Pan American Health Organization

Regional Office of the World Health Organization

PAN AMERICAN NETWORK FOR DRUG REGULATORY HARMONIZATION

GUIDELINE FOR GOOD MANUFACTURING PRACTICES INSPECTIONS

PAN AMERICAN NETWORK FOR DRUG REGULATORY HARMONIZATION

WORKING GROUP ON GOOD MANUFACTURING PRACTICES

MEMBERS*

Justina Molzon*, Associate Director for International Programs, FDA/USA. **Group Coordinator**

Argentina: Carlos Chiale; **Rodolfo Mocchetto***, Coordinator INAME/ANMAT

Brazil: Antonio Bezerra, **Suzana Avila***, Inspección y Control de Medicamentos, ANVISA

Canada: France Dasereau, Stephen McCaul; **Louise Jodoin***, Inspection Unit, Health Canada

Chile: **Magadalena Reyes***, Inspector GMP. Instituto de Salud Pública (ISP)

Guatemala: Esmeralda Villagran; José Luis Aguilar; **Norma de Pinto***, Jefe Monitoreo y Vigilancia de Medicamentos, Ministerio de Salud

Mexico: Rosa María Morales, **Suleta García***, COFEPRIS

Venezuela: **Elsa Castejón***, Asesora Dirección de Drogas y Cosméticos, Ministerio de Salud.

ALIFAR: Miguel Maito, Gerente Laboratorios Farmacéuticos Argentina; **Marisela Benaim***, CIFAR, Venezuela

FIFARMA, Marco Vega, QA/QC Manager, Lilly; Carmen Araujo, Laboratorios Elmor, **Marisela Poot,*** GSK Regulatory Director

Resource Persons:
Rebecca Rodríguez, National Expert Drugs Investigator. FDA/USA
Millie Barber, International Programa Manger, FDA/USA

Secretariat
Rosario D'Alessio, PAHO/WHO
Juana M. De Rodriguez, PAHO-Guatemala
Miguel A. Lopez, PAHO-Venezuela

***Current members**

INTRODUCTION

This *Guideline for Good Manufacturing Practices Inspection* for the pharmaceutical industry was prepared by the Working Group on Good Manufacturing Practices (WG/GMP), in May 2003. The Guideline addresses the requirements of the WHO Technical Report on Good Manufacturing Practices # 32 and the particular considerations of all members of the group.

The WG/GMP proposed a plan for Guideline validation, to the Steering Committee of the Pan-American Network for Drug Regulatory Harmonization, which was approved and was developed in two parts:

1. The Guideline was implementation in a pilot phase at volunteering pharmaceutical industry plants. PAHO/WHO Consultants, Drug Regulatory Officers and people from the pharmaceutical industry conducted the pilot implementation at several plants in different countries of the Americas Region. The guideline was later revised according to their comments and suggestions regarding the contents and usefulness.

2. The Guideline was published in the PAHO/WHO web page to promote participation and discussion by institutions and professional experts in this topic. This gave all those who were interested, the opportunity to send suggestions, comments, or to simply give their opinion. The Guideline remained in the web page since June 2004 in order to receive comments and others input.
   Associations like (ALIFAR and FIFARMA) and countries (Argentina, Guatemala and Venezuela) also sent their comments.

The GMP Working Group reviewed and analyzed all the comments received and prepared this revised version of the *Regional Guideline of GMP Inspection for the Americas*, which is submitted for consideration to the IV Pan American Conference on Drug Regulatory Harmonization.

Some of the advantages of the Guideline are:

1. The guideline will help to establish the standards for GMP inspections;
2. It will be more comprehensive than what is in place in the economic blocks (countries) and will send the message that countries need to work as a community to meet established standards; and therefore, improve the quality of pharmaceutical products;
3. It will serve as a work model necessary for common criteria;
4. It should not be used as a check list, but it should show principles important to consider in association with an inspection;
5. It can be used as a training document for GMP inspections; and
6. It will be helpful to countries in educating inspectors with unified criteria.

TABLE OF CONTENTS

CHAPTER 1	
REF: WHO 32	**ADMINISTRATION AND GENERAL INFORMATION**
1	What is the company's name? _____
2	What is the company's legal address? _____
3	What is the manufacturing site's address? _____
4	Does the company have authorization, according to the regulations of each country, at other address(es) (warehouses, quality control laboratory, etc.) which are under the company's responsibility? If "YES", indicate which companies and provide their addresses. _____ _____ _____
5	Is there evidence of registration of the qualified person responsible by the Regulatory Authority? _____ _____
6	Is the qualified person responsible, according to company's organization chart, present at the time of the inspection? YES **PROVIDE INFORMATION REGARDING THIS PERSON (WHO RECEIVES THE INSPECTION)** _____ _____ NO
7	Is there evidence of a license to operate issued by the Regulatory Authority? Indicate all authorized activities. _____ _____

REF: WHO 32	ADMINISTRATION AND GENERAL INFORMATION
8	Does the company develop exclusively those production and quality control activities properly authorized by the Regulatory Authority? YES NO
9	Does the company manufacture dietary supplements? YES NO
10	Does the company manufacture cosmetic products? YES NO
11	Does the company manufacture veterinary products? YES NO
12	Does the company manufacture reagents for “in vitro” diagnostic use? YES NO
13	Does the company manufacture reagents for “in vivo” diagnostic use? YES NO
14	Does the company manufacture other products not indicated above? YES If “YES” indicate below _____ _____ NO
15	Does the company manufacture products with beta-lactam active ingredients (penicillins / cephalosporins)? YES If "YES", indicate in which pharmaceutical dosage form _____ _____ NO
16	Does the company manufacture products with cytostatic / cytotoxic active ingredients? YES If "YES", indicate in which pharmaceutical dosage form _____ _____ NO
17	Does the company manufacture products with hormone active ingredients? YES If "YES", indicate in which pharmaceutical dosage form _____ _____ NO

REF: WHO 32	ADMINISTRATION AND GENERAL INFORMATION
17.1	Does the company manufacture products with corticosteroids active ingredients? YES If "YES", indicate in which pharmaceutical dosage form _____ _____ NO
18	Does the company manufacture products with active ingredients from biological origin? YES If "YES", indicate in which pharmaceutical dosage form _____ _____ NO
19	Does the company manufacture products with active ingredients from biotechnological origin? YES If "YES", indicate in which pharmaceutical dosage form _____ _____ NO
20	Is there a list available of current licensed products? Attach the list YES NO
21	Is there a list available of marketed products? Attach the list YES NO
21.1	Do all marketed products and its pharmaceutical presentations have current (valid) license? YES NO
22	Are the updated building schematics approved by the Regulatory Authority shown, if required? YES NO
23 Section 8.	Does the company have contract production activities? YES NO
24 Section 8	Is there documentation certifying registration/authorization of the third party contracted by the Regulatory Authority? YES NO
25 Section 8.15	Is there batch documentation issued by the third party in charge of production? YES NO
26 Section 8	Does the company act as a third party producer? YES NO
27 Sections 8.1, 8.3, 8.12 and 8.13	If the company produces by or for third parties, are there contracts that link the parties? YES NO

CHAPTER 2			
PERSONNEL			
REF: **WHO 32**		**YES**	**NO**
1 Sections 10.1, 10.4, 10.11, 10.23.	Are there Standard Operating Procedures (SOP) related to personnel, including professional qualification, training?		
2 Section 10.3.	Is there an updated organization chart of the company? Attach copy		
3 Section 10.3	Is there a description of the responsibilities and functions of production and quality control personnel?		
4 Section 10.6.	Are the responsibilities of production and quality control personnel independent of each other?		
5 Section 10.7.	Are there trained personnel for the supervision of production and quality control activities?		
6 Section 10.12.	Is there a program for training new employees on GMP, including specific training appropriate to the duties assigned to them?		
6.1 Section 10.4, 10.12.	Is there a program for continuous training on GMP for all staff, including specific training appropriate to the duties assigned to them?		
6.2 Section 10.12	Are records kept?		
7 Section 10.15, 10.23	Is there a SOP dealing with the use of proper clothing for other persons who enter production areas (technical service/maintenance, cleaning personnel, quality control inspectors, quality assurance inspectors, and visitors)?		
8 Section 10.23	Are there visible written instructions and/or diagrams for the right use of clothing in the change rooms and other areas where they are required?		
9 Section 10.16	Are the personnel required to undergo a medical examination prior to being employed (including sensitivity test to beta-lactam substances, if required)?		
10 Section 10.1	Are the personnel subject to periodic medical examinations, at least once a year?		
10.1 Sections 10.18, 10.19.	Are the personnel required to report health problems?		
11 Section 10.16, 10.18	Is there a procedure to prevent any person who has an apparent illness from entering areas in which they may adversely affect the quality of the product or affect their own health?		
12 Section 10.22	Is smoking, eating, drinking and chewing prohibited in production, storage and laboratory areas?		

REF: WHO 32	PERSONNEL	YES	NO
13 Section 10.17	Are the personnel instructed to wash their hands before entering production areas?		
13.1 Section 10.17	Are there signs posted outlining mandatory hand washing before exiting, in change rooms and washrooms?		
14 Section 10.21.	Are the personnel using the appropriate uniform for the specified area?		
12.1 Section 11.12.	Are the uniforms clean and in good condition?		

CHAPTER 3			
PREMISES			
GENERAL CONDITIONS			
REF: WHO 32		**YES**	**NO**
1 Section 11.1	Is the building exterior in good conditions?		
2 Section 11.2.	Are there any sources of environmental contamination in the area surrounding the building?		
2.1 Section 11.2.	If "YES", are protective measures undertaken?		
3 Section 11.2.	Are the free and non-productive areas belonging to the company in good clean and orderly conditions?		
4 Section 11.2.	Are the roads leading to the building tarred and/or built so that dust from the road is not a source of contamination inside the plant?		
5 Section 11.6	Is there any protection against the entry of rodents, insects, birds and other animals?		
6 Section 14.46(f)	Is there a written pest control program with its respective records?		
7 Section 14.46(f)	Is there a SOP for pest control?		
7.1	Does the SOP indicate the substances used for pest control?		
7.2	Does the Regulatory Authority authorize the used substances?		
8 Section 4.1	Does the SOP ensure the avoidance of contamination of starting materials, packaging materials, in process-products and finished products with rodenticides and/or fumigant agents?		
9 Sections 11.1; 11.2and 11.21	Is the flow of personnel and materials such that they prevent product contamination?		
10	Are corridors free of in-transit materials?		
11 Sections 11.5 and 11.26	Are air conditioning and/or ventilation systems for each area in accordance with the operation to be carried out?		

REF: WHO 32	GENERAL CONDITIONS	YES	NO
12 Section 11.5.	Are visible electric installations in good conditions?		
13 Section 12.4.	Are water, gases, electricity, steam, compressed air and other gas pipelines identified?		
14	Does the company comply with the national legislation on fire control and prevention?		
15 Sections 13.38 13.39	Are there SOPs for waste classification and treatment? Are they followed (or complied with)?		
16 Sections 13.38 and 13.39	Is waste treatment undertaken in the premises?		
16.1 Sections 13.38 and 13.39	If "YES", is there a specific area for waste treatment, completely separated from manufacturing areas?		
REF: WHO 32	**ANCILLARY AREAS**	**YES**	**NO**
1 Section 11.8.	Are there general change rooms in the plant?		
2 Section 11.8.	Are toilets, change rooms and showers separated from manufacturing areas? Are they of easy access, and in good condition with respect to cleanliness, sanitation, order and conservation? Are they adequate for the number of users?		
3 Section 11.7	Are the dining room, social areas and cafeteria (rest and snacks) separated from production areas?		
4 Sections 10.21 and 10.23.	Are plant staffs (temporary and permanent) provided with proper working clothes for each area, including protective coverings to avoid direct contact with products and to protect themselves?		
5	Are there SOP's for washing uniforms separately depending on the type of area (sterile, non sterile, maintenance, special products)?		
6	Is there a laundry area for uniforms which is separate from production areas?		
7	If an outside laundry facility is used, are personnel and the person responsible instructed about the corresponding SOP?		
7.1	Are there instruction records?		

REF: WHO 32	ANCILLARY AREAS	YES	NO
7.2	Is this outside laundry facility periodically audited?		
7.3	Are there audit records?		
REF: WHO 32	**MAINTENANCE**	**YES**	**NO**
8 Section 11.9.	Are the maintenance areas physically separated from production areas?		
9	Is there a SOP of the use, cleaning and maintenance of different service generated equipment?		
10	Are there preventive maintenance programs for equipment and critical support systems? Are performance records for this preventive maintenance program kept?		
11 Sections 18.18 and 12.11	Is equipment identified as out-of-service or in reparation identified as such? Are they removed from production areas as soon as possible?		
12 Section 14.46 (c)	Is there a preventive maintenance program for the premises? Are there performance records for this preventive maintenance program?		
13 Section 14.47 (c)	Are records of the usage of critical equipment showed?		
14 Section 12.1	Is there a preventive maintenance program for quality control equipment? Is there a performance record for this preventive maintenance program?		
REF: WHO 32	**GENERAL SERVICES**	**YES**	**NO**
15 Section 15.11	Is there a pure steam generator, if necessary?		
16 Section 15.11	Is there a compressed air generator free of oil, if necessary?		
17 Sections 15.17	Is there an electricity generator for the maintenance of critical systems and processes to be used in case of problems with the electricity supply occur?		
18 Section 11.2	Are the system generators for different services separated from production areas?		
19	Do they use gases that will be in direct contact with products?		
19.1	Are gas piping and valves in good conditions and are they dedicated for each gas?		

CHAPTER 4				
WATER SYSTEMS				
REF: WHO 32	**POTABLE WATER**	**Yes**	**No**	**NA**
1	What is the source of water used in the company?			
	Public Network?			
	Artesian Well, semiartesian well?			
	Others?			
2	If necessary, is any treatment for making water potable undertaken before the water is stored?			
2.1	Does the selected treatment assure potability, according to each country's requirements?			
3	Are the system schematics shown? Are the distribution network layouts shown? Are the sampling points shown?			
4	Does the company have water tanks?			
4.1	What materials is the water tanks made of?			
5	Are the cleaning and disinfecting procedures for water and cistern tanks documented? Does the procedure include a justifiable frequency and sampling points?			
5.1	Are performance records shown?			
6	Are physicochemical tests of potable water undertaken? Are physicochemical tests of potable water recorded**?** Indicate frequency			
7	Is potable water used as a source of purified water or water for injection production?			
8	Is microbiological control of potable water undertaken? Is microbiological control of potable water recorded? Indicate frequency			
9	Is potable water used for the initial washing of equipment and tools?			
10	Is the visible piping used for the transportation of potable water maintained in good conditions?			

