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1.0 Purpose

This Standard Operating Procedure (SOP) describes the procedure for the origination, revision, and approval of documents in the Biopharmaceutical Development Program (BDP).

2.0 Scope

This SOP applies to GMP documents that are processed outside of the MasterControl system and those processed within MasterControl. This SOP applies to documents involved in the manufacture and development of BDP products. While regulatory submission documents are not under the scope of this SOP, they may use the **Revision Justification Form 21419-02.**

This SOP does not describe controlling or requesting documents (Refer to ***SOP 21418 - Control and Request of Documents/Records***). This procedure does not apply to origination, modification, and control of labeling. (Refer to ***SOP 21403 - Origination, Modification, and Control of Labeling for GMP and GLP Products and SOP 21913 Origination, Modification and Control of Labels for Cell Therapy***). This procedure does not apply to Technical Reports. (Refer to ***SOP 24413 Preparing BDP Technical Reports in PDF format for Regulatory Submissions***)

3.0 Authority and Responsibility

3.1 The Director, Regulatory Compliance has the authority to define this procedure.

3.2 It is the responsibility of each BDP department personnel to prepare the content of documents which are pertinent to its respective functions following the guidance in this SOP.

3.3 BDP employees are responsible for ensuring and updating all documents whenever a controlled document is no longer accurate, is obsolete, or needs to be updated for any reason. Supervisors and other management personnel are required to prepare and maintain appropriate and current documents for their functional areas. The preparation of documents may be delegated to knowledgeable co-workers, subordinates, or consultants.

3.4 BQAD (or designee) is responsible for:

- Reviewing, formatting, issuing, tracking, and controlling documents. (Refer to ***SOP 21418 - Control and Request of Documents/Records***.)
- Routing Document Control Records (DCR Form 21419-01 Document Control Record)
- Manages the review and approval processes
- Destroying copies of obsolete or deleted documents. (Refer to ***SOP 21916 Controlled Copies***)
- Archiving original documents. (Refer to ***SOP 21402 - Document Storage and Archival Process***.)
- Notifying BDP personnel when an effective date is set.
- Updating the document-tracking database. This does not apply to documents in MasterControl.
- Checking the Master Production Record (MPR) and/or Validation Protocol (VP) template master file for approval signatures and dates prior to issuing the document for use.

3.5 BQA is responsible for quality oversight of this procedure.

4.0 Documents in MasterControl

SOP revisions must be requested through MasterControl. Reviewers must review the documents and the packet information in the Collaboration Workspace per ***SOP 21010 – User Manual for MasterControl Documents.***

4.1 A change summary table is included as the last section of the SOP to record revisions and justification for changes. **Changes and justifications are included on the task packet.**

4.2 Review and Approval of Documents in MasterControl is outlined in ***SOP 21010 – User Manual for MasterControl Documents***. Each process for review and approval is based on a defined workflow for a particular document type.

4.2 Access is role based. Review and approval requirements are built into the workflow.

4.3 Email notifications are sent from MasterControl when items move to each step.

4.4 Final approved documents processed in MasterControl are stored in MasterControl.

5.0 Documents processed outside of MasterControl

5.1 Personnel are to request an original document number from BQAD for each new document to be written. This request is made by email to the BQAD Outlook mailbox and needs to be specific about the document revision being requested. BQAD assigns the document number and maintains tracking databases containing relevant information for each document type.

5.1.1 A **Document Control Record (DCR) Form 21419-01** is completed for new or revised documents by the document author.

5.1.2 The following areas of the DCR are completed by BQAD for new documents:

5.1.2.1 The document number is assigned by BQAD and added to the DCR.

5.1.2.2 BQAD assigns a Tracking Number on the DCR (as assigned by the Routing Feature of the Tracking Database).

5.1.2.3 BQAD completes the following areas of the DCR:

- Assigns document number if the item is a new document or the next revision number of a document
- Assigns the tracking number
- Add names of approvers as needed

5.1.3 The DCR is forwarded to BQAD via an email to the BQAD Outlook Mailbox.

5.1.4 BQAD electronically routes the DCR with the new or revised document to the approvers for review.

5.1.5 Approved original DCRs are kept with the document and a copy is included (as a separate file) with the document for review and approval, so reviewers know the document has been approved to move forward.

5.1.5.1 If the DCR “Reject” designation is made by any reviewer, the DCR cycle is terminated, and the requester is notified by BQAD via email, that the new document is rejected. A new DCR is required to re-initiate a new document. The original DCR with the rejection is returned to BQAD to record the rejection in the comments in the tracking database and record date as “complete.”

5.1.6 If an existing document is going to be used as a template for a new document, a request should be emailed to the BQAD Outlook mailbox. BQAD sets up the draft document and places it in the [redacted] folder. Once the document is drafted, the requestor notifies BQAD via the BQAD Outlook Mailbox.

5.1.7 A link to the folder location with a copy of the **Draft** document to be revised along with a **Revision Justification Form 21419-02** is sent to the requestor via e-mail by BQAD. The Revision/Justification form should be completed by the document author.

5.1.8 Complete the Revision Justification Form 21419-02 completely. This is the summary to record significant changes, listing the section to be changed and a justification or reason for change. The justification should describe the change in sufficient detail to be understood. The justification should reflect product and quality system impact.

5.1.9 When the revised document and revision form are completed an email is sent by the author to the BQAD Outlook Mailbox to notify BQAD that the document is ready for review. Once BQAD (or designee) has properly formatted the document, it is routed for review and approval.

5.2 Once a document is ready for **Review** by all collaborating staff, BQAD (or designee) tracks the document review process (unless instructed otherwise) and provides a link to the location of the document and Revision/Justification Form 21419-02 via e-mail to each reviewer.

