



# QUALITY SYSTEM

FORM

DOCUMENT #: 3.100.019.F01

LEVEL: 3

Effective Date:

APPROVED

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Revision #: 11

TITLE:

LABORATORY OOS INVESTIGATION FORM

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OOS Number: OOS-

## Phase I

### Section A – Test Details

Initiator:		Test Date:		Date Initiated:	
Date of Incident:		Test Name:		Sample ID:	
Name of Analyst who Performed the Test:		Sample / Active Name		Lot #:	
		Dosage Form			
Description of Incident:			<input type="checkbox"/> Client Care notified of OOS <input type="checkbox"/> Sterility and Endotoxin test related OOS; Client must be notified within 24 hours of OOS		
	SOP / Test Method #	Effective Date:	SOP / Test Method Rev:	Limits/Specification:	
Manager notified	Manager/designee name:	Date:	Quality Assurance Department notified:	Yes <input type="checkbox"/> No <input type="checkbox"/>	

### Section B – Investigation and Root Cause Analysis

Personnel Discrepancy		Comments
Analyst interviewed?	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> N/A	
Correct samples analyzed?	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> N/A	
Correct SOP / Test Method used/followed?	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> N/A	
Correct sample collection/technique?	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> N/A	
Are the Test Result Records Attached & Calculations Verified and Correct?	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> N/A	
Is the analyst qualified to perform the test?	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> N/A	
Is formula worksheet provided and verified?	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> N/A	
Does the processing method/method set conform to the required specification?	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> N/A	
Was the sample stored appropriately?	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> N/A	
Material Discrepancy		Lot Number
Is the integrity of the sample(s) questionable?	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> N/A	
Was the sample transported appropriately?	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> N/A	
Are the other test results from this run under investigation?	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> N/A	



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Appropriate/correct glassware used?	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> N/A		
Are reagents stored in proper condition and not expired?	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> N/A		
Standard Used			
Solvent Used			
Is the standard the source of the root cause?	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> N/A		
Has the analyst been instructed to keep the original test solution for possible retesting?	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> N/A		
<b>Equipment Discrepancy</b>		<b>Equipment ID</b>	<b>Calibration Due Date</b>
Was the instrument set up correctly?	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> N/A		
Is the clean room facility certified?	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> N/A		
System Performance Check (if applicable)?	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> N/A		
System Suitability RSD < 2% (PDA)?	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> N/A		
System Suitability RSD < 10% (QDA, CAD)?	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> N/A		
Do the environmental monitoring results conform to required standards?	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> N/A		
Do the controls (i.e., positive, negative, etc.) conform to the required standards?	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> N/A		
Is equipment/instrument functional and calibrated/qualified/certified/PM?	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> N/A		



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Are chromatogram/spectra/raw data correct?

☐ Yes☐ No☐ N/A

## Section C – Evaluation of Laboratory Testing/Hypothesis Testing (if applicable)

☐ N/A☐ Re-injection of sample vial☐ Re-injection of original standard vial☐ Re-vialing of original working standard solution☐ Re-vialing of original working sample solution☐ Re-dilution of a working sample solution from the original stock☐ Re-dilution of a working standard solution from the original stock standard☐ Other: \_\_\_\_\_

## Section D – Phase I Summary

Phase I Summary:



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Phase I Summary (continued):



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Phase I Summary (continued):



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**Has root cause been identified as a possible laboratory error?***Note: Root cause must be conclusive, verifiable, and well-documented.*☐ Yes☐ If retesting is **required**, complete Phase II of the OOS (initiate Form 3.100.019.F02).☐ No, the OOS result is valid.**Reviewer comment(s):****Prepared by (Print):**

Signature/Date:

**Lab Manager/Designee (Print):**

Signature/Date:

**Section E – Quality Disposition****Can investigation be closed?**☐ Yes☐ Original result is valid.☐ No, initiate Form 3.100.019.F02.**Approved by QA Representative (Print):**

Signature/Date: