microbial Evaluation Methods Testing: Potential for Application in Various Industries

Use of On-line Rapid Microbial Methods During In-Process Testing: Pharmaceutical Manufacturing Scenario

Development of Quality Enhancement Program Strategy

Establishment of Equipment or Process On-Line Testing or Monitoring Module

Establishment of Critical Control Points

Overall Description of an On-line or In-line Data Measurement Program
<table>
<thead>
<tr>
<th>Section</th>
<th>Page</th>
</tr>
</thead>
<tbody>
<tr>
<td>Use of Rapid Methods in Sterility Testing</td>
<td>83</td>
</tr>
<tr>
<td>Arguments for Rapid Sterility Testing Methods</td>
<td>84</td>
</tr>
<tr>
<td>Arguments Against Using Rapid Sterility Testing Methods</td>
<td>85</td>
</tr>
<tr>
<td>Cost Analysis Approach</td>
<td>85</td>
</tr>
<tr>
<td>Evaluation of Resulting Data: How to Deal with High Numbers</td>
<td>86</td>
</tr>
<tr>
<td>Possible Guidance to Regulatory Inspectors</td>
<td>87</td>
</tr>
<tr>
<td>Compendial Issues</td>
<td>88</td>
</tr>
<tr>
<td>Rapid Methods Validation</td>
<td>89</td>
</tr>
<tr>
<td>Validation of Alternative Microbiological Methods</td>
<td>90</td>
</tr>
<tr>
<td>Acceptance of New Rapid Methods</td>
<td>91</td>
</tr>
<tr>
<td>The Imperative Initiative</td>
<td>91</td>
</tr>
<tr>
<td>References</td>
<td>92</td>
</tr>
<tr>
<td>Acknowledgements</td>
<td>94</td>
</tr>
<tr>
<td>About the Author</td>
<td>94</td>
</tr>
</tbody>
</table>

4. **Obstacles and Opportunities to the Introduction of Pharmaceutical Rapid Microbiological Methods**

*Paul Newby*

<table>
<thead>
<tr>
<th>Section</th>
<th>Page</th>
</tr>
</thead>
<tbody>
<tr>
<td>Introduction</td>
<td>95</td>
</tr>
<tr>
<td>The Drivers For Change</td>
<td>96</td>
</tr>
<tr>
<td>Technical Issues</td>
<td>97</td>
</tr>
<tr>
<td>Cultural Issues</td>
<td>99</td>
</tr>
<tr>
<td>Manufacturing Paradigms - Process Analytical Technology</td>
<td>101</td>
</tr>
<tr>
<td>Conclusions</td>
<td>102</td>
</tr>
<tr>
<td>References</td>
<td>103</td>
</tr>
<tr>
<td>About The Author</td>
<td>104</td>
</tr>
</tbody>
</table>

5. **Fact Versus Fiction: Rapid Methods in the Manufacturing Environment**

*Chris Bierman*

<table>
<thead>
<tr>
<th>Section</th>
<th>Page</th>
</tr>
</thead>
<tbody>
<tr>
<td>Introduction</td>
<td>105</td>
</tr>
</tbody>
</table>
8. **Rapid and Automated Methods for Food Microbiology**

   *Daniel Y. C. Fung*

   - 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
Microbiological Methods 203

  The Industry’s Continued Hesitancy 206
  Science and Technology 206
  Economics 207
  Regulatory and Compendial Acceptance 208

Encouragement from the Pharmacopoeias 209

Applications and Opportunities 210

Summary 212

References 213

About the Author 215

10. Comparability Protocols 217
    Jeanne Moldenhauer

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

Purpose 220

Documentation 226

Attachments 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
    Brenda Uratani and George R. Smith Jr.

