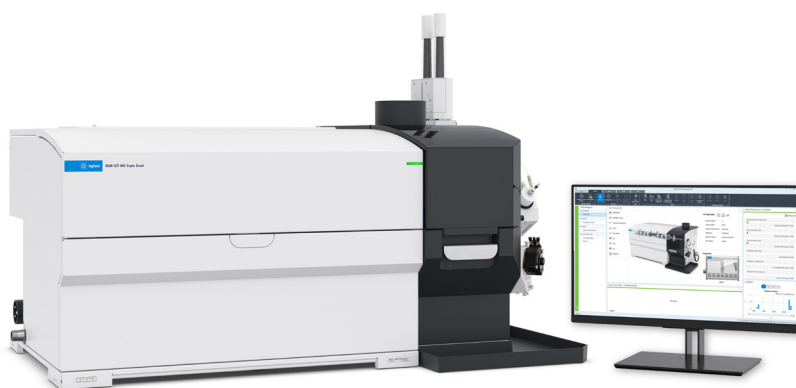


Meeting Regulatory Compliance Guidelines with Agilent OpenLab ICP-MS and OpenLab Server or ECM XT



Overview

The United States Pharmacopoeia (USP) and the International Council for Harmonisation of Technical Requirements for Pharmaceuticals for Human Use (ICH) are responsible for developing standards to test for inorganic (elemental) impurities in pharmaceutical products and ingredients: USP General Chapters <232> (Elemental Impurities – Limits) and <233> (Elemental Impurities – Procedures) and ICH-Q3D. These standards were implemented globally between 2017 and 2018, and have since been updated and harmonized, with the latest revision of USP <233> becoming effective in 2026. The guidelines specify maximum daily dose limits for the 24 elements listed in Table 1.

ICP-OES and ICP-MS are the reference instrumental techniques for the analysis of Elemental Impurities. ICP-MS is the more suitable technique for analysis of drug products and materials intended for parenteral or inhalational administration, due to the lower regulated limits in such samples.

Table 1. USP <232> and ICH Q3D analytes and permitted daily exposure (PDE) limits for drugs intended for oral administration. PDEs for drugs intended for parenteral or inhalational administration are significantly lower than those for oral drugs.

ICH/USP Class	Element	Oral PDE (µg/day)
Class 1	Cd	5
	Pb	5
	As (inorganic)	15
	Hg (inorganic)	30
Class 2A	Co	50
	V	100
	Ni	200
	Tl	8
	Au	100
	Pd	100
	Ir	100
	Os	100
Class 2B	Rh	100
	Ru	100
	Se	150
	Ag	150
	Pt	100
Class 3	Li	550
	Sb	1200
	Ba	1400
	Mo	3000
	Cu	3000
	Sn	6000
	Cr	11000

Apart from basic research and drug discovery, all stages of pharmaceutical product development, from pre-clinical assessment to manufacturing Quality Control, are subject to GxP guidelines. These include regulations for electronic data management as defined in Part 11 in Title 21 of the US Food and Drug Administration's Code of Federal Regulations (21 CFR Part 11), the European equivalent (EU Annex 11), PIC/S GMPs, China GMP, and the chapter on computer systems of the Brazilian GMP. The purpose of these regulations is to ensure the security, integrity, and traceability of electronic records, which includes data, analytical reports, and other records (such as daily performance checks) associated with the operation of an analytical instrument.

Compliance overview

Regulatory compliance is a key aspect of an analytical laboratory's operation in many industries, such as for pharmaceutical manufacturers, where the principles of good manufacturing practice (GMP) apply. The four components of compliance related to analytical instruments are:

- Design qualification (DQ), manufacturing quality control, lifecycle management and documentation, and installation and operational qualification (IQ/OQ) for analytical instruments and their software
- Control of user access to the workstation for instrument control and data processing (restricted user logon access with password protection)
- Electronic records security, integrity, and traceability (secure storage, file versioning, audit trail, electronic signatures, and archive/retrieval)
- Control of system operation, performance verification (PQ), physical access to the laboratory and associated equipment, Standard Operating Procedures, training and records

Compliance for Agilent ICP-MS systems

The first of these compliance components must be demonstrated through the manufacturing quality records and equipment validation certification of the instrument manufacturer. In the case of software, this means that the instrument manufacturer must be able to provide a Declaration of Product Validation, to confirm that their software supports user requirements for certification under 21 CFR 58 (Good Laboratory Practice), 21 CFR 210 (Good Manufacturing Practice for Drugs), or 21 CFR 211 (current Good Manufacturing Practice for finished pharmaceuticals).

Once analytical equipment is delivered to the laboratory, further qualification checks must be made to ensure that the products function as defined by the manufacturer. These IQ/OQ services should encompass the instrument hardware and all the software required to operate it, and are typically performed by the manufacturer. Further performance checks are typically performed using the methods and samples that will be analyzed routinely, to confirm that system performance meets analytical requirements.

