

STARLIMS CONTRACT SERVICES INDUSTRY LIMS SPECIFICATION DOCUMENT



DEVELOPMENT

FORMULATION DEVELOPMENT

FEATURE / FUNCTIONALITY

DESCRIPTION

Formulations and Recipes

Create recipes and development batches associated with recipes, and test them through standard STARLIMS workflows.

MANUFACTURING

FEATURE / FUNCTIONALITY

DESCRIPTION

Refinery Life Cycle process

Manage your typical lab processes encountered in manufacturing plants through

pre-defined processes and functionality:

- Raw material release Testing and validation of purchased raw materials that are used in the manufacturing of a certain product.
- Continuous process monitoring Sampling of a continuous scheduled process at different sampling points and the testing and validation of samples.
- Batch (Lot) and release testing Testing and validation of samples obtained from different stages in the process of manufacturing a product.

DESCRIPTION

Product Life Cycle - Lab Workflows (Cont.)

Manage typical manufacturing workflows with pre-defined steps or define which of the pre-defined steps apply to your operations.

- Plan A batch, which is a group of samples and associated tests belonging to a continuous process, or a Raw Material, is created and assigned a Planned status. The batch may be created manually or electronically from a 3rd party system such as Manufacturing Execution System (MES) or Enterprise Resource Planning (ERP). Planned work is reflected in the dashboard and will allow lab management to prepare for the anticipated work load.
- Start The batch is assigned a Start status to indicate that it is now being manufactured. This triggers alerts, typically in the form of a label printed in the production floor. This reminds personnel responsible for sampling to collect the sample from the appropriate sampling points.
- Receive in Central Receiving (CR) Samples may be received in a central receiving unit that can aliquot, sort, and deliver the samples to different labs and service groups.
- Receive In Lab Collected samples are received in the lab, the labels are scanned and an actual receive date and time are recorded.
- Testing and Recording Results Testing in itself can be a whole workflow of steps. Upon completion of testing, results are recorded. The system performs required calculations and compares the entered results to pre- set limits. An out-of-specification result may require the sample to be sent for retesting or forwarded for sample disposition.
- Releasing Tests Tests are released following results entry.

Upon completion of each of the above steps, reporting and messaging tasks are triggered, such as notification of an Enterprise Resource Planning (ERP) system regarding a batch release. Some of the steps are optional and can be configured using the static tables configuration tools.

Product and Sample Life Cycle Management

Product and Sample Life Cycle (Includes Login, Receiving, Results entry, Review and Approval).

Batch Inspections

Perform acceptance sampling using standards defined by the American National Standards Institute. Define inspection levels and acceptance criteria in ANSI Tables.

DESCRIPTION

Stability Management

Manage protocols, sample inventory, stability studies, pulling schedules, conditions and locations, all within the system. Stability studies may be run during product development, but are also run on production batches. Simulate extended periods in a shorter time span with accelerated stability testing.

Stability Study Lifecycle

STARLIMS allows you to set up a study workflow where you can assign specific users and/or roles to perform workflow steps such as Create, Review, and Start.

A study runs through a series of steps. Some steps are performed one time for starting and finishing the study. Others, such as pulling samples, are performed during each designated interval or cycle. Some steps are optional.

Pre-Defined Stability Study Lifecycle

STARLIMS offers a Stability Study Lifecycle where certain steps can be defined as option depending on your study.

The following steps can be included in the following sequence for starting and performing a study:

- 1. Log a draft stability study Required.
- 2. Create, Review, or Start Study You must include at least Create and Start Study in the General Workflow Manager steps.
- 3. Process Stability Cycles Required for cycle-based studies, but never used for interval studies.
- 4. Pull Stability Samples Required.
- 5. Receive samples Optional.
- 6. Enter results Required
- 7. Manual releases Optional. Releases are included by default.
- 8. Release Stability Interval Optional. Time point or interval approval is included by default
- 9. Complete the study Optional.

DESCRIPTION

Stability Study

To support the requirements of stability studies, STARLIMS allows you to:

- Create a Study Layout Design. Lay out testing schedules according to environmental conditions and intervals and tabulate product test results according to the intervals.
- Assign backups for selected intervals according to condition.
- Create multidimensional studies. Multidimensional studies group two or more studies which are identical in all but one factor, such as packaging.
- Set study duration and time intervals. Set up the durations of studies and the available test intervals in each study using a variety of time units, such as months, days, or hours. STARLIMS also supports long term studies.
- Include tests that are highly configurable. For example, tests can include calculations to convert findings, require materials such as reagents, specify test methods (including SOPs and specific instruments), and open electronic lab notebooks.
- Assign acceptance criteria according to region.
- Detailed information for storage locations. Designate locations for the product samples according to storage conditions such as the temperature, humidity, and so on.
- Designate storage positions. These can be orientations such as upright, sideways, inverted, in full sun-light, in darkness, and so on.
- Link samples to batches or lots. Indicate batches or lots to which the samples belong and other relevant details. You can also create additional fields to contain details for a particular study (configurable metadata fields).
- Pull sample reminders. Automatically display reminders to the appropriate personnel to pull samples when testing is due at each interval.
- Sample receiving. Require that a service group receive the samples in the system when the samples have been pulled and moved to the site.
- Retesting samples. Retest samples or pull new samples (resample) to repeat tests when results are questionable.
- Results review and approval. Send test results for review and approval by someone, such as a manager, other than the analyst who entered the results.

FEATURE / FUNCTIONALITY	DESCRIPTION
Customer and Project Management	Manage your customer information, and set up projects for laboratory testing, including test pricing, invoicing and schedules for sampling and testing.
Client Invoicing and Billing	Bill clients for samples tested, create invoices that reflect the price list and other payment terms that your facility has set for the clients. Bill clients for the tests performed according to prices set for the tests and the materials used. Issue invoices after samples are logged for testing or materials are shipped. Change the price of an individual test, a package of tests or a material in the invoice.
Client Categories	Group clients into categories (i.e. internal, external, supplier, etc).
Client Lists	Provide information about all organizations that receive services from your facility. This includes information such as mailing addresses, phone, fax, a list of contacts, attachments, and metadata, if associated.
Price Lists	Configure price lists for your clients and projects. Typically, facilities bill clients for the tests performed according to prices set for the tests and the materials used. STARLIMS provides tools to add, update, copy, release, print, and retire price lists used in project management. You can also keep a repository of test prices which you can use to update price lists.
Contact Groups	Create groups of contacts of similar type.
External Contacts	Create a list of external contacts, who have no access to the LIMS, but who should be notified of events regarding a client's project.
Turnaround Times	Turnaround time (TAT) is the number of working days from the day that the analysis of the samples can begin to the day that results are reported to the client. The TAT (turnaround times) module makes it possible to add a premium for accelerated testing or offer a discount/surcharge for longer turnaround times.

FEATURE / FUNCTIONALITY DESCRIPTION **Base Test Prices** Use the Test Price Definition functionality to keep a repository of test prices. You can update price lists that are in a draft state using these test prices with the SYNC with Price List feature. This feature can update all or selected price lists with a Draft status in the Price Lists application with the selected prices. Note: There is no "undo" for this action. **Client Projects** The Client Projects application contains data about specific projects associated with clients. The information includes terms, contacts of personnel involved, project samples, results, metadata, project orders and invoice information. Terms Within Client Project The Terms tab contains the arrangements for handling project samples. These arrangements can be set from this interface for new projects and reviewed or changed for existing ones. Track who created the project, Status of the project (Won, Lost, Rejected, etc), project star and expiry date, notes associated with the project, Price List ID Tests / Price List ID Materials associated with the project. **Project Contacts Within** Add or remove contacts associated with a project. **Client Project Applications** Track details about the locations at which samples are stored, the schedule for **Project Samples Within** pulling samples out of storage, and the tests to be carried out on the samples. **Client Projects Project Sample Groups** Project sample groups contain samples that can be collected together With Client Projects according to some logical grouping. For example, several samples may be taken at a point in time during a process, such as the culturing stage of a cheese making process, or from the same site, such as a water reservoir. **Business Rules and Sample** After a sample group is added, you can configure a business rule, which is an SSL Login Automation script that is executed by the STARLIMS Manager Service, also called the batch processor, during the automatic samples login and that returns the next execution date when associated samples are logged. Invoices Within Client Cross-references invoicing for the selected client and display the total charges **Projects** for tests conducted for a project. View the client's invoices, special charges, and

related reports.

DESCRIPTION

Project Orders With Client Projects

Order materials such as sampling kits for collecting a client's samples using the Project Orders tab.

Client Projects Query and Reporting

Use Reports to display various distribution reports, unpaid invoices, or work in progress for clients. Query using a date range and select from the types of reports available.

Volume Base Discounts Within Client Projects

Apply a discount based on the total dollar amount from the invoices currently being processed for a client.

Note: These calculations are user-defined SSL scripts created at your facility. Calculations must include logic to apply the discounts associated with the ranges. The base system will include one script without any special calculation logic in the Designer that you can select to apply the range-related discounts.

Login Billable Samples

Since there is no invoice without performing a billable test, you must log in a sample for testing before viewing the charge for it in the Invoice Manager. Sample(s) for which you want to bill must be marked as billable.

Log billable samples using:

- Client Project Login To associate logged samples with a project sample group.
- Test Plan Login If you want the flexibility to log samples and assign tests that are not associated with the project. If you want to bill for these tests, insure that they are included in the price list associated with the project.
- Plate Login For samples contained in a plate and processed according to a plate workflow.

Invoice Manager

After sample login or shipment of client materials, the tests and/or materials involved can be reviewed and invoiced. Release Invoices after processing such as adjusting line items and entering payments. Recreate and Print invoices.

Analyst Certifications

Track and manage analyst training and certification for tests and methods, scheduled courses and re-certification.

DESCRIPTION

Investigations

A Start an investigation to re-evaluate a questionable result or when a manager suspects a problem. Open, view, collect the investigation details, order a re-test, confirmatory test or re-sampling for samples under investigation. Assign the investigation steps to a user or role to perform the step.

Batch/Lot Genealogy

When batches are made using materials from other batches, such as batches of raw or formulated materials, you can trace back to these other batches to view pertinent information.

Lot genealogy allows you to view the different components (materials) that are used in the batch. The lot genealogy tree provides a view of a batch and its material code, material name, its associated samples and their test results. An OOS image displays when at least one sample in the highlighted batch in the lot genealogy tree has an OOS result recorded.

Statistical Controls, Control Charts and Trending

Allow laboratories to manage both human and instrument resources.

Resource Planning and Scheduling

STARLIMS provides several ways to monitor and track data in your facility by generating reports and queries. Use database re-usable query templates and generate Crystal reports file from the query results. STARLIMS offers a standard set of pre-defined reports available for areas such as general results and folder status. Create a report specific to your needs by further filtering information using a query.

Report Qualifiers

Result Qualifiers are used to describe results in printed reports. They can provide more details. The report may display the qualifier value along with the corresponding text.

Formulations and Recipes

Create recipes and batches associated with recipes, and test them through standard STARLIMS workflows.

DESCRIPTION

Contract Labs

Performs test and analyses for customers as opposed to an internal lab that does testing for a company. Client Projects application contains data about specific projects associated with clients. The information includes terms, contacts of personnel involved, project samples, results, metadata, project orders and invoice information.