Introduction 229
Brief History of Part 11

Issues with the Rule
Validation (21 CFR 11 SubPart B Sec. 11.10 (b))
Audit Trails (21 CFR 11 SubPart B Sec. 11.10 (e))
Record Retention (21 CFR 11 SubPart B Sec. 11.10 (c))
Copies of Records (21 CFR 11 SubPart B Sec. 11.10 (a))
Legacy Systems

Part 11 Development, Interpretation, and Scope

Overall Approach to the Determination of Part 11 Applicability

Where Part 11 Fits in a Typical Validation Methodology for RMM Systems

Predicate Rules and Practical Examples

Typical Laboratory Testing Process and Part 11 Applicability

Some Frequently Asked Questions

What to Expect Next with Part 11

Disclaimer

About the Authors

12. European Perspectives on Rapid Microbiological Methods and Risk Assessment

Klaus Haberer

Microbiological Methods of the European Pharmacopoeia for Quality Assurance of Pharmaceutical Products

Significance of Pharmacopoeial Microbiological Methods

Historical Development

International Harmonization

Position of the European Pharmacopoeia and Authorities Towards Alternative Microbiological Methods

The Draft Informational Chapter of the European Pharmacopoeia on Alternative Microbiological Methods

Reference Tests and Alternative Methods in Microbiological Quality Assurance

Determination of Microbiological Purity
13. Current USP Perspectives on Validation of Alternative Microbiological Methods: Proposed General Information Chapter <1223>  
Radhakrishna S. Tirumalai

Introduction 273

Types of Microbiological Tests 274
  General Concerns 275

Validation of Qualitative Tests for Demonstration of Viable Microorganisms in a Sample 276
  Specificity 276
  Limit Of Detection 276
  Ruggedness 277
  Robustness 277

Validation of Quantitative Estimation of Viable Microorganisms in a Sample 278
  Accuracy 278
  Precision 279
  Specificity 279
  Limit of Quantification 280
  Linearity 280
  Limit of Detection 280
  Range 281
  Ruggedness 281
  Robustness 281

Summary 281

References 281

Acknowledgment 282

About The Author 282
   Jeanne Moldenhauer

   Introduction

   Organization of the Technical Report

   Selection of New Microbiological Methods
   Categories of Microbiological Test Methods
   Technology Review
   Regulatory Review
   Changing a Microbiological Test Method

   Validation and Implementation of a New Microbial Test Method
   The Validation Process
   Method/Vendor Requirements
   Validation Plan Design
   Installation Qualification (IQ)
   Operational Qualification (OQ)
   Performance Qualification (PQ)
   Microbiological Method Validation Criteria
   Protocol Design Using Recommended Validation Criteria

   Special Considerations for the Validation of Microbiological Methods
   Use of Multiple Pieces of Same Equipment within the Laboratory and Company
   Unique Testing Requirements for Microbiological Equipment

   Glossary of Terms

   Acknowledgements

   Note

   References

   About the Author

15. Validation of Rapid Microbiological Methods
   Jeanne Moldenhauer

   Introduction
## What is Validation?

- Very Simplistic Systems
- Pre-validation Activities
- Validation Plan
  - User Requirements Specification (URS)
  - Functional and Design Specifications (FDS)
  - Establishing Acceptance Criteria
  - Requirements Traceability Matrix (RTM)
  - Regulatory Requirements (21CFR 11)
  - Training and Procedures (SOPs)
  - Test Plan and Protocols

## Conclusion

- Acknowledgements
- References
- About the Author

### 16. 21 CFR Part 11 for Laboratory Systems – A Case Study

*Arjun Castelino*

- Introduction
- Part 11 Explained – A Synopsis
  - Background
  - Recent Developments
- Reference System
  - System Architecture
  - System Description
- Reference System Analysis
  - GxP Data Definition and Identification
  - 21 CFR Part 11.10 – Controls for Closed Systems
- Acronyms, Terms and Definitions
- References
- About the Author

### 17. End User Expectations of Rapid Microbiology Vendors

*Casey J. Costello*

- Introduction
Encyclopedia of Rapid Microbiological Methods

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