BLUEHILL UNIVERSAL'S TRACEABILITY MODULE

FDA 21 CFR Part 11 Implementation

INTRODUCTION

Achieving compliance with 21 CFR Part 11 is best accomplished through a partnership between the end user and the original equipment supplier. The end user knows how the laboratory equipment should fit into their Quality Management System and how the laboratory equipment will be used daily. The original equipment manufacturer provides the tools to effectively and efficiently integrate the equipment into the end user's quality management system. By working together, they can ensure that the end user's data meets the guidelines for integrity and traceability as outlined by the FDA.

The purpose of this document is to inform the end user how the Traceability Module within Bluehill Universal can help meet the technical requirements of FDA 21 CFR Part 11. This document outlines the three key areas in Bluehill Universal (Security, Audit Trail, and Signatures) and also provides a row-by-row interpretation of how Bluehill Universal addresses each of the Part 11 items. Ultimately, each end user should perform their own assessment and create appropriate work instructions that cover the Instron system, Bluehill Universal, the Windows file systems, and the user's Quality Management system.

SECURITY

A key component of electronic records is the validation and verification of the user performing the operation. To accomplish this, Bluehill Universal offers three different security models:

- Bluehill security – Security profiles built into Bluehill Universal.
- Windows security – Security permissions based on user groups on the local computer.
- Active Directory security – Security permissions based on user groups created on a company's corporate network.

Each security model provides similar functionality. First, they authenticate the user with two distinct identification components: a username and a password. Second, once a user is identified, the security model permits or restricts certain software operations based on the configured security policies. The choice of which security model best suits your organization greatly depends on your assessment of how to integrate Bluehill into your existing Quality Management system.

The following permissions are available within each security model:

- Log in
- Perform a test
- Edit values on tested specimens
- Delete a tested specimen
- Excluded a tested specimen
- Change workspace properties
- Override sample folder location
- Discard the sample
- Overwrite an existing sample
- Re-Analyze samples
- Edit methods
- Configure the system
- Configure security settings
- Configure traceability settings
- Perform a secondary document review (signature)
- Perform a tertiary document review (signature)

In addition, the visibility of items available for data entry in the test method can be configured to the user. This provides an additional layer for security by tightly controlling the values that can be modified by the operator.

SECURITY - BLUEHILL FILES

Bluehill Universal stores information in file format. Some files can be stored on the local computer or the company's network. While Bluehill Universal's security models restricts operations within the application, the application relies on the appropriate PC or network policies to ensure authorized users have the proper folder and file access. It is recommended that the Windows Administrator secure the appropriate folders using folder permissions to prevent malicious or accidental record edits or deletions. When using network locations and with Active Directory, it is recommended that the same user be logged into both the PC account and Bluehill, which will ensure that all file operations are verified against the proper permissions.

Files	Bluehill Files	Recommended security settings	User configurable
Templates	Methods and reports	Read only access for Bluehill users Read/Write for authorized users File deletion for authorized users Default location: C:\Users\Public\Documents\Instron\Bluehill Universal\Templates	Yes
Output files	Samples files, Reports, Export files	Read/Write for Bluehill users File deletion for authorized users Default location: C:\Users\Public\Documents\Instron\Bluehill Universal\Output	Yes
Configuration	Configuration settings	Read/Write for Bluehill users Deny folder read access for all users Deny file deletion for all users Location: C:\ProgramData\Instron\Bluehill Universal\Common Files	No
Audit trail	SQL database files	Read/Write for Bluehill users Deny folder read access for all users Deny file deletion for all users Location: C:\ProgramData\Instron\Bluehill Traceability	No

AUDIT TRAIL

Bluehill Universal's Audit Trail captures system events and operations of the following types:

- Login/Logout/Invalid credentials
- Reviews (signatures)
- Modify
- Create
- File overwrites
- File recovery
- System errors

For each event, the audit trail captures the following information:

- The event – The operation that triggered an entry to be added to the Audit Trial.

- What – A description of the action being captured.
- Who - Username of who performed the action.
- When – Date and timestamp of the action in local time with time zone information.
- Why – A reason for the action.

AUDIT TRAIL – CHANGE TRACKING

Bluehill Universal Report templates, Method files, and Sample files now capture changes performed by the system operator. These changes are saved as revision entries both in the file and in the system Audit Trail. Each time the file is saved, the file revision number is incremented, and the list of changes are stored with that revision. Each entry captures the action, affected item, the new value, and the previous value. When possible, these entries capture the changes from the time the file was last saved to the point of save.

