



**Executive Board of the Health Ministers' Council for GCC States**

# The GCC Guidelines for Stability Testing of Active Pharmaceutical Ingredients (APIs) and Finished Pharmaceutical Products (FPPs)

**Version 3.1**

Date issued	3/02/2011
Date of implementation	3/05/2011

## Document Control

<b>Version</b>	<b>Date</b>	<b>Comments</b>
<b>1.0</b>	May 2005	Final version
<b>2.0</b>	December 2007	Final version
<b>3.0</b>	3/02/2011	Final version
<b>3.1</b>	24/2/2013	Updated

## Table of Contents

1.	Introduction .....	5
1.1.	Objectives of these guidelines .....	5
1.2.	Scope of these guidelines .....	5
1.3.	General principles .....	5
2.	Glossary.....	6
3.	Guidelines .....	13
3.1.	Active Pharmaceutical Ingredient (API) .....	13
3.1.1.	General.....	13
3.1.2.	Stress testing.....	13
3.1.3.	Selection of batches.....	14
3.1.4.	Container closure system.....	14
3.1.5.	Specification.....	14
3.1.6.	Testing frequency.....	14
3.1.7.	Storage conditions .....	15
3.1.7.1.	General case.....	16
3.1.7.2.	APIs intended for storage in a refrigerator .....	16
3.1.7.3.	APIs intended for storage in a freezer .....	17
3.1.7.4.	APIs intended for storage below -20°C.....	17
3.1.8.	Stability commitment.....	17
3.1.9.	Evaluation .....	18
3.1.10.	Statements and labeling .....	19
3.1.11.	Ongoing stability studies.....	19
3.2.	Finished Pharmaceutical Product (FPP) .....	21
3.2.1.	General.....	21
3.2.2.	Selection of batches.....	21
3.2.3.	Container closure system.....	21

3.2.4.	Specification.....	21
3.2.5.	Testing frequency.....	22
3.2.6.	Storage conditions .....	23
3.2.6.1.	General case.....	24
3.2.6.2.	FPPs packaged in impermeable containers .....	24
3.2.6.3.	FPPs packaged in semi-permeable containers.....	24
3.2.6.4.	FPPs intended for storage in a refrigerator .....	26
3.2.6.5.	FPPs intended for storage in a freezer.....	27
3.2.6.6.	FPPs intended for storage below -20 °C .....	27
3.2.7.	Stability commitment.....	28
3.2.8.	Evaluation .....	28
3.2.9.	Statements and labeling .....	30
3.2.10.	In-use stability testing.....	30
3.2.11.	Variations .....	33
3.2.12.	Ongoing stability studies.....	33
	Appendix 1: Examples of testing parameters .....	36
	Appendix 2: Recommended labeling statements.....	40
	References .....	43

## **1. Introduction**

These guidelines are adapted from the World Health Organization (WHO) guidelines on *stability testing of active pharmaceutical ingredients and finished pharmaceutical products*.

### **1.1. Objectives of these guidelines**

These guidelines seek to exemplify the core stability data package required for registration of active pharmaceutical ingredients (APIs) and finished pharmaceutical products (FPPs) in the Gulf Cooperation Council (GCC) States. However, alternative approaches can be used when they are scientifically justified. Further guidance can be found in International Conference on Harmonisation (ICH) guidelines and in the WHO *guidelines on the active pharmaceutical ingredient master file procedure*.

It is recommended that these guidelines should also be applied to products that are already being marketed, with allowance for an appropriate transition period, e.g. upon re-registration or upon re-evaluation.

### **1.2. Scope of these guidelines**

These guidelines apply to new and existing APIs and address information to be submitted in original and subsequent applications for marketing authorization of their related FPP for human use.

### **1.3. General principles**

The purpose of stability testing is to provide evidence of how the quality of an API or FPP varies with time under the influence of a variety of environmental factors such as temperature, humidity and light. The stability programme also includes the study of product-related factors that influence its quality, for example, interaction of API with excipients, container closure systems and packaging materials. In fixed-dose combination FPPs (FDCs) the interaction between two or more APIs also has to be considered.

As a result of stability testing a re-test period for the API (in exceptional cases, e.g. for unstable APIs, a shelf-life is given) or a shelf-life for the FPP can be established and storage conditions can be recommended.

## **2. Glossary**

The definitions given below apply to the terms used in this guideline and provided to facilitate interpretation of the guidelines.

### ***Accelerated testing***

Studies designed to increase the rate of chemical degradation and physical change of an API or FPP by using exaggerated storage conditions as part of the stability testing programme. The data thus obtained, in addition to those derived from long-term stability studies, may be used to assess longer-term chemical effects under non-accelerated conditions and to evaluate the impact of short-term excursions outside the label storage conditions, as might occur during shipping. The results of accelerated testing studies are not always predictive of physical changes.

### ***Active pharmaceutical ingredient (API)***

Any substance or mixture of substances intended to be used in the manufacture of a pharmaceutical dosage form and that, when so used, becomes an active ingredient of that pharmaceutical dosage form. Such substances are intended to furnish pharmacological activity or other direct effect in the diagnosis, cure, mitigation, treatment, or prevention of disease or to affect the structure and function of the body.

### ***Batch***

A defined quantity of starting material, packaging material or finished pharmaceutical product (FPP) processed in a single process or series of processes so that it is expected to be homogeneous. It may sometimes be necessary to divide a batch into a number of sub-batches, which are later brought together to form a final homogeneous batch. In the case of terminal sterilization, the batch size is determined by the capacity of the autoclave. In continuous manufacture, the batch must correspond to a defined fraction of the production, characterized by its intended homogeneity. The batch size can be defined either as a fixed quantity or as the amount produced in a fixed time interval.

### ***Bracketing***

The design of a stability schedule such that only samples at the extremes of certain design factors, e.g. strength and package size, are tested at all time points as in a full design. The design assumes that the stability of any intermediate levels is represented by the stability of

the extremes tested. Where a range of strengths is to be tested, bracketing is applicable if the strengths are identical or very closely related in composition (e.g. for a tablet range made with different compression weights of a similar basic granulation, or a capsule range made by filling different plug fill weights of the same basic composition into different size capsule shells). Bracketing can be applied to different container sizes or different fills in the same container closure system.

### ***Climatic zone***

The zones into which the world is divided based on the prevailing annual climatic conditions.

Five climatic zones can be distinguished for the purpose of worldwide stability testing.

<b>Climatic Zone</b>	<b>Definition</b>
I	Temperate climate
II	Subtropical and Mediterranean climate
III *	Hot/dry climate
IV a *	Hot/humid climate
IV b	Hot/very humid climate

\* GCC States are categorized in climatic zones III & IV a.

### ***Commitment batches***

Production batches of an API or FPP for which the stability studies are initiated or completed post-approval through a commitment made in a regulatory application.

### ***Container closure system***

The sum of packaging components that together contains and protects the dosage form. This includes primary packaging components and secondary packaging components, if the latter are intended to provide additional protection to the FPP. A packaging system is equivalent to a container closure system.

### ***Dosage form***

The form of the FPP, e.g. tablet, capsule, elixir or suppository.

### ***Excipient***

A substance or compound, other than the API and packaging materials, that is intended or designated to be used in the manufacture of a FPP.

### ***Expiry date***

The date given on the individual container (usually on the label) of a product up to and including which the API and FPP are expected to remain within specifications, if stored correctly. It is established for each batch by adding the shelf-life to the date of manufacture.

### ***Finished pharmaceutical product (FPP)***

A product that has undergone all stages of production, including packaging in its final container and labeling. An FPP may contain one or more APIs.

### ***Impermeable containers***

Containers that provide a permanent barrier to the passage of gases or solvents, e.g. sealed aluminium tubes for semisolids, sealed glass ampoules for solutions and aluminium/aluminium blisters for solid dosage forms.

