

Table of Contents

1	Introduction	9
1.1	Overview	9
1.2	Purpose.....	9
1.3	Scope.....	10
1.4	Benefits.....	12
1.5	Objectives	12
1.6	Structure of this Guide	13
2	Key Concepts	15
2.1	Product and Process Understanding	15
2.2	Life Cycle Approach within a QMS.....	16
2.3	Scalable Life Cycle Activities	17
2.4	Science-Based Quality Risk Management.....	18
2.5	Leveraging Supplier Involvement.....	19
3	Regulated Organization and Supplier Relationship	23
3.1	Introduction	23
3.2	The Supply Chain	24
3.3	Quality Risk Management.....	25
3.4	Supplier Assessment	26
3.5	Leveraging Supplier Testing.....	28
3.6	Determining Appropriate Test Evidence.....	31
3.7	Ongoing Support.....	32
3.8	Commercial Issues	32
4	Appendix T1 – Test Practices	35
4.1	Introduction	35
4.2	Test Policies	35
4.3	Types of Verification.....	37
4.4	Determination of the Scope of Testing	58
5	Appendix T2 – Test Planning and Test Management	61
5.1	Introduction	61
5.2	Test Plan or Strategy.....	61
5.3	Test Metrics.....	81
5.4	Automated Tools for Planning and Management.....	88
6	Appendix T3 – Test Specifications, Cases, and Scripts.....	91
6.1	Test Specifications or Test Protocols	91
6.2	Test Cases and Test Scripts.....	92
6.3	Example Test Step Classification Scheme.....	99
6.4	Example Test Scripts and Cases	100

7	Appendix T4 – Test Environments	105
7.1	Introduction	105
7.2	Hardware Environment	107
7.3	Test Software	108
7.4	Test Data Sets.....	109
7.5	Test User Accounts	111
7.6	Test Documentation	111
7.7	Managing Test Environments.....	111
7.8	Automated Testing	114
7.9	Non-Linear Software Development Methods	114
8	Appendix T5 – Testing Execution.....	115
8.1	Introduction	115
8.2	Test Pre-Requisites.....	115
8.3	Test Execution.....	115
9	Appendix T6 – Test Results Recording and Reviewing	119
9.1	Test Evidence.....	119
9.2	Test Record Integrity	120
9.3	Post Execution Review	121
9.4	Test Evidence for Packaged Systems.....	122
10	Appendix T7 – Test Reporting and System Handover	125
10.1	Test Reports.....	125
10.2	Leveraging Supplier Testing.....	126
10.3	Determination of Residual Risk.....	127
10.4	Formal Handover and Release.....	127
11	Appendix T8 – Testing in the Operational Phase.....	131
11.1	Types of Change.....	131
11.2	Test Planning and Test Management.....	133
11.3	Testing Changes	134
11.4	Releasing a Change	138
12	Appendix T9 – Testing as Part of Data Management.....	141
12.1	Introduction	141
12.2	Data Migration.....	141
12.3	Data Verification.....	142
12.4	Manual Data Migration and Data Verification.....	145
12.5	Automated Data Migration and Data Verification.....	146
12.6	Data Management in the Operational Phase.....	149
13	Appendix T10 – Testing in Non-Linear Software Development Methods	155
13.1	Introduction	155
13.2	Non-Linear Software Development Life Cycles	155
13.3	Prototyping	157
13.4	Non-Linear Software Development Risk Scenarios.....	157
13.5	Testing by Phase.....	160
13.6	Team Roles	161
13.7	Test Documentation	162

14 Appendix T11 – Automated Test Execution and Computerized Test Management Tools.....	163
14.1 Introduction	163
14.2 General Benefits of Test Automation Tools	167
14.3 How to Use Test Automation Tools	168
14.4 Selection and Benchmarking of Computerized Test Tools.....	170
14.5 Assessment of Computerized Test Tools	175
15 Appendix E1 – Testing Configurable IT Systems	179
15.1 Introduction	179
15.2 What is special about these systems? – Risk Scenarios.....	180
15.3 Business Process versus Functional Process Testing.....	181
15.4 Typical Test Types and Phasing for Configurable IT Systems	185
15.5 Example ERP Test Script.....	186
15.6 Example Pharmacovigilance Test Script	189
16 Appendix E2 – Testing of Cloud Applications.....	197
16.1 Introduction	197
16.2 What is special about these systems? – Risk Scenarios.....	199
16.3 Typical Test Types and Phasing for Cloud Applications	206
17 Appendix E3 – Testing Analytical Instruments	209
17.1 Introduction	209
17.2 What is special about these systems? – Risk Scenarios.....	210
17.3 Typical Test Types and Phasing for Analytical Instruments	213
18 Appendix E4 – End User Developed Applications.....	215
18.1 Introduction	215
18.2 Core Package	215
18.3 Testing Approach	215
18.4 Management of Testing.....	215
18.5 What is special about these systems? – Risk Scenarios.....	216
18.6 Typical Test Types and Phasing for End User Developed Applications	217
19 Appendix E5 – Testing of Infrastructure and Interfaces	219
19.1 Introduction	219
19.2 What is special about these systems? – Risk Scenarios.....	223
19.3 Typical Test Types and Phasing for Infrastructure and Interfaces	226
20 Appendix E6 – Process Control Systems	229
20.1 Introduction	229
20.2 What is special about these systems? – Risk Scenarios.....	233
20.3 Typical Test Types and Phasing for Process Control Systems	236
21 Appendix E7 – Packaged Systems	241
21.1 Introduction	241
21.2 What is special about these systems? – Risk Scenarios.....	243
21.3 Typical Test Types and Phasing for Packaged Systems	244
22 Appendix E8 – Testing Systems Applying Process Analytical Technology.....	249
22.1 Introduction	249
22.2 What is special about these systems? – Risk Scenarios.....	253
22.3 Typical Test Types and Phasing for Systems Applying Process Analytical Technology	257

23 Appendix 20 – References	261
24 Appendix 21 – Glossary	263
24.1 Acronyms and Abbreviations	263
24.2 Definitions	265

