# Contents

## PREFACE ix

## 1. INTRODUCTION 1

- Organization 1
- A Validation Story 3
- Validation Elements 3
- Validation Documentation 4
- Protocol Documentation 5
- Validation Documentation Management 5
- Basic Protocol Documentation Steps 5
- Protocol Writing 6
- How to Use This Book 7

## 2. DOCUMENTATION MASTER LISTS 9

- Equipment Master List 9
  - Equipment Numbering System 10
  - Equipment Description 11
  - Minor Equipment 12
  - Major Equipment 12
  - Validation Not Required Equipment 12
  - Complete Equipment Master List 12
  - Equipment Master List Preparation 14
  - Completed Equipment Master List 14
- Equipment Number Assignment 14
- Protocol Master List 14
  - Protocol Master List Preparation 16
- Protocol Numbering System 18
- Qualification and Requalification Protocol Numbering Structure 18
- Example Protocol Numbers and Interpretation 19
Protocol Title 19
Protocol Number Assignment 19
Request for Validation 20
Request for Validation Form 20
Request for Validation Form Preparation 22
Request for Validation Form Number Assignment 23

3. PROTOCOL FORMAT AND STYLE GUIDE 25

Protocols Format 26
Qualification Protocol—Page 1 26
Qualification Protocol—Page 1 Preparation 27
Qualification Protocol—Page 2 28
Qualification Protocol—Page 2 Preparation 28
Complete Equipment Qualification Protocol 30

4. PROTOCOL WRITING THROUGH APPROVAL 53

Protocol Preparation 53
Reference Documentation 53
Protocol Writing Tips 58
Installation Qualification 59
Operational Qualification 60
Performance Qualification 61
Protocol Attachments 61
Document Review and Approval 61
Department Review 62
Outside Department Review and Approval 62
Document Review Form 63
Document Review Form Preparation 64
Document Review Form Number Assignment 66
Project Status List 66

5. QUALIFICATION TESTING THROUGH CERTIFICATION 69

Qualification Testing 69
What Needs to Be Tested? 70
What Level of Testing Is Required? 70
How Much Testing Is Enough? 71
Final Report 71
Final Report Form 72
Final Report—Page 1 Preparation 74
Final Report—Page 2 74
Final Report—Page 2 Preparation 74
6. CHANGE CONTROL

Baseline Management
  Validation Baseline Document
  Validation Baseline Document—Page 1 Preparation
  Validation Baseline Document—Page 2
  Validation Baseline Document—Page 2 Preparation
Validation Baseline Document Number Assignment
Change Control System
Reasons for Changes
  Validation Documentation
  Validation Change Control Board
  Validation Change Request Form
  Validation Change Request Form Preparation
Validation Change Request Form Number Assignment
  Changes Before, During, and After Qualification Testing
    Deviation
Deficiency
  Deficiency Form
  Deficiency Form Preparation
Deficiency Form Number Assignment
Addendum
  Addendum—Page 1 Preparation
  Addendum—Page 2
  Addendum—Page 2 Preparation
Addendum Number Assignment

7. REQUALIFICATION

Reasons for Requalification
Requalification Approach
Requal Protocol
  Requal Protocol—Page 1 Preparation
  Requal Protocol—Page 2
  Requal Protocol—Page 2 Preparation
Completed Equipment Requal Protocol
8. DOCUMENT CONTROL

Protocol Package Contents Sheet
  Protocol Package Contents Sheet Preparation
Block Number Assignment
Logbooks
Equipment Number Assignment Log
  Equipment Number Assignment Log Preparation
Protocol Number Assignment Log
  Protocol Number Assignment Log Preparation
Request for Validation Form Number Assignment Log
  Request for Validation Form Number Assignment Log Preparation
Document Review Form Number Assignment Log
  Document Review Form Number Assignment Log Preparation
Final Report Number Assignment Log
  Final Report Number Assignment Log Preparation
Conditional Release Form Number Assignment Log
  Conditional Release Form Number Assignment Log Preparation
Certification Form Number Assignment Log
  Certification Form Number Assignment Log Preparation
Validation Baseline Document Number Assignment Log
  Validation Baseline Document Number Assignment Log Preparation
Validation Change Request Form Number Assignment Log
  Validation Change Request Form Number Assignment Log Preparation
Deficiency Form Number Assignment Log
  Deficiency Form Number Assignment Log Preparation
Addendum Number Assignment Log
  Addendum Number Assignment Log Preparation
Protocol Package Contents Sheet Number Assignment Log
  Protocol Package Contents Sheet Number Assignment Log Preparation
Form Number Assignment Log
  Form Number Assignment Log Preparation
Document Master List
  Document Master List Preparation
Forms Control

9. ELECTRONIC DOCUMENTATION DATABASE

Protocol Number Structure
  Qualification and Requalification Protocol Number Structure
  Prefix
  Base Number
### Contents

#### Suffix
- Identification Numbers and Interpretation 168
- Associated Documentation Numbers 169
- Protocol Names 170
- Document Database 171
  - Document Database Preparation 173

#### APPENDICES

- A. Cleaning Qualification Protocol Example 175
- B. Facilities Qualification Protocol Example 183
- C. Utilities Qualification Protocol Example 205
- D. Equipment Qualification Protocol Example 235
- E. Computer Qualification Protocol Example 265
- F. Process Qualification Protocol Example 329
- G. Full-Size Lists and Forms 349
- H. Abbreviations 365
- I. Glossary 367
- J. Recommended Reading 369

#### INDEX

371