### ***Long-term stability studies***

Experiments on the physical, chemical, biological, biopharmaceutical and microbiological characteristics of an API or FPP, during and beyond the expected shelf-life and storage periods of samples under the storage conditions expected in the intended market. The results are used to establish the re-test period or the shelf-life, to confirm the projected re-test period and shelf-life, and to recommend storage conditions.

### ***Matrixing***

The design of a stability schedule such that a selected subset of the total number of possible samples for all factor combinations is tested at a specified time point. At a subsequent time point, another subset of samples for all factor combinations is tested. The design assumes that the stability of each subset of samples tested represents the stability of all samples at a given time point. The differences in the samples for the same FPP should be identified as, for example, covering different batches, different strengths, different sizes of the same container closure system, and, possibly in some cases, different container closure systems.

### ***Ongoing stability study***

The study carried out by the manufacturer on production batches according to a predetermined schedule in order to monitor, confirm and extend the projected re-test period (or shelf-life) of the API, or confirm or extend the shelf-life of the FPP.

***Pilot-scale batch***

A batch of an API or FPP manufactured by a procedure fully representative of and simulating that to be applied to a full production-scale batch. For example, for solid oral dosage forms, a pilot scale is generally, at a minimum, one-tenth that of a full production scale or 100,000 tablets or capsules, whichever is the larger; unless otherwise adequately justified.

***Primary batch***

A batch of an API or FPP used in a stability study, from which stability data are submitted in a registration application for the purpose of establishing a re-test period or shelf-life, as the case may be. A primary batch of an API should be at least a pilot-scale batch. For an FPP, two of the three batches should be at least pilot-scale batches, and the third batch can be smaller if it is representative with regard to the critical manufacturing steps. However, a primary batch may be a production batch.

***Production batch***

A batch of an API or FPP manufactured at production scale by using production equipment in a production facility as specified in the application.

***Provisional shelf-life***

A provisional expiry date which is based on acceptable accelerated and available long-term data for the FPP to be marketed in the proposed container closure system.

***Release specification***

The combination of physical, chemical, biological, and microbiological tests and acceptance criteria that determine the suitability of an API or FPP at the time of its release.

***Re-test date***

The date after which an active API should be re-examined to ensure that the material is still in compliance with the specification and thus is still suitable for use in the manufacture of an FPP.

***Re-test period***

The period of time during which the API is expected to remain within its specification and, therefore, can be used in the manufacture of a given FPP, provided that the API has been stored under the defined conditions. After this period a batch of API destined for use in the

manufacture of an FPP should be re-tested for compliance with the specification and then used immediately. A batch of API can be re-tested multiple times and a different portion of the batch used after each re-test, as long as it continues to comply with the specification. For most substances known to be labile, it is more appropriate to establish a shelf-life than a re-test period. The same may be true for certain antibiotics.

### ***Semi-permeable containers***

Containers that allow the passage of solvent, usually water, while preventing solute loss. The mechanism for solvent transport occurs by adsorption into one container surface, diffusion through the bulk of the container material, and desorption from the other surface. Transport is driven by a partial-pressure gradient. Examples of semi-permeable containers include plastic bags and semi-rigid, low-density polyethylene (LDPE) pouches for large volume parenterals (LVPs), and LDPE ampoules, bottles and vials.

### ***Shelf-life***

The period of time during which an API or FPP, if stored correctly, is expected to comply with the specification as determined by stability studies on a number of batches of the API or FPP. The shelf-life is used to establish the expiry date of each batch.

### ***Shelf-life specification***

The combination of physical, chemical, biological, and microbiological tests and acceptance criteria that an FPP should meet throughout its shelf-life. In certain exceptional cases an unstable API might have a shelf-life specification (see section 1.3).

### ***Significant change***

In general “significant change” for an FPP is defined as:

1. A 5% or more change in assay from its initial content of API(s), or failure to meet the acceptance criteria for potency when using biological or immunological procedures. (*Note:* other values may be applied, if justified, to certain products, such as multivitamins and herbal preparations.)
2. Any degradation product exceeding its acceptance criterion.
3. Failure to meet the acceptance criteria for appearance, physical attributes and functionality test (e.g. color, phase separation, resuspendability, caking, hardness, dose delivery per actuation). However, some changes in physical attributes (e.g. softening of

suppositories, melting of creams or partial loss of adhesion for transdermal products) may be expected under accelerated conditions.

Also, as appropriate for the dosage form:

4. Failure to meet the acceptance criterion for pH; or
5. Failure to meet the acceptance criteria for dissolution for 12 dosage units.

### ***Specification***

A list of tests, references to analytical procedures, and appropriate acceptance criteria, which are numerical limits, ranges or other criteria for the tests described. It establishes the set of criteria to which an API or FPP should conform to be considered acceptable for its intended use.

### ***Stability indicating methods***

Validated analytical procedures that can detect the changes with time in the chemical, physical or microbiological properties of the API or FPP, and that are specific so that the content of the API, degradation products, and other components of interest can be accurately measured without interference.

### ***Stability studies (stability testing)***

Long-term and accelerated (and intermediate) studies undertaken on primary and/or commitment batches according to a prescribed stability protocol to establish or confirm the re-test period (or shelf-life) of an API or the shelf-life of an FPP.

### ***Stress testing (of the API)***

Studies undertaken to elucidate the intrinsic stability of API. Such testing is part of the development strategy and is normally carried out under more severe conditions than those used for accelerated testing.

### ***Stress testing (of the FPP)***

Studies undertaken to assess the effect of severe conditions on the FPP. Such studies include photostability testing and specific testing on certain products (e.g. metered dose inhalers, creams, emulsions, refrigerated aqueous liquid products).

***Supporting stability data***

Supplementary data, such as stability data on small-scale batches, related formulations, and products presented in containers not necessarily the same as those proposed for marketing, and scientific rationales that support the analytical procedures, the proposed re-test period or the shelf-life and storage conditions.

## **3. Guidelines**

### **3.1. Active Pharmaceutical Ingredient (API)**

#### **3.1.1. General**

Information on the stability of the API is an integral part of the systematic approach to stability evaluation. Potential attributes to be tested on an API during stability testing are listed in the examples of testing parameters (Appendix 1).

The re-test period or shelf-life assigned to the API by the API manufacturer should be derived from stability testing data. Manufacturer should state clearly the retest period or expiry of their APIs, and to include a commitment to submit the long term data covering the same, if the one at the time of submission cover only the minimum requirement i.e. 12 months.

#### **3.1.2. Stress testing**

Stress testing of the API can help identify the likely degradation products, which, in turn, can help establish the degradation pathways and the intrinsic stability of the molecule and validate the stability-indicating power of the analytical procedures used. The nature of the stress testing will depend on the individual API and the type of FPP involved.

For an API the following approaches may be used:

- when available, it is acceptable to provide the relevant data published in the scientific literature to support the identified degradation products and pathways;
- when no data are available, stress testing should be performed.

Stress testing may be carried out on a single batch of the API. It should include the effect of temperature (in 10 °C increments (e.g. 50 °C, 60 °C, etc.) above the temperature used for accelerated testing), humidity (e.g. 75% relative humidity (RH) or greater) and, where appropriate, oxidation and photolysis on the API. The testing should also evaluate the susceptibility of the API to hydrolysis across a justified range of pH values when in solution or suspension.

Assessing the necessity for photostability testing should be an integral part of a stress testing strategy. More details can be found in ICH Q1B.

Results from these studies will form an integral part of the information provided to regulatory authorities.

### **3.1.3. Selection of batches**

Data from stability studies on at least three primary batches of the API should normally be provided. The batches should be manufactured to a minimum of pilot scale by the same synthesis route as production batches, and using a method of manufacture and procedure that simulates the final process to be used for production batches. The overall quality of the batches of API placed on stability studies should be representative of the quality of the material to be made on a production scale.

