Review Article

Overview of the validation procedures for a vaccine production: from R&D level to the pre-qualification stage

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ABSTRACT

Just like any other process, vaccine manufacturing procedures are defined as a series of interrelated functions and activities using a variety of specified actions and equipment designed to produce a defined product. To assure the reproducibility and consistency of such processes, they must be carried out using validated equipment and under the established procedures that meet all the acceptance criteria, at least 3 times. In many cases, “worst case” conditions are used for the validation purposes to ensure that the process would be acceptable in extreme cases. Therefore, the validation concept in vaccine production facilities is a key element of the quality assurance goals which may reduce the dependence upon intensive in-process and finished products testing. Nevertheless, the concept of validation has expanded through the years to embrace a wide range of activities such as analytical methods used for quality control of drugs, the computerized systems for the clinical trials, the labeling and the process control. To perform such validation activities properly, the updated knowledge of the current regulations are needed. Therefore, the present article focuses on the recommendations in the related guidelines addressing different aspects of validation procedures related to the vaccine production facilities as a part of the product’s life-cycle.

KEYWORDS: Validation, GMP, Process, Analytical Method, Regulation.

INTRODUCTION

The term “validation” has been defined in the literature in many ways. Although the terminology could be diverse, the sense of the meaning is always the same: specify and implement, test whether the specifications are met and document the findings. In any validation effort, the main questions are: “where is the optimum?”, “how to find the optimum?” or “how much validation is enough?” and hopefully with the help of this article and the information in related references introduced here on the risk-based validation, the reader will have an appropriate guide to find this optimum for a specific process. However, this task also depends on the complexity of the process or the system and the involved risks of the system on the product quality and finally, on the consumer safety. The definition and the involved steps of a validation process are briefly illustrated in the Fig.1.

Vaccine manufacturers like other pharmaceutical companies must validate their manufacturing processes as well as their analytical methods by attaining adequate understanding about the characteristics of the product to be manufactured. These approaches assure the consistency of the production processes and express the aptitude of the industrial scale manufacturing processes, in order to give a high degree of assurance for obtaining pharmaceuticals that meet the required quality attributes of safety, purity and efficacy on a continued basis. Process validation (PV) is a collection and assessment of data from process-design step using three commercial batches of the product that provides a scientific proof that a manufacturing process is capable of consistently producing products with the desired quality and can meet its predetermined specifications and quality attributes. This is an important concept by current Good Manufacturing Practice (cGMP) regulation and is also known as a crucial aspect of the drug quality assurance [1]. As it has been known that the quality cannot be effectively assured just by in-process and finished-product inspection and tests, validation offers assurances that a process is practically protected against the variability sources which could affect the product and the public health, negatively. Also in the cases of any changes in operational parameters through the necessary scale-ups of the production process, such as new facilities and equipment, PV will verify that the product characteristics will not vary [2].

This article will mainly focus on the different aspects of validation procedures related to the vaccine production facilities as a part of the product’s life-cycle, recommended by the International Conference on Harmonization (ICH) in Q8 Pharmaceutical Development and Q10 Pharmaceutical Quality...
System of World Health Organization (WHO) and in line with the requirements of both FDA (Food and Drug Administration) and the EU (European Union). It also summarizes all the practical aspects of validation and qualification in analytical laboratories where the most important applied regulations are the Good Manufacturing Practices (GMPs), Good Clinical Practices (GCPs) and Good Laboratory Practices (GLPs). The best-known quality standards are the ISO 9000 series which provide generic standards for development, manufacturing and services. The most frequently used quality and accreditation standard in chemical testing laboratories is known to be the ISO 17025 standards.

![Diagram of validation process]

**Fig. 1.** Definition and steps of validation for launching documented evidence, assuring that a specific process will consistently produce a product with predetermined specifications (FDA 1987b).

**Validation versus verification and qualification: Do they really differ?**

There are still significant misinterpretations about the differences between testing, calibration, verification and validation. In summary, validation proves that the overall process works for a specific application. This includes specific equipment, software and qualified people and, in analytical processes, it also includes sample-specific calibration standards.

Change control

Specify/ develop

Check for the specification and document results

Change control

A prerequisite for validation is that the individual parts used for the process are qualified during testing and calibration. ISO/IEC Guide 2 (1991) explains the term “verification” as assessment and provision of evidence to confirm that specified requirements have been met. In regard to the management of the measuring equipment, verification provides a logical way of checking if the deviations between the values from a measuring instrument and its corresponding known values are not greater than the limits of acceptable error, consistently. Performance verification of analytical instrumentation is the process of comparing the test results with the performance specification. It includes testing and requires the availability of clear specifications and acceptance criteria. Therefore, “validation” is defined as an evaluation process to ensure compliance with specified requirements. Whereas “verification” is related to the individual phases or modules, “validation” is related to a complete process.