5.2.1 Simultaneous Review

The document is placed in an online review folder ([redacted] by type of document) with the Track Changes feature enabled. Each collaborator can see the suggested changes proposed by others and enter any questions and comments they may have into the online document. The collaborators will redline the document and make suggestions for corrections and/or changes, as appropriate (electronically) in Microsoft Word using Track Changes. If a collaborator has suggestions for major changes, they should consult with the originator of the document. A meeting can be called with all collaborators to address changes if necessary. Each collaborator can decide whether to approve, revise, or reject a draft document. For a document that has been rejected, the review process stops, and the draft document becomes void.

5.3 Once all the necessary changes have been made and resolved with the document author, BQAD will finish necessary formatting the document. If routed for **Approval** as an official pdf document to be signed via electronic signature, approvers are notified via email. The email contains an approval link located in the same online review folder ([redacted]) to access related documents and the pending effective date, if applicable.

5.3.1 BQAD routes documents for electronic signature. Documents are effective upon receiving the final required approval signature unless BQAD assigns an effective date prior to routing.

NOTE: Once a document is e-signed no changes can be made to it. If the effective date is assigned by BQAD prior to signatures, all signatures must be applied by the effective date, or the document is rejected.

If necessary, the master documents are printed on white paper if a hard copy is routed for signature.

5.4 Once all signatures are obtained, BQAD logs the DCR back into the routing database and marks it completed. The completed DCR forms are kept in the folder with the original document. Hard copies of effective/approved documents are kept in the Document Control Room.

5.4.1 Some documents do not get effective dates but are considered effective once all approval signatures are received.

5.5 Once the revised document has been approved, the previous revision is obsolete. Refer to ***SOP 21418 - Control and Request of Documents/Records to obsolete documents.***

5.6 Refer to ***SOP 21418 - Control and Request of Documents/Records*** for the document control procedures used for approved documents.

6.0 Definitions, Acronyms and Abbreviations

6.1 **Approval Date -** The date of the last approval signature.

6.2 **Approved Document -** A document that has been signed and dated by the author, at least one Supervisor or Management person, knowledgeable and relevant to the document, and BQA.

6.3 **Approve -** A review disposition of approved indicates that the reviewer accepts the document and the proposed changes as is. In the case of an obsolete document, approval indicates agreement to obsolete the document.

6.6 **Document -** A written, printed-paper, or electronic image bearing the original, official, or legal form of information that can be used to communicate decisive information or proof.

6.7 **Effective Date -** The effective date of documents, other than SOPs, is the date of the last approval signature. The effective date for SOPs is ten (10) working days after the approval date, unless otherwise requested, to allow time for personnel training.

6.8 **GMP Controlled Document -** A document that has been created to comply with CGMP regulations. This includes, but is not limited to, Master Production Records, Certificates of Analysis, Master Specifications, Standard Operating Procedures, Validation Protocols, Stability Protocols, and Technical Reports.

6.11 **Master Production Record (MPR) -** A document that lists the manufacturing specifications and procedures, or references to such, to produce regulated products. This is the master blank manufacturing document, which is later copied and issued for a specific lot and becomes a Batch Production Record.

6.21 **Obsolete Document -** A document that had been approved and effective that is no longer required for use or has been superseded by a newer version.

6.15 **Redline -** Process of marking up a document (either hard copy or electronic) to indicate proposed changes.

6.16 **Reject -** A reject disposition indicates that the document is not acceptable as written and is not to be revised. The review process stops. The document can be resubmitted under a new tracking number.

6.17 **Revise -** A review disposition of revise indicates the reviewer will accept the document only with additional changes as noted.

6.18 **Significant Change -** Any change in the purpose, scope, procedure, and materials or methods, that in any way alters the sequence, description, results of an operation, or that may impact the identity, strength, quality, or purity of the drug product. If a significant change is made during the signature process, the document is then re-routed to the author for approval again and needs to be re-signed by all parties.

6.19 **Stability Protocol -** A formal, written approved plan for conducting product-related stability studies.

6.20 **Standard Operating Procedure (SOP) -** An approved document that describes a policy, system, routine operation, such as a technical procedure, use of equipment, validation and calibration procedures, or document preparation.

6.21 **Technical Document (TD) and Master Plans (AMP/VMP) -** A technical document describes the rationale, analysis, or science associated with a procedure used to provide data and information to support the use or testing of GMP equipment, systems, processes, product, or regulatory submissions.

6.22 **Validation Protocol (VP) and Revalidation (RV) -** A formal, written approved plan for conducting a validation study. Protocols are used for installation, operation and performance qualifications, and process validations. Validation Final Reports list the outcome of a completed validation study including any operational limitations that were identified.

7.0 References and Related Documents

SOP 21010	*User Manual for MasterControl Documents***SOP 21400** *Format, Content, and Identification of Standard Operating Procedures*
SOP 21402	*Document Storage and Archival Process*
SOP 21403	*Origination, Modification, and Control of Labeling for GMP and GLP Products*
SOP 21415	*Preparation and Approval of Master Production Records*
SOP 21418	*Control and Request of Documents/Records*
SOP 21600	*Training and Qualification of Personnel in a CGMP Environment*
SOP 21913	*Origination, Modification and Control of Labels for Cell Therapy*

SOP 24413 *Preparing BDP Technical Reports in PDF format for Regulatory Submissions*

SOP 24415 *Preparing BDP Technical Reports in PDF format for Regulatory Submissions*

Form 21419-01 *Document Control Record*

Form 21419-02 *Revision/Justification Form*

8.0 Change Summary