REF: WHO 32	POTABLE WATER	Yes	No	NA
11	Is there a preventive maintenance program that includes the potable water system? Is there a performance record for this preventive maintenance program?			
REF: WHO 32	**PURIFIED WATER**	**Yes**	**No**	**NA**
1	Is the purified water used, produced by the company?			
2	Which is the system used to obtain purified water?			
	Ionic exchange resins?			
	Reverse Osmosis?			
	Distillation?			
	Others (specify which)?			
3 Section 17.33	Are the system schematics shown? Are the distribution network layouts shown? Are the sampling points shown?			
4 Section 17.33	What is the production capacity in liters/hour?			
4.1	What is the average consumption?			
5 Section 14.35	Are there written procedures for the operation of the system?			
7 Section 17.33	Is the purified water stored?			
7.1	What is the reservoir capacity?			
7.2	Is the reservoir constructed of sanitary type material?			
8	If purified water remains stored longer than 24 hours, is there any treatment to prevent microbiological contamination?			
8.1 Section 17.33	Does the selected treatment prevent microbiological contamination?			
9	Are the pipes and valves used to distribute purified water made of sanitary material?			
10 Section 15.21	Are the visible piping used in water distribution maintained in good conditions?			
11 Sections 15.21 17.42	Is the distribution system of purified water sanitized?			

REF: WHO 32	PURIFIED WATER	Yes	No	NA
11.1	Is there a SOP for the sanitation of purified water storage and distribution system?			
11.2	What is the sanitation method used?			
11.3	In the case of an open distribution system that is not used in 24 hours or more, is sanitation undertaken the day before its use?			
11.4	Are records kept?			
11.5	In the case of chemical sanitation, are sanitizing agent residues tested?			
11.6	Are there records?			
12	Is there any type of filter in the distribution system?			
12.1	In the case that filters exist, are they sanitized?			
12.2	Are the filter sanitation records shown?			
12.3	Are the filter replacement records shown?			
12.4	In the case of open distribution system not used in 24 hours or more, is sanitation done the day before its use?			
13	Is any other system, to reduce bacterial burden from purified water, used in the distribution system? Which type?			
14	Is the purified water used as a raw material to manufacture non-parenteral products?			
15	Is the purified water used for washing production equipment and utensils?			
15.1	Is the purified water used for the final rinse of the equipment used in the manufacture of non-parenteral products?			
15.2	Is the purified water used for the final rinse of the equipment used in the manufacture of non-parenteral products?			
16	Is a non-continuous purified water production system used?			
16.1 Section 17.42	Does each batch or production day release, by Quality control, undergo physicochemical test established official pharmacopoeias or by alternative validated methods?			
16.2 Section 17.42	Are microbiological controls undertaken on the day of use?			
16.3	Is an action limit established?			
16.4	Is the action limit no more than 100 cfu / mL?			

REF: WHO 32	PURIFIED WATER	Yes	No	NA
16.5	When the action limit is exceeded, is an investigation always undertaken to ensure quality of the batches of products made with such water?			
16.6	Is the documentation shown?			
17	Is a continuous system of purified water production used?			
17.1 Section 17.42	Is there a continuous monitoring of the quality of the purified water?			
17.2	Is there an automatic system to prevent use of the purified water, if this is out of specifications?			
17.3	If there is an automatic system, is this checked to verify that it is functioning properly?			
17.4	Are physicochemical analyses undertaken daily or with an established frequency according to the procedures established by current editions of official pharmacopoeias or by alternative validated methods?			
17.5	Are microbiological analysis undertaken on the days of use or with an established frequency which is properly validated?			
17.6	Is an action limit established?			
17.7	Is the action limit no more than 100 cfu / mL?			
17.8	When the action limit is exceeded, is an investigation always undertaken to ensure quality of the batches of product made with that water?			
17.9	Is the documentation shown?			
18 Section 17.42	Are the sampling points rotated to cover all points of use?			
19	Is there a SOP for sampling?			
20	If the water that feeds the system is chlorinated, is there a system to remove the chlorine?			
21	Are ionic exchange resins used?			
21.1 Section 17.42	Is there a SOP that considers the criteria to follow for the regeneration of resins and the frequency of regeneration?			
21.2 Section 17.42	Are records kept?			
22	Are there SOPs for the sanitation of the purified water system?			
22.1	What is the sanitation system used?			

REF: WHO 32	PURIFIED WATER	Yes	No	NA
22.2	What is the sanitation frequency?			
22.3	Are records kept?			
23	Is there a preventive maintenance program that includes the components of the purified water system?			
23.1	Are records kept?			
REF: WHO 32	**WATER FOR INJECTION**	**Yes**	**No**	**NA**
1	Which treatment system is used to get Water for Injection?			
2 Section 17.33	Are system schematics shown? Are distribution network layouts shown? Are sampling points shown?			
3 Section 14.35	Are there written procedures for the operation of the system?			
4 Section 17.33	What is the production capacity in liters/hour?			
4.1	What is the average consumption?			
5	If a reverse osmosis system is used:			
5.1	Is a two-steps system or double osmosis system used on line?			
5.2	Is the water that feeds the system pre-treated?			
5.3	What is the pre-treatment system?			
5.4	Is the system sanitized?			
5.4.1	What is the sanitation frequency?			
5.4.2	Are records kept?			
5.5	In case that chemical sanitation is undertaken, are sanitizing agent residues investigated?			
5.5.1	Are records kept?			
6	If distillation is used:			
6.1	Is the water that feeds the system pre-treated?			

REF: WHO 32	WATER FOR INJECTION	Yes	No	NA
6.2	Which is the pre-treatment system? _____ _____			
7	Is there a storage tank for the Water used for injection?			
7.1	Is the tank made of sanitary material?			
7.2	What is its capacity?			
7.3	Does it have a hydrophobic vent absolute filter?			
7.4	Are periodic integrity tests undertaken?			
7.5	Are records kept?			
8	Are pipes used in the distribution of Water for Injection up to the point of use?			
8.1	Are pipes made of sanitary material?			
8.2	Is there any type of heat exchanger in the system?			
8.3	If “YES", are there guarantees that the heat exchanger is not a source of contamination?			
9	Is there a SOP for the sanitation of the water storage and distribution system?			
9.1	What is the sanitation method used?			
9.2	What is the sanitation frequency?			
9.3	Are records kept?			
9.4	In case of chemical sanitation, is the existence of sanitizing agent residues investigated?			
9.5	Are records kept?			
9.6	If sanitation is thermal, is it undertaken periodically by a fluent steam circulation?			
9.7	Are records kept?			
10 Section 17.33	If water is not used the same day of its production, is the water maintained above 80 °C or below 4º and with constant recirculation through a loop up to points of use?			
11	If recirculation is below 4^{o}C, ¿are additional precautions taken to prevent access of microbial contaminants and its proliferation?			

REF: WHO 32	WATER FOR INJECTION	Yes	No	NA
11.1	What are those precautions? _____ _____ _____			
11.2	Do the storage and recirculation of the water at this temperature ensure its quality according to its use?			
12	If the water is produced by reverse osmosis, is there any system to maintain its quality?			
13	If the company manufactures parenteral products, does it use water for injections as a raw material?			
14	If the company manufactures parenteral products, does it use water for injections for the final rinse of equipments and components used in manufacturing?			
15	Is a non-continuous and non-recirculated production system of Water for injection used?			
15.1	If this is the case: is water used only during the day of its production?			
15.2	Is water disposed at end of the day of its production?			
15.3	Is each batch released by Quality control by physicochemical and bacterial endotoxins tests according to the procedures established by current editions of official pharmacopoeias or by alternative methods validated?			
15.4	Are microbiological tests of each batch undertaken?			
15.5	Is an action limit established?			
15.6	Is action limit no more than 10 cfu /100mL ?			
15.7	When the action limit is exceeded, is an investigation of the system always undertaken?			
15.8	Is the investigation report shown?			
15.9	Are measures undertaken?			
15.10	What measures are undertaken?			
16	Is there a continuous system ~~of~~ for the production of water for injections used?			
16.1 Section 17.42	Is there a continuous monitoring of the water quality?			
16.2	Is there an automatic system to prevent the use of the water for injection~~s~~, if it is out of specifications?			

REF: WHO 32	WATER FOR INJECTION	Yes	No	NA
16.3	If there is an automatic system to prevent the use of the water for injections, if it is out of specifications, is it checked to verify that it is operating properly?			
16.4	Are physicochemical and bacterial endotoxin tests undertaken according to the procedures established by current editions of EP, USP, and latest edition of National Pharmacopoeia or by an alternate validated method?			
16.5	Are microbiological tests undertaken daily or with an established frequency which is properly validated?			
16.6	Is an action limit established?			
16.7	Is the action limit no more than 10 cfu / 100mL?			
16.8	When the action limit is exceeded, is an investigation of the system always undertaken?			
16.9	Is the investigation report shown?			
16.10	Were measures taken?			
16.11	What measures were taken?			
17	Are sampling sites rotated so that all points of use are covered?			
18	Is there a SOP for sampling?			
19	Is there a preventive maintenance program that includes the water for injection system?			
19.1	Are records kept?			

CHAPTER 5																							
STORAGE AREAS																							
	Storage Area	**STARTING MATERIALS**			**PACKAGING MATERIALS**			**BULK PRODUCTS**			**FINISHED PRODUCTS**			**FLAMMABLE**			**REJECTED PROD. and MAT.**			**RECALLS**		
Ref. 32º WHO		**Yes**	**No**	**NA**	**Yes**	**No**	**NA**	**Yes**	**No**	**NA**	**Yes**	**No**	**NA**	**Yes**	**No**	**NA**	**Yes**	**No**	**NA**	**Yes**	**No**	**NA**
1 Sections 11.13; 15.2 and 13.22	If a material enters directly from the outside and products exits directly to the outside, is there a procedure to protect material and products integrity?																					
1.1 Sections 11.3; 11.12, and 13.21.	Is there a system that protects materials and products located inside?																					
2 Section 11.12	Are the premises of adequate size according to the needs of the company?																					
2.1	Are the premises properly identified?																					
2.2	Are the premises in order?																					
2.3	Are floors, walls and roofs well maintained and hygienic?																					
3 Section 11.12	Are the pipes and drains well maintained and hygienic?																					
4 Section 11.5	Are visible electric installations in good conditions?																					

	Storage Area	STARTING MATERIALS			PACKAGING MATERIALS			BULK PRODUCTS			FINISHED PRODUCTS			FLAMMABLE			REJECTED PROD. and MAT.			RECALLS		
Ref. 32º WHO		**Yes**	**No**	**NA**	**Yes**	**No**	**NA**	**Yes**	**No**	**NA**	**Yes**	**No**	**NA**	**Yes**	**No**	**NA**	**Yes**	**No**	**NA**	**Yes**	**No**	**NA**
5 Section 11.12	Do the storage environmental conditions (including lighting) comply with the established storage requirements?																					
6 Section 11.12	Is it necessary to control and record the temperature?																					
7 Section 11.12	If they are needed, is there equipment available to control and /or record temperature?																					
7.1 Section 11.12	Are there records?																					
8 Section 11.12	Is it necessary to control and record humidity?																					
8.1 Section 11.12	If they are needed, is there equipment available to control and /or record humidity?																					
9 Section 14.18	Do the temperature and humidity, comply with the established parameters for the stored materials and products?																					
10 Section 11.12	Is a cold room needed?																					
10.1 Section 11.12	Are there temperature records?																					
10.2	Is there an alert system to indicate deviations from the established temperature in the cold room?																					

	Storage Area	STARTING MATERIALS			PACKAGING MATERIALS			BULK PRODUCTS			FINISHED PRODUCTS			FLAMMABLE			REJECTED PROD. and MAT.			RECALLS		
Ref. 32º WHO		**Yes**	**No**	**NA**	**Yes**	**No**	**NA**	**Yes**	**No**	**NA**	**Yes**	**No**	**NA**	**Yes**	**No**	**NA**	**Yes**	**No**	**NA**	**Yes**	**No**	**NA**
10.3	Is there a SOP to handle such deviations?																					
11 Section 15.22 12.5	Are the scales used in the reception and/or dispatch area calibrated periodically?																					
11.1 Section 15.22. 12.5	Are the scales checked on a scheduled basis?																					
12 Section 11.11.	Are there areas physically separated or systems in place to prevent mix-ups of materials and products of different categories?																					
13 Sections 13.16 and 15.2.	Are there procedures for all the operations of this area receipt of goods, movement of containers, load conditions, dispatches, etc?)																					
14 Section 11.13	Is there a receiving area?																					
14.1 Section 14.32	Is the receipt of materials documented and recorded?																					
14.2 Section 14.9	Are these records in an electronic format?																					
14.3	Are these written records?																					
15	Stock control of materials and products:																					
15.1 Section 14.9	Is it computerized?																					

	Storage Area	STARTING MATERIALS			PACKAGING MATERIALS			BULK PRODUCTS			FINISHED PRODUCTS			FLAMMABLE			REJECTED PROD. and MAT.			RECALLS		
Ref. 32º WHO		**Yes**	**No**	**NA**	**Yes**	**No**	**NA**	**Yes**	**No**	**NA**	**Yes**	**No**	**NA**	**Yes**	**No**	**NA**	**Yes**	**No**	**NA**	**Yes**	**No**	**NA**
15.2	Is it manual?																					
16	Is the location of in use and not in use goods maintained in a computerized system?																					
16.2	Is the location of in use and not in use goods maintained in a manual system?																					
17 Section 11.13.	Is the receiving area designed and equipped to allow for, the cleaning of the containers before storage, if needed?																					
18 Sections 13.8 and 13.6	Is a visual inspection done at receipt, to verify damages or integrity of seal and containers, which could affect product quality?																					
19 Sections 13.6; 13.7; and 14.33.	Is each received container labeled upon receipt?																					
20 Section 13.10(a); 13.7	Does the label contain the following information?:																					
20.1 Sections 13.7; and 13.10(a)	Item name and code																					
20.2	Supplier name																					
20.3	Supplier's lot number																					
20.4	Total Number of units																					

	Storage Area	STARTING MATERIALS			PACKAGING MATERIALS			BULK PRODUCTS			FINISHED PRODUCTS			FLAMMABLE			REJECTED PROD. and MAT.			RECALLS		
Ref. 32º WHO		**Yes**	**No**	**NA**	**Yes**	**No**	**NA**	**Yes**	**No**	**NA**	**Yes**	**No**	**NA**	**Yes**	**No**	**NA**	**Yes**	**No**	**NA**	**Yes**	**No**	**NA**
20.5	Manufacture date																					
20.6	Expiry date																					
20.7	Internal lot number																					
20.8 Section 14.18(d)	Special storage conditions																					
20.9	Test Date																					
20.10	Retest date																					
21 13.11	Is the label attached to the container body and not to its removable parts?																					
22 Sections 13.11; and 16.7	Are sample containers identified as such?																					
23 Sections 13.2; 13.10; 13.23. and 16.1	Before release by quality control, are all items and finished products properly identified as such and maintained in quarantine, either physically or by a system?																					
24 Section 11.14.	Is there an area or computerized system to delimit or restrict the use of starting materials, packaging materials, intermediate products and finished products in quarantine?																					
25 Sections 11.16 and 13.25	Are rejected materials properly identified and stored separately in restricted areas?																					

	Storage Area	STARTING MATERIALS			PACKAGING MATERIALS			BULK PRODUCTS			FINISHED PRODUCTS			FLAMMABLE			REJECTED PROD. and MAT.			RECALLS		
Ref. 32º WHO		**Yes**	**No**	**NA**	**Yes**	**No**	**NA**	**Yes**	**No**	**NA**	**Yes**	**No**	**NA**	**Yes**	**No**	**NA**	**Yes**	**No**	**NA**	**Yes**	**No**	**NA**
26 Sections 13.25; and 13.38	Is there a procedure for materials destruction?																					
27 Sections 13.10(c) and 14.9	Are approved items properly identified?																					
28 Sections 13.12 and 15.2	Is there a procedure or system that ensures that starting materials with expired or with expired retest dates are not used?																					
29 Section 13.12	Are all available starting materials within their valid period?																					
30 Sections 11.11; 11.13 and 11.12	Is the storage layout adequate to preserve the integrity of all items and products?																					
31	Is the FIFO /FEFO and the shortest re-test date system followed for the use of starting materials?																					
32 Section 11.12; 11.11	Are shelves and/or platforms separated from floors and walls to allow cleaning?																					
33	Are activities and operations undertaken in such a manner to ensure that they do not contaminate either the environment or stored materials?																					

	Storage Area	STARTING MATERIALS			PACKAGING MATERIALS			BULK PRODUCTS			FINISHED PRODUCTS			FLAMMABLE			REJECTED PROD. and MAT.			RECALLS		
Ref. 32º WHO		**Yes**	**No**	**NA**	**Yes**	**No**	**NA**	**Yes**	**No**	**NA**	**Yes**	**No**	**NA**	**Yes**	**No**	**NA**	**Yes**	**No**	**NA**	**Yes**	**No**	**NA**
34 13.6	Are packages and containers with items (drums, kegs, boxes, etc.) adequately closed?																					
35 Section 13.17	Is there an area which is secure or with restricted access which is used to store labels?																					
36 Sections 13.19 and 19.19	Are all outdated printed materials destroyed?																					
37 Section 11.17	Within the storage room, are there distinct areas which are physically separated and with restricted access for psycotropics and narcotic substances?																					
38 Section 11.17	Are cautions undertaken in the loading of corrosive materials in order of maintaining integrity of other items / materials?																					
39 Section 13.38	Is there a SOP dealing with spills of corrosive or toxic and active substances?																					
40 Sections 11.17; 13.38 and 13.39	Are there areas specific for the storage of flammable and explosive products?																					

	Storage Area	STARTING MATERIALS			PACKAGING MATERIALS			BULK PRODUCTS			FINISHED PRODUCTS			FLAMMABLE			REJECTED PROD. and MAT.			RECALLS		
Ref. 32º WHO		**Yes**	**No**	**NA**	**Yes**	**No**	**NA**	**Yes**	**No**	**NA**	**Yes**	**No**	**NA**	**Yes**	**No**	**NA**	**Yes**	**No**	**NA**	**Yes**	**No**	**NA**
40.1 Sections 13.38 and 13.39	Within the jurisdiction, is there a competent safety agency that authorizes this type of storage room?																					
40.2 Sections 13.38 and 13.39	If this agency exists, is this storage area authorized by this safety agency?																					
41 Sections 13.29; 13.25 and 14.44	Are there established procedures to ensure the identification, sorting, and destruction of expired finished products from the storage area?																					
41.1 Section 13.25	Are there records of those procedures?																					
42	Are all drug s products available for release, within their valid period?																					
43	Is there an area for Finished Product Release?																					
44	Are necessary precautions undertaken for the packaging of finished products that require cold chain?																					
45 Sections 14.45 and 2.1g	Is there a distribution control of finished products?																					

CHAPTER 6			
RETURNED PRODUCTS			
Ref. 32º WHO		**YES**	**NO**
1 Section 11.11 and 11.16	Is there an area that is physically separated and has restricted access for the storage of returned products until their fate is determined?		
2 Section 13.30.	Are returned products properly identified as such?		
3 Section 13.30	Is there an operating procedure that defines responsible persons and the criteria for the treatment of returned products?		
4 Section 13.30	Does the qualified person responsible for the Quality assurance /Quality control Department decide the treatment of these returned products?		
5 Section 13.30	Are all actions and decision taken recorded?		

CHAPTER 7			
PRODUCTS RECALL			
Ref. 32º WHO		**YES**	**NO**
1 Sections 7.1 and 7.3.	Is there an operating procedure that establishes a system to recall products from the market, if necessary?		
2 Section 7.2	Is there a responsible person (independent from the marketing department) designated by or in accordance with the qualified person responsible for the coordination and execution of the recall procedure?		
3 Section 7.2	Is Quality control/Quality assurance/Regulatory Affairs notified of undertaken recall operations?		
4 Section 7.4.	Does the procedure indicate the mandatory requirement of notifying the Health Authority immediately in the event that the cause is for health reasons?		
5 Section 7.4.	In the case of having distributed products to other countries, is the Health Authority of the recipient country and the recipient of these products informed immediately?		
6 Section 7.5.	Are distribution records available for a prompt recall of products from the market?		
7 Section 7.5.	Do those distribution records contain information that allows for the traceability and determination of the receivers of that distribution?		
8 Section 7.6.	Are there reports about all products recalled from the market, as well as the cause, destination, destruction dates and final reconciliation of quantities?		
9 Section 7.6.	Are those reports attached to the product lot record?		
10 Section 13.29	Are the recalled products identified as such?		
11 Section 13.29.	Are these products maintained segregated and orderly in an access restricted area?		

CHAPTER 8			
DOCUMENTATION			
Ref. 32º WHO	**MASTER FORMULA**	**YES**	**NO**
1 Section 14.22. 18.24	Is there an updated master formula for each product and size of lot to be manufactured? Does the Technical Director and/or Quality Control/Assurance Director authorize all master formulas?		
1.1 Section 14.22. 18.27	If it is necessary to modify the master formula, are there written procedures on how to do this?		
1.2 Section 14.22.	Is the Regulatory Health Authority notified of this change?		
1.3 Section 14.22.	Is authorization from the Health Authority expected before undertaking the change?		
2 Section 14.22.	Does the qualitative and quantitative formula agree with the authorization given by the Regulatory Health Authority?		
2.1	If a qualitative and quantitative formula change is made, is the corresponding authorization requested?		
3 Section 14.23	Do all products have a master formula containing:		
3.1 Section 14.23(a)	Product name, code and product number?		
3.2	Issue date?		
3.3 Section 14.23(b)	Description of pharmaceutical dosage form, concentration and/or strength of the active ingredients?		
3.4	Product shelf life?		
3.5 Section 14.23(b)	Batch size?		
3.6	Unitary formula?		
3.7	Industrial formula?		

Ref. 32º WHO	MASTER FORMULA	YES	NO
3.8 Section 14.23(c)	Starting materials, indicating the quantity of use for each one, with the code or number related to their specifications including those starting materials that are used up during processing and their equivalence to their International Nonproprietary Names (INN)?		
3.9 Section 14.23(d)	Theoretical intermediate yield and theoretical final yields with their correspondent limits?		
3.10 Section 14.23(e)	Indication of the areas in which each one of the process steps occur and equipment used?		
3.11	Excess active ingredients (if occurs)?		
3.12	Names and signatures of the qualified people involved in the issuance, review, and approval (at least two)?		
3.13 Section 14.23(g)	Detailed instructions of the steps to follow for each stage of the process?		
3.14 Section 14.23(h)	Instructions concerning controls during the process, of intermediate products and operational variations, indicating specifications?		
3.15 Section 14.23 (f)	In the master formula, are there references to the SOPs related to different stages of manufacturing, equipment operation, etc. when they correspond?		
3.16 Section 14.23(j)	Special precautions that should be taken during the different stages of the process due to the characteristics of the starting materials handled and equipment.		
3.17 Section 14.23(i)	The standards for the storage of the intermediate or bulks, including the container, the labeling and any other storage condition when the product requires it?		
3.18	Formula review date.		
3.19	Number of Health registry.		
3.20	Indication of processes (validated) for the manufacture of the product.		
3.21	Forms for record keeping of product specifications during manufacture process (weight, hardness, friability, closure of capsules, disintegration, viscosity, etc.) performed by production and quality control		
4 Section 14.26	Is a production order issued for each batch of processed product?		
5 Section 14.26	Does the production order issued adjust to the master formula of the product?		

Ref. 32º WHO	BATCH PROCESS RECORD	YES	NO
5.1 Section 14.26	Is there a process of credible transcription that ensures its exact reproduction?		
5.2 Section 14.28	Do responsible personnel authorize it?		
6 Section 14.28	Does it contain the following data:		
6.1 Section 14.28(a)	Product name?		
6.2 Section 14.28(c)	Issue date?		
6.3 Sections 14.28(b) and 14.28(e)	Batch number?		
6.4 Section 14.26f	Expiry date of finished product?		
6.5 Section 14.28(b)	The list of raw materials involved (including the ones that are used up during processing) with their code numbers, lot, and/or analysis, theoretical and real quantities utilized for each of them?		
6.6	If it is necessary to adjust the concentration of raw materials, is the modification signed by a qualified person?		
6.7 Section 13.14.	Are the labels of the raw materials separated, attached?		
6.8 Section 14.28(f).	Is the detailed description of each one of the steps included in the processed lot record?		
6.9 Section 15.6. 14.28g	Are the areas, where each one of the steps occur and the equipment utilized, indicated?		
6.10 Section 14.23(f)	Are the procedures, or reference to them, applied to the preparation of equipment and their installations, indicated?		
6.11 Sections 14.27 and 15.15	Are the areas and equipment/lines released recorded?		
6.12	Are identification labels of areas and of equipment attached?		

Ref. 32º WHO	BATCH PROCESS RECORD	YES	NO
6.13 Sections 14.28c; 14.27 and 15.15	Is the date, the starting and ending time of every step recorded?		
6.14 Sections 14.28(h) and 15.6	Are the values of operational deviations to be controlled during process (Ex.: temperature, pH, times, agitation speeds, etc.) recorded? When it corresponds, are records attached?		
6.15 Section 14.28(l).	Are the acceptance limits of such deviations indicated?		
6.16 Section 14.28(g)	If there are process deviations with regard to the master formula, are they recorded?		
6.16.1 Sections 14.28(j) and 15.3	Are they authorized by quality assurance personnel?		
6.16.2 Section 15.3	Is the management of deviations undertaken as outlined in a SOP which has been previously established?		
6.17 Sections 15.2; 16.12 and 14.28(e)	Whenever Quality Control intervenes in some step of the process, are interventions recorded?		
6.18 Sections 14.28 (I); 15.4 and 14.28(l)	Are the real yields of the intermediate and end stage recorded?		
6.18.1 Sections 14.28 (l) and 15.4.	Are the yields within the acceptable limits?		
6.18.2 Section 16.15.	In case of a deviation, is the cause of the deviation investigated according to the SOP?		
6.18.3 Section 16.15.	Are the investigation findings documented?		
6.19 Section 4.28(e). 14.28(j); 14.28(d) and 14,28(h)	Are the signatures/ initials of the people who carry out the different operations and of those who supervise them recorded?		
6.20	It is verified that the data that should appear on the batch process record are completed at the time in which each action is undertaken during the process?		

Ref. 32º WHO	BATCH PROCESS RECORD	YES	NO
6.21	Is the reprocessing of products done in accordance with a SOP?		
6.22	Are reprocessing and reworking previously authorized by Control/Quality Assurance?		
7 Section 14.8.	After the manufacture process is ended, is all the documentation that is part of the batch record, including the certificate of analysis of the Finished Product, filed?		
8 Section 14.8.	Is the file maintained for at least one year after the Expiry date of the lot?		
9 Sections 14.38; 14.39 and 14.40.	Is a correlative/sequential and traceable record taken from each production?		
Ref. 32º WHO	**PACKAGING**	**YES**	**NO**
10 Section 14.25.	Are there instructions for product packaging, updated and authorized by the qualified person responsible and/or Quality Assurance/Control for each product, size of container and dosage form?		
11 Section 14.25	Does the company have packaging orders with the following information:		
11.1 Section 4.25(a).	Full name and code of the product?		
11.2	Lot number?		
11.3. Section 14.25(b).	Presentation unit, dosage forms description and strength/potency?		
11.4	Issue date?		
11.5	Starting date?		
11.6	Finishing date?		
11.7	Expiry date and product shelf life for each batch?		
11.8 Section 4.25(c).	Package size, regarding number, weight or product volume in the final container?		
11.9 Section 14.25(d)	A full list of all packaging material required for a normal size batch, including quantities, sizes and types, with the lot number, code or reference number related to specifications for every packaging material?		

Ref. 32º WHO	PACKAGING	YES	NO
11.10 Section 14.25(f)	Special precautions to be observed, including review of packaging area and equipment for release of production line, as well as, the cleaning requirements of the area and equipment?		
11.11 Section 14.25(g).	A process description, including any important supplemental operations, and equipment to be used?		
11.12 Section 14.25(h)	Details concerning process control with instructions for the sampling and acceptable limits?		
11.13	Forms for recording product specifications during packaging process (check up process starting, sealing tests, bottle closures, filling volume, lot number, expiry date, etc.) done by packaging and quality control personnel?		
11.14	Signature of the person responsible for the packaging operation?		
11.15	Signature of the person who has dispatched packaging material and of the personnel who has verified this?		
11.16	Signature of the person who has received packaging material?		
11.17	Signature of the Quality Control inspector during the processes?		
11.18	Yield of packaging operation?		
11.19	Observations (space adequate to note any information or deviation)?		
Ref. 32º WHO	**BACTH PACKAGING RECORDS**	**YES**	**NO**
12 Section 14.29.	Is a packaging order for every batch or part batch processed issued?		
13 Section 14.29.	Does the packaging order conform to the packaging instructions?		
14 Section 14.30.	Is the release of areas and equipment/ lines recorded?		
15 Sections 14.30 and 14.31	Are the signatures/initials of the people responsible for the different operations recorded?		
16 Sections 14.30 and 14.31	Does the batch packaging record contain the following information:		
16.1 Section 14.31(a)	The name of the product, the batch number and the quantity of bulk product to be packed, as well as the batch number and the planned quantity of the finished product that will be obtained, the quantity actually obtained, and the reconciliation?		

Ref. 32º WHO	BACTH PACKAGING RECORDS	YES	NO
16.2 Section 4.31(b).	The date (s) and time(s) of the packaging operations?		
16.3 Section 14.31(g)	The expiry date of the finished product?		
16.4 Section 14.31(c)	The name of the responsible person carrying out the packaging operation?		
16.5 Section 14.31(d)	The initials of the operators of each one of the different steps?		
16.6 Section 14.31(e)	The controls undertaken with the outcome of verifying the identity and conforming to the packaging instructions, including the results of the in-process controls?		
16.7 Section 14.31(g) 14.31(f)	Details of the packaging operations carried out, including references to equipment and the packaging lines used, cleaning records?		
16.8 Section 14.31(f)	If necessary, the instructions for keeping the product unpackaged or a record of returning product that has not been packaged to the storage areas?		
16.9 Section 4.31(g).	Whenever possible, are samples of the printed packaging materials used, including samples bearing the batch number, expiry date and any additional overprinting kept?		
16.10 Section 14.31(h).	Notes on any special problems, including details of any deviation from the packaging instructions, with written authorization by the qualified person responsible?		
16.11 Section 14.31 (l)	The quantities and reference numbers or identification of all the printed packaging materials and bulk product issued, used, destroyed or returned to stock and the quantities of product obtained to permit an adequate reconciliation?		
16.12 Section 14.31	Is there a check to ensure that the data that appears on the batch packaging records are completed at the moment that each action is carried out during the process?		
16.13 Sections 13.26; 14.31(h) and 15.3	Are the reprocessing and reworking of products controlled in a SOP for deviations?		
16.14 Section 13.28. 15.3	Is the intervention of Quality Control included in this SOP?		
17 Section 14.8 and 14.9	After the packaging process is ended, is all the documentation that is part of the batch packaging record, including the analytical protocol of the Finished Product, filed?		

Ref. 32º WHO	BACTH PACKAGING RECORDS	YES	NO
18 Section 14.8	Is the file maintained for at least one year after the Batch expiry date?		
19 Sections 14.38; 14.39; 14.40; 14.41 and 15.2	Is a correlative/ sequential and traceable record of each production or deviation kept?		

Ref. 32º WHO	GENERAL DOCUMENTATION	YES	NO
20 Section 14.1.	All applicable SOPs are available in each area where they are required?		
21 Section 14.4.	For each procedure, are the purpose, scope, references, and responsibilities clearly defined?		
22 Section 14.4.	Is there the detailed and precise description, in chronological order of the routine operations?		
23 Sections 14.3 and 14.25.	Are the date issued and the effective date indicated?		
24 Section 14.5	Are the procedures available, current?		
25 Section 14.3.	Are the signatures of the personnel that issue, review, and approve the document indicated?		
26 Section 14.8.	Are the records indicated within the procedures available?		
27 Section 14.10	Are the labels adhered to containers, equipment, and other auxiliary elements of production and areas clear and unambiguous?		
28 Section 15.6.	Do the labels indicate the condition in which products, equipment, and areas are found?		
29 Section 14.7	Is the way in which data is amended due to writing errors defined?		
29.1 Section 14.7.	Does the use of correction fluid or eraser remain clearly prohibited in the documentation?		
29.2 Section 14.7 and 14.3	If there are amendments/changes, are the date and signature recorded?		

Ref. 32º WHO	GENERAL DOCUMENTATION	YES	NO
30 Sections 14.5 and 15.3	Is there a SOP for the handling of changes and deviations?		
31 Sections 14.38 and 14.41	Is there a written procedure outlining the combination of numbers and letters that form the identification of the lot, to ensure that it is safe and correct?		

CHAPTER 9			
SAMPLING AREA			
Ref. 32 WHO		**YES**	**NO**
1 Sections 11.15 and 16.4.	Is there a physically separated area for sampling?		
2 Sections 11.15 and 16.4.	If there is no area for sampling, is sampling undertaken in such a way as to prevent contamination or cross-contamination?		
3	Does the sampling area have:		
3.1	Sanitary finishes?		
3.2	Dust aspiration/ retention system?		
3.3	Is there a special lighting system, in case that photosensitive raw materials are being handled?		
3.4	Are walls, floors, and ceilings well maintained and hygienic?		
3.5 Section 16.6	Is there a place to keep the sampling utensils in an orderly fashion?		
3.5.1 Section 16.6	If there is no place available to keep the sampling utensils orderly, where are they kept?		
3.6 Section 16.6	Is there a specific washing area, which is separated, for the sampling utensils?		
3.6.1 Section 16.6	If a specific washing area for the sampling utensils is not available, where are they washed?		
4 Section 16.6	In the previous case is there a SOP for the transportation of those sampling utensils to their washing area?		
5	Is there a SOP for the incoming of raw materials to sample and their transfer to the quarantine area after sampling?		

CHAPTER 10			
WEIGHING AREA			
Ref. 32 WHO		**YES**	**NO**
1 Section 11.19.	Is there a physically separated weighing area?		
2 Sections 11.4; 14.46(c) and 14.49.	Is there a SOP for the cleaning of the weighing area?		
3 Section 11.4	Is the weighing area clean?		
4 Section 11.5	Are the necessary precautions taken when working with photosensitive raw materials?		
5 Sections 11.19 and 15.10	Are special systems for the localized dust extraction available?		
6 Sections 11.5 and 12.26	Is there a ventilation system with pressure differentials, and the raw materials handled with controlled temperature, humidity, and air filtration, if required?		
7 Sections 11.1; 12.12 and 13.7	Is there an area for the cleaning and sanitation of the containers with containing raw e divided?		
8 Section 15.12(d).	Does it have its own change room, in case the area is not located in the production area?		
9 Section 15.6 and 13.15	If orders which are already separated are not transferred to the plant immediately, is there a sector or system that prevents mix-ups?		
10	Are the containers containing raw materials to be weighed transferred safely to the weighing and measuring area?		
10.1 Section 12.1	Are these containers cleaned before opening?		
11 Section 4.1 and 15.12(e)	Is there a SOP for cleaning the tools/utensils used in weighing and/or measuring?		

Ref. 32 WHO	WEIGHING AREA	YES	NO
12 Section 4.1.	Are the tools/utensils for weighing and/or measuring clean?		
13 Section 1.11	Is there an area for washing the tools/utensils used in weighing and/or measuring?		
14 Sections 1.11 and 12.1	Are these tools/utensils kept clean and labeled in a safe place?		
15 Section 12.5 and 15.22	Are the scales calibrated periodically?		
15.1 Section 12.5 and 15.22	Are the scales checked on a defined scheduled basis?		
15.2 Section 12.5 and 15.22	Are records kept?		
15.3 Sections 12.5 and 12.22.	Do the capacity and sensitivity of the scales correspond with the quantities that are weighed?		
16 Sections 10.21 and 10.23	Is protective equipment used when necessary?		
17	Are containers of raw materials already weighed or measured closed well?		
18 Section 12.1	Are the containers used to weight or measure raw materials reused?		
18.1 Sections 12.1; 13.13 and 15.11	If so, are they cleaned very well, free from any previous identification marks and newly labeled?		
19 Section 13.13	Are the materials, after being weighed or measured, immediately labeled in order to prevent mix-ups?		
20	On the label, does it state:		
20.1	Name or code and batch of the item?		
20.2	Name or code of the product to which the item is destined?		
20.3	Product Batch number?		

Ref. 32 WHO	WEIGHING AREA	YES	NO
20.4 Section 13.14	Quantity that was weighed or measured?		
20.5 Section 13.14	Gross weight and tare?		
20.6 Section 13.14.	Net weight?		
20.7	Signature and date of the worker who carried out the operation?		
20.8	Signature and date of weight verification?		
21 Section 13.15	Are the raw materials of a batch, already weighed or measured, physically separated from those of another batch already weighed?		
22	Are the containers that contain a raw material already weighed, transferred safely to the manufacturing area?		
23 Section 15.2	Is there a SOP that describes all the operations of this sector/area?		

CHAPTER 11										
PRODUCTION										
NON-STERILE PRODUCTS										
Ref WHO 32	**Areas Installations and Equipment**	**SOLID PRODUCTS**			**SEMI-SOLID PRODUCTS**			**LIQUID PRODUCTS**		
		Yes	**No**	**NA**	**Yes**	**No**	**NA**	**Yes**	**No**	**NA**
DOCUMENTATION										
1 Sections 14.1; 14.8 and 15.1	Are all applicable SOPs available in the area where the activity is performed?									
2 Section 14.4	For each procedure, are the purpose, scope, references, and responsibilities clearly defined?									
3 Sections 14.1 and 15.1.	Is there a detailed description, of the precise and sequential operational routine?									
4 Section 14.5.	Are the date issued and the effective date indicated?									
5 Sections 14.1; 14.5 and 15.1	Are the procedures available, current?									
6 Section 14.3	Are the signatures /initials of the personnel that issue, review, and approve the document indicated?									
7 Sections 14.8 and 15.1	Are the records indicated within the procedures available?									
8 Section 14.10	Are the labels adhered to the containers, equipment, and other auxiliary elements of production and areas clear and unambiguous?									
9 Sections 14.10 and 15.6.	Do the labels indicate the condition in which the products, equipment, and areas are found?									
10 Sections 15.6 and 14.28	Is the documentation related to the process that is being carried out in each area kept?									

Ref WHO 32	Areas Installations and Equipment	SOLID PRODUCTS			SEMI-SOLID PRODUCTS			LIQUID PRODUCTS		
		Yes	No	NA	Yes	No	NA	Yes	No	NA
DOCUMENTATION										
11 Sections 14.28 and 14.8	Is the documentation completed at the moment that the action is carried out?									
12 Sections 14.1 and 14.35	Are procedures on the operation and use of each equipment available?									
13 Sections 14.35 and 14.47	Are the records of use and maintenance of critical equipment kept?									
AREAS										
14 Section 11.1and 11.2	Is the area physically separated from other areas by walls or another means of separation?									
15 Sections 11.3 and 11.23	Are the walls, floors and ceiling surfaces smooth and easy to clean? Are joints wall - wall, wall-floor and wall-ceilings of sanitary type?									
16 Section 11.4	Are they well maintained and hygienic?									
17 Sections 15.12(b); 11.2; 17.18; 17.19 and 17.20	With the exception of the doors, are all openings sealed?									
18 Sections 11.24 and 12.7	Are the pipes, light fixtures, and points of ventilation and other services designed in such a way to permit their easy cleaning?									
19 Sections 12.4; 12.3 and 13.3	Are fixed pipes identified and do they indicate the direction of flow, whenever necessary?									
20 Section 12.4	For the pipes of dangerous gases and liquids, are non-interchangeable connections used for each type of fluid?									
21 Section 11.25	Are the drains equipped to prevent back-flow and do they have a sanitary cover?									
22 Section 11.26.	If raw materials and/or the handled products require it, is the ventilation effective and with air control (temperature, humidity and filtration)?									

Ref WHO 32	Areas Installations and Equipment	SOLID PRODUCTS			SEMI-SOLID PRODUCTS			LIQUID PRODUCTS		
		Yes	No	NA	Yes	No	NA	Yes	No	NA
AREA										
23 Section 11.26.	If raw materials and/or the handled products require it, are the temperature and relative humidity measured and recorded?									
24 Section 11.26	Is the filter integrity confirmed?									
24.1 Section 11.26	Are there records?									
25 Section 11.26	Is there a SOP for the renewal and replacement of filters?									
26 Section 11.5	Are the necessary precautions taken when working with photosensitive raw materials?									
27 Section 11.5	Are visible electrical installations in good condition?									
27.1	Are the outlets duly identified?									
28 Sections 15.10, and 15.12(b)	Are there special systems for localized dust extraction?									
29 Section 15.13	Are they effective against the quantity of dust generated in the processes?									
30 Sections 15.10 and 11.26	Is the risk of environmental contamination avoided by the dust extraction system?									
31	Are there security systems in those areas where flammable materials are used?									
32 Sections 11.4 and 11.21	Are the areas clean?									
33 Section 11.4.	Is the area cleaned, as per established requirements in the cleaning validation, at the conclusion of the activities conducted in the area?									
34 Section 11.20	Is a cleaning validation period established?									
35 Sections 11.20 and 14.46(c)	Are these indications captured in the SOP for the cleaning of every area?									
36 Section 13.39	Are the containers for waste collection identified as such?									

Ref WHO 32	Areas Installations and Equipment	SOLID PRODUCTS			SEMI-SOLID PRODUCTS			LIQUID PRODUCTS		
		Yes	No	NA	Yes	No	NA	Yes	No	NA
AREA										
37 Section 13.39.	Are the containers for waste collection covered?									
EQUIPMENT										
38 Section 12.10	Are the materials used in the construction of the equipment, non-reactive with the active ingredients handled?									
39 Sections 12.1 and 12.6	Does the location of the equipment facilitate its cleaning, as well as, the cleaning of the area in which they are found?									
40 Section 12.5	Are all the measuring instruments of adequate range and precision?									
41 Section 12.5	Are the instruments correctly labeled indicating the validity of calibration?									
42 Sections 15.17 and 18.18	Is the equipment not in use identified as such and removed from the production areas according to the SOP?									
43 Sections 1.2.6 and 12.11	Is the equipment in repair identified as such?									
44 Section 14.47	Are there repair records?									
45 Sections 12.1; 12.7 and 15.17	Are all the containers, equipment and auxiliary elements cleaned after their use?									
46 Sections 12.7	Is a validity period for the cleaning of equipment established?									
47 Sections 12.1; 12.7; 15.7 and 15.31	Are these indications established in the SOP for the cleaning of all equipment?									
48 Section 12.10	Is the integrity of the screens/ filters confirmed?									
48.1 Sections 12.1 and 14.47	Are records kept?									

Ref WHO 32	Areas Installations and Equipment	SOLID PRODUCTS			SEMI-SOLID PRODUCTS			LIQUID PRODUCTS		
		Yes	No	NA	Yes	No	NA	Yes	No	NA
EQUIPMENT										
49	Are there static bed dryers?									
50	Are there fluid bed dryers?									
51 Section 12.1.	For fluid bed dryers: is there a set of sleeves for each product, or is there a cleaning validation process that guarantees no cross-contamination?									
51.1 Section 12.1.	Are the machinery pieces or parts stored in a safe place?									
52 Section 12.1	Are the punches maintained in good condition?									
52.1 Section 12.1	Is the access to them restricted?									
53 Section 12.1	Is the integrity, measurements, and identity of the punches confirmed?									
53.1 Section 12.1	Are records kept?									
54 Section 12.1	Are there metal detectors?									
55 Section 12.1	Is the air injected in the coating equipment free of impurities?									
56 Sections 12.1 and 12.4	Are all the hoses, tubes and pipes used in the transfer of fluids identified?									
56.1 Section 12.1.	Are they dedicated by product? If they are not dedicated by product, is the cleaning of hoses, tubes, and pipes validated?									
56.2 Section 12.1.	Are they maintained in good condition?									
57 Section 12.1	Are the filters used disposable?									
58 Section 12.1	If they are not, is the shelf life period for them established?									
59 Section 12.1.	Are the changes recorded?									