Samples and Tests Outsourcing

Outsource tasks with third-party (internal or external) laboratories and document the samples for testing at an outsource lab, whether it is internal or external.

Manufacturing Life Cycle

Effectively manage your batches, from creation to delivery of a fi Certificate of Analysis (COA). Dynamically control the tests performed on batch samples, based on the frequency of testing and prior test results.

Label and Barcode Utility

Generate barcode labels and read bar code labels throughout certain steps within the applications.

Environmental Monitoring

Monitor the production environment in which batches are created. Ensure that all of your scheduled environmental samples are properly collected and tested with the environmental monitoring module. Efficiently manage sample points using visual floor plans. Use this application to verify that those components in a production environment are clean and sterile.

Environmental Monitoring Life Cycle

Pre-defined Environmental Monitoring Lifecycle workflows.

- Environmental Monitoring Login Use to log in and schedule a batch of sample points.
- EM Samples Pending Collection Indicate collection of the samples is completed for sampling requirements using this application.
- Receive EM Samples Receive the containers of samples gathered in a sample point.
- Environmental Results Entry Locate environmental samples pending testing, indicate their movement to the location for testing, and enter the test results for each sample.
- Release EM Batches Use to approve results. Optionally, a run release step can precede this step.

FEATURE / FUNCTIONALITY DESCRIPTION Real World Application Real world application provide a graphical view of a process. The graphical depiction is overlaid with transparent clickable labels, each representing a sampling point. Microbiology Life Cycle Define a more complex, dynamic test workflow (i.e. sequence of steps that change at run-time based on results). Microbial tests work best for workflow steps that change depending on results and that are very complex. Micro Reagents With several configurations, reagents in micro runs can be included in sample worksheets and the system will also automatically decrement inventory of micro reagents used. Micro Panels and Panel Panels are used to group micro components from a component type category. Conditions You can associate as many panels as you want for the same condition. Quality Control for a Quality controls (QCs) are samples that have an expected response and are added to test runs or micro workflow steps for validation. If the expected Micro Component response is not met, the test results are suspect, and the run has to be repeated. Assigning Reagents and Components may be created using one or more materials. The Reagents tab contains the physical materials that are used for the micro component. Other Materials to a Micro Component

DESCRIPTION

Using Equipment with Micro Components

Associate Micro Components to an equipment record.

Microbiology Workflow Manager

The Micro Workflow Manager application allows you to view all existing micro workflows in the system from one module. Within this application, you can create a microbial test workflow by definitive steps in which analysts can add media, create smears and cultures, conduct analyses, and enter results. Typically, the steps follow the natural workflow and decision process employed by the lab. During sample analysis, an analyst enters the results for each micro component in a panel associated with the component type through condition.

Plates Life Cycle

Samples can be added to a well plate or tube rack, tested, and results entered according to a workflow of steps. Create a plate map template, a workflow of steps, and a test to associate these elements with equipment to process the plate. After all elements are in place, samples can be logged, then the plate workflow becomes available for processing using the Plate Lifecycle Tasks application.

Plate Configurations

The Plate Configurations application window is used to create plate groups and plate templates to be used for testing samples in plate wells or racks of tubes. A plate group can contain one or more plate templates. A plate template shows the positioning of regular samples and quality control (QC) samples.

QC Management

The QC Management module allows you to log and track quality control samples in your laboratory. You can run tests to verify quality control of your laboratory, instruments or methods.

Electronic Signatures, Audit Trail and Traceability

Track aspects of your lab data, from the lowest level result and test information to analyst certifications. Access an entire sample history, review the training history of each individual, display full audit trails, extract e-signature information, and others.

DESCRIPTION

Electronic Signatures

STARLIMS QM supports electronic signatures. Use electronic signatures to configure approvals and rejections. Supervisors and others can then approve actions as the samples move through the laboratory life cycle.

User Access, User Management and Roles

Assign system access (username and password) to users so they see only the interfaces to tasks they may perform. You also assign each user a role, site, and service group (also called team) access. The role determines what console branches are displayed for that user. Site and service group access determines which site the user logs into and which samples appear for the user to process. If a user is allowed access to more than one site, the user is prompted to select a site when entering the system.

During the creation of a user in the system, you can assign a unique username and password. At this time, you can also assign a common signature name which is typically the common name of the user along with any professional prefixes or suffixes.

SmartCard Login

STARLIMS supports logging on using a SmartCard. After entering their credentials for the SmartCard, users can start STARLIMS without having to reenter log on information. SmartCard SSO can also be used for other STARLIMS events that require an electronic signature.

Work Assignment

Allow laboratories to manage both human and instrument resources.

Resource Planning and Scheduling

Save time by assigning work to your analysts and equipment based on availability and their current workload. Managing the laboratory workload is important to reduce turnaround times, improve performance, and assess the use of people and equipment to balance work between the available resources. To make the most effective use of laboratory resources, the RPS module is a helpful tool in prioritizing deadlines while using available equipment and analysts.

DESCRIPTION

Dashboard Gauges (Monitoring Performance)

The STARLIMS Dashboard can visually inform users about laboratory performance or individual analyst workload by displaying gauges. There are two types of gauges you can add to the dashboard, each with their own set of reports intended for users with management or analyst roles.

- Gauges for Management
- User Gauges

The Gauges for Management section of the Dashboard display defined Key Performance Indicators (KPIs). It shows graphically the status of a specific operations/tasks in the LIMS and lists standard reports about samples in various stages of processing. The dashboard is configured for users based on role.

The User Gauges section of the dashboard graphically shows the status of specific operations or tasks in the LIMS and list standard reports about samples in various stages of processing.