Bluehill Universal files contain many settings, some of which arepurely cosmetic in nature. Below is a breakdown of which actions are tracked and which are not tracked:

Tracked

- Sample, Method, Report template value changes that affect how the test is run or reported
- Parameter attributes for the values that affect how the test is run or reported
- Adding or removing list items
- Deleting or excluding a specimen
- Specimen retested
- Reasons for a test being stopped
- Sample created
- Sample recovered
- Security settings
- Traceability settings

Not tracked

- Show/hide the navigation bar in a Method file
- Display format changes to Results table 1 & 2 and Raw Data viewer
- Graph Advanced tab changes
- Workspace layout changes
- Reordering selected list items
- User preferences
- Hardware configuration settings.

SIGNATURES

Signatures identify which user performs what operation, when, and for what reason. This information is captured electronically in the following file types and linked in the audit trail:

1) Report templates
2) Methods files
3) Sample files
4) PDF reports

Bluehill Universal can be configured for up to three signatures (Primary, Secondary, and Tertiary). The primary signature is the user who is saving the document. The secondary signature reviews the changes, and the tertiary signature verifies that the process is met. These signature levels are configurable to each file type in accordance with your operating procedures.

To sign a document as a secondary or tertiary reviewer, the user must not be the primary signatory and the user must have the associated signatory permission.

SECTIONS FROM FDA 21 CFR PART 11

The below text has been taking from FDA 21 CFR Part 11, subparts A, B, and C. Please refer to the references cited on the last page of this document.

SUBPART A – GENERAL PROVISIONS:

	21 CFR Part 11
11.1 Scope	
11.1 (a)	The regulations in this part set forth the criteria under which the agency considers electronic records, electronic signatures, and handwritten signatures executed to electronic records to be trustworthy, reliable, and generally equivalent to paper records and handwritten signatures executed on paper.
11.1 (b)	This part applies to records in electronic form that are created, modified, maintained, archived, retrieved, or transmitted, under any records requirements set forth in agency regulations. This part also applies to electronic records submitted to the agency under requirements of the Federal Food, Drug, and Cosmetic Act and the Public Health Service Act, even if such records are not specifically identified in agency regulations. However, this part does not apply to paper records that are, or have been, transmitted by electronic means.
11.1 (c)	Where electronic signatures and their associated electronic records meet the requirements of this part, the agency will consider the electronic signatures to be equivalent to full handwritten signatures, initials, and other general signings as required by agency regulations, unless specifically excepted by regulation(s) effective on or after August 20, 1997.
11.1 (d)	Electronic records that meet the requirements of this part may be used in lieu of paper records, in accordance with 11.2, unless paper records are specifically required.
11.1 (e)	Computer systems (including hardware and software), controls, and attendant documentation maintained under this part shall be readily available for, and subject to, FDA inspection.

	21 CFR Part 11
11.2 Implementation	
11.2 (a)	For records required to be maintained but not submitted to the agency, persons may use electronic records in lieu of paper records or electronic signatures in lieu of traditional signatures, in whole or in part, provided that the requirements of this part are met.
11.2 (b)	For records submitted to the agency, persons may use electronic records in lieu of paper records or electronic signatures in lieu of traditional signatures, in whole or in part, provided that: (1) The requirements of this part are met; and (2) The document or parts of a document to be submitted have been identified in public docket No. 92S-0251 as being the type of submission the agency accepts in electronic form. This docket will identify specifically what types of documents or parts of documents are acceptable for submission in electronic form without paper records and the agency receiving unit(s) (e.g., specific center, office, division, branch) to which such submissions may be made. Documents to agency receiving unit(s) not specified in the public docket will not be considered as official if they are submitted in electronic form; paper forms of such documents will be considered as official and must accompany any electronic records. Persons are expected to consult with the intended agency receiving unit for details on how (e.g., method of transmission, media, file formats, and technical protocols) and whether to proceed with the electronic submission.

	21 CFR Part 11
11.3 Definitions	
11.3 (a)	The definitions and interpretations of terms contained in section 201 of the act apply to those terms when used in this part.
11.3 (b)	The following definitions of terms also apply to this part: (1) *Act* means the Federal Food, Drug, and Cosmetic Act (secs. 201-903 (21 U.S.C. 321-393)). (2) *Agency* means the Food and Drug Administration. (3) *Biometrics* means a method of verifying an individual's identity based on measurement of the individual's physical feature(s) or repeatable action(s) where those features and/or actions are both unique to that individual and measurable. (4) *Closed system* means an environment in which system access is controlled by persons who are responsible for the content of electronic records that are on the system.