The fourth component requires that the laboratory manager and administrator set up the appropriate controls on laboratory access, and ensure that system suitability tests (SST) and standard operating procedures (SOP) are documented and followed.

The remaining two components—system logon access and management of electronic records—are typically addressed by software packages which control and monitor user

access to the workstation, and provide an integrated system for handling the data and other electronic records generated during the laboratory's activities. These checks are designed to ensure data integrity and are summarized in the ALCOA+ principles, which apply to any records created under GMP controls. ALCOA refers to the fact that records should be Attributable, Legible, Contemporaneous, Original, and Accurate, while the Plus (ALCOA+) adds Complete, Consistent, Enduring, and Available.

OpenLab Basic Server, OpenLab Server, and ECM XT

OpenLab Server products (including OpenLab Basic Server) and ECM XT are two closely-related networked solutions for compliant storage of electronic records associated with elemental impurities analysis data acquired with Agilent's OpenLab ICP-MS system. OpenLab ICP-MS is the software that controls Agilent's ICP-MS and ICP-QQQ instruments. OpenLab Server and ECM XT share the same core program components and functionality. ECM XT adds support for non-Agilent data systems and provides extended and automated functionality for data reporting and archival. Either version is suitable for integration with supported Agilent OpenLab ICP-MS data systems.

OpenLab Basic Server is a cost-effective server platform built on the same technology as OpenLab Server. Basic Server is suitable for up to four connected ICP-MS instruments and is ideal for smaller labs requiring a server solution, but not needing connectivity for other Agilent instruments. OpenLab Basic Server can be upgraded to OpenLab Server or ECM XT at a later date if necessary.

The link between OpenLab ICP-MS and the secure data storage system is configured and activated using OpenLab ICP-MS's optional User Access Control (UAC) module. UAC adds user management and audit trail functionality of OpenLab Shared Services (OLSS).

In addition to storing data from ICP-MS, OpenLab Server/ECM XT stores data from instruments controlled by OpenLab CDS. These instruments can be Agilent and non-Agilent LCs and GCs and Agilent GC/MS and LC/MS single quadrupole systems. ECM XT can also store and manage data from non-Agilent data systems. OpenLab Server/ECM XT can manage data from up to 100 instruments.

In combination with an overall laboratory compliance plan, an OpenLab ICP-MS system with OpenLab Server/ECM XT provides all the technical controls needed to meet 21 CFR Part 11 and Annex 11 requirements.

OpenLab Server/ECM XT integrates with OpenLab ICP-MS with the optional UAC module with OLSS functionality. Once OpenLab Server or ECM XT is configured and activated, all ICP-MS data and reports are stored during the analytical run in a secure data repository, automatically, without user intervention.

Any controlled records generated in OpenLab ICP-MS software—tune reports, methods, batches, data files, and pdf reports are automatically transferred to the OpenLab Server/ECM XT database.



Figure 1. Components for compliant operation with OpenLab ICP-MS, User Access Control/OLSS, and OpenLab Server/ECM XT.

OpenLab Server/ECM XT is part of an industry-leading suite of software products designed to integrate and manage scientific information throughout its lifecycle, across the laboratory and the enterprise. OpenLab Server/ECM XT provides an ideal compliance solution for medium-sized and expanding laboratories and for laboratories that want to secure electronic records from more than one supported instrument. Agilent also offers ICP-MS compliance solutions that are suitable for single-instrument installations (OpenLab ICP-MS Workstation Plus) and global enterprise level organizations (OpenLab ECM).

System overview

The components needed for compliant operation of Agilent ICP-MS instruments with OpenLab Server include: OpenLab ICP-MS software, OpenLab ICP-MS User Access Control (UAC) with OpenLab Shared Services (OLSS), and OpenLab Server or OpenLab ECM/XT. Figure 1 illustrates how the components integrate to provide a complete solution.

Integration with OpenLab Server/ECM XT retains the standard OpenLab ICP-MS user interface, so routine operation is not affected, apart from the addition of e-signature capability. The familiar interface also allows data to be easily viewed and downloaded for approval or reprocessing. All raw data, results, methods, and reports are kept together, enabling simple access to the original results for auditing throughout the retention period.

Controlled access and audit trail

A key aspect of electronic records management is control of who is able to access the application software, and what actions they are permitted to perform. For OpenLab ICP-MS, this control is provided by the UAC module working with OLSS.

Users login to OpenLab ICP-MS with a unique username and password. Multi-level user access rights and audit trail settings that define the functions users can perform are configured by the Laboratory Administrator. An Audit Trail Map (ATM), defined in OLSS, ensures that each user, or group, is assigned to a role that allows only the actions permitted according to their job and training. Each action can also be set up to require user validation by password and reason, and all actions are included in the audit trail. Default ATM settings suitable for a typical laboratory environment are predefined.

As shown in Figure 2, control of user access to the OpenLab ICP-MS workstation and recording of application and workstation audit trails is performed by the OpenLab ICP-MS UAC/OLSS. Users log-on to the OpenLab ICP-MS Workstation and operate the OpenLab ICP-MS software in exactly the same way as a standalone system, within their level of user access rights.

