IPA Meeting with the FDA

Quality Forum

by
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IPA Quality Forum

Outline of Presentation

- About IPA
- IPA Quality Forum
  - Context and Focus
  - Vision and Mission Statement
  - Near Term Objectives and Initiatives
  - Impact Assessment
  - Subgroup 1: Data Integrity and Reliability
  - Subgroup 2: Best Practices and Metrics
  - Subgroup 3: Culture and Capacity Building
- 1st IPA Annual Conference: Focus on *Quality*
**About IPA**

**Current Members (20)**

- Alembic
- Alkem
- Cadila Healthcare
- Cadila Pharmaceuticals
- Cipla
- Dr Reddy’s
- Glenmark
- INTAS
- IPA
- J B Chemicals
- Lupin
- Mylan
- Micro
- Natco
- Panacea Biotech
- Sun
- Torrent
- Unichem
- USV
- Wockhardt
About IPA

**Contribution**

- 85% of Private Sector Spend in R&D
- 60% of Exports of Pharmaceuticals
- 43% of Domestic Sales*
- 75% of Exports to USA
- 43% of Total NLEM Sales*

* AIOCD Pharmasoftech AWACS Pvt Ltd, MAR MAT 2014

"Pharmacy of the World"
IPA Quality Forum
Established to Jointly Develop Solutions and Address Quality Challenges

Context

- Challenges about quality of products from India
- Quality - a bottleneck for access to affordable healthcare
- In this context a few questions stood out:
  - How can we help the industry learn and implement best practices?
  - How can we help the industry engage various stakeholders to help shape initiatives for Quality improvement?
- Hence, the Quality Forum to address cross cutting challenges in quality

Focus

- Near term focus on a pragmatic set of Quality related interventions
- Post that, scale up portfolio of initiatives and broaden participation
IPA Quality Forum

*Developed a Joint Vision and Mission Statement*

<table>
<thead>
<tr>
<th>Vision</th>
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<tbody>
<tr>
<td>▪ <em>Help Indian Pharmaceutical Manufacturers be the global benchmark in Quality</em></td>
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<tr>
<td>▪ Demonstrate true partnership to customers, patients and regulators by improved quality and reliability</td>
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<td>▪ Be the conduit of change – Provide thought leadership, knowledge development and best practice sharing</td>
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<td>▪ Measure, benchmark and publicize achievements in Quality</td>
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<td>▪ Expand skill and capability of quality talent</td>
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<td>▪ Deepen and strengthen industry’s relationship with key stakeholders – in and outside India</td>
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<td>▪ Provide platform for members and other stakeholders to interact and network</td>
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We have identified and prioritized a set of initiatives to drive the Quality Forum over the next few months:

- Ensuring **data integrity** guidelines are accurately interpreted and adopted

- Developing **right Quality metrics** to benchmark, diagnose and track improvements in Quality performance

- **Building capability** and the right **quality culture**
### IPA Quality Forum

**Near Term Initiatives to Address the Immediate Priority Topics**

**Data Integrity and Reliability**
- Develop an internal **Data Integrity Guidelines document** that the companies will commit to adhere.
- Create a **robust process** to ensure data integrity and reliability in line with global standards.
- Develop a **set of tools** to help drive effective implementation.

**Metrics and Best Practices**
- Adopt a **standard metrics** (including FDA metrics) to monitor quality performance and benchmark against Indian and global peers.
- Strengthen **key Quality processes (5 in wave 1)** with best-in-class practices.
- Standardize and implement common set of processes across organizations.

**Culture and Capability**
- Develop **framework for training middle management** on leadership and behavioral elements.
- Develop **framework for training front line supervisors and operators** on technical skills to ensure quality practices and products.
- Define **Quality Culture aspirations** and a set of interventions for driving the change.
IPA Quality Forum
Will Track and Measure Impact of These Initiatives

- Monitor implementation and impact:
  - **Year 1** - adopt five best practices across companies, data reliability guidelines, metrics, middle management capability building.
  - **Year 2** - show progress on lower 483s for data reliability and five areas of focus.

- Share updates with FDA:
  Based on individual work stream goals and milestones.