11.3 (b) *continued*	(5) *Digital signature* means an electronic signature based upon cryptographic methods of originator authentication, computed by using a set of rules and a set of parameters such that the identity of the signer and the integrity of the data can be verified. (6) *Electronic record* means any combination of text, graphics, data, audio, pictorial, or other information representation in digital form that is created, modified, maintained, archived, retrieved, or distributed by a computer system. (7) *Electronic signature* means a computer data compilation of any symbol or series of symbols executed, adopted, or authorized by an individual to be the legally binding equivalent of the individual's handwritten signature. (8) *Handwritten signature* means the scripted name or legal mark of an individual handwritten by that individual and executed or adopted with the present intention to authenticate a writing in a permanent form. The act of signing with a writing or marking instrument such as a pen or stylus is preserved. The scripted name or legal mark, while conventionally applied to paper, may also be applied to other devices that capture the name or mark. (9) *Open system* means an environment in which system access is not controlled by persons who are responsible for the content of electronic records that are on the system.

SUBPART B – ELECTRONIC RECORDS:

11.10 Controls for closed systems		
	21 CFR Part 11	Bluehill Universal
11.10 (a)	Validation of systems to ensure accuracy, reliability, consistent intended performance, and the ability to discern invalid or altered records.	It is the customer's responsibility to develop appropriate validation protocols for the system, however, Instron provides tools and services to assist in the IQ/OQ of the system. Instron's Service group can provide verification of the system to ensure the raw data collected meets performance requirements. Bluehill Universal software should be configured using security to ensure that only trained users can access the system. With security, approved users can access the software and run the Instron system after entering their username and password. Bluehill's report template, method, and sample files are XML encrypted and digitally signed. This obscures the human readable content of the file and ensures the integrity of the information. If an unauthorized user opens and changes the contents, Bluehill will notify and prevent the file from being used. In conjunction with this protection, it is recommended to deny the unauthorized user appropriate file permissions to further prevent accidental or malicious changes to these files.
11.10 (b)	The ability to generate accurate and complete copies of records in both human and readable electronic form suitable for inspection, review, and copying by the agency. Persons should contact the agency if there are any questions regarding the ability of the agency to perform such a review and copying of the electronic records.	Bluehill Universal provides users with on screen viewing of results, reports, raw data, revision history, and a full, secure audit trail. Bluehill Universal also has printing and export utilities for paper or electronic records.
11.10 (c)	Protection of records to enable their accurate and ready retrieval throughout the records retention period.	Bluehill Universal stores all information in file format and can be protected using external file backup programs. In the event of a power failure, Bluehill Universal provides a backup function of the current test data to ensure all available data can be captured. Using securing settings, on restart of the software, the operator will be prompted to recover the test data. The audit trail is captured in a SQL database and can be backed up or restored using standard Administrative practices.
11.10 (d)	Limiting system access to authorized individuals.	See system security section on page 1.

11.10 (d) *continued*		Once security is configured, a unique username and password is required for all authorized users. All access or attempted access to the system is logged in the audit trail. Instron highly recommends that more than one Administrator is created in the event the Administrator is absent or forgets his/her password. In addition, it is recommended to follow best practices for restricting Windows folder and file access to prevent unauthorized users from accessing software configuration files. See the Bluehill Files and Folders sections for more details.
11.10 (e)	Use of secure, computer-generated, time-stamped audit trails to independently record the date and time of operator entries and actions that create, modify, or delete electronic records. Record changes shall not obscure previously recorded information. Such audit trail documentation shall be retained for a period at least as long as that required for the subject electronic records and shall be available for agency review and copying.	The audit trail in Bluehill Universal contains the following information: • The event – The operation that triggered an entry to be added to the Audit Trial. • What – A description of the action being captured. • Who - Username of who performed the action. • When – Date and timestamp of the action in local time with time zone information. • Why – A reason for the action.
11.10 (f)	Use of operational system checks to enforce permitted sequencing of steps and events, as appropriate.	Bluehill Universal has several mechanisms to allow enforcement of sequencing: • Individual roles are enforced through the assigning of permissions using Bluehill security. The groups or permissions a user belongs to defines the areas of the software he or she has access to. • The prompted test workflow can be configured to guide the operator throughout the testing process, providing both text and graphical guidance and limiting data entry to the specimen under test. • Data entry can be configured to restrict or permit data entry at three different states: before a test, during a test, or after a test. • Security settings can override method configuration preventing any value changes to tested specimens. • Transducer system checks can be configured to prompt the operator to perform routine calibration or balance operations to verify that the measurements are reading correctly.
11.10 (g)	Use of authority checks to ensure that only authorized individuals can use the system, electronically sign a record, access the operation or computer system input or output device, alter records or perform the operation at hand.	At installation, Bluehill Universal security must be configured to define user permissions. Using any of the supported security models, the system administrator can configure the system so that only authorized users will be allowed or denied certain permissions. Please refer to security permissions on page 1. Generally, users who are set to Administrators have access to maintain the system security and settings for electronic signatures. Changes to the security and traceability configurations are logged in the system audit trail and can only be performed by an authenticated user.
11.10 (h)	Use of device (e.g. terminal) checks to determine, as appropriate, the validity of the source of data input or operational instruction.	Bluehill Universal allows all input values to be displayed on the screen either in text or graphical form. Data entry for numerical values are validated at entry to allow proper formatting as well as upper and lower entry bounds to reduce operator input error. Bluehill Universal also includes customizable choice inputs, allowing values to be set through a defined dropdown list, further reducing the input errors.
11.10 (i)	Determination that persons who develop, maintain, or use electronic record/electronic signature systems	Instron service engineers are trained and certified to install, service, and maintain Instron systems with Bluehill Universal.