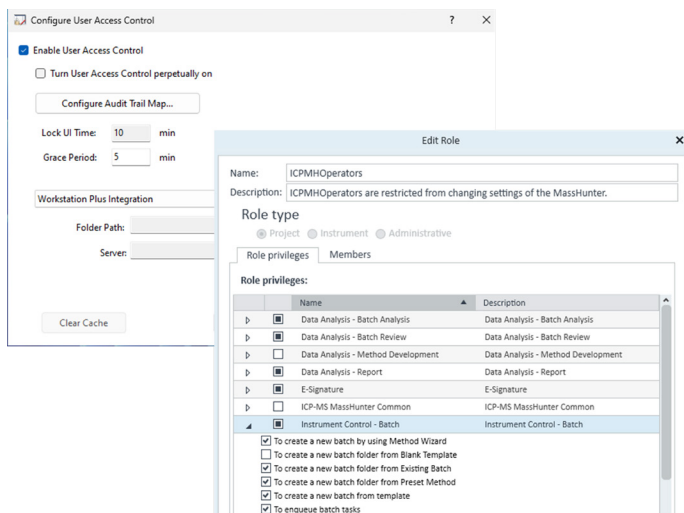


Figure 2. Control of user access to the OpenLab ICP-MS workstation, and recording of application and workstation audit trails are performed by the OpenLab ICP-MS UAC software with OLSS.

Finding and retrieving data

Data uploaded to OpenLab Server/ECM XT is securely stored on a suitable server with RAID 1 or RAID 5 architecture (see system requirements on page 12). Data stored on OpenLab Server/ECM XT is easy to find and retrieve using keyword searching (Figure 3). Records uploaded to OpenLab Server/ECM XT are automatically indexed so individual records or results can be found easily. Query items such as analyst name, sample acquisition date, and instrument name can be used to find and retrieve individual sample results, or all records for an entire batch. Database setup and administration is performed through OpenLab Server/ECM XT Control Panel.

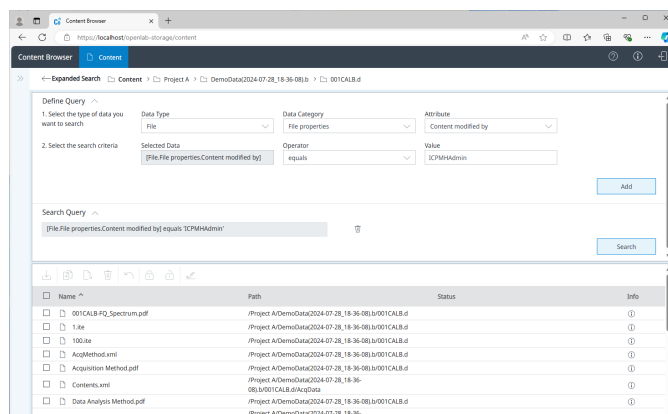


Figure 3. OpenLab Server file retrieval using Advanced Search functions.

Meeting the Regulatory Requirements of 21 CFR Part 11 with the Agilent OpenLab ICP-MS Software and OpenLab Server or ECM XT

The following tables describe how an OpenLab ICP-MS system with UAC/OLSS and OpenLab Server or ECM XT enables laboratories to meet the requirements set forth in 21 CFR Part 11, EU Annex 11, and other related regulations and guidelines.

