

**TANZANIA FOOD AND DRUGS AUTHORITY**



**GUIDELINES ON STABILITY TESTING REQUIREMENTS FOR ACTIVE  
PHARMACEUTICAL INGREDIENTS (APIs) AND FINISHED PHARMACEUTICAL  
PRODUCTS (FPPs)**

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P. O. Box 77150, EPI Mabibo, Off Mandela Road, Dar es Salaam, Tanzania  
Tel: +255-22-2450512/2450751/ 2452108; Fax: +255-22-2450793  
Email: [info@tfda.or.tz](mailto:info@tfda.or.tz); Website: [www.tfda.or.tz](http://www.tfda.or.tz)

## TABLE OF CONTENTS

1. INTRODUCTION.....	3
1.1 Objective.....	3
1.2 Scope.....	3
1.3 General principles.....	3
2. GUIDELINE.....	4
2.1 Active pharmaceutical ingredient.....	4
2.1.1 General.....	4
2.1.2 Stress testing.....	4
2.1.3 Selection of batches.....	4
2.1.4 Container closure system.....	5
2.1.5 Specification.....	5
2.1.6 Testing frequency.....	5
2.1.7 Storage conditions.....	6
2.1.8 Stability commitment.....	8
2.1.9 Evaluation.....	8
2.1.10 Statements and labelling.....	10
2.1.11 On-going stability studies.....	10
2.2 Finished pharmaceutical product.....	11
2.2.1 General.....	11
2.2.2 Selection of batches.....	11
2.2.3 Container closure system.....	12
2.2.4 Specification.....	12
2.2.5 Testing frequency.....	12
2.2.6 Storage conditions.....	13
2.2.7 Stability commitment.....	17
2.2.8 Evaluation.....	17
2.2.9 Statements and labelling.....	19
2.2.10 In-use stability.....	19
2.2.11 Variations.....	20
2.2.12 On-going stability studies.....	21
ANNEX I: EXAMPLES OF TESTING PARAMETERS.....	27
ANNEX II: RECOMMENDED LABELLING STATEMENTS.....	31

## **1. INTRODUCTION**

### **1.1 Objective**

The guideline describes the core stability data package required for active pharmaceutical ingredients (APIs) and finished pharmaceutical product (FPP). However, alternative approaches can be used when they are scientifically justified. The guideline is adapted from WHO Technical Report Series, No. 953, Annex II. Further guidance can be found in *International Conference on Harmonisation (ICH) guidelines* (3) and in the WHO *guidelines on the active pharmaceutical ingredient master file procedure* (4).

It is recommended that the guideline 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**

The guideline applies to new and existing APIs and addresses information to be submitted in original and subsequent applications for marketing authorization of their related FPP for human use. The guideline is not applicable to stability testing for biological including vaccines.

### **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. GUIDELINE**

### **2.1 Active pharmaceutical ingredient**

#### **2.1.1 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 (**Annex I**).

The re-test period or shelf-life assigned to the API by the API manufacturer should be derived from stability testing data.

#### **2.1.2 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, e.t.c.) 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 (10).

Assessing the necessity for photostability testing should be an integral part of a stress testing strategy. More details can be found in other guidelines (3).

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

#### **2.1.3 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.

#### **2.1.4 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

#### **2.1.5 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 Annex I.

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 (11).

#### **2.1.6 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.

### **2.1.7 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 2.1.3 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.

Available information on the stability of the API under accelerated and long-term storage conditions should be provided, including information in the public domain or obtained from scientific literature. The source of the information should be identified.

The required long-term storage conditions for APIs are either  $30^{\circ}\text{C}\pm 2^{\circ}\text{C}/65\%\pm 5\% \text{ RH}$  or  $30\pm 2^{\circ}\text{C}/75\%\pm 5\% \text{ RH}$ . Alternative conditions should be supported with appropriate evidence, which may include literature references or in-house studies, demonstrating that storage at  $30^{\circ}\text{C}$  is inappropriate for the API. For APIs intended for storage in a refrigerator and those intended for storage in a freezer, refer section 2.1.7.1.