For existing active substances that are known to be stable, data from at least two primary batches should be provided.

### **3.1.4. Container closure system**

The stability studies should be conducted on the API packaged in a container closure system that is the same as, or simulates, the packaging proposed for storage and distribution.

### **3.1.5. Specification**

Stability studies should include testing of those attributes of the API that are susceptible to change during storage and are likely to influence quality, safety and/or efficacy. The testing should cover, as appropriate, the physical, chemical, biological and microbiological attributes. A guide as to the potential attributes to be tested in the stability studies is provided in Appendix 1.

Validated stability-indicating analytical procedures should be applied. Whether and to what extent replication should be performed will depend on the results from validation studies.

### **3.1.6. Testing frequency**

For long-term studies, frequency of testing should be sufficient to establish the stability profile of the API.

For APIs with a proposed re-test period or shelf-life of at least 12 months, the frequency of testing at the long-term storage condition should normally be every three months over the first year, every six months over the second year, and annually thereafter throughout the proposed re-test period or shelf-life.

At the accelerated storage condition, a minimum of three time points, including the initial and final time points (e.g. 0, 3 and 6 months), from a six-month study is recommended. Where it is expected (based on development experience) that results from accelerated studies are likely to approach significant change criteria, increased testing should be conducted either by adding samples at the final time point or by including a fourth time point in the study design.

### **3.1.7. Storage conditions**

In general an API should be evaluated under storage conditions (with appropriate tolerances) that test its thermal stability and, if applicable, its sensitivity to moisture. The storage conditions and the lengths of studies chosen should be sufficient to cover storage and shipment.

Storage condition tolerances are defined as the acceptable variations in temperature and relative humidity of storage facilities for stability studies. The equipment used should be capable of controlling the storage conditions within the ranges defined in these guidelines. The storage conditions should be monitored and recorded. Short-term environmental changes due to opening the doors of the storage facility are accepted as unavoidable. The effect of excursions due to equipment failure should be assessed, addressed and reported if judged to affect stability results. Excursions that exceed the defined tolerances for more than 24 hours should be described in the study report and their effects assessed.

The long-term testing should normally take place over a minimum of 12 months for the number of batches specified in section 3.1.3 at the time of submission, and should be continued for a period of time sufficient to cover the proposed re-test period or shelf-life. For existing substances that are known to be stable, data covering a minimum of six months may be submitted. Additional data accumulated during the assessment period of the registration application should be submitted to the authorities upon request. Data from the accelerated storage condition can be used to evaluate the effect of short-term excursions outside the label storage conditions (such as might occur during shipping).

Long-term and accelerated storage conditions for APIs are detailed in sections 3.1.7.1–3.1.7.3. The general case applies if the API is not specifically covered by a subsequent section. Alternative storage conditions can be used if justified.

### 3.1.7.1. General case

Study	Storage condition	Minimum time period covered by data at submission
Long-term	30° C ± 2° C/ 65% RH± 5% RH	12 months
Accelerated	40° C ± 2° C/ 75% RH± 5% RH	6 months

### 3.1.7.2. APIs intended for storage in a refrigerator

Study	Storage condition	Minimum time period covered by data at submission
Long-term	5° C ± 3° C	12 months
Accelerated	30° C ± 2° C/ 65% RH± 5% RH	6 months

Data on refrigerated storage should be assessed according to the evaluation section of these guidelines, except where explicitly noted below.

If significant change occurs between three and six months' testing at the accelerated storage condition, the proposed re-test period should be based on the data available at the long-term storage condition.

If significant change occurs within the first three months' testing at the accelerated storage condition a discussion should be provided to address the effect of short-term excursions outside the label storage condition, e.g. during shipping or handling. This discussion can be supported, if appropriate, by further testing on a single batch of the API for a period shorter than three months but with more frequent testing than usual. It is considered unnecessary to continue to test an API for the whole six months when a significant change has occurred within the first three months.

### 3.1.7.3. APIs intended for storage in a freezer

Study	Storage condition	Minimum time period covered by data at submission
Long-term	-20°C ± 5°C	12 months

In the rare case of any API of non-biological origin being intended for storage in a freezer, the re-test period or shelf-life should be based on the long-term data obtained at the long-term storage condition. In the absence of an accelerated storage condition for APIs intended to be stored in a freezer, testing on a single batch at an elevated temperature (e.g. 5 °C ± 3 °C or 25 °C ± 2 °C or 30 °C ± 2 °C) for an appropriate time period should be conducted to address the effect of short-term excursions outside the proposed label storage condition, e.g. during shipping or handling.

### 3.1.7.4. APIs intended for storage below -20°C

APIs intended for storage below -20 °C should be treated on a case-by-case basis.

### 3.1.8. Stability commitment

When the available long-term stability data on primary batches do not cover the proposed re-test period granted at the time of approval, a commitment should be made to continue the stability studies post-approval in order to firmly establish the re-test period or shelf-life.

Where the submission includes long-term stability data on the number of production batches specified in section 3.1.3 covering the proposed re-test period, a post-approval commitment is considered unnecessary. Otherwise one of the following commitments should be made:

- If the submission includes data from stability studies on the number of production batches specified in section 3.1.3, a commitment should be made to continue these studies through the proposed re-test period.
- If the submission includes data from stability studies on fewer than the number of production batches specified in section 3.1.3, a commitment should be made to continue these studies through the proposed re-test period and to place additional production batches, to a total of at least three, in long-term stability studies through the proposed re-test period.
- If the submission does not include stability data on production batches, a commitment

should be made to place the first two or three production batches (see section 3.1.3) on long term stability studies through the proposed re-test period.

The stability protocol used for long-term studies for the stability commitment should be the same as that for the primary batches, unless otherwise scientifically justified.

### **3.1.9. Evaluation**

The purpose of the stability study is to establish, based on testing a minimum of the number of batches specified in section 3.1.3, unless otherwise justified and authorized, of the API and evaluating the stability information (including, as appropriate, results of the physical, chemical, biological and microbiological tests), a re-test period applicable to all future batches of the API manufactured under similar circumstances. The degree of variability of individual batches affects the confidence that a future production batch will remain within specification throughout the assigned re-test period.

The data may show so little degradation and so little variability that it is apparent from looking at them that the requested re-test period will be granted. Under these circumstances it is normally unnecessary to go through the statistical analysis; providing a justification for the omission should be sufficient.

An approach for analyzing the data on a quantitative attribute that is expected to change with time is to determine the time at which the 95% one-sided confidence limit for the mean curve intersects the acceptance criterion. If analysis shows that the batch-to-batch variability is small, it is advantageous to combine the data into one overall estimate. This can be done by first applying appropriate statistical tests (e.g.  $p$  values for level of significance of rejection of more than 0.25) to the slopes of the regression lines and zero time intercepts for the individual batches. If it is inappropriate to combine data from several batches, the overall re-test period should be based on the minimum time a batch can be expected to remain within acceptance criteria.

The nature of any degradation relationship will determine whether the data should be transformed for linear regression analysis. Usually the relationship can be represented by a linear, quadratic or cubic function on an arithmetic or logarithmic scale. As far as possible, the choice of model should be justified by a physical and/or chemical rationale and should also take into account the amount of available data (parsimony principle to ensure a robust prediction). Statistical methods should be employed to test the goodness of fit of the data on

all batches and combined batches (where appropriate) to the assumed degradation line or curve.

Any evaluation should cover not only the assay but also the levels of degradation products and other appropriate attributes. Where appropriate, attention should be paid to reviewing the adequacy of evaluation linked to FPP stability and degradation “behavior” during the testing.

