

# Table of Contents

<b>1</b>	<b>Introduction .....</b>	<b>9</b>
1.1	Rationale for this Revision .....	9
1.2	Purpose.....	10
1.3	Scope.....	10
1.4	Structure of this Guide .....	12
1.5	Benefits.....	13
<b>2</b>	<b>Key Concepts .....</b>	<b>15</b>
2.1	Product and Process Understanding .....	16
2.2	Life Cycle Approach within a QMS.....	16
2.3	Scalable Life Cycle Activities .....	17
2.4	Science-Based Quality Risk Management.....	17
2.5	Leveraging Supplier Involvement.....	18
<b>3</b>	<b>Features Special to Process Control Systems .....</b>	<b>21</b>
3.1	Multiple Components and Multiple Suppliers.....	21
3.2	Interfaces to a Physical Process.....	24
3.3	Interfaces with Process Equipment.....	25
3.4	Phased Delivery.....	27
<b>4</b>	<b>Process Control System Life Cycle Overview .....</b>	<b>29</b>
4.1	Roles and Responsibilities.....	31
4.2	Process Control System Supplier Life Cycles.....	32
4.3	Leveraging Supplier Effort .....	33
4.4	Leveraging Supplier Effort for Different Types of Control Systems.....	34
4.5	Hardware and Software Categories.....	35
<b>5</b>	<b>Quality Risk Management .....</b>	<b>39</b>
5.1	ICH Q10 Pharmaceutical Quality System.....	39
5.2	ICH Q9 Quality Risk Management.....	39
5.3	ICH Q8 Pharmaceutical Development.....	40
5.4	Risk Management in the Life Cycle .....	41
5.5	Scalability of Risk Management.....	42
5.6	Step 1 – Initial Assessment and Determination of System Impact.....	43
5.7	Step 2 – Identify Functions with Impact .....	44
5.8	Step 3 – Perform Functional Risk Assessments and Identify Controls .....	45
5.9	Step 4 – Implement and Verify Appropriate Controls .....	47
5.10	Step 5 – Review Risks and Monitor Controls.....	47
<b>6</b>	<b>Concept Phase of the Life Cycle .....</b>	<b>49</b>
6.1	Introduction .....	49
6.2	Specific Considerations for Process Control Systems.....	49
<b>7</b>	<b>Project Phase of the Life Cycle .....</b>	<b>53</b>
7.1	Process Control System Validation Planning.....	53
7.2	Specification.....	57
7.3	Configuration and Coding .....	63
7.4	Verification .....	68
7.5	Reporting and Release .....	74

<b>8 System Operation .....</b>	<b>77</b>
8.1 Introduction .....	77
8.2 Handover .....	78
8.3 Establishing and Managing Support Services .....	79
8.4 Performance Monitoring.....	80
8.5 Incident Management and CAPA.....	81
8.6 Repair Activity .....	82
8.7 Periodic Review .....	83
8.8 Backup and Restore .....	84
8.9 Business Continuity and Disaster Recovery Planning.....	85
8.10 Security Management.....	86
8.11 System Administration .....	87
8.12 Record Retention, Archive, and Retrieval.....	87
<b>9 Retirement Phase of the Life Cycle.....</b>	<b>89</b>
9.1 Introduction .....	89
9.2 Overall Strategy .....	89
<b>10 Supporting Processes.....</b>	<b>91</b>
10.1 Supplier Assessment .....	91
10.2 Design Review and Traceability.....	92
10.3 Change and Configuration Management.....	95
10.4 Document Management.....	97
<b>11 Governance for Achieving Compliance.....</b>	<b>99</b>
11.1 Policies and Procedures .....	99
11.2 Roles and Responsibilities.....	100
11.3 Training .....	100
11.4 Management of Suppliers .....	100
11.5 Systems Inventory .....	101
11.6 Planning for Validation .....	101
11.7 Continuous Improvement Activities.....	101
<b>12 Supplier Activities.....</b>	<b>103</b>
12.1 Introduction .....	103
12.2 Considerations for Process Control Systems .....	103
12.3 Supplier Good Practices for Process Control Systems.....	103
<b>13 Appendix E1 – Example: Categorizing Software Elements .....</b>	<b>107</b>
13.1 Discussion on Boundaries between Categories 3 and 4 .....	107
13.2 Discussion on Boundaries between Category 4 and Category 5 Components .....	108
13.3 Classification of Standard Products Involving Configured or Coded Items.....	110
13.4 Example Classification 1 – Large Distributed Control System.....	112
13.5 Example Classification 2 – PLC Control System (Custom Machine).....	113
13.6 Example Classification 3 – PLC Control System (Standard Product).....	114
13.7 Example Classification 4 – Simple PID Controller .....	115
<b>14 Appendix E2 – Example: Life Cycle Activities .....</b>	<b>117</b>

