Title: Format, Content, and Identification of Standard Operating Procedures

SOP Number: 21400

Revision Number: 05

Supersedes: Revision 04

Effective Date: SEP 13 2018

Originator/Date: [redacted]

Approval/Date:

Approval/Date:

Table of Contents

1.0 Purpose

This SOP defines the format, content, and identification system for Standard Operating Procedures (SOPs) for each department in the Biopharmaceutical Development Program (BOP).

2.0 Scope

This procedure applies to Standard Operating Procedures written for the BOP. For origination, modification, and control of SOPs, see ***SOP 21418 • Control and Request of Documents/Records*** and ***SOP 21419- Origination, Modification, and Approval of Documents.***

This procedure is made available through federal funds from the National Cancer Institute, NIH, under contract [redacted]

3.0 Authority and Responsibility

3.1 The Director, Regulatory Affairs, Biopharmaceutical Quality Assurance (BQA) has the authority to define this procedure and is responsible for the implementation of this procedure.

3.2 BQA or designee is responsible for:

3.2.1 Assigning SOP numbers and providing the SOP template (See Attachment 1) to the originator when they request an SOP number for a new procedure.

3.2.2 Formatting the final SOP before it is routed for signature.

3.3 It is the responsibility of the Manager/Supervisor of each department to ensure that the SOP is updated/revised on schedule.

3.4 The Director, Biopharmaceutical Quality Assurance, BQA is responsible for quality oversight of this procedure.

4.0 Procedure

4.1 General SOP Format

4.1.1 Type the content of Standard Operating Procedures in Microsoft Word using Arial Font, point size 11. Use left justification, and single-line spacing throughout the SOP. Use complete sentences throughout the SOP, when appropriate.

4.1.2 Tables, Figures, and Diagrams may be incorporated within the body of text. Pages may be oriented as portrait or landscape and reduced in size to accommodate tables, figures, and/or diagrams.

4.1.3 BQA or designee will ensure existing SOPs are formatted using the current SOP template (See Attachment 1) (as they are revised). The SOP/MEF Database auto-converting “Create Draft” feature can be used to format the SOP before it is sent to the requestor for revision.

4.1.4 Forms attached to SOPs follow a specific format. The header of the form consists of the following:

- FNLCR, BDP (first line)
- Form No.: 21145-01 (Example)
- SOP No.: 21145 (Example)
- Revision 00:
- If the form is a revision, the header will have the Revision Number: Revision 01, 02, etc.

4.1.4.1 Forms are inserted into the procedure as “.pdf” files when the SOP is routed for signature. Forms may be oriented as portrait or landscape as necessary.

This procedure is made available through federal funds from the National Cancer Institute, NIH, under contract [redacted].

4.1.4.2 Forms shall be uniquely identified with the SOP number immediately followed by a hyphen and a two-digit number that reflects the form order following the SOP. For example:

First SOP Form	21403-01;
Second SOP Form	21403-02;
Third SOP Form	21403-03.

4.1.4.3 Forms that are attached to other SOPs may be mentioned in the SOP but may not be attached. For example, Form 21503-01 could be mentioned in this SOP but cannot be attached to this SOP. Form references do not include the revision number.

4.1.4.4 The form revision is the same as that of the SOP. For example, if the SOP is Revision 01, then the Form is Revision 01.

4.1.4.5 The effective date of the form is the same effective date of the procedure (SOP). BQA adds the effective date on the form when it is issued (i.e., Revision 00: APR 06 2018).

4.1.5 Attachments to SOPs are labeled using numbers; Attachment 1, 2, 3, et cetera.

4.1.6 Identifying SOPs in Word Processing

4.1.6.1 Use the SOP number as the electronic file name. Identify it as “DRAFT” or “EFFECTIVE”, and the digits of the SOP number including the revision number. Examples:

- DRAFT SOP 12345, Rev. 00 (While the procedure is in review and before the procedure is finalized.)
- APPROVED SOP 12345. Rev. 00 (This is an automated step from the database.) When you make the SOP Effective in the database (10 days from date of final signature) the system marks it approved.
- EFFECTIVE SOP 12345, Rev. 00 (When the procedure is finalized and posted on the effective date the database changes the file name to “Effective”)

4.1.7 SOP Paper

4.1.7.1 The original, official master of the SOP is printed on white paper and contains the handwritten, original signatures in black or blue ink.

