



*NSF International Standard /
American National Standard*

NSF/IPEC/ANSI 363 - 2016 Good Manufacturing Practices (GMP) for Pharmaceutical Excipients



NSF International, an independent, not-for-profit, non-governmental organization, is dedicated to being the leading global provider of public health and safety-based risk management solutions while serving the interests of all stakeholders.

This Standard is subject to revision.
Contact NSF to confirm this revision is current.

Users of this Standard may request clarifications and interpretations, or propose revisions by contacting:

Chair, Joint Committee on Pharmaceutical Excipients
c/o NSF International
789 North Dixboro Road, P. O. Box 130140
Ann Arbor, Michigan 48113-0140 USA
Phone: (734) 769-8010 Telex: 753215 NSF INTL
FAX: (734) 769-0109
E-mail: info@nsf.org
Web: <http://www.nsf.org>

NSF International Standard/
International Pharmaceutical
Excipients Council/
American National Standard
for Pharmaceutical Excipients –

**Good Manufacturing
Practices (GMP) for
Pharmaceutical Excipients**

Standard Developer

NSF International

NSF International

Designated as an ANSI Standard

July 7, 2016

American National Standards Institute

Prepared by
The NSF Joint Committee on Pharmaceutical Excipients

Adopted
December 2014

Revised January 2017

Published by

NSF International
PO Box 130140, Ann Arbor, Michigan 48113-0140, USA

For ordering copies or for making inquiries with regard to this Standard, please reference the designation
“NSF/IPEC/ANSI 363 – 2016.”

Copyright 2017 NSF International

Previous editions © 2014

Unless otherwise specified, no part of this publication may be reproduced or utilized in any form or by any means, electronic or mechanical, including photocopying and microfilm, without permission in writing from NSF International.

Printed in the United States of America.

Disclaimers¹

NSF, in performing its functions in accordance with its objectives, does not assume or undertake to discharge any responsibility of the manufacturer or any other party. The opinions and findings of NSF represent its professional judgment. NSF shall not be responsible to anyone for the use of or reliance upon this Standard by anyone. NSF shall not incur any obligation or liability for damages, including consequential damages, arising out of or in connection with the use, interpretation of, or reliance upon this Standard.

NSF Standards provide basic criteria to promote sanitation and protection of the public health. Provisions for mechanical and electrical safety have not been included in this Standard because governmental agencies or other national standards-setting organizations provide safety requirements.

Participation in NSF Standards development activities by regulatory agency representatives (federal, local, state) shall not constitute their agency's endorsement of NSF or any of its Standards.

Preference is given to the use of performance criteria measurable by examination or testing in NSF Standards development when such performance criteria may reasonably be used in lieu of design, materials, or construction criteria.

The illustrations, if provided, are intended to assist in understanding their adjacent standard requirements. However, the illustrations may not include **all** requirements for a specific product or unit, nor do they show the only method of fabricating such arrangements. Such partial drawings shall not be used to justify improper or incomplete design and construction.

Unless otherwise referenced, the annexes are not considered an integral part of NSF Standards. The annexes are provided as general guidelines to the manufacturer, regulatory agency, user, or certifying organization.

¹ The information contained in this Disclaimer is not part of this American National Standard (ANS) and has not been processed in accordance with ANSI's requirements for an ANS. Therefore, this Disclaimer may contain material that has not been subjected to public review or a consensus process. In addition, it does not contain requirements necessary for conformance to the Standard.

This page is intentionally left blank.

Contents

1	General	1
1.1	Introduction	1
1.2	Scope	1
1.3	Purpose	2
2	Reference documents	2
2.1	Normative references	2
2.2	Informational references	2
3	Definitions	3
4	Quality management system	8
4.1	General requirements	8
4.2	Documentation requirements	9
4.3	Change control	10
5	Management responsibility	11
5.1	Management commitment	11
5.2	Customer focus	11
5.3	Quality policy	11
5.4	Planning	12
5.5	Responsibility, authority, and communication	12
5.6	Management review	13
6	Resource management	14
6.1	Provision of resources	14
6.2	Human resources	14
6.3	Infrastructure	15
6.4	Work environment	17
7	Excipient realization	18
7.1	Planning of excipient realization	18
7.2	Customer-related processes	19
7.3	Design and development (out of scope)	19
7.4	Purchasing	19
7.5	Production and service provision	20
7.6	Control of monitoring and measuring equipment	23
8	Measurement, analysis and improvement	23
8.1	General	23
8.2	Monitoring and measurement	23
8.3	Control of nonconforming product	27
8.4	Analysis of data	29
8.5	Improvement	29

This page is intentionally left blank.