- Objective:
  - Solicit FDA inputs on the initiative design before and during implementation.
  - Seek FDA suggestions to solve problems and effectively address each area.
### Subgroup 1: Data Integrity and Reliability

**Guidelines and Implementations**

<table>
<thead>
<tr>
<th>Learn and integrate existing guidelines</th>
<th>Develop a set of guidelines and tools to help drive effective implementation</th>
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<tbody>
<tr>
<td>Learn and integrate various existing guidances e.g. FDA, MHRA, WHO (draft), PDA etc. and capture the common themes:</td>
<td>Translate common themes, requirements and learnings from various guidelines into one single implementation guideline and associated tools with the following features</td>
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<tr>
<td>▪ Paper printouts are not “true copies”; System generated data should be retained in electronic form i.e. <strong>Electronic data is the raw data</strong></td>
<td>▪ <strong>Comprehensive</strong> – covering elements such as data integrity related culture, awareness and capability, process design, IT system frameworks, governance and risk mitigation</td>
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<tr>
<td>▪ Data must be <strong>ALCOA+</strong> i.e. Attributable, legible and permanent, contemporaneous, original and accurate as well as complete, consistent, enduring and available;</td>
<td>▪ <strong>User-friendly</strong> – Presented in a way that can be easily understood through use of innovative delivery forms e.g. infographics, visualization schemes, other technology enabled elements</td>
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<tr>
<td>▪ A <strong>data lifecycle approach</strong> to ensuring data integrity</td>
<td>▪ <strong>Pragmatic and flexible</strong> – Taking into account current starting position of various companies e.g. separate treatment for IT systems of different maturity levels, practical dos and dont’s</td>
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<td>▪ If using a computerized system, <strong>the software should prevent</strong> unauthorized modification of data</td>
<td>▪ <strong>Proactive</strong> – Developed to be used for proactive reduction, not just post-mortem analysis. Includes working with vendors etc. if required</td>
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<td>▪ Review of electronic data control.</td>
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**SOURCE:** MHRA, FDA guidelines, Expert interviews, sub-group discussions

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Subgroup 1: Data Integrity and Reliability

Seven Elements of the Overall Guideline

**Definitions**

1. **Overall DR Guidance**
   - A set of overall guidelines laying out requirements for data integrity. Supporting elements lay out how to achieve these requirements

2. **DR Related Process Design**
   - Features of quality process design – both general and with deep dive into 3-4 critical processes required to minimize data reliability risk and recommends an approach to achieve this desired end state

3. **DR Risk Detection and Mitigation**
   - Approach and tools to assess and mitigate risks

4. **Governance of DR**
   - Key elements of governance e.g. data owners, management responsibility and best practices

5. **DR Awareness and Capability**
   - DR specific skill sets required across different job profiles; Best practices in designing and delivering content; Capability module based on this content

6. **Culture**
   - Key mindsets and behaviors critical for data integrity; A mandate for different job profiles; Portfolio of initiatives based on best practices

7. **Technology and IT Systems**
   - Technical requirements and standards and solutions to achieve them

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**Key elements**

- Supporting elements
- Core guideline

- Technology and IT systems
- DR related process design
- DR Risk detection and mitigation
- Governance of DR
- DR Awareness and Capability
- Overall Data reliability guidance
- Culture

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Subgroup 1: Data Integrity and Reliability

*Develop a Draft Version by End-April 2016*

<table>
<thead>
<tr>
<th>2015</th>
<th>2016</th>
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<td><strong>Sep</strong></td>
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<td><strong>Mar</strong></td>
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- **2015**
  - Synthesize and define overall data reliability (DR) guidelines
  - Define all 6 elements of data reliability guidelines
  - Symbolic industry level actions to address data integrity violations
  - IT framework for data reliability
  - IPA data reliability awareness module

- **2016**
  - Design initiatives and implement initiatives
  - Define maturity levels and need
  - Gap assessment and roadmap
  - Content creation and delivery method creation

*We are here today*

SOURCE: Sub-group 1 discussion
## Subgroup 2: Best Practices and Metrics
### Context, Vision and Objectives

<table>
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<th>Context</th>
<th>Objectives</th>
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| ▪ Quality Forum realizes the need to benchmark Quality processes in India with international best practices and refine metrics-based performance tracking in-line with the recent FDA draft guidelines | ▪ **Best practice processes:**  
▪ Identify and strengthen key Quality processes with best-in-class practices  
▪ Standardize and implement best practices/processes across organizations |
| ▪ IPA offers an ideal platform for companies to leverage their collective wisdom / expertise in these areas, and lead the journey of Quality transformation for Indian pharma industry | ▪ **Metrics:**  
▪ Adopt a standard set metrics to monitor quality performance and benchmark against Indian and global peers  
▪ Identify performance gaps and come up with set of interventions to achieve best-in-class quality performance |

### Our vision
- To lead the Indian pharma industry in transformation of quality processes and performance
- Establish consistent set of metrics and methodology to benchmark the quality performance across the core companies
- Strive to achieve best-in-class Quality systems and processes globally
### Quality processes
- Identified an exhaustive list of processes to be shared, harmonized and improved across the companies
- Four processes prioritized for 1st wave of best-practices
  - Process validation\(^1\)
  - Investigations and root-cause assessment
  - Media fill + Environment monitoring and recording of results
  - Good laboratory practices e.g., documentation, analyst qualification, data review, batch testing records\(^2\)
- Shared practices with the forum, generating ideas internally and engaging with the subject matter experts to benchmark processes with global best practices

### Metrics
- Defined 5 metrics, in-line with recent FDA draft guidelines, to be calculated and tracked periodically. These are:
  - Lot acceptance rate
  - Product quality complaint rate
  - Invalidated OOS rate
  - Annual product review / product quality review time rate
  - CAPA Effectiveness rate\(^3\)
- Currently being implemented at 2-3 pilot sites per company. Will be rolled out across the network subsequently

"Additionally, developing a collective response to FDA draft guidelines."