### **3.1.10. Statements and labeling**

A storage statement should be established for display on the label based on the stability evaluation of the API. Where applicable specific instructions should be provided, particularly for APIs that cannot tolerate freezing or excursions in temperature. Terms such as “ambient conditions” or “room temperature” should be avoided.

The recommended labeling statements for use if supported by the stability studies are provided in Appendix 2.

A re-test period should be derived from the stability information, and a re-test date should be displayed on the container label if appropriate.

### **3.1.11. Ongoing stability studies**

The stability of the API should be monitored according to a continuous and appropriate programme that will permit the detection of any stability issue (e.g. changes in levels of degradation products). The purpose of the ongoing stability programme is to monitor the API and to determine that the API remains, and can be expected to remain, within specifications under the storage conditions indicated on the label, within the re-test period in all future batches.

The ongoing stability programme should be described in a written protocol and the results presented in a formal report.

The protocol for an ongoing stability programme should extend to the end of the re-test period and shelf-life and should include, but not be limited to, the following parameters:

- number of batch(es) and different batch sizes, if applicable;
- relevant physical, chemical, microbiological and biological test methods;
- acceptance criteria;
- reference to test methods;

- description of the container closure system(s);
- testing frequency;
- description of the conditions of storage (standardized conditions for long-term testing as described in these guidelines, and consistent with the API labeling, should be used); and
- other applicable parameters specific to the API.

At least one production batch per year of API (unless none is produced during that year) should be added to the stability monitoring programme and tested at least annually to confirm the stability. In certain situations additional batches should be included in the ongoing stability programme. For example, an ongoing stability study should be conducted after any significant change or significant deviation to the synthetic route, process or container closure system which may have an impact upon the stability of the API.

Out-of-specification results or significant atypical trends should be investigated. Any confirmed significant change, out-of-specification result, or significant atypical trend should be reported immediately to the relevant finished product manufacturer. The possible impact on batches on the market should be considered in consultation with the relevant finished product manufacturers and the competent authorities.

A summary of all the data generated, including any interim conclusions on the programme, should be written and maintained. This summary should be subjected to periodic review.

## **3.2. Finished Pharmaceutical Product (FPP)**

### **3.2.1. General**

The design of the stability studies for the FPP should be based on knowledge of the behavior and properties of the API, information from stability studies on the API and on experience gained from preformulation studies and investigational FPPs.

### **3.2.2. Selection of batches**

Data from stability studies should be provided on at least three primary batches of the FPP. The primary batches should be of the same formulation and packaged in the same container closure system as proposed for marketing. The manufacturing process used for primary batches should simulate that to be applied to production batches and should provide product of the same quality and meeting the same specification as that intended for marketing. In the case of conventional dosage forms with APIs that are known to be stable, data from at least two primary batches should be provided.

Two of the three batches should be at least pilot-scale batches and the third one can be smaller, if justified.

If the product is registered and marketed in the country of origin, at least one of the batches used in submitted stability study should be of a production scale.

For FPP with different API suppliers, stability batches of the FPP should be manufactured using API from the different suppliers (at least one batch from each supplier).

Stability studies should be performed on each individual strength, dosage form and container type and size of the FPP unless bracketing or matrixing is applied.

### **3.2.3. Container closure system**

Stability testing should be conducted on the dosage form packaged in the container closure system proposed for marketing. Any available studies carried out on the FPP outside its immediate container or in other packaging materials can form a useful part of the stress testing of the dosage form or can be considered as supporting information, respectively.

### **3.2.4. Specification**

Stability studies should include testing of those attributes of the FPP that are susceptible to change during storage and are likely to influence quality, safety, and/or efficacy. The testing

should cover, as appropriate, the physical, chemical, biological and microbiological attributes, preservative content (e.g. antioxidant or antimicrobial preservative) and functionality tests (e.g. for a dose delivery system). Examples of testing parameters in the stability studies are listed in Appendix 1. Analytical procedures should be fully validated and stability-indicating. Whether and to what extent replication should be performed will depend on the results of validation studies.

Shelf-life acceptance criteria should be derived from consideration of all available stability information. It may be appropriate to have justifiable differences between the shelf-life and release acceptance criteria based on the stability evaluation and the changes observed on storage. Any differences between the release and shelf-life acceptance criteria for antimicrobial preservative content should be supported by a validated correlation of chemical content and preservative effectiveness demonstrated during development of the pharmaceutical product with the product in its final formulation (except for preservative concentration) intended for marketing. A single primary stability batch of the FPP should be tested for effectiveness of the antimicrobial preservative (in addition to preservative content) at the proposed shelf-life for verification purposes, regardless of whether there is a difference between the release and shelf-life acceptance criteria for preservative content.

### **3.2.5. Testing frequency**

For long-term studies, frequency of testing should be sufficient to establish the stability profile of the FPP.

For products with a proposed shelf-life of at least 12 months, the frequency of testing at the long-term storage condition should normally be every three months over the first year, every six months over the second year and annually thereafter throughout the proposed shelf-life (e.g., 0, 3, 6, 9, 12, 18, 24, 36 months).

At the accelerated storage condition, a minimum of three time points, including the initial and final time points (e.g. 0, 3 and 6 months), from a six-month study is recommended. Where an expectation (based on development experience) exists that results from accelerated testing are likely to approach significant change criteria, testing should be increased either by adding samples at the final time point or by including a fourth time point in the study design.

Reduced designs, i.e. matrixing or bracketing, where the testing frequency is reduced or certain factor combinations are not tested at all, can be applied if justified.

### **3.2.6. Storage conditions**

In general an FPP should be evaluated under storage conditions with specified tolerances that test its thermal stability and, if applicable, its sensitivity to moisture or potential for solvent loss. The storage conditions and the lengths of studies chosen should be sufficient to cover storage, shipment and subsequent use.

Photostability testing, which is an integral part of stress testing, should be conducted on at least one primary batch of the FPP if appropriate. More details can be found in ICH Q1B.

The orientation of the product during storage, i.e. upright versus inverted, may need to be included in a protocol where contact of the product with the closure system may be expected to affect the stability of the products contained, or where there has been a change in the container closure system.

Storage condition tolerances are usually defined as the acceptable variations in temperature and relative humidity of storage facilities for stability studies. The equipment used should be capable of controlling the storage conditions within the ranges defined in these guidelines. The storage conditions should be monitored and recorded. Short-term environmental changes due to opening of the doors of the storage facility are accepted as unavoidable. The effect of excursions due to equipment failure should be assessed, addressed and reported if judged to affect stability results. Excursions that exceed the defined tolerances for more than 24 hours should be described in the study report and their effects assessed.

The long-term testing should cover a 12 months at the time of submission and should be continued for a period of time sufficient to cover the proposed shelf-life.

Additional data accumulated during the assessment period of the registration application should be submitted to the authorities if requested. Data from the accelerated storage condition can be used to evaluate the effect of short-term excursions outside the label storage conditions (such as might occur during shipping).

Long-term and accelerated storage conditions for FPPs are detailed in the sections below. The general case applies if the FPP is not specifically covered by a subsequent section (3.1.7.1). Alternative storage conditions can be used if justified.

### 3.2.6.1. General case

Study	Storage condition	Minimum time period covered by data at submission
Long-term	30° C ± 2° C/ 65% RH ± 5% RH	12 months*
Accelerated	40° C ± 2° C/ 75% RH ± 5% RH	6 months

\* For generic products long-term stability study supporting the complete proposed shelf-life should be submitted.

### 3.2.6.2. FPPs packaged in impermeable containers

Parameters required to classify the packaging materials as permeable or impermeable depend on the characteristics of the packaging material, such as thickness and permeability coefficient. The suitability of the packaging material used for a particular product is determined by its product characteristics. Containers generally considered to be moisture-impermeable include glass ampoules.