Metadata Templates

Metadata is data about data. Metadata provides an area to expand information based on fields defined in a template. Templates are available to be included in an application's Metadata tab according to the Usage selected.

You can configure templates of fields and captions and lay these elements out on a page for inclusion in Metadata tabs. Metadata tabs are used by applications that are expected to require the additional fields.

Workflow Manager

STARLIMS allows you to set up a workflow of multiple steps that can be executed by different people. Frequently, different users with different responsibilities handle the different steps of workflow.

Most STARLIMS applications only recognize one workflow, that is, there is one workflow with the relevant Application Reference and Code keywords. Exceptions are Stability Study Protocols and Stability Study Management which provide the ability to select alternative workflow.

Authorization Models

The Authorization Models application can be used to obtain multiple approval signatures simultaneously, or as a notification mechanism through acknowledgment.

Authorization roles are different from STARLIMS roles. Users are assigned either a Primary role or Backup role in the authorization model. The primary user will have to fulfill an action, or if the primary user is not available a backup user can be assigned to complete the action

DESCRIPTION

Method Manager

List your methods, such as Standard Operating Procedures (SOP) or American Society for Testing and Materials (ASTM) methods. Select from available methods when configuring a test.

Methods are associated with analytes within Test Manager and Sample Group Templates, Test Plan Manager, or Stability Study Protocols.

Methods can be associated with electronic notebooks (ELN), which can be used to display associated SOPs while an analyst is performing tests. Within an ELN, the analyst can also be guided through a workflow of sequential steps including constraints when required data is not entered.

Specifications Manager

Specs are an important part of results entry. You can set limits (specifications) outside of which the results are considered to be positive, abnormal, or out-of range. You can configure multiple specifications for an analyte to allow for different requirements.

The Specifications Manager displays all existing specifications in the LIMS along with the tests and profiles to which they are associated. Specifications are used to contain values for comparison with results to determine if the results entered exceed limits.

Ad Hoc Multi-Spec Evaluation

The Ad-Hoc Multi-Spec Evaluation application allows you to evaluate sample test results against different sets of specifications.

The Multi Spec command allows you to compare your current results against other specific aside from the primary spec in your test plan or template. Within this application, you can evaluate any set of sample results available in the LIMS against any set of specifications defined in the system.

Test Manager

Test Manager lists the tests that can be performed by your laboratory. The test configuration includes analytes used, spec schema to be used on results entered for each analyte, methods used in analysis, the equipment used for measuring results and preparing samples for analysis, the specification (limits) to which the results are compared, reagents that are used when a test is performed, and other test parameters. Test Manager contains the Test Workflow Diagram in which each box contains a separate step in the workflow that you can configure as necessary.

DESCRIPTION

Sites

Sites module allows you to define the organizational structure of your laboratory locations. After creating a site, you can define the teams (or Service Groups) that operate at each location and assign members to them. Sites can also include detailed structural information about plants, buildings and rooms which allows you to define inventory storage locations or keep track of testing locations at a more granular level.

Data Archive

Configure how often to archive data based on your retention policy, schedule and improve system performance.

Importing Data Using CSV

- STARLIMS provides a way to set up your organization's data in the system by importing it through .csv fi . STARLIMS provide a set of pre-configured templates to upload master static data.
- In addition, imports are used for loading LIMS tables using .csv when the data is already configured on another system and you want to import it into your LIMS.

Instrument Integrations (DCU)

Integrate your instruments without the need for complex programming.

Waters Empower™ 3 FR5 CDS Interface

Bidirectional interface with Empower. Create the sample sequence on LIMS and import to Empower. Once the data is collected in Empower CDS import relevant data back to LIMS via mapping.

Chromeleon™ 7.3 CDS Interface

Bidirectional interface with Chromeleon. Create the sample sequence on LIMS and import to Chromeleon. Once the data is collected in Chromeleon CDS import relevant data back to LIMS via mapping.

DESCRIPTION

NWA Integration

STARLIMS allows the interaction between the system and NWA Quality Analyst third party software. The Trending and QC Charts interfaces differ depending on whether you have NWA Quality Analyst enabled in your system or not.

Interface Connection

The STARLIMS application can interact with external applications, such as SAP, either using an ES Bundle via Web services or other technology depending on the customer's software infrastructure. The Interface Connections application can be used to translate information between the LIMS and the third party interfaces. To minimize development time and to allow reusability of interfaces, a template named Template Interface is provided which formats and packages information from the LIMS. You can add scripts to this base template to allow the LIMS to receive a response from one or more third party applications.

STARLIMS- SAP S4/HANA Interface

We have certified STARLIMS Quality Manufacturing Solution with SAP S4/HANA. The STARLIMS interface with SAP S4/HANA is an extension of our existing interface with SAP QM-IDI and ESS. The interface allows the mapping and exchange of information between the two solutions.

The STARLIMS Quality Manufacturing solution interface with SAP's Business Suite 4 HANA (S/4 HANA) Quality Management module allows customers to seamlessly leverage the benefits of both their ERP and LIMS solutions when verifying the quality of materials via inspection lots.

The interface allows product material lot and specification data to be transferred directly from SAP into STARLIMS, reducing issues related to manual entry or transcription of data by automating the creation of material information and lots within the STARLIMS.

Once inspection lot data is in STARLIMS, samples can be logged, results are recorded, and the usage decision is returned to SAP.

DESCRIPTION

Multiple Systems Interfacing

STARLIMS support several standards for data sharing. Our LIMS also has interfaces to SAP, Empower and Chromeleon.