Ref WHO 32	Areas Installations and Equipment	SOLID PRODUCTS			SEMI-SOLID PRODUCTS			LIQUID PRODUCTS		
		Yes	No	NA	Yes	No	NA	Yes	No	NA
EQUIPMENT										
60 Sections 10.23 and 12.1	Are protective elements used for the operations that require them?									
60.1	Which ones?									
61 Section 10.21.	Are the uniforms worn by personnel, appropriate for the duties they perform?									
OPEREATION										
62 Section 10.21. 15.12(d)	Do the workers have uniforms that are clean and in good condition?									
63 Section 14.27; 14.30, and 15.15	Before initiating the production process, is there verification that the work area and equipment are clean and free from materials used in the previous operation and/or material not pertinent to the current manufacturing process?									
64 Section 14.28(e) and (f)	Do personnel in production carry out the verification of the weight of the raw materials used in the manufacturing of each lot?									
65 Section 14.28(g)	Are the instructions for manufacturing (batch process records) followed and are records taken, including control points?									
66 Sections 14.28; 15.9 and 15.16	Are the parameters of the drying operations measured and recorded?									
67 Section 14.28(g)	Is there assurance that the drying ovens do not receive lots of different products or different lots from a single product at the same time?									
68 Section 12.6	Is there physical separation between different compressing machines?									
69 Sections 15.11 and 15.20	Is the transfer of semi manufactured/bulks products between one step of the process and another carried out in a manner to prevent their contamination?									
70 Section 15.11	Are the containers of semi manufactured products kept closed, and opened only when it is necessary?									

Ref WHO 32	Areas Installations and Equipment	SOLID PRODUCTS			SEMI-SOLID PRODUCTS			LIQUID PRODUCTS		
		Yes	No	NA	Yes	No	NA	Yes	No	NA
OPERATION										
71 Sections 11.22; 15.24 and 15.51	Is the mixture of different products or different lots of products avoided through physical separation between the packaging lines?									
72 Sections 15.16 and 15.19	Is there confirmation that the suspensions and/or emulsions are maintained uniform throughout the bottling process?									
73 Section 15.18	Do bottles receive some type of cleaning treatment and/or contaminant removal before being filled?									
74 Sections 11.27 and 15.24	Is the filling operation carried out on line?									
75 Sections 11.27; 15.20 and 15.24	If it is not carried out on line is there a designated filling area?									
75.1 Sections 11.27 and 15.20	In that case, are the bottles transferred to the filling area protected against environmental contamination?									
76 Sections 15.28 and 15.34	Do empty primary containers have a batch number and expiry date?									
77 Section 15.34	If so, are the remaining primary containers destroyed? Are the records kept?									
78 Section 15.28	If the empty primary containers do not have batch number and expiry date, are they coded manually or automatically?									
79 Section 15.28	Are the correct batch number and expiry date confirmed at regular intervals?									
80 Sections 14.38; 14.39; 14.40; 15.28; 14.11(c) and 14.11(d)	Do all finished products have the batch number and expiry date printed on their primary container?									
81 Sections 15.24 and 15.34	If the labeling and/or packaging operations are conducted outside of the packaging line, is the operation carried out in a designated environment/sector?									

Ref WHO 32	Areas Installations and Equipment	SOLID PRODUCTS			SEMI-SOLID PRODUCTS			LIQUID PRODUCTS		
		Yes	No	NA	Yes	No	NA	Yes	No	NA
OPERATION										
82 Sections 15.29 and 15.34	Are they coded by an automatic system?									
83 Sections 15.28 and 15.34	Are the right batch number and expiry date confirmed by authorized personnel?									
84 Sections 15.29 and 15.34	How are the labels dispensed?									
84.1 Sections 15.29 and 15.34	Are precautions taken to prevent mix-ups and confusion?									
85 Section 15.34	Is the unused printed and coded material destroyed?									
85.1 Section 15.34	Are records of this kept?									
86 Section 15.34	Is the unused non-coded printed material returned to the warehouse?									
86.1 Section 15.34	Are records of this kept?									
87 Section 15.30.	Is the printed or embossed information legible?									
88 Section 15.30	Is the printed or embossed information resistant to fading or erasing?									
89 Sections 15.21; 15.21 and 15.31	If automatic machines are used to control dimensions, weights, labels, prospects, bar code, etc., is their proper performance verified?									
90 Section 15.32	In the case of the automatic system, are discarded units which are returned to the line, previously inspected and approved by authorized personnel?									

Ref WHO 32	Areas Installations and Equipment	SOLID PRODUCTS			SEMI-SOLID PRODUCTS			LIQUID PRODUCTS		
		Yes	No	NA	Yes	No	NA	Yes	No	NA
OPERATION										
91 Sections 15.1; 15.9 and 15.31	Are process controls performed at each production step?									
91.1 Section 15.27	Is the packaging operation carried out on line with the filling operation?									
91.2 Sections 14.3 and 15.27	If it is not carried out on line, is there a specific area designated for packaging?									

PRODUCTION			
SEGREGATED PHARMACEUTICAL PRODUCTS: HIGHLY ACTIVE AND SENSITIZING			
Ref WHO 32		**YES**	**NO**
1 Sections 15.12 and 11.20	Does the company have designated areas or independent facilities for the manufacture of highly sensitizing pharmaceutical products, such as?: a) Penicillin derivatives b) Cephalosporin c) Hormones d) Cytostatics e) Biological preparations of live organisms.		
2	Do production areas have restricted access and only allow access to authorized people?		
3	Are manufacturing steps, from weighing to primary packaging for every group of active ingredient carried out in designated areas or independent facilities?		
4	Do all the areas have their own independent air locks for entry of workers and materials?		
5	Do they have pressure differentials?		
6	Are there manometers to detect pressure differentials?		
7	Is there a schematic drawing of the different areas with their corresponding pressure values?		
8	Is there an air extraction system to avoid discharging contaminants into the environment?		
9	Is there a recirculation of output air?		
10	Does the method use guarantee that the recycled air lacks contamination and that the output fraction that goes to the outside is free of product?		
11	Are there procedures and records of destruction of the waste and filters that were used in these installations/facilities?		
12	Do personnel wear clothing appropriate for the tasks that they perform?		
13	Is clothing of exclusive use?		
14	Does the company have a system for the decontamination, inactivation, washing, and conditioning of the clothing?		
15	Do workers use special protective equipment throughout the production process?		
16	Is a procedure for the cleaning and decontamination of areas and equipment of known effectiveness used?		
17	Is there a distinct and separate area for washing materials and equipment?		

PRODUCTION																	
STERILE PRODUCTS																	
Ref WHO 32	Areas CONDITIONS	Terminally sterilized products			Sterile filtered products			Aseptically prepared products			Lyophilized products			Non-injection products		
		Yes	No	NA	Yes	No	NA	Yes	No	NA	Yes	No	NA	Yes	No	NA
DOCUMENTATION																	
1 Section 14.8	Are all the standard operating procedures (SOP) available in the areas where the activity is performed?																
2 Section 14.4	For each procedure, are the purpose, scope, references, and responsibilities clearly defined?																
3 Section 14.4	Is there a detailed description, of the precise and sequential operational routine?																
4 Section 14.5	Are the issue date and the effective date indicated?																
5 Section 14.5	Are the procedures available, current?																
6 Section 14.5	Are the signatures of the personnel that issue, review, and approve the document indicated?																
7 Section 14.8	Are the records indicated within the procedures available?																
8 Section 14.10	Are the labels adhered to the containers, equipment, and other auxiliary elements of production and areas clear and unambiguous?																
9 Section 14.10	Do they indicate the condition in which the products, equipment, and areas are found?																
10 Section 14.28	Is the documentation related to the process that is being carried out in each area shown?																
11 Section 14.28	Is the documentation completed at the moment that the actions are carried out?																
12 Section 14.35	Are the procedures for the operation and use of each equipment available?																

Ref WHO 32	Areas CONDITIONS	Terminally sterilized products			Sterile filtered products			Aseptically prepared products			Lyophilized products			Non-injection products		
		Yes	No	NA	Yes	No	NA	Yes	No	NA	Yes	No	NA	Yes	No	NA
DOCUMENTATION																
12.1 Section 14.35	Are the records of maintenance and use of the critical equipment kept?															
AREAS, PREMISES AND EQUIPMENT																
13 Section 17.2	Is the area separated from the other departments?															
14 Section 17.2	Are there physically separated areas for each production step?															
15 Section 17.16	Does the design of the areas, grade A and B, permit a visual view of all the operations from the outside?															
16 Section 17.51	Is the manufacturing environment where a solution is subject to terminal sterilization a grade D?															
17 Section 17.5.1	Are parenteral products that are to be terminally sterilized, filled in a workstation with laminar airflow grade A?															
18 Section 17.51	Are parenteral solutions subject to terminal sterilization filled in a grade C environment?															
19 Section17.51	Are non-parenteral products subject to terminal sterilization filled in a grade C environment?															
20 Section 17.52	For products that are sterilized by filtration, is the preparation of the solution in closed tanks carried out in a grade D environment?															
21 Section 17.52	For products that are sterilized by filtration, is the preparation of the solution in opened tanks carried out in a grade C environment?															
22 Section17.52	For sterile filtered products, after the sterilizing filtration process is the product handled and filled under local grade A or B conditions within a grade B or C background environment?															

Ref WHO 32	Areas CONDITIONS	Terminally sterilized products			Sterile filtered products				Aseptically preparated products			Lyophilized products			Non-injection products	
		Yes	No	NA	Yes	No	NA	Yes	No	NA	Yes	No	NA	Yes	No	NA
AREAS, PREMISES AND EQUIPMENT																
23 Section17.53	Is the whole manufacturing process of products prepared with raw materials aseptically, carried out under local grade A or B conditions within a grade B or C environment?															
24 Section17.17	Are the wall surfaces, floors and ceilings smooth and impervious, minimizing the shedding and the accumulation of particles and microorganisms?															
24.1 Section17.18	Are they easy to clean and maintain sanitary?															
24.2 Section 17.19	Are the finishing of sanitary conditions?															
24.3 Section 17.18	Are they in good conditions and hygienic?															
25 Sections 17.18 and 17.20	Are the openings, with the exception of the doors, sealed?															
26 Section 17.18	Are the doors constructed in such ways that they do not contain surfaces that cannot be cleaned?															
27 Section 17.19	In case of existing false ceilings, are they sealed in order to prevent the contamination from the free space above them?															
28 Sections 17.20 and 17.21	Are the pipes, lighting fixtures, points of ventilation and other services designed in such a way to permit their easy cleaning and sanitation?															
29 Section 12.3	Are pipes of dangerous liquids or gases identified and indicate the direction of flow, whenever necessary?															

Ref WHO 32	Areas CONDITIONS	Terminally sterilized products			Sterile filtered products			Aseptically preparated products			Lyophilized products			Non-injection products		
		Yes	No	NA	Yes	No	NA	Yes	No	NA	Yes	No	NA	Yes	No	NA
AREAS, PREMISES AND EQUIPMENT																
30 Section 12.4	For the pipes of dangerous gases and liquids, are non-interchangeable connections used for each type of fluid?															
31 Section 17.21	Are the drains equipped to prevent back-flow?															
32 Section 11.5	Are the necessary lighting precautions taken when working with photosensitive raw materials?															
33	Are the visible electrical installations maintained in good condition?															
34 Section 17.3	Do they have an air supply filtered by HEPA terminal filter in the areas grade A, B and C?															
35 Section 17.3	Do grade D areas have high efficiency filters?															
36 Section 17.3	In the areas of controlled environment (grade B, C and D), is the number of air changes by hour greater than 20?															
37 Section 17.32	Are the integrity and the sealing of the filters confirmed?															
37.1 Section 17.32	Is there a SOP for the review and changing of filters?															
37.2 Section 17.32	Are there records?															
38 Sections 17.24 and 17.25	Do the areas have instruments with current calibration, which make it possible to confirm a cascade of pressure differential?															
38.1 Sections 17.24 and 17.25	Are there records?															
39 Section 17.25	Do the air flow patterns prevent contamination?															
40 Section 17.26	Is there an alarm system that indicates a deviation in the air supply to the aseptic areas?															

Ref WHO 32	Areas CONDITIONS	Terminally sterilized products			Sterile filtered products			Aseptically preparated products			Lyophilized products			Non-injection products		
		Yes	No	NA	Yes	No	NA	Yes	No	NA	Yes	No	NA	Yes	No	NA
AREAS, PREMISES AND EQUIPMENT																
40.1 Section 17.26	Is there a SOP for how to proceed in the event that this occurs?															
41 Section 17.28	Is there a measure in place to avoid a conveyor belt going from a grade B area to one of lower air quality?															
42 Section 11.26	Is there ventilation with adequate temperature, humidity, and air filtration, if the raw materials and/or handled products require it?															
43 Section 11.26	Are the temperature and relative humidity measured and recorded, if the product requires it?															
44 Section 11.26	Do the temperature and relative humidity correspond with the specifications for the process of every product?															
45 Section 17.22	Are there change rooms exclusive for the controlled environment areas?															
46 Section 17.23	Are the change rooms designed with air locks?															
46.1 Section 17.22	Do these locks have a system of closing interblocking?															
46.2 Section 17.22	Do these locks have filtered air?															
46.3	Is a bench of sanitary conditions available?															
47 Section 17.21	Is there an area or sector for the washing of containers and/or tools?															
48	Is there an area or sector for the storage of equipment and clean auxiliary elements?															
49 Section 17.15	Is there an area for the conditioning of the clothes for use in the controlled environments?															
50 Section 17.2	Is there a separate area for the washing and for the depyrogenation of empty bottles and ampoules?															

Ref WHO 32	Areas CONDITIONS	Terminally sterilized products			Sterile filtered products			Aseptically preparated products			Lyophilized products			Non-injection products		
		Yes	No	NA	Yes	No	NA	Yes	No	NA	Yes	No	NA	Yes	No	NA
AREAS, PREMISES AND EQUIPMENT																
51 Section 17.34	Are the operational areas clean?															
52 Section 17.34	Is the area cleaned, within 24 hours after ending the process activities?															
53 Section 17.34	Is a validity period established for cleaning?															
54 Section 17.34	Are these indications established in the SOP for the cleaning of every area?															
55	Are containers for waste collection identified as such?															
55.1	Are they well covered?															
56 Section 12.10	Are the materials used in their construction compatible with the active ingredients handled?															
57 Section 12.6	Does the location of the equipment facilitate their cleaning, as well as, the cleaning of the area in which are found?															
58 Section 12.5	Are all the measuring instruments/equipment of an appropriate range and precision?															
59 Section 12.5	Are there calibration records of the equipment/instruments available?															
60	Is the unused equipment removed from the production areas?															
61	Is the equipment in repair identified as such?															
62 Section 12.7	Are all the containers, equipment and auxiliary elements cleaned after their use?															
63 Section 12.7	Is a validity period for the cleaning of the equipment established?															
63.1 Section 17.34 and 17.37	Are these indications established in the SOP for the cleaning of every equipment?															