Sensitivity to moisture or potential for solvent loss is not a concern for FPPs packaged in impermeable containers that provide a permanent barrier to passage of moisture or solvent. Thus stability studies for products stored in impermeable containers can be conducted under any controlled or ambient relative humidity condition.

### 3.2.6.3. FPPs packaged in semi-permeable containers

Aqueous-based products packaged in semi-permeable containers should be evaluated for potential water loss in addition to physical, chemical, biological and microbiological stability. This evaluation can be carried out under conditions of low relative humidity, as discussed below. Ultimately it should be demonstrated that aqueous based FPPs stored in semi-permeable containers could withstand environments with low relative humidity.

Other comparable approaches can be developed and reported for non-aqueous, solvent-based products.

<b>Study</b>	<b>Storage condition</b>	<b>Minimum time period covered by data at submission</b>
<b>Long-term</b>	30° C ± 2° C/ 35% RH ± 5% RH	12 months
<b>Accelerated</b>	40° C ± 2° C/ NMT* 25% RH	6 months

\* NMT: not more than.

Products meeting either of the long-term storage conditions and the accelerated conditions, as specified in the table above, have demonstrated the integrity of the packaging in semi-permeable containers. When a significant change in water loss alone at the accelerated storage condition is observed, data should be provided to demonstrate that the pharmaceutical product would not have significant water loss throughout the proposed shelf-life if stored at 30 °C/35% RH.

A 5% loss in water from its initial value is considered a significant change for a product packaged in a semi-permeable container after an equivalent of three months' storage at 40 °C not more than (NMT) 25% RH. However, for small containers (1 ml or less) or unit-dose products, a water loss of 5% or more after an equivalent of three months' storage at 40 °C/NMT 25% RH may be appropriate, if justified.

An alternative approach to studies at the low relative humidity as recommended in the table above (for either long-term or accelerated testing) is to perform the stability studies under higher relative humidity and deriving the water loss at the low relative humidity through calculation. This can be achieved by experimentally determining the permeation coefficient for the container closure system or, as shown in the example below, using the calculated ratio of water loss rates between the two humidity conditions at the same temperature. The permeation coefficient for a container closure system can be experimentally determined by using the worst-case scenario (e.g. the most diluted of a series of concentrations) for the proposed FPP.

### ***Example of an approach for determining water loss***

For a product in a given container closure system, container size and fill, an appropriate approach for deriving the rate of water loss at the low relative humidity is to multiply the rate of water loss measured at an alternative relative humidity at the same temperature, by a water loss rate ratio shown in the table below. A linear water loss rate at the alternative relative humidity over the storage period should be demonstrated.

For example, at a given temperature, e.g. 40 °C, the calculated rate of water loss during storage at NMT 25% RH is the rate of water loss measured at 75% RH multiplied by 3.0, the corresponding water loss rate ratio.

<b>Low-humidity testing conditions</b>	<b>Alternative testing condition</b>	<b>Ratio of water loss rates</b>	<b>Calculation</b>
25 °C/40% RH	25 °C/60% RH	1.5	(100-40)/(100-60)
30 °C/35% RH	30 °C/65% RH	1.9	(100-35)/(100-65)
30 °C/35% RH	30 °C/75% RH	2.6	(100-35)/(100-75)
40 °C/NMT* 25% RH	40 °C/75% RH	3.0	(100-25)/(100-75)

\* NMT: not more than.

Valid water loss rate ratios at relative humidity conditions other than those shown in the table above can also be used.

#### **3.2.6.4. FPPs intended for storage in a refrigerator**

<b>Study</b>	<b>Storage condition</b>	<b>Minimum time period covered by data at submission</b>
<b>Long-term</b>	5° C ± 3° C	12 months
<b>Accelerated</b>	30° C ± 2° C/ 65% RH ± 5% RH	6 months

If the FPP is packaged in a semi-permeable container, appropriate information should be provided to assess the extent of water loss.

Data from refrigerated storage should be assessed according to the evaluation section of these guidelines, except where explicitly noted below.

If significant change occurs between three and six months' testing at the accelerated storage condition, the proposed shelf-life should be based on the data available from the long-term storage condition.

If significant change occurs within the first three months' testing at the accelerated storage condition, a discussion should be provided to address the effect of short-term excursions outside the label storage condition, e.g. during shipment and handling. This discussion can be supported, if appropriate, by further testing on a single batch of the FPP for a period shorter than three months but with more frequent testing than usual. It is considered unnecessary to continue to test a product throughout six months when a significant change has occurred within the first three months of accelerated studies at the specific condition chosen in accordance with the risk analysis.

### 3.2.6.5. FPPs intended for storage in a freezer

Study	Storage condition	Minimum time period covered by data at submission
Long-term	-20° C ± 5° C	12 months

For FPPs intended for storage in a freezer, the shelf-life should be based on the long-term data obtained at the long-term storage condition. In the absence of an accelerated storage condition for FPPs intended to be stored in a freezer, testing on a single batch at an elevated temperature (e.g. 5 °C ± 3 °C or 25 °C ± 2 °C or 30 °C ± 2 °C) for an appropriate time period should be conducted to address the effect of short-term excursions outside the proposed label storage condition.

### 3.2.6.6. FPPs intended for storage below -20 °C

FPPs intended for storage at temperatures below -20 °C should be treated on a case-by-case basis.

### **3.2.7. Stability commitment**

When the available long-term stability data on primary batches do not cover the proposed shelf-life granted at the time of approval, a commitment should be made to continue the stability studies post-approval to firmly establish the shelf-life.

Where the submission includes long-term stability data from the production batches as specified in section 2.2.2 covering the proposed shelf-life, a post-approval commitment is considered unnecessary. Otherwise, one of the following commitments should be made:

- If the submission includes data from stability studies on at least the number of production batches specified in section 3.2.2, a commitment should be made to continue the long-term studies throughout the proposed shelf-life.
- If the submission includes data from stability studies on fewer than the number of production batches specified in section 3.2.2, a commitment should be made to continue the long-term studies throughout the proposed shelf-life, and to place additional production batches, to a total of at least three, on long-term stability studies throughout the proposed shelf-life.
- If the submission does not include stability data on production batches, a commitment should be made to place the first two or three production batches (see section 3.2.2) on long-term stability studies throughout the proposed shelf-life.

The stability protocol used for studies on commitment batches should be the same as that for the primary batches, unless otherwise scientifically justified.

### **3.2.8. Evaluation**

A systematic approach should be adopted to the presentation and evaluation of the stability information, which should include, as appropriate, results from the physical, chemical, biological and microbiological tests, including particular attributes of the dosage form (for example, dissolution rate for solid oral dosage forms). The stability data should include the raw analytical data with supportive chromatograms for the tests carried out at the last time point.

The purpose of the stability study is to establish, based on testing a minimum number of batches of the FPP as specified in section 3.2.2, a shelf-life and label storage instructions applicable to all future batches of the FPP manufactured under similar circumstances. The

degree of variability of individual batches affects the confidence that a future production batch will remain within specification throughout its shelf-life.

Where the data show so little degradation and so little variability that it is apparent from looking at the data that the requested shelf-life will be granted, it is normally unnecessary to go through the statistical analysis. However, a provisional shelf-life of 24 months may be established provided the following conditions are satisfied:

- The API is known to be stable (not easily degradable).
- Stability studies, as outlined above in section 3.1.11, have been performed and no significant changes have been observed.
- Supporting data indicate that similar formulations have been assigned a shelf-life of 24 months or more.
- The manufacturer will continue to conduct long-term studies until the proposed shelf-life has been covered, and the results obtained will be submitted to the national regulatory authority.