Additionally, our software can interface with a wide variety of enterprise systems via:

- Simple Object Access protocol (SOAP) and Representational State Transfer (REST)-based web services
- Application Programming Interfaces
- Direct Database connections
- File-based interfaces

Our LIMS has integrated with a wide variety of systems, including, but not limited to:

- Equipment calibration and metrology systems
- Enterprise Document Management Systems (EDMS)
- Training or Learning Management Systems (LMS)
- Quality event and management systems
- Regulatory compliance and change management systems
- Process historians
- Statistical analysis systems
- Enterprise Resource Planning (ERP) systems
- Manufacturing Execution Systems (MES)

Default Graphical Workflows

The Graphical workflows will guide the end user through all the required steps or optional steps in each of the lifecycles in an easy and intuitive way: Manufacturing, Contract labs, Stability Studies, Process Samples and Environmental Monitoring.

Request Management Portal

The Request Management Portal allows clients to submit test requests directly to a Contract Lab (internal STARLIMS users) to be reviewed and processed. The Request Management Portal is integrated with the existing STARLIMS applications and therefore allows clients to track the progress of their requests at all times.

DESCRIPTION

QM Application Programming Interface (QM API)

The QM Application Programming Interface QM API v1.0 provides a series of pre-defined scripts to make REST API requests to the STARLIMS QM12.2 solution.

The scripts provide the proper conventions that need to be followed to make these data calls/requests. This allows interaction and exchange between other software applications that need to consume data from STARLIMS.

Some examples of data commonly consumed from STARLIMS include Test, Test Plans, Inventory, Methods, Materials, Folder, Project, Clients, Equipment, and Services groups.

Besides requesting information regarding different STARLIMS entities, the QM REST API also provides the ability to create new folders in STARLIMS.

REGULATORY COMPLIANCE AND SECURITY

FEATURE / FUNCTIONALITY

DESCRIPTION

Support 21 CFR Part 11 Compliance/ Electronic Records/ Electronic Signatures

The Title 21 Code of Federal Regulations (21 CFR Part 11) provides compliance information regarding Electronic Records and Electronic Signatures. Basically, certain guidelines are set forth to help insure security, integrity, and confidentiality of electronic records and to insure that electronic signatures are as legally binding as hand-written signatures.

STARLIMS has features to support 21 CFR Part 11 regulation compliance. Below are some of the features:

Authentication

STARLIMS requires a unique username and password for authentication into the system. Passwords are encrypted. In addition, StarLIMS offers the option of LDAP server authentication

Authority Checks

The system uses authority checks such as user ID and password to ensure that only authorized individual can use the system. In addition, when applying electronic signature users have to enter their credentials.

Group Memberships and Access Privileges

Access to the system is controlled by roles, sites and service groups. Roles are used to manage security access and operation of the system and to grant or revoke the user's right to perform different actions. Security measures defined by role and user information are used to control access to data and system functionality and to track system login failures and successes. System allows for creation of unlimited roles with assigned privileges, and the assignment of those roles to the users. Site and service group access determines which site the user logs into and which samples appear for the user to process.

Security and Password Policy

STARLIMS allow you to set password policies as a global setting or based by roles; among the available password policies are: grace login, password expiry date, password complexity, failed password attempt lock out, inactive timeout/lockout period, among others.

Users can retrieve their password using the pin number and security questions they set the first time they logged on.

DESCRIPTION

Audit Trail and history

STARLIMS generates time –stamped audit trails. The audit trail record the date and time of the operator entries or actions. Audit trails can be collected for creation, modifications or deletion of records.

STARLIMS provides you the ability to track changes made to a given first. This ability to track is critical for satisfying CFR Part 11, the Title 21 Code of Federal Regulations.

STARLIMS allows you to view the login history. The History application is the access point for this information. The History window displays event logs with signatures and audit trail records. When you set auditing for a record, associated tables, controls, and events are monitored. After you start auditing, you do not have the option to stop auditing. The Audit Trail window includes a Search option.

Login History/User History

Login History - following a successful login procedure, a user will be notified of the last successful login, last successful password change, last failed login attempt, and the number of failed logins since the last successful login.

User History - The User History lists login failures and successes for the highlighted user, the server to which the user connected, and at what time.

Electronic Signatures and Audit Trail

STARLIMS provides you the capability to configure electronic signatures based on workflow rules and triggers. Example you can configure sign off capabilities on a certain actions during the laboratory life cycle. It is possible to add an electronic signature to certain system events. Not all events are available to have an electronic signature added.

With STARLIMS you can require E-Sig Comments, or require users to provide their user name and password when electronically signing a record. Comments made by users are added to the audit trail history.

In addition, you can configure an E-signature witness - which requires another user that is a witness, to sign with his user name and password before an action takes place.

Some workflows allow the automatic start of audit trail functions. Audit records are linked to the individual that performed the action through the collection of the user's electronic ID or electronic signature.

DESCRIPTION

Electronic Signatures and Audit Trail (Cont.)

During the creation of a user in the system, users are assigned a unique username and password. At this time, the user can be assigned a common signature name which is typically the common name of the user along with any professional prefixes or suffixes.

Thus, the signature field can be readily used in reports or required authorization fields where a more meaningful representation of the user's name is needed. When users sign-off on actions, the signature text is displayed in applications listing those actions, such as traceability and audit trail.

Each signature record includes the username of the person who performed the task, the date and time the task was performed, and comments. Electronic signatures are linked to their respective electronic records.

Security, Data Protection and Encryption

User ID s are unique and User passwords are encrypted. User can be required to reset their password at first logon. If the customer needs all data encrypted this can be turned on at the RDBMS level.

Note: Full encryption of all data may result in performance degradation. Default system accounts can be disabled as required.

Human Readable Records

STARLIMS has the ability to accurately generate or produce electronics records data in both human readable and electronic formats.