Ref WHO 32	Areas CONDITIONS	Terminally sterilized products			Sterile filtered products			Aseptically preparated products			Lyophilized products			Non-injection products		
		Yes	No	NA	Yes	No	NA	Yes	No	NA	Yes	No	NA	Yes	No	NA
AREAS, PREMISES AND EQUIPMENT																
64 Section 12.4	Are all the hoses, tubes and pipes used in the transfer of fluids identified?															
64.1	Are they dedicated by product?															
64.2	When they are not dedicated, is the cleaning validated?															
64.3	Are they maintained in good working condition?															
64.4 Section 12.10	Are the connections and valves used of sanitary conditions?															
65 Section1 7.82	Are the filters used disposable?															
66 Section 17.82	If they are not disposable, is their usage period established?															
67 Section 17.82	Are the changes recorded?															
68 Section 17.82	Is filter sterilization recorded?															
69 Section 17.82	Are the filters dedicated by active raw material?															
OPERATIONS																
70 Sections 17.13 and 17.14	Are protection elements utilized for the operations that require them? Which ones?															
71 Section 17.11	Is the clothing used appropriate for the areas and tasks that are carried out?															
71.1 Section 17.14	Are the uniforms used for work in aseptic areas, clean, in good condition and sterilized prior to their use?															
72 Section 17.13	Are the gloves free of lubricants?															
73 Section 17.12	Is the entry of the personnel into the clean rooms with watches, jewelry, or cosmetics prohibited?															

Ref WHO 32	Areas CONDITIONS	Terminally sterilized products			Sterile filtered products			Aseptically preparated products			Lyophilized products			Non-injection products		
		Yes	No	NA	Yes	No	NA	Yes	No	NA	Yes	No	NA	Yes	No	NA
OPERATIONS																
74 Section 17.24	Are pressure differential values in the different areas measured and recorded?															
74.1 Section 17.26	Are records kept?															
75 Section 17.3	Are particulate counts conducted in the controlled environments?															
75.1	Are records kept?															
76 Section 17.37	Are microbiological controls conducted in the controlled environments?															
76.1 Section 17.37	Are records kept?															
77 Sections 14.30; 14.27 and 15.15	Before starting the production process, is it confirmed that the work area and equipment are clean and free from materials from the previous operation and/or materials not pertinent to the current manufacturing process?															
78 Section 17.10	Are the personnel entering the change room already wearing protective clothing?															
79 Sections 14.28(e) and (f)	Is the weight verification of utilized raw materials in the manufacturing of each lot, carried out?															
80	Are the instructions for manufacturing followed and are the records taken, including control points?															
81 Section 17.51	Are the materials and equipment sterilized and their containers sanitized?															
81.1	Do they enter to the aseptic area by air lock?															
82	Is there a validity time period established for the sterilization of the uniforms, components, containers of products in bulk and other equipment?															

Ref WHO 32	Areas CONDITIONS	Terminally sterilized products			Sterile filtered products			Aseptically preparated products			Lyophilized products			Non-injection products		
		Yes	No	NA	Yes	No	NA	Yes	No	NA	Yes	No	NA	Yes	No	NA
	OPERATIONS															
83 Section 17.78	Are sterilizing filtration systems utilized?															
83.1 Section 17.81	Is the integrity of the filters confirmed?															
83.2 Section 17.81	Are records kept?															
84 Section17.48	For each product, is the maximum time between the starting of the preparation of a solution and its sterilization or filtration through absolute filters established?															
85 Section 17.57	In the case of having a divided batch, is product sterilization carried out by perfectly identified loads?															
86 Section 17.51	Are records of sterilization and depyrogenation of the container for the filtrate product reception available?															
86.1 Section 17.55	Are records kept?															
87 Section 17.3	Is the operation of washing of empty bottles and ampoules done at the least in a grade D area?															
88 Section 17.90	Do the cleaning machines of empty bottles and ampoules use water for injection, for at least the last rinse?															
89	Are filters utilized for the compressed air used in these washing machines?															
90	Are filters utilized for the water?															
90.1	Are records of replacing filters kept?															
91	Are depyrogenation ovens used?															
92	Are depyrogenation tunnels used?															
93	Are depyrogenation cycles validated?															
93.1	Are records kept?															

Ref WHO 32	Areas CONDITIONS	Terminally sterilized products			Sterile filtered products			Aseptically preparated products			Lyophilized products			Non-injection products		
		Yes	No	NA	Yes	No	NA	Yes	No	NA	Yes	No	NA	Yes	No	NA
OPERATIONS																
93.2	Are depyrogenation cycles recorded?															
94	Is the material flow unidirectional?															
95 Section 17.54	What type of sterilization does the containers for non-injection sterile products receive (bottles, flasks, covers, inserts)?															
95.1 Section 17.54	Are records available?															
95.2 Section 17.46	Are they transferred safely to packaging areas?															
96 Section 17.46	Is the transfer of intermediate/bulks between one step and another carried out in a manner which prevents their contamination?															
97 Section 17.41	Is the maximum time elapsed between the filtration and the product filling determined for products without terminal sterilization?															
98 Section 17.22	Do personnel enter to the packaging area through direct access from the change room to clean rooms?															
99 Section 17.13	Do personnel wear sterile clothing?															
100	Is the mix-up of different products or different lots of same product avoided by having physical separation among the packaging lines?															
101 Section 14.29	Is there a confirmation that the suspensions and/or emulsions are maintained uniform throughout the bottling process?															
102	Is the operation carried out on line?															
103 Section 17.40	Are aseptic filling test conducted with culture medium, in the normal working conditions, at least on a semiannual frequency?															
103.1 Section 17.40	Are these tests carried out in such a way to most accurately reproduce the normal working conditions in the area?															

Ref WHO 32	Areas CONDITIONS	Terminally sterilized products			Sterile filtered products			Aseptically preparated products			Lyophilized products			Non-injection products		
		Yes	No	NA	Yes	No	NA	Yes	No	NA	Yes	No	NA	Yes	No	NA
OPERATIONS																
103.2 Section 17.40	Are they carried out in a minimum of 3000 units?															
103.3 Section 17.40	Is the test rejected if a figure greater than 0.1% of contaminated units is obtained?															
103.4 Section 17.40	Are there records of these tests?															
103.5 Section 17.40	Are the causes of any detected contamination investigated?															
103.6 Section 17.40	Are there records of this investigation?															
103.7 Section 17.40	Are there records of the corrective actions taken in those cases?															
104 Section 14.31(g)	Do empty primary containers have a batch number and an expiry date?															
105	If so, are the remaining empty primary containers destroyed?															
106	Are records of this kept?															
107 Section 15.28	If the empty primary containers do not have a batch number and an expiry date, are they coded manually or automatically?															
108 Section 15.28	If manually coded, are the right batch numbers and expiry dates confirmed at regular intervals?															
109 Section 14.38, 14.39 and 14.40	Do all finished products have a printed batch number and an expiry date on their primary container?															
110 Section 15.29	If the printing of labels and/or packages is conducted outside the packaging line, is the operation carried out in an environment/ sector which is exclusive, taking one input at a time?															
111 Section 15.29	Are they coded by an automatic system?															

Ref WHO 32	Areas CONDITIONS	Terminally sterilized products			Sterile filtered products			Aseptically prepared products			Lyophilized products			Non-injection products		
		Yes	No	NA	Yes	No	NA	Yes	No	NA	Yes	No	NA	Yes	No	NA
OPERATIONS																
112 Section 15.29	Are the right batch number and expiry date confirmed by authorized personnel?															
113 Section 15.29	Are the labels dispensed in rolls?															
114 Section 15.29	Is the unused printed and coded material destroyed?															
115 Section 15.29	Are records kept?															
116 Section 15.29	Is the remaining unused non-coded printed material returned to the warehouse?															
116.1 Section 15.29	Is there a SOP available for the process of these returns?															
117 Section 15.29	Are records kept?															
118 Sections 15.31(e) and 15.21	Is the printed or embossed information legible?															
119	Is the printed or embossed information resistant to fading or erasing?															
120 Sections 15.31(e) and 15.21	If automatic machines are used to control dimensions, weights, labels, prospects, bar code, etc., is their proper performance verified?															
121 Section 15.32	In the case of the automatic systems, are discarded units which are returned to the line, previously inspected and approved by authorized personnel?															
122 Section 15.27	Is the final packaged material identified with the appropriate label?															
123 Section 17.51	Do the autoclave and depyrogenation oven, for taking materials to the aseptic area, have double doors?															
124	Are mix-ups avoided between the sterile and non-sterile material?															

Ref WHO 32	Areas CONDITIONS	Terminally sterilized products			Sterile filtered products			Aseptically prepared products			Lyophilized products			Non-injection products		
		Yes	No	NA	Yes	No	NA	Yes	No	NA	Yes	No	NA	Yes	No	NA
OPERATIONS																
125	Are records of time, temperature, and/or pressure of the autoclave and depyrogenation oven maintained?															
126	Is a validation program for moist heat sterilization cycles maintained?															
126.1	Are records kept?															
127 Section 17.63	Is clean steam used in the sterilization cycles?															
128 Section 17.63	Are indicators used at each cycle of sterilization?															
128.1 Section 17.63	Are records kept?															
129 Section 17.86	Is sterilized material correctly identified and safely transferred to the review/verification sector, to avoid mix-ups?															
130 Section 17.86	Is the review/verification done automatically?															
130.1 Section 17.86	Is the equipment challenged? 153.1															
130.2 Section 17.86	Are records kept? 153.2															
131 Section 17.86	Is the review/verification done semiautomatically?															
131.1 Section 17.86	Is the review/verification done visually?															
132.2 Section 17.86	Is there a changeover of staff carried out?															
133.3 Section 17.86	Are records kept?															
133.4 Section 17.86	Are frequent ophthalmological examinations conducted on the workers in charge of the review/verification, at least annually?															
133.5 Section 17.86	Are conditions of lighting and contrast for the review/verification controlled?															

Ref WHO 32	Areas CONDITIONS	Terminally sterilized products			Sterile filtered products			Aseptically preparated products			Lyophilized products			Non-injection products		
		Yes	No	NA	Yes	No	NA	Yes	No	NA	Yes	No	NA	Yes	No	NA
OPERATIONS																
134 Section 15.26	Are the containers that contain the already inspected material labeled as such?															
135 Section 15.34	Is the discarded material destroyed?															
135.1 Section 15.34	Are records kept?															
136 Sections 14.28 and 18.28	Are process controls undertaken at the different steps of production?															
136.1	Are records kept?															

CHAPTER 12			
QUALITY CONTROL			
REF WHO 32		**YES**	**NO**
1 Section 3.2	Does the Quality Control laboratory carry out its own:		
1.1 Section 3.2	Physicochemical controls?		
1.2 Section 3.2	Microbiological controls?		
1.3 Section 3.2	Biological controls?		
2 Section 14.1	Is a clearly defined flow of samples and documentation established?		
3 Section 11.29	Are the physicochemical and microbiological controls sector physically separated?		
4 Sections 18.46; 16.1 and 3.2g	Is the Quality Control Department responsible for approving or rejecting the raw materials, packaging materials, intermediate products, and finished products?		
5 Section 3.2	Is there personnel with assigned responsibility to inspect the manufacture processes (own and in third parties)?		
6 Sections 11.30 and 12.1	Are the installations and the equipment as appropriate with the type of manufacture? Are the installations and the equipment as appropriate for the type of active ingredients handled?		
7	Is there a defined area for the washing and conditioning of materials exclusively destined for the physicochemical laboratory?		
8	Are there safety installations such as shower, eye washer, fire extinguisher, and protection elements?		
8.1	Is there an operation verification program for the safety equipment?		
8.2	Are the records kept?		
9 Section 18.47	Is there the necessary equipment for the analytical controls required for materials and products? Attach list of equipment		

REF WHO 32	QUALITY CONTROL	YES	NO
10 Sections 8.1; 8.9; 8.10; 8.11 and 8.12	Are there tests that because of their dangerousness and/or grade of complexity of the determination and/or very low frequency, becomes necessary the contracting of an external service?		
10.1 Sections 8.1; 8.9; 8.10; 8.11 y 8.12	Are these tests performed by contracted laboratories or by agreements with official laboratories?		
10.2 Sections 8.1; 8.9; 8.10; 8.11 and 8.12	What are the tests carried out in these laboratories?		
10.3 Sections 8.1; 8.9; 8.10; 8.11 and 8.12	Are there technical contracts/agreements?		
10.4 Sections 8.1; 8.9; 8.10; 8.11 and 8.12	Does the contracted laboratory have all the technical information to perform the controls in total concordance with the techniques of control of the titular company?		
10.5 Sections 8.1; 8.9; 8.10; 8.11 and 8.12	Does the Titular Company's Quality Control Laboratory receive from the Contracted Laboratory the results of the tests?		
10.6 Sections 8.1; 8.9; 8.10; 8.11 and 8.12	Does the Titular Company's Quality Control Laboratory have access to all the data in order to confirm these results?		
11	Is there a program for preventive maintenance for all the equipment?		
11.1	Are there records that shown preventive maintenance program compliance?		
12 Section 17.32	Is there a program of equipment calibration?		
12.1 Section 17.32	In the equipment calibration program is indicated, which operations are performed internally and which by contracted services?		
12.2 Section 17.32	Is the frequency of calibration indicated in the equipment calibration program?		
12.3 Section 17.32	Are records of calibration of each equipment that shown program compliance?		

REF WHO 32	QUALITY CONTROL	YES	NO
13 Section 17.32	Are there written procedures to perform the calibration of each equipment?		
14 Section 17.32	Do the calibration certificates or reports indicate the traceability to standards?		
14.1 Section 17.32	Do the calibration certificates or reports indicate the uncertainty of the corresponding measure?		
15 Section 17.32	Is the equipment correctly labeled indicating the calibration validity?		
16 Section 17.32	In case of internal calibrations, does the laboratory have certified standards?		
17 Section 17.32	Are the corresponding certificates shown?		
18	Does the laboratory have procedures for the performance qualification (PQ) of equipment?		
18.1	Is there documentation that endorses the fulfillment of this procedure?		
19 Sections 3,2(b); 3.2(h); 16.2 and 16.7	Are there SOPs with the detailed description for the sampling of:		
19.1 Sections 3,2(b); 3.2(h); 16.2 and 16.7	a) Raw materials?		
19.2 Sections 3,2(b); 3.2(h); 16.2 and 16.7	b) Packaging materials?		
19.3 Sections 3,2b; 3.2(h); 16.2 and 16.7	c) Intermediate product?		
19.4 Sections 3,2(b); 3.2(h); 16.2 and 16.7	d) Finished product?		
20 Section 16.3	Are the sampling methods for tests representative of the totality of the lot or batch?		

REF WHO 32	QUALITY CONTROL	YES	NO
20.1 Section 16.3	Are these procedures fulfilled?		
21 Sections 13.11 y 16.9.	Are the sampled containers correctly analyzed and identified?		
22 Sections 13.11; 16.9 y 16.7	Does the number of sampled containers agree with the sampling standard?		
23 Sections 14.37(a); 16.3 and 16.8	Are all incoming packaging materials, without exception, sampled by Quality Control in accordance with the established standard?		
24	Is there a SOP for the approval and rejection of the materials?		
25 Section 16.5	Are there the elements necessary for the sampling?		
25.1 Section 16.5	Are the sampling elements conserved in good condition?		
25.2 Section 16.6	Are the sampling elements duly stored and labeled?		
25.3 Section 16.6	Is there a written procedure for the cleaning, use, and conservation of the sampling elements?		
26 Section 3.2	Are the analytical methods utilized authorized by the one responsible of Quality Control?		
27	Is there a program for validation for the methods that are not published in pharmacopoeias internationally recognized?		
27.1	Is there a record of compliance with that validation program?		
28 Sections 3.1;3.2; 14.13 and 14.18	Are there specifications for:		
28.1 Section 16.8	Raw materials?		
28.2 Section 16.8	Packaging materials?		