11.10 (i) *continued*	have the education, training, and experience to perform their assigned tasks.	The end user training is the responsibility of the client and should be part of the system's procedural compliance. Instron provides Bluehill Universal training classes onsite and at Instron's corporate facility in Norwood, MA.
11.10 (j)	The establishment of, and adherence to, written policies that hold individuals accountable and responsible for action initiated under their electronic signatures, in order to deter record and signature falsification.	It is the responsibility of the customer to establish and adhere to written policies holding individuals accountable and responsible for action initiated under their electronic signatures, and should be part of the system's procedural compliance.
11.10 (k)	Use of appropriate controls over systems documentation including: 1.) Adequate controls over the distribution of, access to and use of documentation for system operation and maintenance. 2.) Revision and change control procedures to maintain an audit trail that documents time sequenced development and modifications of systems documentation.	It is the responsibility of the customer to maintain appropriate controls of the installed system. Instron follows a structured product development process and is required to maintain this process per Instron's ISO 9001 certification. Written procedures control the development, testing, and maintenance of Instron systems and software.
11.30 Controls for open systems		
	21 CFR Part 11	Bluehill Universal
	Persons who use open systems to create, modify, maintain or transmit electronic records shall employ procedures and controls designed to ensure the authenticity, integrity, and as appropriate, the confidentiality of electronic records from the point of their creation to the point of their receipt. Such procedures and controls shall include those identified in 11.10, as appropriate digital signature standards to ensure as necessary under circumstances, record authenticity, integrity and confidentiality.	Not applicable – Bluehill Universal is considered a closed system.
11.50 Signature Manifestations		
	21 CFR Part 11	Bluehill Universal
11.50 (a)	Signed electronic records shall contain information associated with the signing that clearly indicates all the following: 1.) The printed name of the signer 2.) The date and time when the signature was executed; 3.) The meaning (such as review, approval, responsibility or authorship) associated with the signature	At a minimum, the audit log within Bluehill Universal displays the primary, secondary, and tertiary signature (if applicable) which include: • The user ID • The date and time of signature • The user's comment • The action of the signature, i.e. approve, reject
11.50 (b)	The items identified in paragraphs (a) (1), (a) (2), and (a) (3) of this section shall be subjected to the same controls as for electronic records and shall be included as part of any human readable form of the electronic record (such as electronic display or printout)	The audit trail with electronic signatures is viewable on screen in Bluehill Universal and is printable.
11.70 Signature/ recording linking		
	21 CFR Part 11	Bluehill Universal
	Electronic signatures and handwritten signatures executed to electronic records shall be linked to their respective electronic records to ensure that the signatures cannot be excised, copied, or otherwise transferred to falsify an electronic record by ordinary means.	Electronic signatures are configurable per Bluehill Universal file type to include method files, sample files, report templates, and PDF reports. Electronic signatures can be configurable for a primary, secondary, and tertiary sign-off. All signatures are linked to the respective electronic file and cannot be excised, copied, or otherwise transferred.