Enforcements of Sequence of Steps

STARLIMS allows you to enforce the sequence of steps via configured workflows and via the Electronic Laboratory Notebook (ELN).

Enforcements of sequence of steps through My Service Groups Runs This results entry option is useful if you have several samples that require the same tests, or when the tests have several replicates and you want to perform a calculation of some sort (such as an average) using the replicates' results.

You use a run (work sheet) to assign analysts to perform tests. Use the run window to list a group of samples on which a type of test is to be performed. Assign each run to an analyst who performs the test on the samples. In addition, you can use runs to enforce sequences of steps to be performed. These steps can include preparation, approval, run creation, results, validation, and retesting steps. As the run moves through the steps according to the step code, corresponding buttons appear. After entering data into fields and tables, you click on these buttons to move the work sheet to the next step.

DESCRIPTION

Enforcements of Sequence of Steps (Cont.)

You can also use runs to specify the materials needed to perform tests, assign equipment, and specify the due date for the test to be completed. For the Microbiology life cycle you can confiegure that the sequence of steps changes at run-time based on results.

Enforcements of sequence of steps through ELN You can apply a workflow to the ELN Template, which mean that you can control the order in which ELN sheets are completed when the ELN form is run.

Microsoft Active Directory Integration for Authentication

The system can be integrated with Microsoft Active Directory such that users are able to log into the system using their current network credentials. LDAP is also supported.

STARLIMS allows users to authenticate when logging in over connections with an LDAP server. LDAP is Lightweight Directory Access Protocol, which allows users to query and authenticate with a database over TCP/IP.

Protection of Electronic Records Controls Throughout Retention Period

STARLIMS provide controls that ensure electronic records are protected and available during the data retention period. System access, data creation, modifications and deletion is controlled via user id, password, service groups, roles and its corresponding access privileges. Purging or deletion required to enforce retention periods could managed using the archive module.

Archive

STARLIMS provides an Archive module which allow you to archive and restore data. With this module you can definenetwork locations for the archives, the type of data that gets archived, and the age of the data to be archived.

SmartCards

STARLIMS supports logging on using a SmartCard. After entering their credentials for the SmartCard, users can start STARLIMS without having to re-enter log on information. SmartCard SSO can also be used for other STARLIMS events that require an electronic signature. SmartCards provide a portable security solution for tasks such as identification, client authentication, data storage and application processing. They can provide strong security authentication for large organizations that single sign-on (SSO) to control access to their enterprise software.

DESCRIPTION

Ability to Detect Invalid or Altered Records

STARLIMS provide the ability to detect invalid records (e.g. during data entry). You can configure STARLIMS to detect invalid record. You can define required (mandatory) fields. The system can provide visual indicators (flag) for the data that it is out of specification. Also the system can provide flags when data is entered that is beyond allowed limits.

The system will prevent you from committing the sample in the following cases:

- If an invalid (unapproved or expired) specification is assigned to the sample.
- A test with an invalid method is assigned to the sample.
- f the tests/analytes assigned to the sample do not match the tests/ analytes in the specification assigned to the sample. In this case you will still be able to commit the sample, however, the system will notify you of the mismatch.

In addition, record and application access privileges are controlled via roles and service groups. Alter or modifi records can be captured via audit trails. Examples of Invalid records scenarios are:

- For Spec Schema groups: Attempting to populate Start Date and Expiry Date fields with invalid input (such as YYYY/DD/MM rather than MM/ DD/YYYY) will display a blinking red icon on the top right.
- For Location Types blinking red icon is displayed if you attempt to update Size and Order fields with invalid input (such as ABC rather than numeric values).

SUPPORTING ISO 17025

FEATURE / FUNCTIONALITY

DESCRIPTION

How STARLIMS Supports ISO 17025

The STARLIMS product supports customers in operating their laboratories in a manner that is compliant with ISO 17025. Below is some of the ways how we support those laboratories.

Scientific Data Management System to Support Document Control

In addition to a Laboratory Information Management System (LIMS) which allows you to centralize your laboratory testing process data, our Integrated Solution includes a Scientific Data Management System (SDMS). The Scientific Data Management System extracts information from scientific documents and instruments and places it into a structured, easy-to-access format. SDM has features, like document management, document routing, instrument data repository, instrument integration, and advanced file parsing and extraction, supporting you with document control.

Supplier Management

The STARLIMS Courses application provides tools to manage available courses, their cost, content, and the test methods they cover. This information can be used later to schedule training or set certifications within the other applications Course Schedule and Analysts Certifications.

Analyst Certifications and Training to Support Training and Authorization of Personnel

With STARLIMS QM you can track and manage analyst training and certifications for tests and methods, scheduled courses, and re-certification. The Organization-Resources module includes information on courses and analysts' certifications.

Courses

The STARLIMS Courses application provides tools to manage available courses, their cost, content, and the test methods they cover. This information can be used later to schedule training or set certifications within the other applications Course Schedule and Analysts Certifications.

Course Schedule

Some laboratories, especially in regulated industries, require that analysts carrying out tests be certified (or validated) to perform the test methods used in the lab. Using the Course Schedule application, training courses can be scheduled, participants selected and invited, and certifications are granted.

Analysts Certifications

In STARLIMS when you assign tests to samples, they are routed according to the appropriate laboratory service group. If your facility requires that the tests be performed in a certified lab or by a certified analyst, you can check on certifications when assigning samples to labs and analysts.

DESCRIPTION

Equipment/Instrument Calibration and Maintenance

STARLIMS provides a full Equipment Management module to manage equipment lists, scheduled maintenance calibrations and maintenance events, QC standards, and automated alerts.