An approach for analyzing the data on a quantitative attribute that is expected to change with time is to determine the time at which the 95% one-sided confidence limit for the mean curve intersects the acceptance criterion. If analysis shows that the batch-to-batch variability is small, it is advantageous to combine the data into one overall estimate. This can be done by first applying appropriate statistical tests (e.g. *p* values for level of significance of rejection of more than 0.25) to the slopes of the regression lines and zero time intercepts for the individual batches. If it is inappropriate to combine data from several batches, the overall shelf-life should be based on the minimum time a batch can be expected to remain within acceptance criteria.

The nature of any degradation relationship will determine whether the data should be transformed for linear regression analysis. Usually the relationship can be represented by a linear, quadratic or cubic function on an arithmetic or logarithmic scale. As far as possible, the choice of model should be justified by a physical and/or chemical rationale and should also take into account the amount of available data (parsimony principle to ensure a robust prediction).

Statistical methods should be employed to test the goodness of fit of the data on all batches and combined batches (where appropriate) to the assumed degradation line or curve.

Any evaluation should consider not only the assay but also the degradation products and other appropriate attributes. Where appropriate, attention should be paid to reviewing the adequacy of evaluation linked to FPP stability and degradation “behavior” during the testing.

### **3.2.9. Statements and labeling**

A storage statement should be established for the label based on the stability evaluation of the FPP. Where applicable, specific instructions should be provided, particularly for FPPs that cannot tolerate freezing. Terms such as “ambient conditions” or “room temperature” must be avoided.

There should be a direct link between the storage statement on the label and the demonstrated stability of the FPP. An expiry date should be displayed on the container label.

The recommended labeling statements for use, if supported by the stability studies, are provided in Appendix 2.

In principle, FPPs should be packed in containers that ensure stability and protect the FPP from deterioration. A storage statement should not be used to compensate for inadequate or inferior packaging. Additional labeling statements could be used in cases where the results of the stability testing demonstrate limiting factors (see also Appendix 2).

### **3.2.10. In-use stability testing**

The purpose of in-use stability testing is to establish - where applicable - a period of time during which a multi-dose product can be used whilst retaining quality within an accepted specification once the container is opened.

The registration for a multi-dose product should include either the in-use stability data on which the in-use shelf-life is based or a justification why no in-use shelf-life is established. This justification can also be based on experimental results.

The in-use shelf-life and in-use storage recommendations -if applicable- should be included in the summary of product characteristics (SPC), patient information leaflet (PIL) and on the product’s labeling.

***a. Selection of batches***

A minimum of two batches, at least pilot scale batches, should be subjected to the test. At least one of the batches should be chosen towards the end of its shelf life. If such results are not available, one batch should be tested at the final point of the submitted stability studies (with a commitment to submit the results at the end of shelf-life as soon as they become available).

The batch number, date of manufacture and size of each batch should be stated. The container and closure of the product and, if present, the medicinal device should be equivalent to that proposed for marketing.

If the product is to be supplied in more than one container size or in different strengths, the in-use stability should be applied to the product which presents the greatest susceptibility to change. The choice of the tested product should always be justified.

***b. Test design***

As far as possible, the test should be designed to simulate the use of the product in practice taking into consideration the filling volume of the container and any dilution/reconstitution before use. At intervals comparable to those which occur in practice appropriate quantities should be removed by the withdrawal methods normally used and described in the product literature. Sampling should take place under normal environmental conditions of use.

The appropriate physical, chemical and microbial properties of the product susceptible to change during storage should be determined over the period of the proposed in-use shelf life.

If possible, testing should be performed at intermediate time points and at the end of the proposed in-use shelf-life on the final remaining amount of the product in the container.

***c. Test storage conditions***

The product should be stored under the conditions as recommended in the product literature (SPC and PIL) throughout the in-use stability test period.

Any other storage conditions should be justified.

*d. Test parameters*

The appropriate physical, chemical and microbial properties of the product susceptible to change during use should be monitored. The tests used must be appropriate to individual dosage forms.

The following are examples of test parameters which may need to be studied:

- **Physical:** Color, clarity, closure integrity, particulate matter, particle size.
- **Chemical:** Active substance assay(s), antimicrobial preservative and antioxidant content(s), degradation product level(s), pH.
- **Microbial:** Total viable count, sterility.

*e. Analytical procedures*

The analytical procedures used in the study should be described and fully validated. Stability indicating assays should be employed.

*f. Presentation of the results*

The results should be summarized and tabulated. If relevant, the results should be presented graphically.

*g. Evaluation*

Conclusions based on the data provided should be stated and any anomalous results should be explained.

Where applicable and justified an in-use shelf-life specification should be given.

In-use stability data should be used to determine whether or not a declaration of an in-use shelf-life and storage conditions are necessary.

### **3.2.11. Variations**

Once the FPP has been registered, additional stability studies are required whenever variations that may affect the stability of the API or FPP are made, such as major variations.

The following are examples of such changes:

- change in the manufacturing process;
- change in the composition of the FPP;
- change of the immediate packaging;
- change in the manufacturing process of an API.

In all cases of variations, the applicant should investigate whether the intended change will or will not have an impact on the quality characteristics of APIs and/or FPPs and consequently on their stability.

The scope and design of the stability studies for variations and changes are based on the knowledge and experience acquired on APIs and FPPs.

The results of these stability studies should be communicated to the regulatory authorities concerned.

### **3.2.12. Ongoing stability studies**

After a marketing authorization has been granted, the stability of the FPP should be monitored according to a continuous appropriate programme that will permit the detection of any stability issue (e.g. changes in levels of impurities or dissolution profile) associated with the formulation in the container closure system in which it is marketed. The purpose of the ongoing stability programme is to monitor the product over its shelf-life and to determine that the product remains, and can be expected to remain, within specifications under the storage conditions on the label.

This mainly applies to the FPP in the container closure system in which it is supplied, but consideration should also be given to inclusion in the programme of bulk products. For example, when the bulk product is stored for a long period before being packaged and/or shipped from a manufacturing site to a packaging site, the impact on the stability of the packaged product should be evaluated and studied. Generally this would form part of development studies, but where this need has not been foreseen, inclusion of a one-off study

in the ongoing stability programme could provide the necessary data. Similar considerations could apply to intermediates that are stored and used over prolonged periods.

The ongoing stability programme should be described in a written protocol and results formalized as a report.

The protocol for an ongoing stability programme should extend to the end of the shelf-life period and should include, but not be limited to, the following parameters:

- number of batch(es) per strength and different batch sizes, if applicable. The batch size should be recorded, if different batch sizes are employed;
- relevant physical, chemical, microbiological and biological test methods;
- acceptance criteria;
- reference to test methods;
- description of the container closure system(s);
- testing frequency;
- description of the conditions of storage (standardized conditions for long-term testing as described in these guidelines, and consistent with the product labeling, should be used);  
and
- other applicable parameters specific to the FPP.

The protocol for the ongoing stability programme can be different from that of the initial long-term stability study as submitted in the marketing authorization dossier provided that this is justified and documented in the protocol (for example, the frequency of testing, or when updating to meet revised recommendations).

The number of batches and frequency of testing should provide sufficient data to allow for trend analysis. Unless otherwise justified, at least one batch per year of product manufactured in every strength and every primary packaging type, if relevant, should be included in the stability programme (unless none is produced during that year). The principle of bracketing and matrixing designs may be applied if scientifically justified in the protocol.

In certain situations additional batches should be included in the ongoing stability programme. For example, an ongoing stability study should be conducted after any significant change or significant deviation to the process or container closure system. Any reworking, reprocessing or recovery operation should also be considered for inclusion.

Out-of-specification results or significant atypical trends should be investigated. Any confirmed significant change, out-of-specification result, or significant atypical trend should be reported immediately to the relevant competent authorities. The possible impact on batches on the market should be considered in consultation with the relevant competent authorities.