<b>15 Appendix E3 – Example: Risk Management Process .....</b>	<b>123</b>
15.1 Example Method for Defining System and the Functions within It.....	123
15.2 Example Method for Rating Impact or Severity .....	125
15.3 Example Method for Rating Likelihood .....	126
15.4 Example Method for Rating Detectability.....	127
15.5 Example Method for Assessing Overall Risk and Identifying Required Controls.....	127
<b>16 Appendix E4 – Example: CQAs/CPPs at Different Levels of Specification.....</b>	<b>131</b>
<b>17 Appendix E5 – Example: Assessing Different Types of Suppliers .....</b>	<b>135</b>
17.1 Introduction .....	135
17.2 Original Equipment Manufacturers .....	135
17.3 Packaged Equipment Suppliers.....	135
17.4 System Integrators.....	136
17.5 Service Providers.....	136
17.6 Suppliers of Standard Products .....	137
17.7 Process Control System Manufacturers .....	137
17.8 Assessment of Suppliers to the Supplier .....	138
17.9 Certification of Suppliers .....	139
<b>18 Appendix E6 – Example: Verification Activities .....</b>	<b>141</b>
<b>19 Appendix E7 – Example: The Impact of Phased Delivery .....</b>	<b>145</b>
19.1 Introduction .....	145
19.2 Example of a Phased Release of Software to Site .....	146
19.3 Database Item Control.....	147
19.4 Example Considerations for Planning Phased Releases.....	147
<b>20 Appendix E8 – Example: System Patches .....</b>	<b>151</b>
20.1 Introduction .....	151
20.2 Components within a Process Control System.....	151
20.3 Patch Management Process.....	154
20.4 Backup.....	155
<b>21 Appendix E9 – Example: System Retirement .....</b>	<b>157</b>
21.1 Responsibility.....	157
21.2 Retirement Planning Considerations .....	157
21.3 Retirement Activities .....	158
21.4 Example Retirement Approaches .....	159
<b>22 Appendix S1 – Process Analytical Technology (PAT) .....</b>	<b>161</b>
22.1 Introduction .....	161
22.2 What is a PAT System?.....	162
22.3 Examples of PAT Systems .....	163
22.4 What Is Special About PAT Systems – Additional Risks? .....	165
22.5 What Is Special About PAT Systems – Life Cycle Activities?.....	168
<b>23 Appendix S2 – Alarm Strategy.....</b>	<b>171</b>
23.1 The Alarm System.....	171
23.2 Alarm Management Life Cycle.....	171
23.3 The Process Condition Model.....	175
23.4 Alarm Life Cycle Entry Points .....	175

<b>24 Appendix S3 – Batch Control and ANSI/ISA-88 and ANSI/ISA-95 .....</b>	<b>177</b>
24.1 Understanding the Basics of ANSI/ISA-88 and ANSI/ISA-95.....	177
24.2 Understanding S95 .....	177
24.3 Understanding S88 .....	178
24.4 Compliance Considerations.....	181
<b>25 Appendix 13 – References .....</b>	<b>183</b>
<b>26 Appendix 14 – Glossary .....</b>	<b>185</b>
26.1 Abbreviations and Acronyms .....	185
26.2 Definitions .....	187