APIs intended for storage below  $-20^{\circ}\text{C}$  should be treated on a case-by-case basis. To establish the retest period, data should be provided on not less than three batches of at least pilot scale. The batches should be manufactured by the same synthesis route as production batches and using a method of manufacture and a procedure that simulates the final process to be used for production batches.

#### **2.1.7.1 General case**

##### **Study Storage condition Minimum time period covered by data at submission**

*Long-term*

30 °C ± 2 °C/65% RH ± 5% RH or

30 °C ± 2 °C/75% RH ± 5% RH

12 months or 6 months as described in point 2.1.7

*Accelerated*

40 °C ± 2 °C/75% RH ± 5% RH 6 months

**2.1.7.2 Active pharmaceutical ingredients 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*

25 °C ± 2 °C/60% RH ± 5% RH or

30 °C ± 2 °C/65% RH ± 5% RH or

30 °C ± 2 °C/75% RH ± 5% RH

6 months

Whether accelerated stability studies are performed at 25 ± 2 °C/60% RH ± 5% RH or 30 °C ± 2 °C/65% RH ± 5% RH or 30 °C ± 2 °C/75% RH ± 5% RH is based on a risk-based evaluation. Testing at a more severe long term condition can be an alternative to storage testing at 25 °C/60%RH or 30 °C/65%RH. Data on refrigerated storage should be assessed according to the evaluation section of this guideline, 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.

**2.1.7.3 Active pharmaceutical ingredients 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.  $5\text{ }^{\circ}\text{C} \pm 3\text{ }^{\circ}\text{C}$  or  $25\text{ }^{\circ}\text{C} \pm 2\text{ }^{\circ}\text{C}$  or  $30\text{ }^{\circ}\text{C} \pm 2\text{ }^{\circ}\text{C}$ ) 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.

#### ***2.1.7.4 Active pharmaceutical ingredients intended for storage below -20°C***

APIs intended for storage below  $-20\text{ }^{\circ}\text{C}$  should be treated on a case-by-case basis.

#### **2.1.8 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 2.1.3 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 2.1.3, 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 2.1.3, 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 2.1.3) 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.

#### **2.1.9 Evaluation**

The purpose of the stability study is to establish, based on testing a minimum of the number of batches specified in section 2.1.3, 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 analysing 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.

Limited extrapolation of the long-term data from the long-term storage condition beyond the observed range to extend the re-test period can be undertaken if justified. This justification should be based on what is known about the mechanism of degradation, the results of testing under accelerated conditions, the goodness of fit of any mathematical model, batch size and existence of supporting stability data. However, this extrapolation assumes that the same degradation relationship will continue to apply beyond the observed data.

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 “behaviour” during the testing.

#### **2.1.10 Statements and labelling**

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 labelling statements for use if supported by the stability studies are provided in **Annex II**.

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

#### **2.1.11 On-going 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 on-going 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 on-going stability programme should be described in a written protocol and the results presented in a formal report.

The protocol for an on-going 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:-

- i. number of batch (es) and different batch sizes, if applicable;
- ii. relevant physical, chemical, microbiological and biological test methods;
- iii. acceptance criteria;
- iv. reference to test methods;
- v. description of the container closure system(s);
- vi. testing frequency;
- vii. description of the conditions of storage (standardized conditions for long-term testing as described in these guidelines, and consistent with the API labelling, should be used); and
- viii. 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 (12). In certain situations additional batches should be included in the on-going stability programme. For example, an on-going 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 (13).

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.

## **2.2 Finished pharmaceutical product**

### **2.2.1 General**

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

### **2.2.2 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. Where possible, batches of the FPP should be manufactured using different batches of the API(s).

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.

### **2.2.3 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.

### **2.2.4 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 Annex I. 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.

### **2.2.5 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.

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).

### **2.2.6 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 with due regard to the climatic conditions in which the product is intended to be marketed.

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 other guidelines (3).