Inventory and Materials Management

The Inventory Manager allows you to manage the consumption, restocking, relocation and disposal of materials at your facility.

You can manage all laboratory materials and consumables including:

- Material Safety Data Sheets (MSDS) and SDS handling
- Testing of received or created materials
- Hierarchical storage of materials
- Full chain of custody on each inventory item (reception, consumption,
- restocking, relocation and disposal)
- Purchase order creation
- Customer supply and invoicing of consumables and sample collection materials
- National Fire Protection Association (NFPA), Hazardous Material Identification System (HMIS) and Global Harmonized System (GSH) labels

Environmental Monitoring Module

You can monitor the production environment in which batches are created. Ensure that all of your environmental monitoring scheduled samples are properly collected and tested. Efficiently manage sample points using visual floor plans with STARLIMS.

Statistical Process Control Charts and Trending

With STARLIMS Statistical Quality Control (SQC), Control Charts and Trending you can create control charts, configure rules to track within the chart, and view the charts throughout the sample and product lifecycle. Rule violations can be automatically detected which can drive further actions on samples and tests. With the trending tools graphically display trends and observe patterns in sample results over time. Advanced SQC and Control Charting are powered by Northwest Analyticals (NWA).

DESCRIPTION

Reporting and Querying

The results of each test, calibration, or series of tests or calibrations carried out by the laboratory shall be reported accurately, clearly, unambiguously and objectively, and in accordance with any specific instructions in the test or calibration methods (ISO 17025). Calibration reports can be generated via STARLIMS.

STARLIMS provides several ways to monitor and track data to manage performance in your facility:

- Dashboard Gauges (Monitoring Performance) Monitor daily activities to assess performance and workload in your facility.
- QBE Manager Use to configure database query templates and generate reports in the system. For example, you can get a report about how many samples run through a specific instrument were rejected. An unusual number of rejections may show the instrument needs more frequent maintenance.
- Trend Analysis with Control Charts Track data over time to determine potential problems in advance.
- QC Charts For viewing and configuring equipment control charts.
- Labels Count View reports of the amount of labels that have been printed for containers in various applications.

Data Visualization and Reporting

View key performance indicators via dashboards, get an indication of time and resources utilization, bottlenecks, sample turn around, number of Out of Specifications, drill down data and identify probable root causes. Perform adhoc queries, and create a variety of charts based upon the data. The system has hundreds of reports available out of the box and the capabilities to configure your own reports. Generate certificate of analysis and many other reports.

Product Quality Control Testing

Some of the aspects of Product QC testing covered by the STARLIMS system.

- Lot Genealogy
- Multi-Level and Multi-Region specifications and COA's
- Workflow driven notifications and reports
- · Out of the box interface for SAP
- · Multi-Level review and release
- Linked sampling and test plans

DESCRIPTION

Sampling and Material Testing

Sample and Test Workflow

STARLIMS supports sample and test workflow from start to finish, you can configure triggers, sample points, re-sample and re-test workflows. Link to open investigations through the integrated investigation module. Additionally, you may generate worksheet/list, result calculations, and result specifications comparisons.

Sample Storage and Sample Location Management

Manage the storage of samples, sample storage locations and areas. Store your samples in hierarchical storage containers and view the contents of each level of the storage hierarchy.

Sample Schedules and Sample Points

Set up your sample schedules to automatically schedule sampling points and QC samples based upon multiple criteria. Almost any type of sample schedule can be created, including hourly, daily, and annual schedules. Easily view sample schedules in a calendar format and visualize when samples will be logged.

Samples Draws-configure batch draw profiles and its associated tests and sampling requirements

CROSS FUNCTIONAL

FEATURE / FUNCTIONALITY

DESCRIPTION

Laboratory Execution System LES

With the STARLIMS LES (Laboratory Execution System), lab users can easily document their work at the moment they are executed (in-lab execution). This helps to ensure Standard Operation Procedures (SOP) compliance, improves efficiency, prevents transcription errors, and can make some otherwise required peer-review steps in GxP regulated environments unnecessary.

Electronic Laboratory Notebook (ELN)

STARLIMS Electronic Lab Notebook (ELN) provides centralized electronic replacement for paper lab notebooks used to record your lab data. Whether you are looking to capture interim result data in tables, create calculations on the fly using standard Excel formulas, add pictures and annotate, or include attachments, the Excel-like interface provides you with a canvas to capture and store your data in a central repository. The ELN also manages structured data and provides method execution capabilities to ensure SOPs are followed, and the method/SOP is visible while you are executing the steps to ensure compliance. With the HTML5 ELN design, performance, integration, and usability are improved. Documents created in the previous version of ELN can be imported into the new version

Scientific Data Management System (SDMS)

Scientific Data Management System for centralized management of documents, lifecycle management and automatic document routing and indexing; parsing and recognition technology that transforms a variety of documents or files into searchable structured information.

Advanced Analytics

Accelerate your lab by transforming your data into actionable insights. From powerful visualizations that more clearly illustrate key activities to predictive analysis capabilities that help you anticipate critical events, Advanced Analytics gives you the insight you need to manage your lab.

Mobile Applications

Access your lab remotely and stay connected. STARLIMS mobile offering gives you the ability to access some of the data of your lab on the go. The mobile solution is optimized for a wide range of screens and devices. From out-of-the-box apps to ones you can custom design to fit your lab's needs.

ISO 9001, ISO 13486 AND ISO 27001 CERTIFICATIONS

STARLIMS' commitment to quality is in the field of Laboratory Information Management Systems (LIMS). STARLIMS obtains certification as ISO 9001 compliant from the BSI organization.