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1 Pre requisite, environmental, scalable machines harmonization unit operation wise
2 Additionally QbD in Analytical method development (capturing observation during sample preparation, during validation batches analysis)
3 To be calculated based on re-trainings (as per FDA draft guidance) as well as based on repetition of failures
### Subgroup 2: Best Practices and Metrics

#### Implementation of Work Plan

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<tbody>
<tr>
<td>• Identify and prioritize processes for best-practices</td>
<td>• Develop draft master SOPs based on current practices to brainstorm improvement ideas</td>
<td>• Finalize best practice SOPs / Protocols across diff dosage forms and API</td>
<td>• Identify 3-4 additional process for best-practices</td>
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<tr>
<td>• Share current practices across the Quality Forum</td>
<td>• Engage with SME’s and cross-functional teams to develop final SOPs</td>
<td>• Implement best-practices and train employees</td>
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<tr>
<td>Metrics</td>
<td>• Finalize metrics, definitions and pilot sites</td>
<td>• Launch pilot at 10-12 pilot sites across six companies</td>
<td>• Plan to scale up metric pilot and IT-enablize</td>
<td>• Analyze outcome of metrics pilot</td>
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<td></td>
<td></td>
<td>• Share response with FDA on draft metrics guidelines</td>
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<td>• Scale to other sites including Non-orals and API</td>
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<td></td>
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<td>• Identify additional metrics to be taken up</td>
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Subgroup 3: Culture and Capability Building

Findings

- We note **cultural/behavioral challenges** and **technical/training gaps**

- **Cultural/behavioral gaps** lay in areas such as: accountability and ownership, openness and transparency, discipline and professionalism as well as managerial courage to dissent.

- **Technical/training gaps** in Investigation management, Sterility Assurance, Regulatory requirements, Facility & equipment lifecycle management, Data integrity.

- **Urgent** need to close the above cultural and technical shortcomings.
Subgroup 3: Culture and Capability Building

Measures

- **Measure 1**: Run a structured gap assessment survey, aimed at substantiating and validating major findings (gaps) with granular fact-based data.

- **Measure 2**: Generate cultural/behavioral shifts at plant management level, by focused sessions during which current individual and group behavior will be analyzed. Then, desired behaviors will be defined and piloted. This will be followed by company-wide roll out of these new behaviors.

- **Measure 3**: Close technical gaps by developing joint training modules, emphasizing theory, regulatory expectations and case studies. A total of 15 subjects are identified where technical gaps exist.

- **Measure 4**: Perform relevant effectiveness checks focusing on the above capability building efforts. Identification of continuous improvement plans.
The training programs will first target middle management in six of India’s leading companies and subsequently be spread more widely across the industry.

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<td><strong>Technical</strong></td>
<td><strong>Behavioral</strong></td>
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<td><strong>Behavioral</strong></td>
<td><strong>Technical</strong></td>
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<tr>
<td>Launch of modules:</td>
<td>Launch gap survey (to validate gap findings and establish baseline)</td>
<td>Launch of modules:</td>
<td>behavior shift forums covering ~70 managers of two plants per company</td>
<td>Launch of module:</td>
</tr>
<tr>
<td>Data integrity</td>
<td>Data integrity</td>
<td>Investigations</td>
<td>Sterility Assurance</td>
<td>Data integrity</td>
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<tr>
<td>Regulatory Requirements</td>
<td>Regulatory Requirements</td>
<td>Facility and Equipment Qualification Lifecycle</td>
<td>Sterility Assurance</td>
<td>Regulatory Requirements</td>
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<tr>
<td>Offer the modules to other Companies</td>
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<td>Offer the modules to other Companies</td>
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<td>Phase 2 modules</td>
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Purpose of the Annual Conference

- Marquee event for the IPA to share and promote initiatives, knowledge and publications with all relevant stakeholders (government, regulators, patients, media)

1st Conference in February 2016

- Theme: *Towards Excellence in Quality and Compliance*
- Speakers from regulatory agencies and industry experts
- Topics to be covered
  - Data Integrity Guidelines
  - Quality Metrics and Benchmarking
  - Capability Building
THANK YOU
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