Part 11 or Others	Requirements	Yes/No	If yes, how, specifically, is the requirement satisfied, or if no, what is the recommendation to customers?
1. Validation			
Part 11 11.10(a) and all other regulations	1.1 Is the system validated to ensure accuracy, reliability, consistent intended performance, and the ability to discern invalid or altered records?	Yes	Agilent has extensively validated the performance of its systems, including OpenLab ICP-MS and OpenLab Server/ECM XT, with tests written specifically to evaluate accuracy, reliability, and consistent performance. OpenLab Server/ECM XT maintains revisions of files as they are modified or altered. The solution also records any and all changes made to the system through computer generated audit trails. Agilent recommends making use of Installation Qualification and Operation Qualification (IQ/OQ) service to validate the on-site system.
Annex 11 Principle B; Brazil GMP 577	1.2 Is infrastructure qualified?	N/A	User responsibility.
2. Accurate Copies and Secure Retention and Retrieval of Records			
Part 11.10(b)	2.1 Is the system capable of generating accurate and complete copies of records in both human readable and electronic form suitable for inspection, review, and copying by the FDA?	Yes	Raw data, metadata and result data generated by OpenLab ICP-MS software are stored and managed in OpenLab Server/ECM XT. The result set that holds all this information can be loaded at any time to the hard disk of a client PC as a copy of the original data for review. OpenLab ICP-MS software is required to read the electronic format. OpenLab ICP-MS reports (e.g., tuning reports and concentration data reports), representing the human-readable form of electronic records, can be stored as PDF files which can be printed or made available for review with a PDF viewer without the source application installed on the client machine. These reports can include all data and audit trails.
Annex 11.8.1; Brazil GMP 583	2.2 Is it possible to obtain clear printed copies of electronically stored e-records?	Yes	OpenLab ICP-MS software is required to read the electronic format files. OpenLab ICP-MS reports (e.g., tuning reports and concentration data reports) representing the human-readable form of electronic records can be stored as PDF files which can be printed or made available for review with a PDF viewer without the source application installed on the client machine. These reports can include all data and audit trails.
Brazil 585.2	2.3 Are there controls to make sure that the data backup, retrieving and maintenance process is duly carried out?	Yes	OpenLab ICP-MS combined with User Access Control/OLSS software and OpenLab Server/ECM XT has the capability to backup and retrieve electronic records. It is the user responsibility to ensure such processes are carried out in compliance with the user organization's policy
Part 11.10(c); China GMP 163	2.4 Does the system protect records to enable their accurate and ready retrieval, throughout the records retention period?	Yes	When the compliance software is activated, all regulated, process-related records are automatically stored in the secure OpenLab Server/ECM XT database. Data secured within the database resides on a protected server. Regardless of the physical location of the data, it remains searchable and retrievable to all users with appropriate privileges.
Annex 11.17	2.5 Are data checked during the archiving period for accessibility, readability and integrity?	N/A	Functions to check stored data periodically are provided, but using them is the user responsibility.
Annex 11.17	2.6 If relevant changes are made to the system (e.g., computer equipment or programs), is then the ability to retrieve the data ensured and tested?	Yes	Revised software is tested for consistent operation and backward compatibility prior to release. Following installation of a new or updated revision, system revalidation can be offered as a service delivered by Agilent.
Annex 11.7.1; Brazil GMP 584	2.7 Are data secured by both physical and electronic means against damage?	Yes	OpenLab Server/ECM XT provides security for electronic records to protect against accidental or malicious damage, and the remote storage (on the server) provides some physical protection. Physical protection of the server (and lab PC), data backup, and archival processes are the responsibility of the user organization.

Part 11 or Others	Requirements	Yes/No	If yes, how, specifically, is the requirement satisfied, or if no, what is the recommendation to customers?
Clinical Computer Guide F2; FDA Q&As	2.8 Are there controls implemented that allow the reconstruction of the electronic source/raw documentation for FDA's review of the (clinical) study and laboratory test results?	Yes	The functionality of the electronic records version control and the change information contained in the audit trail files allow the reconstruction of the original electronic record information.
Clinical Computer Guide F2; FDA Q&As	2.9 Does the information provided to FDA fully describe and explain how source/raw data were obtained and managed, and how electronic records were used to capture data?	N/A	This information is available from the system, but providing it to the FDA is a user responsibility.
Annex 11.7.1; China GMP 163; Brazil GMP 585; Part 211, 68 b	2.10 Does the system allow performing regular back-ups of all relevant data?	Yes	Tools to support regular backup are provided, but implementation of a data backup system (beyond the remote storage of e-records in the OpenLAB Server system) is the responsibility of the user organization. Management (e.g., backup scheduling) is also the responsibility of the user organization.
Annex 11.7.2; China GMP 163; Brazil GMP 585; Part 211, 68 b	2.11 Is the integrity and accuracy of backup data and the ability to restore the data checked during validation and monitored periodically?	N/A	Functions to check backed up and restored data are provided, but using them is the user responsibility.
Clinical Computer Guide E	2.12 Are procedures and controls put in place to prevent the altering, browsing, querying, or reporting of data via external software applications that do not enter through the protective system software?	Yes	Data is not visible or editable from the lab PC without going through the protective system software. The data viewer of OpenLab Server/ECM XT is also protected via the OpenLab client logon.
Clinical Computer Guide F	2.13 Are there controls implemented to prevent, detect, and mitigate effects of computer viruses, worms, or other potentially harmful software code on study data and software?	Yes	Agilent has implemented controls designed to keep malicious code from being introduced into a regulated customer's systems via any software purchased from Agilent. Physical protection of the computer system from malware (e.g., preventing direct internet connection, and the connection of infected removable storage devices) is the responsibility of the user organization.
3. Authorized Access to Systems, Functions, and Data			
Part 11.10(d); China GMP 183 163; Brazil GMP 579; ICH Q7.5.43	3.1 Is system access limited to authorized persons?	Yes	All workstation, file, and software functionality access is controlled by privileges and roles assigned to individual users or groups of users. The system administrator assigns the appropriate level of access to the authorized users or groups. Each user is identified by a unique user ID and password combination. Access to the OpenLab ICP-MS workstation, OpenLab ICP-MS application software, and OpenLab Server/ECM XT requires entry of these unique identification components: user ID and password.
Several Warning Letters	3.2 Is each user clearly identified, e.g., through their own user ID and Password?	Yes	The system uses a user ID and password combination unique to each user in its electronic signature capability. User IDs are required to be unique and must not be reused or reassigned to another individual. This is the responsibility of the organization that implements and uses the system.
Clinical Computer Guide 4	3.3 Are there controls to maintain a cumulative record that indicates, for any point in time, the names of authorized personnel, their titles, and a description of their access privileges?	Yes	OLSS User Management and Windows User Account Management functionality includes this information. Maintenance of a cumulative record would be the responsibility of the user organization.
4. Electronic Audit Trail			
Part 11.10(e); China GMP 163	4.1 Is there a secure, computer-generated, time-stamped audit trail to independently record the date and time of operator entries and actions that create, modify, or delete electronic records?	Yes	All actions related to creating, modifying, or deleting electronic records are recorded in a secure, computer-generated, time-stamped audit trail. The audit trail lists all modifications, date and time of the change, the user ID and reason for the change, if applicable. Entries in the audit trails cannot be switched off, altered or deleted by any user. OpenLab ICP-MS UAC/OLSS software automatically generates time-stamped audit trails as a part of electronic records to maintain a complete and accurate history of acquisition and analysis operations. OpenLab Server/ECM XT secures the OpenLab ICP-MS audit trails; in addition it also generates audit trails for any updates on ICP-MS batches.
FDA 21 CFF 58.130 e; Clinical Computer Guide 2; Clinical Source Data 3	4.2 Does the audit trail record who has made which changes, when, and why?	Yes	The audit trail entries contain the name of the user, the date and time, and the reason associated with the signing (if the audit trail map settings specify that a reason is required for the action that triggered the audit trail entry).

Part 11 or Others	Requirements	Yes/No	If yes, how, specifically, is the requirement satisfied, or if no, what is the recommendation to customers?
Annex 11, 8.2	4.3 Can the system generate printouts indicating if any of the e-records has been changed since the original entry?	Yes	This information is available for method settings via the previous and new values that are recorded in the audit trail entry. Change flags are not supported directly in the OpenLab ICP-MSreports that are transferred to OpenLAB Server, but Agilent OpenLab Server/ECM XT provides version control for records, so version numbers can be used to identify records that have been altered or updated since the original entry.
FDA GMP Part 211.194 8b	4.4 Does the audit trail include any modifications of an established method employed in testing?	Yes	Any change to any method, whether an established method or not, is recorded in the audit trail.
FDA GMP Part 211.194 8b	4.5 Do such records include the reason for the modification?	Yes	The reason for any change to a method is recorded if "reason" is selected for that action in the audit trail map.
FDA Warning Letter	4.6 Is the audit trail function configured to be always on and can it not be switched off by system users?	Yes	The audit trail function can only be switched off (or privileges modified) by a user with appropriate administrator rights.
Annex 11, 9	4.7 Is audit trail available to a generally intelligible form for regular review?	Yes	The audit trail can be viewed in a tabular format that is easily intelligible.
Implicitly required by Annex 11, warning letters (and frequently requested by customers)	4.8 Can audit trail contents be configured such that only relevant activities are recorded for realistic and meaningful review of audit trail information?	Yes	The audit trail content is not directly user configurable, as all user actions are recorded. However, a filter function is available to allow entries to be viewed more easily.
Part 11.10(e)	4.9 Is previously recorded information left unchanged when records are changed?	Yes	Strict security and revision control of the data generated by the OpenLab ICP-MS system is achieved with automatic storage of the result set or single runs in OpenLab Server/ECM XT after acquisition, automatic reprocessing or any other interactive change. All entries in the OpenLab ICP-MS and OpenLab Server/ECM XT audit trails are non-editable and non-deletable. Even the removal of records from OpenLab Server/ECM XT by an authorized user does not affect existing entries in the audit trail.
Part 11.10(e)	4.10 Is audit trail documentation retained for a period at least as long as that required for the subject electronic record?	Yes	All audit trail information is stored in the system repository and kept throughout the electronic records retention period. The audit trails are unbreakably linked to the record. System-related activities such as logon events are also unbreakably linked to the system.
Part 11.10(e)	4.11 Is audit trail available for review and copying by the FDA?	Yes	Audit trails can be viewed through OpenLab ICP-MS software or the OpenLab Server/ECM XT user interfaces. Audit trails and selected entries can be copied or printed using the report function.
Annex 11, 8.1	4.12 Is it possible to obtain clear printed copies of electronically stored e-records (e.g., e-audit trail?)	Yes	Electronically sorted records including audit trail entries can be printed directly, or copied to printable format.
5. Operational and Device Checks			
Part 11.10(f)	5.1 Are there operational system checks to enforce permitted sequencing of steps and events, if required?	Yes	In all functions, when a sequencing of events is required, system checks enforce it. For example, a method cannot be applied to data until the method has been validated for completeness. Users are prompted with an error message when steps are performed out of sequence.
Part 11.10(g); Part 211, 68 b	5.2 Are there 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 a record, or perform the operation at hand?	Yes	Users cannot gain access to the system for acquisition, data processing, or review without a valid user name and password. Once logged in, the user's access to files and software functionality (including but not limited to signing a file, inputting values, or altering a record) are determined by their assigned privileges in UAC/OLSS.
Annex 11, 12.4	5.3 Is the system designed to record the identity of operators entering, changing, confirming or deleting data including date and time?	Yes	OpenLab ICP-MS UAC/OLSS and OpenLab Server/ECM XT record this information for actions performed within the application software. For system actions (such as changing the date/time setting), the Windows system event log records the information.

Part 11 or Others	Requirements	Yes/No	If yes, how, specifically, is the requirement satisfied, or if no, what is the recommendation to customers?
Part 11.10(h)	5.4 Does the system allow to use device checks to determine, as appropriate, the validity of the source of data input or operational instruction?	Yes	Device identity in the form, of the instrument serial number is transferred from the ICP-MS instrument to the OpenLab ICP-MS software automatically. The serial number can be displayed on software, and it is recorded in the data file. In addition, the source computer name is recorded for files that are uploaded to OpenLab Server/ECM XT from OpenLab ICP-MS software. Prior to data transfer, a device "handshake" confirms the correct link between ICP-MS and application host computer.
Part 11.10(i); China GMP 18; Brazil 571	5.5 Is there documented evidence that persons who develop, maintain, or use electronic record/electronic signature systems have the education, training, and experience to perform their assigned tasks?	Yes	Agilent company policies prohibit disclosure of personal training records. Audits can confirm existence of the training program. Materials can state that "Agilent personnel are trained..." Records of the educational and employment history of Agilent Technologies employees are verified and kept with personnel records. End users of OpenLab ICP-MS software with OpenLab Server/ECM XT are also required to have records of education, training, and/or experience with the system at the customer location. Agilent provides a basic familiarization during the installation of the product for system users. Additional system training is available from Agilent.
Part 11.10(j)	5.6 Is there a written policy that hold individuals accountable and responsible for actions initiated under their electronic signatures, in order to determine record and signature falsification?	N/A	User responsibility.
Implied requirement of Part 11 11.10(j)	5.7 Have employees been trained on this procedure?	N/A	User responsibility.
Part 11.10(k); China GMP 161	5.8 Are there appropriate controls over systems documentation including: (1) Adequate controls over the distribution of, access to, and use of documentation for system operation and maintenance?	N/A	User responsibility.
Part 11.10(i)	5.9 Are there revision and change control procedures to maintain an audit trail that documents time-sequenced development and modification of systems documentation?	Yes	Agilent's quality and product life cycle processes include formal written revision and change control procedures for system documentation. All controlled document revisions are time stamped and audit-trailed.
6. Data Integrity, Date and Time Accuracy			
Annex 11.5	6.1 Do computerized systems exchanging data electronically with other systems include appropriate built-in checks for the correct and secure entry and processing of data?	Yes	The Agilent OpenLab ICP-MS OpenLab Server/ECM XT system does not exchange data electronically with other systems, apart from connections made to networks or remote drives implemented by the user organization. Data exchanged within the OpenLab ICP-MS OpenLab Server/ECM XT environment includes appropriate checks for correct and secure entry.
Annex 11-6; Brazil GMP 580; ICHQ7-5.45	6.2 Is there an additional check on the accuracy of the data? (This check may be done by a second operator or by validated electronic means.)	Yes	Data accuracy is usually confirmed through the use of appropriate quality control checks, as defined by the user organization. Additional checks can be used, such as reporting confirmatory results for qualifier isotopes. Further checks, such as review by a second operator, are the responsibility of the user organization.
Clinical Computer Guide D.3	6.3 Are controls established to ensure that the system's date and time are correct?	Yes	Date and Time is verified during system setup and qualification. The date/ time recorded by OpenLab ICP-MS is taken from the operating system, domain controller, or time server (if connected to LAN/WAN). It is the responsibility of the user organization to maintain the correct date and time on the PC system clock. Any change to system date/time is recorded in the system audit trail.
Clinical Computer Guide D.3	6.4 Can date or time only be changed by authorized personnel, and is such personnel notified if a system date or time discrepancy is detected?	Yes	The date and time settings of the OpenLab ICP-MS workstation PC and OpenLab Server/ECM XT are only accessible to users with appropriate logon credentials. No external monitoring of system date/time is performed, so confirmation of accurate date/time settings would be the responsibility of the user organization.
Clinical Computer Guide D.3	6.5 Are time stamps with a clear understanding of the time zone reference used implemented for systems that span different time zones?	Yes	Time stamps in normal OpenLab ICP-MS reports show local time, but the audit trail records both local time and difference from UTC, so true times can be referenced and compared for systems that span different timezones.

