

# Table of Contents

<b>1</b>	<b>Introduction .....</b>	<b>7</b>
1.1	Background.....	7
1.2	Purpose.....	7
1.3	Scope.....	8
1.4	How to Use This Guide .....	8
1.5	Terminology.....	10
<b>2</b>	<b>Data and Records.....</b>	<b>17</b>
2.1	What Is Special about Manufacturing Systems?.....	17
2.2	What Is Regulated Data? .....	19
<b>3</b>	<b>Data Flows and Data Lifecycle.....</b>	<b>23</b>
3.1	Mapping Data Flows .....	23
3.2	Typical GMP Data Flows.....	23
3.3	Data Lifecycle .....	27
<b>4</b>	<b>Risk Management Approaches.....</b>	<b>41</b>
4.1	Initial Data Integrity Risk Assessment and Identifying the Impact of Poor Data Integrity Controls .....	41
4.2	Identifying Data Flows with Impact on Patient Safety, Product Quality, and Data Integrity .....	41
4.3	Performing Functional Risk Assessments and Identifying Controls.....	41
4.4	Implement and Verify Appropriate Controls .....	42
4.5	Reviewing Residual Risks and Monitoring Controls .....	42
<b>5</b>	<b>Detecting Data Integrity Issues .....</b>	<b>43</b>
5.1	Data Review Requirements .....	43
5.2	Critical Thinking .....	52
<b>6</b>	<b>Preventing Data Integrity Issues.....</b>	<b>57</b>
6.1	Data Integrity Culture .....	57
6.2	Supplier Management Considerations.....	57
6.3	Essential Technical Features .....	61
6.4	Policies and Procedures .....	64
6.5	Access Considerations .....	66
6.6	Critical Validation Activities .....	70
<b>7</b>	<b>Quick Wins .....</b>	<b>71</b>
7.1	Quick Wins for Existing Systems .....	71
7.2	Quick Wins for New Projects .....	75
7.3	Quick Wins for Governance.....	76
<b>8</b>	<b>Appendix 1 – Process Control System Risk Assessment Example .....</b>	<b>79</b>

<b>9</b>	<b>Appendix 2 – Risks to Data Integrity Associated with Specific Data Types.....</b>	<b>81</b>
9.1	Automatically Captured Process Data .....	82
9.2	Simple Calculated Values .....	83
9.3	Manually Entered Process Data .....	85
9.4	Process Data Originating in Another System.....	86
9.5	Alarms and Events.....	88
9.6	Exception Reports.....	89
9.7	Images and Image Recognition .....	90
9.8	Complex/Statistical Transformations.....	92
9.9	Outputs Used Manually by the Operator.....	93
9.10	Production Definition Management – Master Recipes.....	94
9.11	Production Resource Management – Material Control.....	95
9.12	Production Resource Management – Equipment Control.....	96
9.13	Production Resource Management – Personnel Control.....	97
9.14	Production Dispatching.....	98
9.15	Production Execution – Control Recipes and Workflows.....	99
9.16	Production Data Collection and Production Tracking.....	100
9.17	Production Performance Analysis .....	100
9.18	Manufacturing Production Record Review, Release, and Disposition.....	101
<b>10</b>	<b>Appendix 3 – Data Integrity Maturity Factors .....</b>	<b>103</b>
<b>11</b>	<b>Appendix 4 – Essential Technical Features.....</b>	<b>113</b>
<b>12</b>	<b>Appendix 5 – Policies and Procedures .....</b>	<b>121</b>
<b>13</b>	<b>Appendix 6 – Example Segregation of Duties.....</b>	<b>125</b>
<b>14</b>	<b>Appendix 7 – Validation Activities .....</b>	<b>129</b>
<b>15</b>	<b>Appendix 8 – Data Integrity Citations by Regulators.....</b>	<b>137</b>
<b>16</b>	<b>Appendix 9 – References .....</b>	<b>145</b>
<b>17</b>	<b>Appendix 10 – Glossary .....</b>	<b>149</b>
17.1	Abbreviations and Acronyms .....	149
17.2	Definitions .....	151