REF WHO 32	QUALITY CONTROL	YES	NO
28.3 Section 3.2	Intermediate product?		
28.4 Section 16.13	Finished product?		
29 Section 13.19	Are there SOPs that indicate the frequency of re-analysis and the validity of the carried out tests?		
29-1	Are these procedures fulfilled?		
30 Section 3.2(h)	Are samples of retention of the active raw materials and finished products, in enough quantity to carry out all the tests by duplicate, kept in accordance to a SOP?		
31 Section 16.16	Are the retention samples of finished products kept until a year after the expiry date of the product?		
31.1 Section 16.16	Are the samples of retention of raw materials kept until a year after the expiry date of the last lot of product prepared with them?		
32 Section 13.34	Are there standards and reference materials?		
32.1 Section 14.12	Is a record of the primary standards kept?		
32.2 Section 14.12	Is a record of the secondary standards kept?		
32.3 Section 14.12	Is a record of the reference materials kept?		
33 Section 13.36	Does the company have primary standards, coded by Pharmacopoeias or internationally recognized agencies, for each active ingredient?		
33.1 Section 14.12	Are the primary standards from the current lot?		
34 Section 14.12	Do all the secondary standards and reference materials have current analytical certificate?		
35 Section 13.36	Are there SOPs for the preparation, use and conservation of standards and reference materials?		
35.1	Are those procedures fulfilled?		
35.2 Section 13.36	Are the records shown?		

REF WHO 32	QUALITY CONTROL	YES	NO
36 Section 13.36	Are tests of characterization and purity carried out to the samples to be utilized as reference substances of non-coded active ingredient?		
37	Does the company have impurities and related substances standards, officials or non-officials, especially for those considered toxic?		
38 Section 3.2	Does the company have all the reagents needed for carried out the routine physicochemical assays?		
38.1 Section 3.2	Are the reagents correctly labeled?		
39 Section 13.32	Are volumetric solutions used?		
39.1 Section 13.32	Is there a standard operating procedure for the preparation, use, and conservation of volumetric solutions?		
40 Section 13.32	Do every container of analytical solution have a label where there is indicated:		
40.1 Section 13.32	Name of the solution?		
40.2 Section 13.32	Concentration - standardization factor?		
40.3 Section 13.32	Preparation date?		
40.4 Section 13.32	Responsible?		
40.5 Section 13.32	Retest date?		
40.6 Section 13.32	Expiry date?		
40.7 Section 13.32	Storage conditions?		
40.8 Section 13.32	Safety category?		
40.9 Section 13.32	Reference to the SOP?		

REF WHO 32	QUALITY CONTROL	YES	NO
41 Section 13.32	Are the unstable reagents labeled with reception date, opening date and expiry date?		
42 Sections 3.2.3 and 14.9	Do the analysts have a logbook in which are recorded the laboratory results?		
43	Are the calculations dated and signed by the analyst?		
44 Section 14.43	If there are observed modifications of data, is the amendment carried out dated and signed? Does the amendment make possible to visualize the original datum?		
45	In the records of the analyses, it is indicated:		
45.1	Name of the analyzed material?		
45.2	Lot number?		
45.3	Analysis number?		
45.4	Obtained results?		
45.5	Date?		
45.6	Utilized methods and specifications?		
45.7	Signs/ initials of the people who carried out the test?		
45.8	Sign/initials of the person that verified the tests and calculations?		
45.9	In case of having computerized systems for the acquisition of data, do they make it possible to be confirmed?		
46	Does Quality control check if each manufactured lot meets the established specifications?		
46.1	Are there records?		
46.2	Are the causes of the out of specifications results investigated?		
46.3	Are there records of this investigation?		
46.4	Are there records of the actions taken in those cases?		
47	Does the records of the tests contain at least the following information:		
47.1	Sample identification?		

REF WHO 32	QUALITY CONTROL	YES	NO
47.2	Date?		
47.3	Name of the analyst?		
47.4	Identification of the reference standard?		
47.5	Parameters and conditions that correspond?		
48 Section 17.90	Are tests of bacterial endotoxins carried out in raw materials and goods declared as pyrogen-free by the supplier, to be used in the injection manufacture?		
49 Section 17.90	Are tests of pyrogens or bacterial endotoxins carried out in the finished products for injection, when it corresponds?		
50 Section 17.90	Is an official method utilized for bacterial endotoxin control?		
51 Section 17.90	Otherwise, is the method validated?		
52	Are pyrogen tests carried out in animals?		
52.1	If "YES":		
52.2 Section 11.10	Does the company have its animal house?		
52.3	Does the company use a contracted animal house?		
52.4	In any of both cases, does animal house fulfills with the current regulations on animal operation and management?		
52.5 Section 11.10	If the company have animal house, is this separated from the other installations?		
53	Are microbiological controls carried out?		
54 Section 11.29	Does the company have separated areas for sterility test and other microbiological controls?		
55 11.31	Are there proper areas and laminar flow for carry out the sterility tests?		
56 Section 17.32	Are the filters of the laminar flow periodically checked?		
57 Section 13.31	Does the company have the materials, culture media and reagents necessary for carrying out the routine microbiological controls?		
57.1 Section 13.32	Are the materials, culture media and reagents within the validity period?		

REF WHO 32	QUALITY CONTROL	YES	NO
58 Section 13.32	Are the dehydrated culture media stored in the conditions of humidity and temperature indicated by the manufacturer?		
59	Are the parameters of every sterilization cycle of culture media recorded?		
60 Section 13.33	Is the growth promotion test carried out whenever new lots of culture media are utilized?		
61 Section 13.32	Is a standard operating procedure for the preparation of culture media?		
62 Sections 14.12; 13.31; 13.34 and 13.32	Are microbial reference strains?		
62.1	If there are reference strains, are they certified by an internationally recognized agency?		
62.2	Is there a record of identification and use of strains?		
62.3	Is the transfer frequency established?		
62.4	Are the transfers recorded?		
62.5	Are periodic controls carried out in order to confirm the viability?		
62.5.1	Are periodic controls carried out in order to confirm the morphological and biochemical identity?		
63 Section 17.87	Are sterility tests carried out?		
63.1 Sections 17.90 y 3.2 (c)	For sterility tests, are coded methods utilized?		
63.2 Section 3.2 (c)	Otherwise, is the method utilized for sterility tests validated?		
64 Section 17.89	Is there a record of % of false positive?		
64.1	Is the **%** of false positive not more than 0.5 % from total?		
65	Which is the culture utilized for the sterility test?		
65.1	If the lot fails the sterility test, is a complete investigation of the causes made?		

REF WHO 32	QUALITY CONTROL	YES	NO
65.2	Is a second test carried out if only if it demonstrated that the original test was not valid?		
66	Are antibiotic potency assays carried out?		
66.1	Is the statistical proof of the determination of potency and validity of the test carried out?		
67 Section 11.29	Does the company have areas or sectors assigned for the sample preparation?		
67.1 Section 11.29	Does the company have areas or sectors assigned for the washing and conditioning of materials?		
67.2 Section 11.29	Does the company have areas or sectors assigned for the preparation of culture media?		
68 Sections 12.1 and 12.2	Does microbiology sector have equipment for bacterial decontamination?		
69	Is there a procedure for the handling and disposal of chemical and microbial waste?		
69.1	Does the procedure indicate that should not be permitted the accumulation of discarded materials?		
69.2	Are the discarded materials eliminated safely and sanitarily at regular and frequent intervals?		
70	Does Quality control carries out environmental microbiological controls?		
70.1	Are there records?		

CHAPTER 13			
QUALITY ASSURANCE			
REF WHO 32		**Yes**	**No**
1 Section 1.1	Is there in the company a quality assurance system?		
2 Section 1.3	Are there in the company *the competent personnel* who coordinate *the* quality assurance *system*?		
3 Sections 1.1 and 1.3	Is the quality policy spread at all levels within the company?		
3.1	Are there written procedures for that spread?		
4 Section 1.2(l)	Is there SOP of self-inspection and/or audit of quality through which the effectiveness and applicability of the system of the quality assurance is evaluated regularly?		
5 Section 14.9	If the documentation is carried out through electronic data processing methods does the company kept a reserve copy of the documentation?		
5.1 Section 14.9	Is the admission of new data or modifying of the existing data in the computer system done only by the people authorized?		
5.2 Section 14.9	Is a record of the data modifications and/or elimination kept?		
5.3 Section 14.9	Are passwords or other means to restrict the access to the system established?		
5.4 Section 14.9	Are the records of lots electronically filed protected?		
5.5	Is there a program of control of the SOPs?		
6	Is the approval and monitoring of the activities of validation a responsibility of quality assurance?		
7 Sections 1.2 (a);(b) and (f)	Does Quality assurance have authority for the review of the records of production and analytical protocols in order to confirm if every lot of product is made and controlled correctly in accordance with the defined procedures?		
8 Section 14.8	Does Quality assurance guarantee that the documentation of every lot produced is filed?		
8.1 Sections 1.2.(g) and 3.2(g)	Is there a SOP for release products to the market?		
9 Section 16.15	If in the review of the production records are detected bypasses of the established procedures, is quality assurance responsible for ensuring a complete investigation of the bypasses and that the final conclusions are justified?		

REF WHO 32	QUALITY ASSURANCE	Yes	No
10 Section 16.15	If a lot it does not meet specifications, does the investigation is extended to other lots of the same product and of other products that could have had some relation with the defect or the discrepancy?		
11 Section 1.2(e)	Is Quality assurance responsible for verify that the SOP'sof all areas (production, quality control, engineering, maintenance, etc.) are consistent with the quality system?		
12 Section 14.4	Does the company kept originals of all procedures and records of distribution of the authorized copies?		
13 Section 14.5	Are the procedures reviewed within their validity period?		
14 Section 14.5	If a procedure is modified, is there a system by which the accidental use of a previous version is prevented?		
15 Sections 10.11 and 10.12	Does Quality assurance verify the fulfillment of the staff training plans?		
REF WHO 32	**STABILITY**	**Yes**	**No**
20 Section 16.19	Does the program of quality assurance include stability studies of products?		
21 Section 16.19	Is there a written program for stability study of the products?		
22 Section 16.19	Does stability study program include:		
22.1 Section 16.19	A complete description of the product studied?		
22.2 Section 16.19	The controlled parameters and validated analytical methods that demonstrate the stability of the product in concordance with the established specifications?		
22.3 Section 16.19	A sufficient number of lots (no less than three)?		
22.4 Section 16.19	Timetable of the analytical tests to carry out for every product?		
22.5 Section 16.19	Special storage conditions?		
22.6 Section 16.19	Sufficient quantities of samples in order to fulfill with the program?		
22.7 Section 16.19	A summary and obtained data including the evaluations and study conclusions?		
22.8 Section 16.19	A system of monitoring of the marketed products that makes it possible to confirm that, if the conditions of storage are met, the product maintains its quality during its validity period?		

REF WHO 32	STABILITY	Yes	No
22.9 Section 16.19	Is the program fulfilled?		
REF WHO 32	**CALIBRATION**	**Yes**	**No**
23	Is there a program for calibration for the measuring instruments?		
24	Is there indicated in the same which operations are carried out internally and which by contracted services?		
25	Is the frequency of calibration indicated in the same?		
26	Is the program fulfilled?		
27	Are the calibration records filed? Are they shown?		
27.1	In case of calibrations and/or internal verifications the laboratory does it have standards?		
28	Are the corresponding certificates exhibited?		
REF WHO 32	**QUALITY AUDITS/ SELF-INSPECTIONS**	**Yes**	**No**
29 Section 9.1	Are quality self-inspections and/or audits carried out?		
30 Section 1.2(i)	Is Quality assurance responsible for the coordination of quality self-inspections and/or audits?		
31 Section 9.1	Are the self-inspections/audits carried out with a pre-established plan?		
32 Section 9.5.(c)	Are the necessary corrective measures recommended?		
33 Section 9.1	Are quality self-inspections and/or audits carried out also in other situations, for example in the event that a product is removed of the market or rejected repeatedly?		
34 Section 9.3	Is there a team in charge of quality self-inspections/audits?		
35 Section 9.2	Do the written instructions of quality self-inspection/ audits include, at least, the following points:		
35.1 Section 9.2(a)	Personnel?		
35.2 Section 9.2 (b)	Premises and services?		
35.3 Section 9.2(c)	Maintenance of buildings and equipment?		

REF WHO 32	QUALITY AUDITS/ SELF-INSPECTIONS	Yes	No
35.4 Section 9.2(d)	Storage of materials and finished products?		
35.5 Section 9.2(e)	Equipment?		
35.6 Section 9.2(f)	Production and controls during the process?		
35.7 Section 9.2(g)	Quality control?		
35.8 Section 9.2(h)	Documentation?		
35.9 Section 9.2I	Sanitation and hygiene?		
35.10 Section 9.2(j)	Validation and confirmation programs?		
35.11 Section 9.2(k)	Calibration of instruments and measurement systems?		
35.12 Section 9.21	Procedures of withdrawal of products of the market?		
35.13 Section 9.2(m)	Management of claims?		
35.14 Section 9.2(n)	Control of labels?		
35.15 Section 9.2(o)	Results of previous self-inspections and adopted corrective measures?		
36 Section 9.5	The report issued once finished the self-inspection contains:		
36.1 Section 9.5(a)	Results of the self-inspection?		
36.2 Section 9.5(b)	Evaluation and conclusions?		
36.3 Section 9.5(c)	Corrective measures recommended?		
37	Is the monitoring of the corrective measures carried out and register?		
REF WHO 32	**AUDIT TO SUPPLIERS**	**Yes**	**No**
38	Are the suppliers of good, production and quality control third parties evaluated (if is necessary audited) and approved by quality assurance?		
39	Is there a record of approved suppliers available for the areas that require it?		

REF WHO 32	AUDIT TO SUPPLIERS	Yes	No
40	Is there a program for evaluation and audits to suppliers?		
41	Is it fulfilled?		
42	Are records of these evaluations and audits kept?		
43	Is an assessment of the outcomes made?		
44	Are measures adopted when the results are not favorable?		
REF WHO 32	**CLAIMS**	**Yes**	**No**
45 Sections 6,2 and 6.4	Is Quality assurance responsible for coordinating the reception and the monitoring of the received claims?		
46 Section 6.2	Is there a responsible person assigned?		
47 Sections 6.1 and 6.3	Are written procedures for the reception and investigation of the claims?		
48 Section 6.4	Is record of the claims kept?		
49 Section 6.5	If necessary, is analytical control made?		
50 Section 6.6	Do the decisions made concerning the complaints remain documented, in the lot records, by quality bypasses of the product?		
51 Sections 6.2 and 6.7	Are corrective measures adopted?		

CHAPTER 14				
VALIDATION				
REF: WHO 32	**GENERAL ASPECTS**	**YES**	**NO**	**NA**
1.	Is there a master plan covering:			
1.1	Resources and those responsible for its execution			
1.2	Identification of the systems and processes to be validated			
1.3	Documentation and standard operating procedures (SOPs), Work Instructions and Standards (applicable national and international standards)			
1.4	Validation list: facilities, processes (e.g. aseptic filling), products			
1.5	Key approval criteria			
1.6	Protocol format			
1.7	Each validation activity, including re-validation and reasonable unforeseen events (power failures, system crash and recovery, filter integrity failure)			
2 Section 5.1	Existence of a validation and re-validation program, and under the responsibility of quality control for approval and follow-up of its activities?			
2.1 Section 5.1	The validation program includes:			
2.1.1 Section 5.1	Chronogram?			
2.1.2 Section 5.1	Location of each activity?			
2.1.3 Section 5.1	Responsibility of execution?			
3	Is there a validation committee within the organization?			
4	Has a validation team been conformed?			
5 Section 5.2	Are critically important processes validated:			

REF: WHO 32	GENERAL ASPECTS	YES	NO	NA
5.1 Section 5.2	Prospectively?			
5.2 Section 5.2	Retrospectively?			
5.3 Section 5.2	Concurrently?			
6	Are the ratings and/or validations of the following performed and documented:			
6.1 Section 3.2c	Analytical methods			
6.2	Production and assay equipment			
6.3 Section 17.52	Sterile production processes			
6.4	Non-sterile production processes			
6.5 Section 5.1	Cleaning procedures			
6.6	Critical support systems (purified water, water for injections, air, vapor, etc.)			
6.7	Facilities			
7 Section 5.4	Is every important modification to the manufacturing process validated, including any change in equipment, manufacturing area, materials, changes in raw materials, packing materials, changes in critical support systems processes and methods that may affect the quality of the product or reproducibility of the process?			
7.1	Are all changes requested formally, documented and approved by representatives of Production, Quality Assurance, Quality Control, Research and Development, Engineering and Regulatory Affairs, as appropriate?			
7.2	Any product resulting from the changed processes are not released for sale without the full knowledge and consideration of the responsible staff, including (when appropriate) the qualified person?			
8	Are the terms established by the validation and re-validation programs met?			
9	In case electronic data processing systems are used, are these validated?			

REF: WHO 32	GENERAL ASPECTS	YES	NO	NA
10	Is the supply entry recording automated?			
10.1	Is it manual?			
10.2	Is the system reliable?			
10.3 Section 14.9	If automated:			
10.4 Section 14.9	Is a safety back-up kept?			
10.5 Section 14.9	Are safety passwords used for system access?			
10.6 Section 14.9	Are these passwords only assigned to authorized personnel?			
10.7 Section 14.9	Is there a record of password allocation?			
10.8 Section 14.9	Are periodical challenge tests performed on the system to verify reliability?			
11	Is the supply and product stock system automated?			
11.1	Is it manual?			
11.2 Section 14.9	If automated:			
11.3 Section 14.9	Is a safety back-up kept?			
11.4 Section 14.9	Are safety passwords used for system access?			
11.5 Section 14.9	Are these passwords only assigned to authorized personnel?			
11.6 Section 14.9	Is there a record of password allocation?			
11.7 Section 14.9	Are periodical challenge tests performed on the system to verify reliability?			
12	The location of productive and non-productive supplies is:			
12.1	It is automated?			
12.2	It is manual?			

REF: WHO 32	GENERAL ASPECTS	YES	NO	NA
12.3	Is the system reliable?			
13 Section 14.9	If automated:			
13.1 Section 14.9	Is a safety back-up kept?			
13.2 Section 14.9	Are safety passwords used for system access?			
13.3 Section 14.9	Are these passwords only assigned to authorized personnel?			
13.4 Section 14.9	Is there a record of password allocation?			
13.5 Section 14.9	Are periodical challenge tests performed on the system to verify reliability?			
14	Are the validation studies performed according to pre-defined protocols?			
15	Is a written report summarizing the obtained results and conclusions prepared and filed?			
16	Is the validity of the critical processes and procedures established based on a validation study?			
17 Section 5.3	Are the critical points and critical control points of the different Production processes validated in order to obtain a uniform product with the mandated quality as a result?			
18	Does the protocol define the selection criteria for products or groups of products subject to cleaning validation?			
19	Are criteria established to assess the changes originating a re-validation?			
20	Are trend analyses performed to assess the need to re-validate in order to assure the processes and procedures continue to obtain the desired results?			

	WATER SYSTEM	PURIFIED WATER			WATER FOR INJECTIONS		
REF: WHO 32		**YES**	**NO**	**NA**	**YES**	**NO**	**NA**
1	Has the water system installation been qualified (IQ)?						
2	Have the system installation qualification protocol and report been produced?						
3	This protocol includes at least:						
3.1	Facilities review?						
3.2	Equipment specification vs. design?						
3.3	Welding roughness testing on pipelines?						
3.4	Absence of dead points/section in the pipeline?						
3.5	Pipe and tank passivation?						
3.6	As build system blueprint revision?						
3.7	SOP revision (operations, cleaning and sanitation, preventative maintenance)?						
3.8	Measuring instrument calibration?						
3.9	The report includes at least:						
3.9.1	Conclusion / Summary?						
3.9.2	Description of the performed assay?						
3.9.3	Data tables?						
3.9.4	Results?						
3.9.5	Conclusions?						
3.9.6	Protocol reference?						
3.9.7	Revision and approval signatures?						
4	Has the operation of the purified water system been qualified (OQ)?						
5	Have the system operation qualification protocol and report been produced?						

	WATER SYSTEM	PURIFIED WATER			WATER FOR INJECTIONS		
REF: WHO 32		**YES**	**NO**	**NA**	**YES**	**NO**	**NA**
5.1	This protocol includes at least:						
5.1.1	System production capacity (L/min)?						
5.1.2	Flow type and water rate?						
5.1.3	Valve operation?						
5.1.4	Alarm system operation?						
5.1.5	Controls operation?						
5.2	The report includes at least:						
5.2.1	Conclusion / Summary?						
5.2.2	Description of the performed assay?						
5.2.3	Data tables?						
5.2.4	Results?						
5.2.5	Conclusions?						
5.2.6	Protocol reference?						
5.2.7	Revision and approval signatures?						
6	Has the water system performance been qualified (PQ): Phase 1, Phase 2 and Phase 3?						
6.1	**VALIDATION PHASE 1**						
6.1.1	Have the operations parameters been defined?						
6.1.2	Are the cleaning and sanitation procedures and frequencies been defined?						
6.6.3	Are there daily sampling records for every pre-treatment point and usage point for a period of 2 to 4 weeks?						
6.6.4	Are there water system SOP's?						
6.2	**VALIDATION PHASE 2**						
6.2.1	Are there daily sampling records for every pre-treatment point and usage point for a period of 4 to 5 weeks after Phase 1?						

	WATER SYSTEM	PURIFIED WATER			WATER FOR INJECTIONS		
REF: WHO 32		**YES**	**NO**	**NA**	**YES**	**NO**	**NA**
6.2.2	The results on these records show that the system is under control (complying with specification defined parameters regarding water quality and complying with system parameters)?						
6.2.3	Are the reports summarizing the results of phases 1 and 2 of the validation available?						
6.3	**VALIDATION PHASE 3**						
6.3.1	Are the weekly sampling records available of every usage point for a one-year period?						
6.3.2	In the case of water for injections systems, are the daily sampling records of at least one usage point available, with all the usage points sampled weekly?						
6.3.3	The results of these records show the system is under control?						
6.3.4	Is the validation summary report available?						
6.3.5	Are the system components in good conditions?						
6.3.6	Are there personnel training records?						
7	Is the system performance qualification protocol and report produced: Phase 1, Phase 2 and Phase 3? Does the protocol include at least:						
7.1.1	System blueprints indicating usage points?						
7.1.2	Sampling point rotation program (in case not all usage points are always sampled)?						
7.1.3	Physical-chemical and microbiological analysis protocols?						
7.1.4	System release analysis frequency program?						
7.1.5	System follow-up analysis frequency program?						
7.2	The report includes at least:						
7.2.1	Conclusion / Summary?						
7.2.2	Description of the performed assay?						

	WATER SYSTEM	PURIFIED WATER			WATER FOR INJECTIONS		
REF: WHO 32		**YES**	**NO**	**NA**	**YES**	**NO**	**NA**
7.2.3	Data tables?						
7.2.4	Results?						
7.2.5	Conclusions?						
7.2.6	Protocol reference?						
7.2.7	Revision and approval signatures?						
8 Section 14.45 (b)	Are the critical measuring instruments calibrated?						
8.1	Are the calibration reports produced?						
8.2	Is there a label affixed showing the date of the last and next calibration?						

PRODUCTION													
REF: WHO 32		**SOLIDS**			**SEMI SOLID**			**LIQUIDS**			**STERILE**		
		YES	**NO**	**NC**	**YES**	**NO**	**NC**	**YES**	**NO**	**NC**	**YES**	**NO**	**NC**
1 Section 5.1 and 14.35	Are there equipment installation qualifications SOP's (IQ) in place at the laboratory?												
2	Are the equipment installation qualification (IQ) protocols shown, containing at least:												
2.1	Introduction?												
2.2	Installation description?												
2.3	Responsibilities?												
2.4	Performed assays?												
2.5	Qualification acceptance criteria?												
2.6	Data recording and reporting?												
3 Section 5.1.	Is the equipment installation qualification (IQ) report produced, containing at least:												
3.1	Summary?												
3.2	Description of performed assays?												
3.3	Obtained data tables?												
3.4	Results?												
3.5	Conclusions?												
3.6	Installation diagrams?												
3.7	Revision and approval signatures?												
4 Section 11.19 and 14.35	Are there equipment operation qualifications SOP's (OQ) in place at the laboratory?												
5	Are the equipment operation qualification (OQ) protocols shown, containing at least:												
5.1	Introduction?												
5.2	Equipment description?												
5.3	Description of the equipment operation steps (SOP's)?												

PRODUCTION													
REF: WHO 32		**SOLIDS**			**SEMI SOLID**			**LIQUIDS**			**STERILE**		
		YES	**NO**	**NC**	**YES**	**NO**	**NC**	**YES**	**NO**	**NC**	**YES**	**NO**	**NC**
5.4	Responsibilities?												
5.5	Qualification acceptance criteria?												
5.6	Data recording and reporting?												
6	Is the equipment operation qualification (OQ) report produced, containing at least:												
6.1	Summary?												
6.2	Description of performed assays?												
6.3	Obtained data tables?												
6.4	Results?												
6.5	Conclusions?												
6.6	Revision and approval signatures?												
7 Section 5.1 and 14.35	Are there equipment performance qualifications SOP's (PQ) in place at the laboratory?												
8 Section 5.1.	Are the equipment performance qualification (PQ) protocols shown, containing at least:												
8.1	Introduction?												
8.2	Responsibilities?												
8.3	Performed assays?												
8.4	Qualification acceptance criteria?												
8.5	Data recording and reporting?												
9	Is the equipment performance qualification (PQ) report produced, containing at least:												
9.1	Summary												
9.2	Description of the performed assays?												
9.3	Obtained data tables?												
9.4	Results?												
9.5	Conclusions?												

PRODUCTION													
REF: WHO 32		**SOLIDS**			**SEMI SOLID**			**LIQUIDS**			**STERILE**		
		YES	**NO**	**NC**	**YES**	**NO**	**NC**	**YES**	**NO**	**NC**	**YES**	**NO**	**NC**
9.6	Revision and approval signatures?												
10 Sections 5.1 and 15.7	Is equipment cleaning validated?												
11	Is there an SOP for the treatment and destiny of products used in the line and/or equipment qualification?												

REF WHO 32	QUALITY CONTROL	YES	NO	NC
1	Does the Validation Master Plan include the Quality Control laboratory?			
2	Does the laboratory have equipment installation qualification (IQ) SOP's?			
2.1	Are there documents supporting compliance with this SOP's?			
3	Does the laboratory have equipment operation qualification (OQ) SOP's?			
3.1	Are there documents supporting compliance with this SOP's?			
4	Does the laboratory have equipment process qualification (PQ) SOP's?			
4.1	Are there documents supporting compliance with this SOP's?			
5 Section 3.2.c	Is there a validation program for those analytical methods not published by internationally recognized pharmacopoeias?			
5.1 Section 3.2.c	Are there documents supporting compliance with this procedure?			
6 Section 3.2.c	Are analytical methods validated when despite being coded by internationally recognized pharmacopoeias, these are performed differently to the coding?			
REF WHO 32	**CLEANING**	**YES**	**NO**	**NC**
1	Is a validation performed to confirm cleaning effectiveness?			
2	Is data produced supporting the conclusion that residues were removed to an acceptable level?			
3	Validation is implemented to verify cleaning of:			
3.1	Surfaces in contact with the product?			
3.2	After a change in product?			
3.4	Between shift batches?			
4	Does the Validation Strategy include contamination risks, equipment storage time, the need to store equipment dry and sterilize and free of pyrogens if necessary?			
5	Does the Validation Protocol include:			

REF WHO 32	CLEANING	YES	NO	NC
5.1	Interval between the end of production and the beginning of the cleaning SOP's?			
5.2	Cleaning SOP's to be used?			
5.3	Any monitoring equipment to be used?			
5.4	Number of consecutive cleaning cycles performed?			
5.5	Clearly defined sampling points?			
6	Are the training records for the personnel in charge of cleaning, if in-house personnel, shown?			
6.1	Is the company providing cleaning services audited, if it is a hired company?			
7	Is the work of the Operating Personnel effectively supervised? Is it documented?			
8	Is Quality Control responsible of the sampling for cleaning verification?			
9	Is the Operating Personnel trained by Quality Control on sampling methods (swabs, piece of fabric, rinsing, placebo)?			
10	Is the Operating Personnel trained on how to transport and store the samples taken?			
11	Have acceptance limits been set, are these verifiable?			
12	Are these limits based on compliance of the following criteria:			
12.1	Visually clean?			
12.2	10 ppm in another product?			
12.3	0,1% of the therapeutic dose?			
13	Visually Clean: used between batches of the same product with the same formulation, performed with an added control, on a lighted surface?			
14	"10 ppm in another Product": Only accepted for NON pharmacologically potent material, using the Pharmacopoeia Assay limits?			
15	No more than 0.1%: Identifies the "Worst Case Scenario"?			
16	Is the Cleaning Validation performed "Clean in Place" (CIP)?			

17	Are detergent residues investigated?			
18	Are degradation product verified during validation?			
19	Validation Records include:			
19.1	Recovery study data?			
19.2	Analytical methods including Detection Limits and Quantification Limits?			
19.3	Acceptance Criteria?			
19.4	Signatures of the Quality Assurance Manager, employee in charge of cleaning, and the verification from Production and Quality Control?			
20	The Final Validation Report is supported by the signature of all those involved, the verification by Production and the signature of Quality Assurance?			