**Development of process and analytical validation models: The key elements**

For the first time in the middle of 1970s, two FDA officials named Ted Byers and Bud Loftus, proposed the concept of validation in the pharmaceutical industry in order to improve the quality of the products [3]. However, it is now a regulatory requirement and is described in general and specific terms in the FDA’s Code of Federal Regulations - CFR21 parts 210 and 211 as well as in the EMA’s GMP guide-Annex 15. Although, the first validation attempts were performed according to the processes involved in manufacturing of pharmaceutical products, the concept of validation quickly spread to associated processes including the analytical methods used to test the products.

Process validation activities are described in three different stages: Process Design (PD), Process Qualification (PQ) and Continued Process Verifications (cPV). During PD, a commercial manufacturing process is defined based on the gained knowledge during the development and scale-up stages. During PQ, the design of the process will be evaluated to verify whether the process is capable of commercial manufacturing. At last, in the cPV stage, the ongoing assurance will be achieved via routine production, confirming that the process remains under control. In January 2011, the FDA issued a new guidance document for the industry, entitled “Process Validation: general principles and practices” [4]. This guideline described that the understanding and controlling of the variations are the key to ensure a process would lead to a fit-for-purpose product. It suggests that the manufacturers should understand the sources of the variation, be able to detect the presence and degree of the variation, understand the variation effects on the process and on the product characteristics. They should also consider variation control in a way that is suitable for the related quality risk to the process and the product. Consequently, it is obvious that the absolute focus on the qualification efforts will possibly not lead to a rational quality-related result without consideration of the manufacturing process and its associated variations.

**Arrangement between process and analytics: A three-stage approach**

Just as process validation can benefit from a product life-cycle approach, so can analytical method validation. This was suggested by Nethercote et al. in 2010 when they proposed that there are a number of key factors that are important in a Quality by Design/Lifecycle approach [5]. These key factors are summarized as the following:

- Importance of having predefined objectives
- Need to understand the method, i.e. being able to explain the method performance as a function of the method input variables
- Need to ensure that the controls on method inputs are designed as such that the method will deliver quality data consistently in all intended environments in which it is used
- Need to evaluate method performance from the method design stage throughout its life cycle of use

By reviewing the above-mentioned factors, one can understand that the method validation can be described as the gathering and assessment of information and data, collected from the design phase during method lifecycle of use. Therefore, it establishes scientific supports that a method is proficient of consistently delivering the quality data [6]. In a simple way, the three-stage approach to analytical life-cycle validation can be illustrated in the Fig 2 where the concept of having an analytical target profile (ATP) is defined. It is important that “Stage 3” of the activities is involved in both the routine performance monitoring and the effective assessments of the change.
Computerized System Validation (CSV): A necessity for the today’s manufacturers

When GLP and GMP regulations were first introduced, computers were not that widely used in the industries; therefore, no special attention was paid to the use of computer hardware and software. Computers were treated like any other laboratory and production instrumentation and were covered under the regulations of GLPs in the US Code, such as 21 CFR Part 58 and 58 on design, maintenance and calibration of equipment.

The Parenteral Drug Association (PDA) has published two technical reports on validation of computer systems. Technical Report 18 is for the generic applications (PDA 1995) and Report 31 is on Validation and Qualification of Computerized Laboratory Data Acquisition Systems (PDA 1999). This report is a good guideline for the validation of any computerized system used in the laboratories. Table 1 shows the milestones in CSV:

**Table 1. Stages in the development of in Computerized System Validation**

<table>
<thead>
<tr>
<th>Year</th>
<th>Event</th>
</tr>
</thead>
<tbody>
<tr>
<td>1982</td>
<td>US FDA publishes first two Compliance Policy Guides on computerized drug processing</td>
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<td>1983</td>
<td>US PMA establishes the Computer System Validation Committee</td>
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<tr>
<td>1985</td>
<td>First widely publicized FDA 483 observations concerning computer systems</td>
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<tr>
<td>1986</td>
<td>PMA publishes a concepts paper on computer validation</td>
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<tr>
<td>1987</td>
<td>FDA technical report on Software Development Activities</td>
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<td>1988</td>
<td>Consensus paper: Computerized Data Systems for Nonclinical Safety Assessments</td>
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<tr>
<td>1989</td>
<td>UK DOH GLP Monitoring Unit publishes The Application of GLP Principles to Computer Systems</td>
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<tr>
<td>1993</td>
<td>FDA releases draft regulations on the use of electronic records and electronic signatures</td>
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<tr>
<td>1995</td>
<td>The OECD develops a draft paper entitled The Application of GLP Principles to Computer Systems</td>
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<tr>
<td>1997</td>
<td>FDA releases regulation on electronic records and signatures: 21 CFR Part 11</td>
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<tr>
<td>1999</td>
<td>PDA publishes Technical Report entitled Validation and Qualification of Laboratory Data Acquisition Systems</td>
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<tr>
<td>1999</td>
<td>FDA publishes the industry guide: Computerized Systems Used in Clinical Trials</td>
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<tr>
<td>2000</td>
<td>The US EPA releases the proposed Cross-Media Electronic Reporting and Record-keeping Rule (CROMERRR)</td>
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<tr>
<td>2001</td>
<td>The FDA publishes its draft industry guidance on validation for 21 CFR Part 11</td>
</tr>
<tr>
<td>2002</td>
<td>FDA publishes guidance for industry: General Principles of Software Validation</td>
</tr>
<tr>
<td>2002</td>
<td>The Pharmaceutical Inspection Convention (PIC) develops a draft edition of good practices for computerized systems in regulated GxP</td>
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</tbody>
</table>
Lifecycle approach in process validation: From R&D through clinical trials to commercial scale regulation

As a fundamental concept, “validation processes are not supposed to be considered as a one-time experience and should be considered as an activity that covers the product lifecycle, linking process/method development, validation of commercial manufacturing process and its maintenance during routine commercial production” [1]. Process development, commercial manufacturing capabilities and the quality system must be integrated in order to achieve effective and compliant commercial operations. This approach implies that the process validation starts before the time when consistency batches are manufactured and continues during the commercial phase. Validation activities requires an interdisciplinary approach to integrate expertise from a variety of disciplines like engineering, chemistry and microbiological sciences, statistics, manufacturing and quality assurance and needs appropriate planning with full support of the upper management. The quality and the regulatory organizational units shall be part of the product cross-functional team from the beginning of the process of validation study design.

Risk-based approach validation strategy: Quality Risk Management system

To answer this very important question: “what needs to be validated and when is the right time?”, a Quality Risk Management (QRM) system must be developed adjacent to the product lifecycle during the different validation stages. The entire product attributes and operational parameters should be assessed in terms of their utility related to the specific processes and their effect on the product (in-process) should be re-assessed, as new data become available. This will help to identify critical operational parameters. Therefore, validation activities may focus on those processes that tend to have the greatest quality risks. This means that higher degrees of controls are necessary for the attributes with the higher risks [7]. For instance, some of the factors that may affect the product safety, identity, strength, quality and purity are bioburden, endotoxin levels, glycoform distribution (in cell culture and fermentation process), product homogeneity (e.g., mixing) which represent some quality risks that are needed to be identified as a part of the product development.

Validation of vaccine production steps: Identification of the critical steps

Vaccines can be manufactured from a variety of different compounds like antigens, live attenuated or inactivated (killed) whole organisms, crude fractions or purified immunogens including those derived from recombinant DNA in a host cell, conjugates formed by covalent linkage of components, synthetic antigens, and polynucleotides (such as the plasmid DNA vaccines). It may also be a combination of the above-mentioned antigens [8]. Considering the complexity of the related processes, specific studies such as stability studies of in-process intermediates and process solutions may be performed separately from the full-scale conformance lots. For this purpose, process validation could be divided into validation of individual related groups of operations or unit operations rather than considering the entire process. These studies may be performed at a pilot scale, prior to the manufacturing of consistency lots of the finished product, including for example recommended lifetime, holding time and acceptable ranges for the step yields. In certain cases, parameters established prior to commercial consistent batches can be evaluated and confirmed by on-going validation studies, carried out according to the protocols established during the commercial manufacturing or during the production of consistent commercial batches (e.g., determination of the membranes and resins lifetime, holding times, inactivation and detoxification, purification yields, impurities removal). According to the FDA’s PV guideline, the determination of the re-use level of some materials such as column resins or molecular filtration media can be estimated in quality control studies. The extended lifetime for the re-use of such materials should be confirmed and verified by the ongoing process performance qualifications which must be performed during the commercial manufacturing. The acceptable limits of variability must be surveyed and optimized processing parameters should be chosen from the obtained results. Depending on the circumstances, controlled experiments like scale-down processes may be arranged to find the data necessary for the identification of the minimum and maximum limits of the process parameters [9]. A complete list of vaccine production validation and the key common steps and critical factors which are needed to be considered as part of the validation studies, are presented in Table 2.

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Table 2. A summary of the key common steps and critical factors in the validation studies.

<table>
<thead>
<tr>
<th>Process Step</th>
<th>Key Steps to be considered</th>
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</thead>
<tbody>
<tr>
<td>Propagation</td>
<td>- Propagation from retrieval of the working cell bank (WCB) to culture harvest; Culture media used at each step, with details on preparation and sterilization - Inoculation and growth of initial and sub-cultures (volumes, time, temperature of incubation) - Culture transfers and precautions taken to control contamination - In-process testing which determines inoculation of the main culture system and absence of adventitious agents, including tests on culture cells - Main culture system including operating conditions and control parameters (e.g., temperature of incubation, static vs. agitated, aerobic vs. anaerobic, culture vessels vs. fermentor, volume of fermentor, or number and volume of culture vessels) - Parallel control cell cultures, if applicable, including number and volume of culture vessels (cell factories).</td>
</tr>
<tr>
<td>Fermentation</td>
<td>- Volume of air flow through headspace of fermentor (e.g., in Tetanus toxin production) - Speed of the impeller at the fermentor culture of anchorage-dependent cell substrates - Antigen stability under the conditions of fermentation (e.g., pH higher than 7.4 in Pertussis antigen production) - Live and dead cell ratio at trypsinization of cell cultures</td>
</tr>
<tr>
<td>Harvest</td>
<td>- Speed of chilling of the culture - Capacity/volume/speed and temperature of separation/centrifugation/cross flow filtration; - Preservative added, if applicable</td>
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</table>
Aseptic process validation: The famous media fill process
Along with any validation activity, aseptic processes validation or media fill processes that consist of challenging filtration systems, the environment, equipment and personnel should be performed in terms of aseptic processing assurance. Aseptic process validation must be performed only after all applicable qualification studies have been completed and approved. Products that cannot be filter-sterilized in any stage of the process (e.g. vaccines like DPT and MMR), have the highest risk of contamination and the validation strategy needs to consider the aseptic processing during all the manufacturing stages. Overall, when the aseptic processes are designed, the manufacturer should consider the following aspects to lower the contamination risks:

- Use of single-use closed system technology for the aseptic connections, including aseptic transfers from lower class rooms. These systems have no exposure to the environment
- Isolator technology
- Automated sterilization in place process (SIP) is recommended whenever possible for main production equipment, product valves and product transfer lines

It is critical to notice that the media fills should be a representative of the routine production and include possible worst-case situations such as engineering interventions. Different product presentations can be grouped together [9]. The minimum quantity of vials for media fill operation should fulfill the WHO requirements (WHO TRS 961) and must be adequate for valid evaluations [12].

Cleaning validation strategies: Establishment of the acceptance criteria
Manufacturing processes have to be designed and carried out in a way that prevents cross-contamination as much as possible. Since most pieces of equipment are being used to manufacture different products, cleaning procedure must be able to remove residues from the equipment, up to an acceptable level. The cleaning methods utilized in any production line shall consistently control the residuals of potential carryover of different products, cleaning agents and contaminants into subsequent product that is going to be manufactured in the same line to an acceptable predetermined level. Different production lines may have different cleaning requirements based on the process steps and the subsequent products to be manufactured. Hence, the higher risk of having a finished product cross-contaminated, the more requirements for validation of the cleaning procedure to assure the product safety. In order to design and justify an adequate cleaning validation strategy, it is essential to understand the nature and risks of the potential product residues to the patients, the manufacturing steps, the process steps and the subsequent products to be manufactured.