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 minimum of six or 12 months at the time of submission and should be continued for a period of time sufficient to cover the proposed shelf-life. For an FPP containing an API that is known to be stable and where no significant change is observed in the FPP stability studies at accelerated and long-term conditions for at least 6 months data covering a minimum of six months should be submitted.

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 (2.1.7.1). Alternative storage conditions can be used if justified.

#### **2.2.6.1 General case**

##### **Study Storage condition Minimum time period covered by data at submission**

###### *Long-term*

30 °C ± 2 °C/75% RH ± 5% RH

12 months or 6 months as referred to in section 2.2.6

###### *Accelerated*

40 °C ± 2 °C/75% RH ± 5% RH 6 months

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

- i. A change from the initial content of API(s) of 5% or more detected by assay, 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.)
- ii. Any degradation product exceeding its acceptance criterion.
- iii. Failure to meet the acceptance criteria for appearance, physical attribute and functionality test (e.g. colour, phase separation, resuspendability, caking, hardness, and dose delivery per actuation). However, some changes in physical attributes (e.g. softening of suppositories, melting of creams, and partial loss of adhesion for transdermal products) may be expected under accelerated conditions. Also, as appropriate for the dosage form:
- iv. failure to meet the acceptance criterion for pH; or
- v. failure to meet the acceptance criteria for dissolution for 12 dosage units.

#### **2.2.6.2 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.

### **2.2.6.3 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.

#### **Study Storage condition Minimum time period covered by data at submission**

##### *Long-term*

30 °C ± 2 °C/35% RH ± 5% RH  
12 months

##### *Accelerated*

40 °C ± 2 °C/not more than  
(NMT) 25% RH  
6 months

Products meeting 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.

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.

### **2.2.6.4 FPPs 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*

25 °C ± 2 °C/60% RH ± 5% RH or

30 °C ± 2 °C/65% RH ± 5% RH or

30 °C ± 2 °C/75% RH ± 5% RH

6 months

Whether accelerated stability studies are performed at 25 ± 2 °C/60% RH ± 5% RH or 30 °C ± 2 °C/65% RH ± 5% RH or 30 °C ± 2 °C/75% RH ± 5% RH is based on a risk-based evaluation. Testing at a more severe accelerated condition can be an alternative to the storage condition at 25 °C/60% RH or 30 °C/65% RH.

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.

### ***2.2.6.5 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.

#### **2.2.6.6 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.

#### **2.2.7 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:-

1. If the submission includes data from stability studies on at least the number of production batches specified in section 2.2.2, a commitment should be made to continue the long-term studies throughout the proposed shelf-life and the accelerated studies for six months.
2. If the submission includes data from stability studies on fewer than the number of production batches specified in section 2.2.2, a commitment should be made to continue the long-term studies throughout the proposed shelf-life and the accelerated studies for six months, and to place additional production batches, to a total of at least three, on long-term stability studies throughout the proposed shelf-life and on accelerated studies for six months.
3. 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 2.2.2) on long-term stability studies throughout the proposed shelf-life and on accelerated studies for six months.

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

#### **2.2.8 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 purpose of the stability study is to establish, based on testing a minimum number of batches of the FPP as specified in section 2.2.2, 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:

1. The API is known to be stable (not easily degradable).
2. Stability studies, as outlined above in section 2.1.11, have been performed and no significant changes have been observed.
3. Supporting data indicate that similar formulations have been assigned a shelf-life of 24 months or more.
4. 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 Medicines Regulatory Authority (NMRA).

An approach for analysing 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.

Limited extrapolation of the long-term data from the long-term storage condition beyond the observed range to extend the shelf-life can be undertaken, if justified. This justification should be based on what is known about the mechanism of degradation, the results of testing under accelerated conditions, the goodness of fit of any mathematical model, batch size and the existence of supporting stability data. However, this extrapolation assumes that the same degradation relationship will continue to apply beyond the observed data.

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 “behaviour” during the testing.

### **2.2.9 Statements and labelling**

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 labelling statements for use, if supported by the stability studies, are provided in Annex II.