SUBPART C – ELECTRONIC SIGNATURES:

11.100 General requirements		
	21 CFR Part 11	Bluehill Universal
11.100 (a)	Each electronic signature shall be unique to one individual and shall not be reused by, or reassigned to, anyone else	It is the responsibility of the customer to configure unique users.
11.100 (b)	Before an organization establishes, assigns, certifies or otherwise sanctions an individual's electronic signature, the organization shall verify the identity of the individual.	It is the responsibility of the customer to configure and assign users. Bluehill Universal will require the user to sign into the software and sign out after completing a task that requires a signature. Windows can be configured to time-out, forcing a user to re-enter their username and password if the system is left idle for a specified amount of time.
11.100 (c)	Persons using electronic signatures shall, prior to or at the time of such use, certify to the agency that the electronic signatures in their system, used on or after August 20, 1997, are intended to be the legally binding equivalent of traditional handwritten signatures. 1.) The certification shall be submitted in paper form and signed with a traditional signature, to the Office of Regional Operations (HFC-100), 5600 Fishers Lane, Rockville, MD 20857. 2.) Persons using electronic signature shall, upon agency request, provide additional certification or testimony that a specific electronic signature is the legally binding equivalent of the signer's handwritten signature.	It is up to the customer to certify that electronic signatures are the legally binding equivalent of handwritten signatures.
11.200 Electronic signature components and controls		
	21 CFR Part 11	Bluehill Universal
11.200 (a)	Electronic signatures that are not based upon biometrics shall: 1.) Employ at least two distinct identification components such as an identification code and password. i. When an individual executes a series of signing during a single, continuous period of controlled system access, the first signing shall be executed using all electronic signature components; subsequent signings shall be executed using at least one electronic signature component that is only executable by, and designed to be used only by, the individual. ii. When an individual executes one or more signings not performed during a single, continuous period of controlled system access, each signing shall be executed using all the electronic signature components. 2.) Be used only by their genuine owners; and 3.) Be administered and executed to ensure that attempted use of an individual's electronic signature by anyone other than its genuine owner required collaboration of the two or more individuals.	Bluehill Universal does not support biometric signatures. 1.) Users electronically sign via Bluehill files using their unique username and password. This is the case for continuous and intermittent use of the system. 2.) It is the responsibility of the customer to ensure usernames and passwords are not shared and are unique to their genuine owners. 3.) It is the responsibility of the customer to ensure usernames and passwords are not shared and are unique to their genuine owners. For collaboration, Instron recommends configuring the system with secondary and/or tertiary electronic signatures so each unique user can electronically sign their work for approval or rejection.
11.200 (b)	Electronic signatures based upon biometrics shall be designed to ensure that they cannot be used by anyone other than their genuine owners.	Bluehill Universal does not support biometric signatures.

11.300 Controls for identification codes/passwords		
	21 CFR Part 11	Bluehill Universal
11.300 (a)	Maintaining the uniqueness of each combined identification code and password, such that no two individuals have the same combination of identification code and password.	It is the responsibility of the customer to configure and assign users. Instron recommends configuring security with Active Directory in order to control uniqueness of usernames and password length, character, and expiration criteria.
11.300 (b)	Ensuring that identification code and password issuances are periodically checked, recalled or revised (e.g. to cover such events such as password aging).	It is the responsibility of the customer to configure and assign users. Bluehill Universal's built-in security has a feature to allow passwords to expire. This must be configured by the system Administrator. Alternatively, users can be configured using Windows or Active Directory security. In either of these cases, password criteria including prevention of password aging is the responsibility of the customer's IT department.
11.300 (c)	Following loss management procedures to electronically deauthorize lost, stolen, missing or otherwise potentially compromised tokens, cards and other devices that bear or generate identification code or password information, and to issue temporary or permanent replacements using suitable rigorous controls.	Not applicable.
11.300 (d)	Use of transaction safeguards to prevent unauthorized use of passwords and/or identification codes, and to detect and report in an immediate and urgent manner any attempts at their unauthorized use to the system security unit, and, as appropriate to organizational management.	It is the responsibility of the customer to configure and assign users. Both failed login attempts and successful logins are captured in the secure audit trail.
11.300 (e)	Initial and periodic testing of devices, such as tokens or cards, that bear or generate identification code or password information to ensure that they function properly and have not been altered in an unauthorized manner.	Not applicable.

REFERENCES:

https://www.accessdata.fda.gov/scripts/cdrh/cfdocs/cfcfr/CFRSearch.cfm?CFRPart=11&showFR=1&subpartNode=21:1.0.1.1.8.1

https://www.accessdata.fda.gov/scripts/cdrh/cfdocs/cfcfr/CFRSearch.cfm?CFRPart=11&showFR=1&subpartNode=21:1.0.1.1.8.2

https://www.accessdata.fda.gov/scripts/cdrh/cfdocs/cfcfr/CFRSearch.cfm?CFRPart=11&showFR=1&subpartNode=21:1.0.1.1.8.3