Dedication of the equipment multipurpose usage
The manufacturing step (e.g. early, intermediate or final step) Series of batches in-campaign or a product changeover Possible residue level from potential build-up of same product impurities
Cleaning agent residue, if used
Presence of components with a potential for accumulation /adsorption /precipitation etc., given the possible concentrations, materials and conditions
Potential contaminants characteristics like toxicity and solubility
Potential for live and inactivated microorganisms to be mixed
Elements added later to the process would kill/modify/oxidize
new materials coming in, or downstream steps that would
purify any possible level of contaminants Disposable vs.
reusable product-contact equipment/accessories.
Automated CIP vs. manual cleaning Use of 100% fresh water,
or re-circulated water for washing/rinsing purposes of product
contact surfaces.
Levels of cleaning are defined as the following:
Level 0: is considered in batch-to-batch changeover in an
identical process (the same intermediate and API) and change to
early steps of another product
Level 1: is considered in changeover between the intermediates
of one product to final/intermediate of another, change in early
step to intermediates of another product and changeover from
early steps to final step of the same product
Level 2: is considered in changeover of one API to another API,
changeover of any intermediate to any API, changeover from
early steps to final step of the same product and the product
changeover in the case of any equipment that are going to be
used in final production steps
In level 0, no validation is required, although the cleaning
intervals and methods should be determined. However, it is
necessary to determine a maximum campaign length after
which the cleaning must be carried out. In level 2, the validation
performance is necessary.
In a multipurpose setting, a prioritized matrix/bracketing
approach of selected compound residues to be verified after
cleaning, could be based on the toxicity and the safety data, in
order to reduce the validation scope while ensuring a proper
cleaning validation study. The setting limits approach might
include a product-specific cleaning validation or might group
the products into families with the same characteristics and then
a worst-case product could be chosen. Grouping of the products
is usually based on the risk-assessment approach and according
to the product solubility, potency, toxicity and detectability. The
carry-over of the product residues should meet the defined
requirements and could be categorized according to one of the
following rules:
Rule one: it is not allowed that more than 0.1% of the normal
therapeutic dose of any product to appear in the maximum daily
dose of the next product (according to ICH impurity document).
Rule two: it is not allowed that more than 10 ppm of any
product to be carried over to another product.
In both criteria, it is considered important that no residue should
be visible on the surfaces of the equipment after executing of
the cleaning procedures. Spiking studies should determine the
concentration at which the most active ingredients are visible. If
the acceptable limit is lower than the detection limit (LOD) of
the analytical, the equipment must either be dedicated or an
alternative and more sensitive method must be developed and
utilized for the residue detection. In case of manufacturing
certain products containing hazardous substances, separate,
dedicated and self-contained facilities should generally be used.
In this case, there is no need for the full cleaning validation
studies. Dedicated production areas include facilities, air
handling equipment and/or process equipment. Dedication of
the equipment must be performed for products that have
gummy or insoluble residues which are difficult to be removed.
Furthermore, for equipment which are difficult to be cleaned
and for biologicals and potent (high pharmacological activity)
or highly toxic and cytotoxic pharmaceutical products, the
dedication of the equipment is mandatory. In case of potent and
biological products, the detection of the residues is often
difficult, as it may be far below the predicted acceptable limits.
Moreover, in case of production of steroids or cytotoxic anti-
cancer drugs or highly sensitizing active pharmaceutical
ingredients, like penicillin or cephalosporin, the dedication rule
is mandatory. These mentioned products are not advisable to be
manufactured in a same facility where a vaccine is going to be
produced.
Revalidation: When is it necessary?
Once the system or the process has been validated, it is
expected that it remains in control, provided that no changes are
made. In the event that modifications are made, or equipment is
replaced or relocated, partial or full revalidation studies could
be needed [11]. These situations must be strictly handled
through the appropriate Deviation Handling, Corrective Action
and Preventing Actions (CAPA), Change Control management
and Risk Assessment. Whenever there is not a sign and
document for an implemented significant change in a system or
process and also when a quality system review assures that the
system/process is consistently producing the products with their
determined specifications, there is usually no need for the
revalidation studies [12]. This revalidation approach could
be described as event/change-driven. WHO recommends that the
systems and the processes should be periodically evaluated to
authenticate that they are still operating in a valid manner. In
case of high risk processes, such as aseptic processes,
stereilization and depyrogenization processes, the validation
studies are expected to be performed twice a year or at least,
yearly.
WHO Pre-Qualification process: Expectations from the
validation studies point of view
When a manufacturer tends to participate in a WHO PQ
process, it must focus on the sufficiency of the subsequent
validation-related aspects. Such related aspects are
implementation of the risk assessment in the validation studies
as mentioned in section 5, conformance of current validation
activities, policies for routine validation and revalidation,
change control and deviation management policy, critical
validation deviations (e.g. failure to have a cleaning validation
of the critical steps), inactivation process validation,
uncontrolled risk of cross-contamination and continued process
verification through trend analysis [13].
To perform a typical validation study efficiently, all the relevant
departments such as quality assurance, quality control, and of
course, production should be involved directly. The related
study should be carried out according to a perfect schedule.
After determination of the critical steps of the process,
appropriate validated methods must be employed to analyze the
collected samples. The results will be compared with the
acceptance limits, defined in the “quality by design” stage,
before commencing of the study. It is also essential to take the
necessity of revalidation into account as applicable.

ACKNOWLEDGEMENT

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CONFLICT OF INTEREST

The authors declare that they have no conflict of interest.
REFERENCES

7. ICH Q9 II.6 (Quality Risk Management as Part of Production Validation).