4.1.7.2 Controlled copies are printed on blue paper and the control number is printed on the footer of the controlled copy (that is assigned to an SOP Manual). Example:

- **Control Number: 012345**

This procedure is made available through federal funds from the National Cancer Institute, NIH, under contract [redacted].

4.1.8 SOP Headers

4.1.8.1 The first line of page one of the SOP contains the name of the organization and the words “Standard Operating Procedure”.

4.1.8.2 The second line in the first page header contains the title of the SOP. (Use Font size 14).

4.1.8.3 The third line on the page one header contains the SOP Number and the revision level. The revision number is 00 for new SOPs and 01 for the first revision of the document, et cetera.

4.1.8.4 The fourth line in the header is the superseded revision number and the effective date.

If the document is a new document, type N/A in the Supersedes section. If the document is being revised, type in Revision 01 if it is replacing Revision 00, or Revision 02 if it is replacing Revision 01, et cetera. If the document number was changed, for example from 6002 to 21239, then use 6002, and Revision 00 in the supersedes section.

4.1.8.5 Signatures are required on the first page only of the SOP.

- The Originator/Date – BQA or designee ensures that the database adds the originator’s name, and department (in bold, using pt 8 font); the originator signs his/her name and date on this line to signify approval.
- At a minimum, two approval signatures/dates are required in addition to the originator/author (the approver’s names and titles are typed under each signature line). This includes the originator’s supervisor and a Biopharmaceutical Quality Assurance (BQA) signature.
- The originator's supervisor or manager, or system/area owner; or in some instances, the Supervisor and Manager will sign in the approval section. For SOPs that affect critical systems in the BDP, the Program and Technical Director and the Director of BQA signatures are required.
- Biopharmaceutical Quality Assurance (BQA) reserves the right to designate additional signatories.
- SOPs that pertain to GxP (GMP, GLP, GCP, etc.) operations, materials, systems, etc., require BQA review and signature.

4.1.9 General

4.1.9.1 When typing a note in the SOP, type it as follows in BOLD and Underlined.

NOTE: Do not underline the colon or punctuation (unless the entire sentence is underlined), except for the last punctuation mark. The note is separate from the sentence, so it is easily read.

This procedure is made available through federal funds from the National Cancer Institute, NIH, under contract [redacted].

4.1.9.2 Use BOLD and 12-point font when typing the section titles in the SOP. Example: **Authority and Responsibility**.

4.1.9.3 Put **caution or warning statements in bold**.

4.1.9.4 Use capital letters sparingly. Capital letters are harder to read.

4.1.9.5 Use the legal numbering system for SOPs. Use bullets to set off phrases.

4.1.9.6 A **single section break** must stay on the first page header, so the second page header will be correct.

4.1.9.7 When a procedure is requested for a revision, a Revision Justification Form 21419-02, must be included, see Section 6.0 of ***SOP 21419 - Origination, Modification and Approval of Documents***

4.1.9.8 Procedures that are referenced in the body of an SOP must include the SOP number and the title each time they are referenced. Referenced procedures are in ***BOLD Italics***. Example:

- ***SOP 21419 - Origination, Modification and Approval of Documents***

4.2 General SOP Contents

4.2.1 SOPs shall contain the following sections. Additional sections may be added as necessary.

4.2.1.1 **Title**: Write a clear and concise title to allow the reader to identify the contents of what is included within the SOP.

4.2.1.2 **Purpose**: State the purpose of the procedure being described. Write the purpose in complete sentences.

4.2.1.3 **Scope (Application)**: Give the intended personnel, situation, protocol, location (wing/room number), project (if project specific), etc., to which the procedure applies. Describe situations where the SOP would not apply. Example: This SOP applies to BDP Production personnel in the [redacted].

4.2.1.4 **Overview (Optional)**: The purpose of the overview section is to make the purpose, application, or use of the SOP easier to understand. It may include background, historical, or other information. It could also include information on the criticality of the SOP or certain steps within the SOP.

NOTE: When this section is included in the SOP it will be included in the Table of Contents.

4.2.1.5 **Authority and Responsibility**: Briefly list by title and/or department the individuals and their responsibilities for preparing, managing, using the SOP, and updating the SOP.

This procedure is made available through federal funds from the National Cancer Institute, NIH, under contract [redacted].