A summary of all the data generated, including any interim conclusions on the programme, should be written and maintained. This summary should be subjected to periodic review.

## **Appendix 1: Examples of testing parameters**

### **Section I for active pharmaceutical ingredients**

In general, appearance, assay and degradation products should be evaluated for all active pharmaceutical ingredients (APIs). Other API parameters that may be susceptible to change should also be studied where applicable.

### **Section II for finished pharmaceutical products**

The following list of parameters for each dosage form is presented as a guide to the types of tests to be included in a stability study. In general, appearance, assay and degradation products should be evaluated for all dosage forms, as well as the preservative and antioxidant content if applicable.

The microbial quality of multiple-dose sterile and non-sterile dosage forms should be controlled. Challenge tests should be carried out at least at the beginning and at the end of the shelf-life. Such tests would normally be performed as part of the development programme, for example, within primary stability studies. They need not be repeated for subsequent stability studies unless a change has been made which has a potential impact on microbiological status.

It is not expected that every test listed be performed at each time point. This applies in particular to sterility testing, which may be conducted for most sterile products at the beginning and at the end of the stability test period. Tests for pyrogens and bacterial endotoxins may be limited to the time of release. Sterile dosage forms containing dry materials (powder filled or lyophilized products) and solutions packaged in sealed glass ampoules may need no additional microbiological testing beyond the initial time point. The level of microbiological contamination in liquids packed in glass containers with flexible seals or in plastic containers should be tested no less than at the beginning and at the end of the stability test period; if the long-term data provided to the regulatory authorities for marketing authorization registration do not cover the full shelf-life period, the level of microbial contamination at the last time point should also be provided.

The list of tests presented for each dosage form is not intended to be exhaustive, nor is it expected that every test listed be included in the design of a stability protocol for a particular finished pharmaceutical product (FPP) (for example, a test for odor should be performed only when necessary and with consideration for the analyst's safety).

The storage orientation of the product, i.e. upright versus inverted, may need to be included in a protocol when contact of the product with the closure system may be expected to affect the stability of the products contained, or where there has been a change in the container closure system.

### **1. *Tablets***

Dissolution (or disintegration, if justified), water content and hardness/ friability.

### **2. *Capsules***

- Hard gelatin capsules: brittleness, dissolution (or disintegration, if justified), water content and level of microbial contamination.
- Soft gelatin capsules: dissolution (or disintegration, if justified), level of microbial contamination, pH, leakage, and pellicle formation.

### **3. *Oral solutions, suspensions and emulsions***

Formation of precipitate, clarity (for solutions), pH, viscosity, extractables, level of microbial contamination.

Additionally for suspensions, dispersibility, rheological properties, mean size and distribution of particles should be considered. Also polymorphic conversion may be examined, if applicable.

Additionally for emulsions, phase separation, mean size and distribution of dispersed globules should be evaluated.

### **4. *Powders and granules for oral solution or suspension***

Water content and reconstitution time.

Reconstituted products (solutions and suspensions) should be evaluated as described above under “Oral solutions suspensions and emulsions”, after preparation according to the recommended labeling, through the maximum intended use period.

## **5. *Metered-dose inhalers and nasal aerosols***

Dose content uniformity, labeled number of medication actuations per container meeting dose content uniformity, aerodynamic particle size distribution, microscopic evaluation, water content, leak rate, level of microbial contamination, valve delivery (shot weight), extractables/leachables from plastic and elastomeric components, weight loss, pump delivery, foreign particulate matter and extractables/leachables from plastic and elastomeric components of the container, closure and pump. Samples should be stored in upright and inverted/on-the-side orientations.

For suspension-type aerosols, microscopic examination of appearance of the valve components and container's contents for large particles, changes in morphology of the API particles, extent of agglomerates, crystal growth, foreign particulate matter, corrosion of the inside of the container or deterioration of the gaskets.

## **6. *Nasal sprays: solutions and suspensions***

Clarity (for solution), level of microbial contamination, pH, particulate matter, unit spray medication content uniformity, number of actuations meeting unit spray content uniformity per container, droplet and/ or particle size distribution, weight loss, pump delivery, microscopic evaluation (for suspensions), foreign particulate matter and extractables/ leachables from plastic and elastomeric components of the container, closure and pump.

## **7. *Topical, ophthalmic and otic preparations***

Included in this broad category are ointments, creams, lotions, paste, gel, solutions, eye drops and cutaneous sprays.

- Topical preparations should be evaluated for clarity, homogeneity, pH, suspendability (for lotions), consistency, viscosity, particle size distribution (for suspensions, when feasible), level of microbial contamination/sterility and weight loss (when appropriate).
- Evaluation of ophthalmic or otic products (e.g. creams, ointments, solutions and suspensions) should include the following additional attributes: sterility, particulate matter and extractable volume.

- Evaluation of cutaneous sprays should include: pressure, weight loss, net weight dispensed, delivery rate, level of microbial contamination, spray pattern, water content and particle size distribution (for suspensions).

#### **8. *Suppositories***

Softening range, disintegration and dissolution (at 37 °C).

#### **9. *Small volume parenterals (SVPs)***

Color, clarity (for solutions), particulate matter, pH, sterility, endotoxins.

Stability studies for powders for injection solution should include monitoring for color, reconstitution time and water content. Specific parameters to be examined at appropriate intervals throughout the maximum intended use period of the reconstituted drug product, stored under condition(s) recommended on the label, should include clarity, color, pH, sterility, pyrogen/endotoxin and particulate matter. It may be appropriate to consider monitoring of sterility after reconstitution into a product, e.g. dual-chamber syringe, where it is claimed that reconstitution can be performed without compromising sterility.

- The stability studies for suspension for injection should include, in addition, particle size distribution, dispersibility and rheological properties.
- The stability studies for emulsion for injection should include, in addition, phase separation, viscosity, mean size and distribution of dispersed phase globules.

#### **10. *Large volume parenterals (LVPs)***

Color, clarity, particulate matter, pH, sterility, pyrogen/endotoxin and volume.

#### **11. *Transdermal patches***

*In vitro* release rates, leakage, level of microbial contamination/sterility, peel and adhesive forces.

## Appendix 2: Recommended labeling statements

### 1. Active pharmaceutical ingredients

The statements that should be used if supported by the stability studies for active pharmaceutical ingredients (APIs) are listed in Table 1.

**Table 1: Recommended labeling statements for active pharmaceutical ingredients (APIs)**

Testing condition under which the stability of the API has been demonstrated	Recommended labeling statement <sup>a</sup>
30 °C/65% RH (long-term) 40 °C/75% RH (accelerated)	“Do not store above 30 °C” <sup>b</sup>
5 °C ± 3 °C	”Store in a refrigerator (2 °C to 8 °C)”
-20 °C ± 5 °C	“Store in freezer”

<sup>a</sup> During storage, shipment and distribution of the API, the current good trade and distribution practices (GTDP) for pharmaceutical starting materials are to be observed.

<sup>b</sup> “Protect from moisture” should be added as applicable.

## 2. Finished pharmaceutical products

The statements that should be used if supported by the stability studies for finished pharmaceutical products (FPPs) are listed in Table 2.

**Table 2: Recommended labeling statements for finished pharmaceutical products (FPPs)**

<b>Testing condition under which the stability of the FPP has been demonstrated</b>	<b>Recommended labeling statement <sup>a</sup></b>
30 °C/65% RH (long-term) 40 °C/75% RH (accelerated)	“Do not store above 30 °C” <sup>b</sup>
5 °C ± 3 °C	”Store in a refrigerator (2 °C to 8 °C)”
-20 °C ± 5 °C	“Store in freezer”

<sup>a</sup> During storage, shipment and distribution of the FPP, the current good distribution practices (GDP) for pharmaceutical products are to be observed.

