

# Table of Contents

<b>1</b>	<b>Introduction .....</b>	<b>7</b>
1.1	Background.....	7
1.2	Purpose and Objectives.....	12
1.3	Scope.....	12
1.4	Structure of the Guide.....	13
1.5	Key Concepts and Terms.....	14
<b>2</b>	<b>QRM Foundation .....</b>	<b>19</b>
2.1	Regulatory Expectations for Quality Risk Management (QRM).....	19
2.2	Regulatory Guidelines and Standards .....	23
2.3	Senior Leadership and the Role of ICH Q9(R1) .....	27
2.4	Integration of QRM into the Lifecycle.....	27
<b>3</b>	<b>Fundamentals for a Successful QRM Program.....</b>	<b>29</b>
3.1	Defining a Plan for QRM .....	30
3.2	Key Concepts for focus defined in ICH Q9(R1): Formality, Subjectivity, and Risk-Based Decision-Making .....	31
3.3	Knowledge Management as a Co-Enabler with QRM for an Effective PQS.....	41
3.4	Operational Excellence (OpEx) and QRM – A Powerful Pairing to Proactively Reduce Risk, Waste and Variability.....	44
<b>4</b>	<b>Overview of the QRM Process.....</b>	<b>47</b>
4.1	QRM Process Steps – Overview .....	49
4.2	Roles and Responsibilities in Quality Risk Management.....	53
4.3	Detailed Stages of the QRM Process .....	55
<b>5</b>	<b>QRM to Support Product Availability.....</b>	<b>89</b>
5.1	Introduction .....	89
5.2	ISPE Drug Shortage Prevention Model .....	91
5.3	QRM – Product Availability Summary .....	101
<b>6</b>	<b>QRM and the Product and Project Lifecycle .....</b>	<b>103</b>
6.1	QRM-Links to PQS Elements .....	103
6.2	QRM and the Regulatory Framework .....	103
6.3	Quality Risk Management Utilization in Drug Assessment by Regulators .....	107
6.4	QRM and the Project Lifecycle .....	111
6.5	QRM and the Project Framework .....	112
<b>7</b>	<b>The Future of QRM Implementation.....</b>	<b>115</b>
<b>8</b>	<b>Appendix 1 – Regulatory Guidelines Summary.....</b>	<b>119</b>

<b>9</b>	<b>Appendix 2 – Example Template for a Quality Risk Management Improvement Plan .....</b>	<b>123</b>
9.1	Purpose.....	123
9.2	Scope.....	123
9.3	Capability Roadmap.....	123
9.4	Roles and Responsibilities.....	123
9.5	Training .....	124
9.6	QRM Integration with the Quality Management System .....	124
9.7	Document Management.....	126
9.8	Risk Assessment.....	126
9.9	Risk Control .....	127
9.10	Periodic Risk Review .....	127
9.11	Risk Communication .....	127
9.12	QRM Program Assessment .....	128
<b>10</b>	<b>Appendix 3 – Differences between Proactive and Reactive Risk Assessments ...</b>	<b>131</b>
<b>11</b>	<b>Appendix 4 – Tool Selection Matrix Example .....</b>	<b>133</b>
11.1	Tool Selection Matrix Example 1 .....	133
11.2	Tool Selection Matrix Example 2.....	134
11.3	Tool Selection Matrix Example 3.....	135
<b>12</b>	<b>Appendix 5 – Additional Tools.....</b>	<b>137</b>
12.1	Comparison Matrix.....	137
12.2	Risk Estimation Matrix (REM) Tool .....	138
12.3	Risk Estimation Matrix Template.....	141
12.4	Preliminary Hazards Analysis (PHA) Tool .....	141
12.5	Hazard Analysis and Critical Control Point (HACCP) Tool.....	144
<b>13</b>	<b>Appendix 6 – Case Studies .....</b>	<b>149</b>
13.1	Formality .....	149
13.2	Quality Risk Management for Elemental Impurities in Drug Products .....	153
13.3	Quality Risk Management Approach for Sterilization Process.....	163
13.4	Quality Risk Management for Standardizing Leak and Spill Mitigation in Sterile Drug Manufacturing....	167
13.5	Quality Risk Management Approach to Solve an Out-of-Specification Finding for Particulates in a Pre-filled Syringe.....	171
13.6	A Risk-Based Impact Assessment (RBIA) Approach to Migrating Data from a Legacy System to the Cloud.....	176
<b>14</b>	<b>Appendix 7 – References .....</b>	<b>181</b>
<b>15</b>	<b>Appendix 8 – Glossary .....</b>	<b>187</b>
15.1	Acronyms and Abbreviations .....	187
15.2	Definitions .....	189