Certificate of Registration

QUALITY MANAGEMENT SYSTEM - ISO 9001:2015

This is to certify that: Ab

Abbott Informatics Corporation 4000 Hollywood Blvd Suite 333 - S South Hollywood Florida 33021 USA

Holds Certificate No:

FM 636368

and operates a Quality Management System which complies with the requirements of ISO 9001:2015 for the following scope:

Design, manufacture, distribution, installation and servicing of Laboratory Information Management Systems software for various industries.

For and on behalf of BSI:

Carlos Pitanga, Chief Operating Officer Assurance – Americas

Effective Date: 2021-06-26

Original Registration Date: 2016-05-20 Latest Revision Date: 2021-04-22

Expiry Date: 2024-06-25

Page: 1 of 1

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...making excellence a habit."

This certificate remains the property of BSI and shall be returned immediately upon request.

An electronic certificate can be authenticated <u>online</u>. Printed copies can be validated at www.bsigroup.com/ClientDirectory
To be read in conjunction with the scope above or the attached appendix.

Information and Contact: BSI, Kitemank Court, Davy Avenue, Knowlhill, Milton Keynes MKS 8PP. Tel: + 44 345 080 9000

BSI Assurance UK Limited, registered in England under number 7805321 at 389 Chiswick High Road, London W4 4AL, UK.

A Member of the BSI Group of Companies.

ISO 9001, ISO 13486 AND ISO 27001 CERTIFICATIONS

STARLIMS also has obtained ISO 13485 certification from BSI. What this means is that our systems are held to the stringent standards of medical devices, and to our customers, that commitment to quality is in strict adherence to ISO 13485 in our software systems, our management processes, our customer service, our issue resolution processes—virtually every aspect of our company.



ISO 9001, ISO 13486 AND ISO 27001 CERTIFICATIONS

STARLIMS is ISO 27001:2013 accredited. The scope of our certification is the information security management system for the protection of proprietary information stored within the STARLIMS platform to include procedures, records, source codes and customer PII and PHI.



TECHNOLOGICAL ADVANTAGES AND COMPATIBILITY

FEATURE / FUNCTIONALITY

DESCRIPTION

Multi-tier Technology

STARLIMS technology platform is used by all of the market verticals and is the functionality that presents the user with the user interface and data which is configured in the business layer. By making the technology platform separate from the business layer STARLIMS customers can take advantage of rapid changes in IT infrastructure and gain access to novel tools like HTML5 and Mobile Application development without disrupting their business layer. The STARLIMS technology platform can be independently upgraded with little overall business and validation impact.

Web Based

Web-based solution, for instant global deployment. Validate it once, and you can deploy it globally, to any authorized user with a standard Google Chrome web browser.

Integrated Solution

STARLIMS is the only LIMS vendor to provide a completely integrated solution incorporating LIMS, ELN and SDMS in a single application. This eliminates the need for building and maintaining custom interfaces to third party tools. Our Integrated Solution combines all of your lab data on a single platform—optimize data management, accessibility, integrity, and provide the long-term value needed to transform data into actionable, impactful insights. Our LIMS solution handle complex processes, support regulatory compliance, and promote collaboration within your lab and among labs around the world.

Laboratory Execution System (LES)

Easily document important method execution steps at the moment they are performed (inlab execution). Our LES helps to ensure Standard Operation Procedures are being followed, avoiding transcription errors and paper-based inefficiencies.

Electronic Laboratory Notebook (ELN)

ELN eliminates paper-based notebooks, forms and log books to increase efficiency, reduce error rates, and promote regulatory compliance by helping to enforce method execution. With the HTML5 ELN design, performance, integration, and usability are improved. Documents created in the previous version of ELN can be imported into the new version.

Scientific Data Management System (SDMS)

Our SDMS extracts information from scientific documents and laboratory instruments and places it into a structured, easy-to-access format.

Advanced Analytics

Use real-time data to make critical decisions quickly. By providing an easy way to view and analyze all of your laboratory data through intuitive graphs and tables, you can confidently make decisions.

TECHNOLOGICAL ADVANTAGES AND COMPATIBILITY

FEATURE / FUNCTIONALITY

DESCRIPTION

Integrated Solution (Cont.)

Mobile

Take your lab on the go. Use your smartphone or tablet to track inventory, manage user access, view key performance indicators, and much more. By having full control of the lab at your fingertips, you can increase productivity and efficiency even when you are away or in the field.

Database Compatibility

STARLIMS is compatible with SQL and Oracle databases. Our system database conforms to Open Database Connectivity Standard (ODBC). STARLIMS Database servers can be clustered to provide failover support For additional details contact STARLIMS.

Operating Systems Compatibility

STARLIMS can be installed on Windows based operating systems. STARLIMS Application servers can be scalable through the use of MS Windows Clustering and Network load balancing services. For additional details contact STARLIMS.

Application Server Virtualization

STARLIMS application supports a virtualized environment.

STARLIMS application may be installed on VM thus reducing the number of required physical servers and energy requirements. We support VMWare, Hyper-V and Xen Center.

Multiple Environments

STARLIMS integrated platform offers support for multiple environments such as PC (using as the client the Google Chrome browser for the STARLIMS HTML5 forms and IE browser for the traditional STARLIMS XFD compatible forms particularly third party integrations that are not still available in HTML5 format), smart phones and tablets (using STARLIMS Mobile capability for iOS and Android mobile operating systems).

Total Cost of Ownership

STARLIMS is the only LIMS vendor to provide a completely integrated solution incorporating LIMS, ELN and SDMS in a single application. This eliminates the need for building and maintaining custom interfaces to third party tools and by consequence lowering the total cost of ownership.

Multi-language Support

STARLIMS is officially translated in English and from QM12.3 version the software is officially translated in Chinese Language. Other languages can be supported via Professional Service engagement.

starlims.com

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