



GAMP Good Practice Guide

A Risk-Based Approach to Operation of GxP Computerized Systems

A Companion Volume to GAMP® 5



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This Guide is meant to assist pharmaceutical organizations in determining a common understanding of the concept and principles of operation of GxP computerized systems. The International Society for Pharmaceutical Engineering (ISPE) cannot ensure and does not warrant that a system managed in accordance with this Guide will be acceptable to regulatory authorities. Further, this Guide does not replace the need for hiring professional engineers or technicians.

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Preface

Regulated computerized systems should be maintained in a demonstrable state of control and in accordance with regulatory requirements. Maintained regulated data and records should be complete, accurate, and secure. Some regulated data and records need to be retained after system retirement.

For regulated organizations, the Return On Investment (ROI) for the significant time and resources expended in implementing new computerized systems is achieved during the Operation Phase. Recovery from a failure to maintain control of a regulated system during the Operation Phase can be both time-consuming and expensive, and increase the risk to data integrity, product quality, and patient safety.

The purpose of this ISPE GAMP® Good Practice Guide, a Risk-Based Approach to Operation of GxP Computerized Systems, is to provide detailed information to enable organizations to support their systems more effectively during the Operation Phase of the system life cycle.

It provides comprehensive guidance for maintaining control of regulated systems throughout their operational life (including acceptance and release, system handover, through to system retirement and decommissioning). When applied as intended, this Guide can provide detailed direction on the required control processes which form a substantial part of an appropriate Quality Management System (QMS).

This Guide focuses on achieving effective and efficient business processes aligned with regulatory expectations, by providing generic principles which can be applied to regulated systems using a systematic and scalable approach.

This Guide addresses the operational and support processes that need to be established to receive regulated computerized systems into the Operation Phase of their life cycle and to maintain them in a state of compliance throughout their operational life, through to system retirement.

It is applicable to systems consisting of hardware and software of all GAMP® categories.

Guidance provided is scalable and can be applied to a range of systems, including:

- laboratory systems
- process control systems
- IT applications

Whereas GAMP® 5 is primarily concerned with strategic approaches and planning of operational activities, this Guide contains more detailed information, including:

- a fuller consideration of process scope
- risk-based scalability considerations
- the appropriate assignment of roles and responsibilities
- identification of associated records
- example procedures

Process flow diagrams provided are intended to assist in making the process steps and their interrelationships clear and accessible. Wherever possible a common terminology has been adopted to describe the required management processes, to allow the guidance to be accessible to as wide a readership as possible.

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This Guide was developed by a team under the **co-leadership** of **Kate Samways** and **Rob Stephenson**.

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Table of Contents

1	Introduction	9
1.1	Overview	9
1.2	Purpose.....	9
1.3	Benefits	11
1.4	Key Concepts.....	11
1.5	Structure of this Guide	12
2	Overview of the Operation Phase	13
3	What Organizations Should Do	17
3.1	Introduction	17
3.2	Capture of Operational Control Requirements.....	18
3.3	Design of Operational Processes	18
3.4	Verification of Processes.....	19
3.5	Deployment of Processes	19
3.6	Verification of the Effectiveness of Processes	19
4	Process Relationships	21
5	Handover	23
5.1	Introduction	23
5.2	Scope.....	23
5.3	Roles and Responsibilities.....	23
5.4	Handover Process Flow Diagram	25
5.5	Process Narrative	26
5.6	Procedural Guidelines and Considerations.....	27
5.7	Records and Record Content	29
5.8	Scalability.....	32
6	Establishing and Managing Support Services.....	33
6.1	Introduction	33
6.2	Scope.....	33
6.3	Roles and Responsibilities.....	33
6.4	Establishing and Managing Support Services Process Flow Diagram	35
6.5	Process Narrative	36
6.6	Procedural Guidelines and Considerations.....	38
6.7	Records and Record Content	40
6.8	Scaleability.....	44
7	Performance Monitoring	45
7.1	Introduction	45
7.2	Scope.....	45
7.3	Roles and Responsibilities.....	45
7.4	Performance Monitoring Process Flow Diagram	46
7.5	Process Narrative	47
7.6	Procedural Guidelines and Considerations.....	49
7.7	Records and Record Content	52
7.8	Scaleability.....	53

8	Incident Management	55
8.1	Introduction	55
8.2	Scope	55
8.3	Roles and Responsibilities	55
8.4	Incident Management Process Flow Diagram	57
8.5	Process Narrative	58
8.6	Procedural Guidelines and Considerations	60
8.7	Records and Record Content	63
8.8	Scalability	64
9	Corrective and Preventive Action	65
9.1	Introduction	65
9.2	Scope	65
9.3	Roles and Responsibilities	65
9.4	Corrective and Preventive Action Process Flow Diagram	67
9.5	Process Narrative	68
9.6	Procedural Guidelines and Considerations	70
9.7	Records and Record Content	71
9.8	Scalability	72
10	Operational Change and Configuration Management	75
10.1	Introduction	75
10.2	Scope	75
10.3	Roles and Responsibilities	76
10.4	Operational Change Management Process Flow Diagram	78
10.5	Operational Change Management Process Narrative	79
10.6	Configuration Management Process Flow Diagram	86
10.7	Configuration Management Process Narrative	87
10.8	Procedural Guidelines and Considerations	89
10.9	Records and Record Content	94
10.10	Scalability	97
11	Repair Activity	101
11.1	Introduction	101
11.2	Scope	101
11.3	Roles and Responsibilities	101
11.4	Repair Activity Process Flow Diagram	102
11.5	Process Narrative	103
11.6	Procedural Guidelines and Considerations	104
11.7	Records and Record Content	105
11.8	Scalability	105
12	Periodic Review	107
12.1	Introduction	107
12.2	Scope	107
12.3	Roles and Responsibilities	107
12.4	Periodic Review Process Flow Diagram	109
12.5	Process Narrative	110
12.6	Procedural Guidelines and Considerations	111
12.7	Records and Record Content	115
12.8	Scalability	117