<sup>b</sup> “Protect from moisture” should be added as applicable.

In principle, FPPs should be packed in containers that ensure stability and protect the FPP from deterioration. A storage statement should not be used to compensate for inadequate or inferior packaging. Additional labeling statements that could be used in cases where the result of the stability testing demonstrates limiting factors are listed in Table 3.

**Table 3: Additional labeling statements for use where the result of the stability testing demonstrates limiting factors**

Limiting factors	Additional labeling statements, where relevant
FPPs that cannot tolerate refrigeration	"Do not refrigerate or freeze" <sup>a</sup>
FPPs that cannot tolerate freezing	"Do not freeze" <sup>a</sup>
Light-sensitive FPPs	"Protect from light"
FPPs that cannot tolerate excessive heat, e.g. suppositories	"Store and transport not above 30 °C"
Hygroscopic FPPs	"Store in dry condition"

<sup>a</sup> Depending on the pharmaceutical form and the properties of the FPP, there may be a risk of deterioration due to physical changes if subjected to low temperatures, e.g. liquids and semi-solids. Low temperatures may also have an effect on the packaging in certain cases. An additional statement may be necessary to take account of this possibility.

## References

1. Annex 2 “Stability testing of active pharmaceutical ingredients and finished pharmaceutical products”, World Health Organization (WHO) Technical Report Series, No. 953, 2009.
2. The following ICH Guidelines may be consulted in the context of stability testing:
  - International Conference on Harmonisation. *ICH Q1A (R2): Stability testing of new drug substances and products* (<http://www.ich.org/LOB/media/MEDIA419.pdf>).
  - International Conference on Harmonisation. *ICH Q1B: Photostability testing of new drug substances and products* (<http://www.ich.org/LOB/media/MEDIA412.pdf>).
  - International Conference on Harmonisation. *ICH Q1C: Stability testing of new dosage forms* (<http://www.ich.org/LOB/media/MEDIA413.pdf>).
  - International Conference on Harmonisation. *ICH Q1D: Bracketing and matrixing designs for stability testing of new drug substances and products* (<http://www.ich.org/LOB/media/MEDIA414.pdf>).
  - International Conference on Harmonisation. *ICH Q1E: Evaluation for stability data* (<http://www.ich.org/LOB/media/MEDIA415.pdf>).
  - International Conference on Harmonisation. *ICH Q2R1: Validation of analytical procedures: text and methodology* (<http://www.ich.org/LOB/media/MEDIA417.pdf>).
  - International Conference on Harmonisation. *ICH Q3A: Impurities in new drug substances* (<http://www.ich.org/LOB/media/MEDIA422.pdf>).
  - International Conference on Harmonisation. *ICH Q3B: Impurities in new drug products* (<http://www.ich.org/LOB/media/MEDIA421.pdf>).
  - International Conference on Harmonisation. *ICH Q5C: Stability testing of biotechnological/biological products* (<http://www.ich.org/LOB/media/MEDIA427.pdf>).
  - International Conference on Harmonisation. *ICH Q6A: Specifications: Test procedures and acceptance criteria for new drug substances and new drug products: Chemical substances* (<http://www.ich.org/LOB/media/MEDIA430.pdf>).
  - International Conference on Harmonisation. *ICH Q6B: Specifications: Test*

*procedures and acceptance criteria for biotechnological/biological products*  
(<http://www.ich.org/LOB/media/MEDIA432.pdf>).

- Further information can be found on the ICH homepage:  
<http://www.ich.org/cache/compo/276-254-1.html>.
- 3. Guidelines on active pharmaceutical ingredient master file procedure. In: *WHO Expert Committee on Specifications for Pharmaceutical Preparations. Forty-second report*. Geneva, World Health Organization, 2008, Annex 4 (WHO Technical Report Series, No. 948).
- 4. WHO guidelines for stability evaluation of vaccines. In: *WHO Expert Committee on Biological Standardization. Fifty-seventh report*. Geneva, World Health Organization (WHO Technical Report Series, (in press)) (<http://www.who.int/biologicals/publications/trs/areas/vaccines/stability/en/index.html>).
- 5. Schumacher P. 1972. Über eine für die Haltbarkeit von Arzneimitteln maßgebliche Klimaeinteilung [The impact of climate classification on the stability of medicines]. *Die Pharmazeutische Industrie*, 34:481–483.
- 6. Grimm W. 1986. Storage conditions for stability testing (Part 2). *Drugs Made in Germany*, 29:39–47.
- 7. Grimm W. 1998. Extension of the International Conference on Harmonisation Tripartite Guidelines for stability testing of new drug substances and products to countries of Climatic Zones III and IV. *Drug Development and Industrial Pharmacy*, 24:313-325.
- 8. Zahn M. et al. 2006. A risk-based approach to establish stability testing conditions for tropical countries. *Journal of Pharmaceutical Sciences*, 95:946–965.  
Erratum: *Journal of Pharmaceutical Sciences*, 2007, 96:2177.
- 9. Guidelines for registration of fixed-dose combination medicinal products. Appendix 3: Pharmaceutical development (or preformulation) studies. Table A1: Typical stress conditions in preformulation stability studies. In: *WHO Expert Committee on Specifications for Pharmaceutical Preparations. Thirty-ninth report*. Geneva, World Health Organization, 2005, Annex 5 (WHO Technical Report Series, No. 929).
- 10. Supplementary guidelines on good manufacturing practices: validation. In: *Quality assurance of pharmaceuticals. A compendium of guidelines and related materials*.

- Volume 2, 2nd updated edition. Good manufacturing practices and inspection.* Geneva, World Health Organization, 2007, Chapter 1.
11. WHO good manufacturing practices: main principles for pharmaceutical products. In: *Quality assurance of pharmaceuticals. A compendium of guidelines and related materials. Volume 2, 2nd updated edition. Good manufacturing practices and inspection.* Geneva, World Health Organization, 2007, Chapter 1.
  12. Guidance on variations to a prequalified product dossier. In: *WHO Expert Committee on Specifications for Pharmaceutical Preparations. Forty-first report.* Geneva, World Health Organization, 2007, Annex 6 (WHO Technical Report Series, No. 943).
  13. *Prequalification Programme – Priority Essential Medicines. A United Nations Programme managed by WHO. Information for applicants* (<http://mednet3.who.int/prequal/>).
  14. *ASEAN Guideline on stability study of drug product*, 9th ACCSQ-PPWG Meeting, Philippines, 21–24 February 2005, version 22 February 2005. Good trade and distribution practices for pharmaceutical starting materials. In: *WHO Expert Committee on Specifications for Pharmaceutical Preparations. Thirty-eighth report.* Geneva, World Health Organization, 2004, Annex 2 (WHO Technical Report Series, No. 917) ([http://whqlibdoc.who.int/trs/WHO\\_TRS\\_917\\_annex2.pdf](http://whqlibdoc.who.int/trs/WHO_TRS_917_annex2.pdf)).
  15. Guide to good storage practices for pharmaceuticals. In: *WHO Expert Committee on Specifications for Pharmaceutical Preparations. Thirty-seventh report.* Geneva, World Health Organization, 2003, Annex 9 (WHO Technical Report Series, No. 908).
  16. Good distribution practices for pharmaceutical products. In: *WHO Expert Committee on Specifications for Pharmaceutical Preparations. Fortieth report.*
  17. Geneva, World Health Organization, 2006, Annex 5 (WHO Technical Report Series, No. 937). Currently under revision (working document QAS/08.252).
  18. Note for guidance on in-use stability testing of human medicinal products, EMEA 2001.

#### **Additional reading**

*Accelerated stability studies of widely used pharmaceutical substances under simulated tropical conditions.* Geneva, World Health Organization, 1986 (WHO/PHARM/86.529).