Part 11 or Others	Requirements	Yes/No	If yes, how, specifically, is the requirement satisfied, or if no, what is the recommendation to customers?
7. Control for Open Systems (only applicable for open systems)			
Part 11.3	7.1 Are there 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?	N/A	The system is not designed to operate as an open system.
Part 11.3	7.2 Are there additional measures such as document encryption and use of appropriate digital signature standards to ensure, as necessary under the circumstances, record authenticity, integrity, and confidentiality?	N/A	The system is not designed to operate as an open system.
8. Electronic Signatures – Signature Manifestation and Signature/Record Linking			
Annex 11.14; ICH Q7.6.18	8.1 When electronic signatures are used, do they have the same impact as hand-written signatures within the boundaries of the company? Are they permanently linked to their respective record? Do they include the time and date that they were applied?	Yes	The use and impact of e-signatures within the company is the responsibility of the user organization. Electronic signatures are permanently linked to their respective records, and do include the date/time (and reason, if required) they were applied.
Part 11.50 (a)	8.2 Do signed electronic records contain information associated with the signing that clearly indicates all of the following: (1) The printed name of the signer? (2) The date and time when the signature was executed? And (3) The meaning (such as review, approval, responsibility, or authorship) associated with the signature?	Yes	Signed electronic records show: 1) The full name and approval level of the signer 2) The date and time the signature was executed 3) The meaning of the signature 4) A comment that is compulsorily entered to indicate the reason for the signature.
Part 11.50 (b)	8.3 Are the items identified in paragraphs (a) (1), (a)(2), and (a)(3) of this section subject to the same controls as for electronic records and are they included as part of any human readable form of the electronic record (such as electronic display or printout)?	Yes	All electronic signature components are displayed and printed.
Part 11.7	8.4 Are electronic signatures and handwritten signatures 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?	Yes	Handwritten signatures are not addressed by the system and must be managed procedurally by the user organization. Electronic signatures is unbreakably linked to the electronic record and cannot be modified, overwritten, or deleted.
Part 11 Preamble section 124	8.5 Is there a user-specific automatic inactivity disconnect measure that would "de-log" the user if no entries or actions were taken within a fixed short timeframe?	Yes	A time-based system lock can be applied to OpenLab ICP-MS. This lock requires the re-entry of a valid user's logon credentials to unlock the system computer.
9. Electronic Signatures General Requirements and Signature Components and Controls			
Part 11.100(a)	9.1 Is each electronic signature unique to one individual and not reused by, or reassigned to, anyone else?	Yes	The system uses a user ID and password combination unique to each user in its electronic signature capability. User IDs are required to be unique and must not be reused or reassigned to another individual. Management of this process is the responsibility of the organization that implements and uses the system.
Part 11.100(b)	9.2 Does the organization verify the identity of the individual before the organization establishes, assigns, certifies, or otherwise sanctions an individual's electronic signature, or any element of such electronic signature?	N/A	User responsibility

Part 11 or Others	Requirements	Yes/No	If yes, how, specifically, is the requirement satisfied, or if no, what is the recommendation to customers?
Part 11.100 (c)	9.3 Are persons using electronic signatures, prior to or at the time of such use, certified 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?	N/A	User responsibility.
Part 11.100 (c)	9.4 Do persons using electronic signatures, upon agency request provide additional certification or testimony that a specific electronic signature is the legally binding equivalent of the signer's handwritten signature?	N/A	User responsibility.
Part 11.200(a) (1)	9.5 Do electronic signatures that are not based upon biometrics employ at least two distinct identification components such as an identification code and password?	Yes	Both identification (user ID) and password are required to make an electronic signature.
Part 11.200(a) (1) (i)	9.6 When an individual executes a series of signings during a single, continuous period of controlled system access, is the first signing executed using all electronic signature components?	Yes	Both identification (user identification) and password are required to make all electronic signatures.
Part 11.200(a) (1) (i)	9.7 When an individual executes a series of signings during a single, continuous period of controlled system access, are subsequent signings executed using at least one electronic signature component that is only executable by, and designed to be used only by, the individual?	Yes	Both identification (user identification) and password are required to make all electronic signatures. It is the responsibility of the user organization to ensure the users are not sharing passwords.
Part 11.200(a) (1) (ii)	9.8 When an individual executes one or more signings not performed during a single, continuous period of controlled system access, is each signing executed using all of the electronic signature components?	Yes	Users need to electronically sign each record individually. For each electronic signature, the user has to enter two distinct identification components: A unique user ID, and password.
Part 11.200(a) (2)	9.9 Are controls in place to ensure that electronic signatures that are not based upon biometrics are used only by their genuine owners?	Yes	The system can be configured such that an administrator can assign an initial password to a user for a new account or forgotten password, but the user is required to change that password on their first login. In this manner, the user ID and password combination is known only to the individual. The system also does not allow two users to have the same user ID/password combination. It is the responsibility of the organization to make sure that user IDs and passwords are used by genuine owners only and are not shared.
Part 11.200(a) (3)	9.10 Are the electronic signatures be administered and executed to ensure that attempted use of an individual's electronic signature by anyone other than its genuine owner requires collaboration of two or more individuals?	Yes	OpenLab Solutions uses the user's user ID and password to initiate the electronic signature. An application user's password is stored encrypted within the database and is displayed as asterisks in all locations within the software. OpenLab Solutions can be configured such that an administrator can assign an initial password to a user for a new account or forgotten password, but the user is required to change that password on their first login. In this way the user ID/password combination is known only to the individual. Misuse of electronic signatures by anyone other than the owner would require intentional co-operation of a user and the System Administrator.
Part 11.200(b)	9.11 Are electronic signatures based upon biometrics designed to ensure that they cannot be used by anyone other than their genuine owners?	N/A	Electronic signatures used with OpenLab ICP-MS and OpenLab Server/ECM XT are not based upon biometrics.