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 labelling statements could be used in cases where the results of the stability testing demonstrate limiting factors (see also Annex II).

### **2.2.10 In-use stability**

The purpose of in-use stability testing is to provide information for the labelling on the preparation, storage conditions and utilization period of multi-dose products after opening, reconstitution or dilution of a solution, e.g. an antibiotic injection supplied as a powder for reconstitution.

As far as possible the test should be designed to simulate the use of the FPP in practice, taking into consideration the filling volume of the container and any dilution or 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.

The physical, chemical and microbial properties of the FPP 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 amount of the FPP remaining in the container. Specific parameters, e.g. for liquids and semi-solids, preservatives, per content and effectiveness, need to be studied.

A minimum of two batches, at least pilot-scale batches, should be subjected to the test. At least one of these 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.

This testing should be performed on the reconstituted or diluted FPP throughout the proposed in-use period on primary batches as part of the stability studies at the initial and final time points and, if full shelf-life, long term data are not available before submission, at 12 months or the last time point at which data will be available.

In general this testing need not be repeated on commitment batches (see 2.2.10).

### **2.2.11 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 (13).

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 (14).

### **2.2.12 On-going 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 On-going 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 on-going stability programme could provide the necessary data. Similar considerations could apply to intermediates that are stored and used over prolonged periods.

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

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

1. Number of batch(es) per strength and different batch sizes, if applicable.
2. The batch size should be recorded, if different batch sizes are employed;
3. Relevant physical, chemical, microbiological and biological test
4. Methods;
5. Acceptance criteria;
6. Reference to test methods;
7. Description of the container closure system(s);
8. Testing frequency;
9. Description of the conditions of storage (standardized conditions for long-term testing as described in these guidelines, and consistent with the product labelling, should be used); and
10. Other applicable parameters specific to the FPP.

The protocol for the on-going 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 (15).

In certain situations additional batches should be included in the on-going stability programme. For example, an on-going stability study should be conducted after any significant change or significant deviation to the processor container closure system. Any reworking, reprocessing or recovery operation should also be considered for inclusion (13).

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.

### **3. GLOSSARY**

The definitions provided below apply to the words and phrases used in this guideline. Although an effort has been made to use standard definitions as far as possible, they may have different meanings in other contexts and documents. The following definitions are provided to facilitate interpretation of the guidelines. The definitions are consistent with those published in other WHO quality assurance 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.

#### *Bracketing*

The design of 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.

#### *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.

#### *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.

#### *In use*

See Utilization period

### *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.

### *On-going 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.

### *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.

### *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.

### *Significant change* (See section 2.2.6.1.)

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.
  - (i) Failure to meet the acceptance criteria for appearance, physical attribute and functionality test (e.g. colour, phase separation, re-suspendability, 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,
  - (ii) Failure to meet the acceptance criterion for pH or
  - (iii) Failure to meet the acceptance criteria for dissolution for 12 dosage units.

### *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(s). 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 photo stability 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.

### *Utilization period*

A period of time during which a reconstituted preparation of the finished dosage form in an unopened multi-dose container can be used.

## **ANNEX I: 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 odour 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.

### *Tablets*

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

### *Capsules*

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

### *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.

### *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 labelling, through the maximum intended use period.

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

Dose content uniformity, labelled 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.

### *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.

### *Topical, ophthalmic and otic preparations*

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

- i. 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).
- ii. 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.
- iii. 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).

### *Suppositories*

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

### *Small volume parenterals (SVPs)*

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

Stability studies for powders for injection solution should include monitoring for colour, 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, colour, 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.

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

*Large volume parenterals (LVPs)*

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

*Transdermal patches*

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

## ANNEX II: RECOMMENDED LABELLING 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 labelling statements for active pharmaceutical ingredients (APIs)

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

\* “Protect from moisture” should be added as applicable.

### 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 labelling statements for finished pharmaceutical products (FPPs)

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

\* “Protect from moisture” should be added as applicable.