13	Backup and Restore	121
13.1	Introduction	121
13.2	Scope	121
13.3	Roles and Responsibilities	121
13.4	Backup and Restore Process Flow Diagram	123
13.5	Process Narrative	124
13.6	Procedural Guidelines and Considerations	125
13.7	Records and Record Content	128
13.8	Scalability	129
14	Business Continuity Management	131
14.1	Introduction	131
14.2	Scope	131
14.3	Roles and Responsibilities	132
14.4	Business Continuity Management Process Flow Diagram	134
14.5	Process Narrative	135
14.6	Procedural Guidelines and Considerations	137
14.7	Records and Record Content	140
14.8	Scalability	143
15	Security Management	145
15.1	Introduction	145
15.2	Scope	145
15.3	Roles and Responsibilities	145
15.4	Security Management Process Flow Diagram	147
15.5	Process Narrative	148
15.6	Procedural Guidelines and Considerations	153
15.7	Records and Record Content	154
15.8	Scalability	155
16	System Administration	157
16.1	Introduction	157
16.2	Scope	157
16.3	Roles and Responsibilities	157
16.4	System Administration Process Flow Diagram	159
16.5	Process Narrative	160
16.6	Procedural Guidelines and Considerations	161
16.7	Records and Record Content	163
16.8	Scalability	164
17	Data Migration	167
17.1	Introduction	167
17.2	Scope	167
17.3	Roles and Responsibilities	167
17.4	Data Migration Process Flow Diagram	169
17.5	Process Narrative	170
17.6	Procedural Guidelines and Considerations	174
17.7	Records and Record Content	175
17.8	Scalability	178

18	System Retirement, Decommissioning, and Disposal	179
18.1	Introduction	179
18.2	Scope.....	179
18.3	Roles and Responsibilities.....	179
18.4	System Retirement, Decommissioning, and Disposal Process Flow Diagram.....	181
18.5	Process Narrative	182
18.6	Procedural Guidelines and Considerations.....	186
18.7	Record and Record Content	186
18.8	Scalability.....	190
19	Appendix 1 – RACI Roles and Operational Processes	191
19.1	RACI Terms.....	191
19.2	Grid Showing Operational Process versus RACI Role	192
19.3	Roles.....	192
20	Appendix 2 – Mapping of Operational Processes to ITIL® and COBIT®	195
21	Appendix 3 – List of Control Records	201
22	Appendix 4 – References	205
23	Appendix 5 – Glossary	207
23.1	Acronyms and Abbreviations	207
23.2	Definitions	209

1 Introduction

1.1 Overview

For regulated organizations, the Return On Investment (ROI) for the significant time and resources expended in implementing new computerized systems is achieved during the Operation Phase. The Operation Phase is usually significantly longer than the time spent in developing and delivering the system to the user community.

Regulated computerized systems should be maintained in a demonstrable state of control and in accordance with regulatory requirements. This applies to all components of the system (e.g., hardware, software, infrastructure, documentation, and personnel) throughout the system life cycle, from concept to retirement. Maintained regulated data and records should be complete, accurate, and secure. Some regulated data and records need to be retained after system retirement. Organizations should ensure that their integrity is assured for any required trending, re-evaluation, or inspection purposes within the defined retention period.

During the operational life of a GxP system, regulators usually focus on the integrity, consistency, and completeness of controls required to maintain compliance.

Recovery from a failure to maintain control of a regulated system during the Operation Phase can be both time-consuming and expensive, and increase the risk to data integrity, product quality, and patient safety.

Operational management controls should be established prior to acceptance and release and maintained throughout the Operation Phase of the system life cycle. Incidents and changes to systems should be managed effectively and efficiently, and the required records produced and retained.

These controls are similar to those employed to comply with the Sarbanes-Oxley (SOX) Act, the Federal Information Security Management Act (FISMA), and other regulations. All share common elements with ISO 20001 (ISO 17799) (Reference 4, Appendix 4).

1.2 Purpose

The purpose of this ISPE GAMP® Good Practice Guide, a Risk-Based Approach to Operation of GxP Computerized Systems (OGCS), is to provide detailed information to enable organizations to support their systems more effectively during the Operation Phase of the system life cycle.

It provides comprehensive guidance for maintaining control of regulated systems throughout their operational life (including acceptance and release, system handover, through to system retirement and decommissioning). When applied as intended, this Guide can provide detailed direction on the required control processes which form a substantial part of an appropriate Quality Management System (QMS).

This Guide focuses on achieving effective and efficient business processes aligned with regulatory expectations, by providing generic principles which can be applied to regulated systems using a systematic and scalable approach.

Risk-based controls should be implemented at a level of formality and complexity appropriate to an organization and system.

This Guide addresses the operational and support processes that need to be established to receive regulated computerized systems into the Operation Phase of their life cycle and to maintain them in a state of compliance throughout their operational life, through to system retirement.

It is applicable to systems consisting of hardware and software of all GAMP® categories.