Foreword²

The purpose of NSF/IPEC/ANSI 363 is to serve as an evaluation tool for analyzing pharmaceutical excipients. Certification to this Standard serves as a communication tool between manufacturers of excipients and finished product, pharmaceutical regulators, pharmacy organizations, and consumers. This Standard provides guidance to allow for the determination that a pharmaceutical excipient is within the specifications stated by the manufacturer, either qualitatively or quantitatively, and that it does not contain specific undeclared contaminants. In some instances, validated laboratory methods are not yet available for analyzing certain ingredients. In such cases, new methods will be added to this Standard as they become available.

NSF/IPEC/ANSI 363 was developed with participation from the pharmaceutical excipients manufacturers, public health regulators, and distributors of pharmaceutical excipients.

This edition of the Standard contains the following revisions:

Issue 2

This revision updated section 4.1.1 regarding regional regulations.

Issue 3

Updates were made to language regarding the use of the terms “product” and “excipient.”

Issue 4

Definitions for the terms deviation and sanitary were added to section 3.

Issue 5

This revision provides clarity on language in section 6.3.2.1 and 6.3.3.

Issue 6

Updates to section 7.4.1 were made regarding the purchasing process.

Issue 7

Section 7.2.1 was updated to provide clarity.

Issue 8

This revision made several editorial changes throughout the Standard.

Issue 9

A definition for the term data integrity was added to section 3.

² The information contained in this Foreword is not part of this American National Standard (ANS) and has not been processed in accordance with ANSI's requirements for an ANS. Therefore, this Foreword may contain material that has not been subjected to public review or a consensus process. In addition, it does not contain requirements necessary for conformance to the Standard.

Issue 10

A definition for the term backup was added to section 3.

Suggestions for improvement of this Standard are welcome. This Standard is maintained on a Continuous Maintenance schedule and can be opened for comment at any time. Comments should be sent to Chair, Joint Committee on Pharmaceutical Excipients at standards@nsf.org, or c/o NSF International, Standards Department, P.O. Box 130140, Ann Arbor, Michigan 48113-0140, USA.

NSF/IPEC/ANSI Standard for Pharmaceutical Excipients –

Good Manufacturing Practices (GMP) for Pharmaceutical Excipients

1 General

1.1 Introduction

The principles outlined in this Standard provide a comprehensive basis for the quality management system used in the manufacture of pharmaceutical excipients. Implementation of these principles shall result in the achievement of three main objectives:

- a) achieve excipient realization – the organization shall implement and maintain a system that delivers excipients with the quality attributes necessary to meet the requirements and expectations of customers, pharmaceutical users, and regulatory authorities;
- b) establish and maintain a state of control – the organization shall ensure the manufacture and supply of excipients is in accordance with this Standard, thus providing customers with some assurance of continued suitability and reliability of supply; and
- c) facilitate continual improvement – the organization shall collect objective evidence to continually develop and enhance the application of these quality management system principles to further assure excipient consistency.

1.2 Scope

This Standard is intended to define Good Manufacturing Practices (GMP) for excipient manufacture and distribution³ for use in drug products. It sets minimum requirements for GMP applicable to all commercially available excipients.

This Standard includes the minimum requirements of a quality management system for excipient manufacture drawing on principles of GMP and quality systems from other relevant standards such as those referenced in section 2.2.

NOTE 1 — The requirements of this Standard may not be sufficient for all applications of excipients. It is the user's responsibility to determine whether or not this Standard meets the requirements for their intended use.

NOTE 2 — Auditing excipient manufacturers ensures conformance to this Standard. This Standard is also intended to be used by duly accredited or otherwise suitably qualified 3rd parties.

NOTE 3 — Each user of a 3rd party auditing service should make its own determination as to the qualifications of the 3rd party and the applicability of the report and/or certificate issued in satisfying its requirements, including those pertaining to its intended use of the excipient.

³ GMP applies to distribution per the *Federal Food, Drug, and Cosmetic Act (FD&C Act)*, 21 U.S.C. 501(a) (2) (B).