4.2.1.6 **Procedure**: Provide step-by-step instructions for the procedure. Refer to other SOPs or literature when appropriate. Write the procedure section at a level that would allow any reader, who is versed in the general knowledge to which the SOP pertains, to be able to perform the procedure and obtain the desired results.

4.2.1.7 **Definitions and Abbreviations (Optional)**: Define any terms used in the procedure which may be unfamiliar to the user. Keep in mind that SOPs are also training tools and this section can be explanatory or educational.

4.2.1.8 **Safety Considerations (Optional)**: If it is appropriate, provide examples of any safety considerations for the SOP. There are some SOPs that require approval and signature from the Environmental Health and Safety Program (EHSP).

4.2.1.9 **References and Related Documents (Optional)**: List any references such as Code of Federal Regulations, Batch Production Records, or publications applicable to the document. List referenced SOPs, MPRs, etc., as applicable to the SOP. Do not list an SOP unless it is mentioned in the body of the document. Do not include the revision number of the SOP. Add regulatory references as necessary and the name of equipment manuals when appropriate.

4.2.1.10 **Attachments**: Attach tables, examples of forms, technical literature, diagrams, or any other information which will assist the user in following the SOP. The use of flow charts and diagrams is encouraged.

- List flow charts and diagrams first then forms associated with the SOP.
- List the word Attachment and the number in BOLD, followed by the title of the attachment.

4.2.2 Other sections of the SOP shall be tailored to suit the purpose of the SOP and to ultimately provide a clear, concise document. The following are some examples of additional sections.

- Acronyms
- Calculations (calculations must include units)
- Calibration
- Disposition
- Documentation
- Formats
- Safety Data Sheets
- Quality Control
- Reagents
- Required Equipment (with Master Equipment File number)
- BDP Part Numbers
- Required Materials and Documentation

This procedure is made available through federal funds from the National Cancer Institute, NIH, under contract [redacted].

4.3 SOP Identification

4.3.1 Assigning SOP Numbers

4.3.1.1 BQA provides SOP number assignments in accordance with the categories of procedures as shown in Attachment 2.

4.3.1.2 BQA maintains the SOP/MEF Database for an up-to-date list of BDP SOPs with the effective dates and maintains master SOP files by document number.

5.0 Definitions

5.1 **Standard Operating Procedure (SOP) –** A document that describes a policy, system and/or routine operation (such as a technical procedure, the use, cleaning and maintenance of equipment, validation and calibration procedures, or document preparation).

6.0 References and Related Documents

6.1 **SOP 21418** *Control and Request of Documents/Records*

6.2 **SOP 21419** *Origination, Modification, and Approval of Documents*

6.3 21 CFR 58.81(a): GLP – Testing Facilities Operation

A testing facility shall have standard operating procedures in writing setting forth nonclinical laboratory study methods that management is satisfied are adequate to ensure the quality and integrity of the data generated during a study.

6.4 21 CFR 211.100(a): Drugs – Written Procedures

There shall be written procedures for production and process control designed to assure that the drug products have the identity, strength, quality, and purity they purport or are represented to possess. These written procedures, including any changes, shall be drafted, reviewed, and approved by the appropriate organizational units and reviewed and approved by the quality control unit.

7.0 Attachments

7.1 **Attachment 1** SOP Template

7.2 **Attachment 2** SOP Numbering System

This procedure is made available through federal funds from the National Cancer Institute, NIH, under contract [redacted].

Attachment 1

SOP Template

Frederick National Laboratory for Cancer Research, Frederick, MD

BDP

Biopharmaceutical Development Program

Standard Operating Procedure

Title:

SOP Number:
Revision Number:
Supersedes Revision:
Effective Date:

Originator/Date: _____

Approval/Date: _____

Approval/Date: _____

Table of Contents

1.0 Purpose
2.0 Scope
3.0 Authority and Responsibility
4.0 Procedure
5.0 References and Related Documents
6.0 Attachments

This procedure is made available through federal funds from the National cancer Institute, NIH, under contract [redacted]

This procedure is made available through federal funds from the National Cancer Institute, NIH, under contract [redacted]

Attachment 1 (Continued)
SOP Templates

Attachment 1

This procedure is made available through fe<leral funds from the National cancer Institute, NIH, under contract [redacted]

This procedure is made available throughfederal funds from the National Cancer Institute, NIH, under contract [redacted]