Part 11 or Others	Requirements	Yes/No	If yes, how, specifically, is the requirement satisfied, or if no, what is the recommendation to customers?
10. Controls for Identification Codes and Passwords			
Part 11.300(a)	10.1 Are controls in place to maintain the uniqueness of each combined identification code and password, such that no two individuals have the same combination of identification code and password?	Yes	Identity management is performed in Windows User Account manager and OLSS control panel which does not allow two individuals to have the same user ID/ password combination.
Part 11.300(b)	10.2 Are controls in place to ensure that identification code and password issuance are periodically checked, recalled, or revised (e.g., to cover such events as password aging)?	Yes	Using Windows domain authentication, password renewal intervals can be configured in the OLSS password policy setup. The administrator can define a time frame in which passwords are periodically revised, automatically. Users are prevented from reusing passwords.
Part 11.300(c)	10.3 Are there 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?	N/A	Agilent OpenLab ICP-MS UAC/OLSS does not use tokens, cards, or other devices, to generate ID codes or passwords.
Part 11.300(d)	10.4 Are there transaction safeguards in place 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?	Yes	The OLSS security policy can be configured so that a user defined number of unauthorized access attempts locks out the user account and this can be communicated to a system administrator. The system audit trail documents general events such as logon attempts to the computer as well as application or user changes, in the system log as a central audit repository for all security information. This includes the system and computer ID along with the operator name and application identification, allowing for an immediate check of the potential security leak.
Part 11.300(e)	10.5 Are there controls for 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?	N/A	Agilent OpenLab ICP-MS UAC/OLSS does not use tokens, cards, or other devices, to generate ID codes or passwords.
11. System Development and Support			
Annex 11 4.5; Brazil GMP 577; GAMP	11.1 Has the software or system been developed in accordance with an appropriate quality management system?	Yes	Agilent maintains and can provide documented evidence that OpenLab ICP-MS, UAC/OLSS, and OpenLab Server/ECM XT software is developed under the Quality Management System defined in Agilent LSCA Product Lifecycle Revision and ISO QMS certification, together with the documentation for and described in the tests performed during product testing and Qualification Services.
Brazil GMP 589	11.2 Is there a formal agreement in case of the software supplier subcontracts software and maintenance services. Does the agreement include the contractor's responsibilities?	N/A	Agilent OpenLab ICP-MS software is not developed or supported using subcontractors.
ICHQ10, 2.7 c	11.3 For outsourced (development and support) activities, is there a written agreement between the contract giver and contract acceptor?	N/A	Agilent OpenLab ICP-MS software is not developed or supported using subcontractors.
ICHQ10, 2.7 c	11.4 Are the responsibilities and communication processes for quality related activities of the involved parties (contractors) defined?	N/A	Agilent OpenLab ICP-MS software is not developed or supported using subcontractors.

System requirements

Agilent OpenLab Basic Server, OpenLab Server, and ECM XT are server-based products that are scalable from a single to 100*-concurrent-instrument implementation. Various server configurations are supported, from all-in-one to flexible, multi-server installations. The server hardware requirements for an all-in-one (single server) system are shown below.

This configuration is suitable for installations where up to 60* concurrent instrument connections will be used, with data capacity of approximately 800 MB per day. Instruments operating with Agilent OpenLab ICP-MS or Agilent OpenLab CDS are supported. The recommended server specifications for up to two ICP-MS systems are shown in the table below. OpenLab Server/ECM XT requires a database backend and supports either PostgreSQL or Microsoft SQL Server 2019, 2022.

OpenLab Server/ECM XT all-in-one server configuration

Hardware	Minimum Specification
Processor	2 x CPU – 2.0 GHz or higher Minimum of 16 vCPU†
RAM (minimum)	48 GB
Disk (OS and Software)	600 GB SSD (RAID1)
Disk (Data)**	2 TB SSD (3 x 1 TB RAID5)
Network	1 Gbps to Clients
Operating System	Windows Server 2019 or 2022

* OpenLab Basic Server supports up to four connected ICP-MS instruments.

** Data disk space is estimated based on four years of usage with 300 logical instruments. The actual disk space needs to be adjusted based on planned usage pattern.

† A vCPU is a logical CPU (each vCPU is a thread of Intel or an AMD core) For example, a single quad core CPU can contain eight threads.

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