Attachment 2
SOP Numbering System

Number Series	Department / Category
7000-9999	BDP Policies
10000	**Manufacturing Operations**
10000	Administration and Management
10100	Information Technology
10200	Data Management
10300	Building and Facility
10400	Training
10500	Network
10600	Telecommunications
10700	Hardware and Software
10800	Purchasing and Receiving
10900	Internal Distribution
10950	Inventory Control
10970	Miscellaneous
11000	**Facilities and Equipment**
11000	Administration and Management
11100	Facilities
11200-11800	Available
11900	Miscellaneous
12000	**Late Process Sciences - Fermentation**
12000	Administration and Management
12100-12299	General Procedures
12300-12800	Available
12900	Miscellaneous
13000	**Early Process Sciences - Cell Culture**
13100	Administration and Management
13200	General Procedures
13300-13800	Available
13900	Miscellaneous
14000	**Late Process Sciences - Purification**
14000	Administration and Management
14100	General Procedures
14200-14800	Available
14900	Miscellaneous
15000	**Late Process Sciences - Fill /Finish**
15000	Administration and Management
15100	General Procedures
15200-15800	Available
15900	Miscellaneous

This procedure is made available through federal funds from the National Cancer Institute, NIH, under contract [redacted]

Attachment 2 (Continued)
SOP Numbering System

Number Series	Department / Category
16000	PA Develooment - Analvtical
16000	Adm inistrat ion and Manaaement
16100	Ana lvtical Test Methods
16200	Produc tion and Process Methods
16300-16800	Ava ilable
16900	M iscellaneous
17000	**Early Proc ess Scien ces - Vir ology**
17000	Adm inistrat ion and Manaaement
17100	Genera l P rocedures
17200-17800	Ava ilable
17900	M iscella n eous
18000	**Open**
19000	**Late Pro cess Scien ces - Suoo ort**
19000	Adm inistrat ion and Manaaement
19100	G lass w a re and Hardware Cleanina, Preparation, etc.
19200	Eau ipment Lub rican ts, etc .
19300	San itation D isin fectan ts, etc .
19400-19500	Manu factur ing Suooort
19600-19800	Ava ilable
19900	M iscellaneous
20000	**M aterials Manaaement and Inventorv Control**
20000	Adm inistrat ion and Manaaement
20100	Rece iv ina
20200	Sh ipp ing
20300	Inven tory Cont rol/Warehouse
20400	Returns , Recalls , etc.
20500-20800	Ava ilable
20900	M iscellaneous
21000	**Qualitv Assurance**
21000	Adm inistrat ion and Management
21100	Interna l a n d E xterna l A u d iting , Vendor Qualification
21200	Change Control
21300	Dev iat ions and Non-conformance
21400	Documentation and Labelina
21500	Qual itv E n aineerina, Validation, Calibration
21600	T rain ina
21700	Au d iting
21800	Ava ilable
21900	M iscellaneous

This procedure is madeavailable through federal funds from the National Cancer Institute, NIH, under contract [redacted]

Attachment 2 (Continued)
SOP Numbering System

Number Series	Department / Category
22000	**Pro cess Analvti cs**
22000	Administration and Manaaement
22100	Assavs
22200	Assays
22300	Environmental Monitoring
22400	Out-of-Specifications
22500	Stability Studies
22600	Component Controls
22700	QC Tests and Standards
22800	Packaaina
22900	Miscellaneous
23000	**Pro cess Analyti cs - Mi crobi oloav**
23100	Assays
23200 to 23900	Available
24000	**Reaulat orv Affairs**
24000	Administration and Manaaement
24100	Internal Policies and Procedures
24200	Compliance with Federal, State and Local Regulations
24300	Interactions with FDA and Other Regulatory Agencies
24400	Regulatory Documents
24500-24800	Available
24900	Miscellaneous
25000	**Earlv Process Sciences - Research and Develooment**
25000	Administration and Management
25100	General Procedures
25200-25800	Available
25900	Miscellaneous
26000	**Safetv**
26000	Safety Committee and Related
26100	General Safety
26200	Chemical Safety
26300	Biological and Recombinant Safety
26400	Radiological Safety
26500	Environmental Safety
26600-26800	Available
26900	Miscellaneous
27000 −99000	**Av ailable**

This procedure is made available through federal funds from the National Cancer Institute, NIH, undercontract [redacted]