
BRIEFING

⟨795⟩ Pharmaceutical Compounding—Nonsterile Preparations, *USP 41* page 6546. This proposed chapter revision is posted online at www.uspnf.com/notices/general-chapter-795-proposed-revisions with line numbers. Submit comments using the electronic submission form at https://usp.az1.qualtrics.com/jfe/form/SV_aWexhZowjRBbKnP.

The Compounding Expert Committee proposes to revise this chapter to improve clarity, respond to stakeholder input, and align with [Hazardous Drugs—Handling in Healthcare Settings \(800\)](#). Major proposed revisions to the chapter include:

1. Reorganization of the existing chapter to improve clarity and place key procedural information in boxes for easy reference.
2. Expanded guidance for assigning beyond-use dates (BUD) for compounded nonsterile preparations (CNSP) in the absence of stability information.
3. Removal of specific information on handling of hazardous drugs and addition of references to [\(800\)](#).

Additionally, minor editorial changes have been made to update this chapter to current *USP* style.

(CMP: J. Sun.)

Correspondence Number—C199364

⟨795⟩ PHARMACEUTICAL COMPOUNDING—NONSTERILE PREPARATIONS

Add the following:

1. INTRODUCTION AND SCOPE

1.1 Scope

2. PERSONNEL QUALIFICATIONS—TRAINING, EVALUATION, AND

REQUALIFICATION

3. PERSONAL HYGIENE AND GARBING

3.1 Personnel Preparation

3.2 Hand Hygiene

3.3 Garb and Glove Requirements

4. BUILDINGS AND FACILITIES

5. CLEANING AND SANITIZING

6. EQUIPMENT AND COMPONENTS

6.1 Equipment

6.2 Components

7. SOPs AND MASTER FORMULATION AND COMPOUNDING RECORDS

7.1 Creating and Following SOPs

7.2 Creating Master Formulation Records

7.3 Creating Compounding Records

8. RELEASE TESTING

9. LABELING

10. ESTABLISHING BEYOND-USE DATES

10.1 Terminology

10.2 Parameters to Consider in Establishing a BUD

10.3 Establishing a BUD for a CNSP

11. QUALITY ASSURANCE AND QUALITY CONTROL

12. CNSP HANDLING, PACKAGING, STORAGE, AND TRANSPORT

12.1 Handling of CNSPs

12.2 Packaging of CNSPs

12.3 Storing CNSPs within the Compounding Facility

12.4 Shipping and Transporting CNSPs

13. COMPLAINT HANDLING AND ADVERSE EVENT REPORTING

13.1 Complaint Handling

13.2 Adverse Event Reporting

14. DOCUMENTATION

GLOSSARY

APPENDIX

•1S (USP42)

Change to read:

INTRODUCTION

The purpose of this chapter is to provide compounders with guidance on applying good compounding practices for the preparation of nonsterile compounded formulations for dispensing and/or administration to humans or animals. Compounding is an integral part of pharmacy practice and is essential to the provision of healthcare. This chapter and applicable monographs on formulation help define good compounding practices. Furthermore, this chapter provides general information to enhance the compounder's ability in the compounding facility to extemporaneously compound preparations that are of acceptable strength, quality, and purity. Pharmacists, other healthcare professionals, and others engaged in the compounding of drug preparations should comply with applicable state and federal compounding laws, regulations, and guidelines.

CATEGORIES OF COMPOUNDING

In the three general categories of nonsterile compounding described in this section, different levels of experience, training, and physical facilities are associated with each category.

Criteria used to determine overall classification include:

- degree of difficulty or complexity of the compounding process
- stability information and warnings
- packaging and storage requirements
- dosage forms
- complexity of calculations
- local versus systemic biological disposition
- level of risk to the compounder
- potential for risk of harm to the patient.

See *Pharmaceutical Compounding—Sterile Preparations* (797) for risk levels associated with sterile preparations. Specialty areas such as radiopharmaceuticals require special training and are beyond the scope of this chapter. Compounders shall acquire and maintain knowledge and skills in all areas (e.g., dosage form, patient population, and medical specialty) for which they compound.

Description of Categories

SIMPLE

Making a preparation that has a *United States Pharmacopeia (USP)* compounding monograph or that appears in a peer-reviewed journal article that contains specific quantities of all components, compounding procedure and equipment, and stability data for that formulation with appropriate BUDs; or reconstituting or manipulating commercial products that may require the addition of one or more ingredients as directed by the

manufacturer. Examples include *Captopril Oral Solution*, *Indomethacin Topical Gel*, and *Potassium Bromide Oral Solution, Veterinary*.

MODERATE

Making a preparation that requires special calculations or procedures (such as calibration of dosage unit mold cavities) to determine quantities of components per preparation or per individualized dosage units; or making a preparation for which stability data for that specific formulation are not available. Examples include *Morphine Sulfate Suppositories*, diphenhydramine hydrochloride troches, and mixing two or more manufactured cream products when the stability of the mixture is not known.

COMPLEX

Making a preparation that requires special training, environment, facilities, equipment, and procedures to ensure appropriate therapeutic outcomes. Examples of possible complex preparation types include transdermal dosage forms, modified release preparations, and some inserts and suppositories for systemic effects.

RESPONSIBILITIES OF THE COMPOUNDER

The compounder is responsible for compounding preparations of acceptable strength, quality, and purity and in accordance with the prescription or medication order. The compounder is also responsible for dispensing the finished preparation, with appropriate packaging and labeling, and in compliance with the requirements established by the applicable state agencies, state boards of pharmacy, federal law, and other regulatory agencies where appropriate. Individuals who are engaged in drug or dietary supplement compounding shall be proficient in compounding and should continually expand their compounding knowledge by participating in seminars and/or studying appropriate literature. They shall be knowledgeable about the contents of this chapter and should be familiar with {797}, *Pharmaceutical Dosage Forms* {1151}, *Pharmaceutical Calculations in Pharmacy Practice* {1160}, *Quality Assurance in Pharmaceutical Compounding* {1163}, *Prescription Balances and Volumetric Apparatus Used in Compounding* {1176}, {1191}, *Written Prescription Drug Information—Guidelines* {1265}, and all applicable compounding laws, guidelines, and standards.

To ensure the quality of compounded preparations, compounders shall adhere to the following general principles (additional information on these general principles is provided in the sections that follow).

General Principles of Compounding

1. Personnel are appropriately trained and are capable of performing and qualified to perform their assigned duties. Such training should be documented.
2. Compounding ingredients of the appropriate identity, purity, and quality are purchased from reliable sources and are properly stored according to manufacturer specifications or *USP* standards.
3. Bulk component containers are labeled with appropriate Occupational Safety and Health Administration (OSHA) hazard communication labels (see *www.OSHA.gov*), and Material Safety Data Sheets (MSDSs) are available to compounding personnel for all drugs and chemicals used in compounding.
4. All equipment used in compounding is clean, properly maintained, and used appropriately.
5. The compounding environment is suitable for its intended purpose; and procedures are implemented to prevent cross-contamination, especially when compounding with drugs (e.g., hazardous drugs and known allergens like penicillin) that require special precautions.
6. Only authorized personnel are allowed in the immediate vicinity of the drug compounding operations.
7. There is assurance that processes are always carried out as intended or specified and are reproducible.
8. Compounding conditions and procedures are adequate for preventing errors.
9. All aspects of compounding are appropriately documented.
10. Adequate procedures and records exist for investigating and correcting failures or problems in compounding, testing, or the preparation itself.

COMPOUNDING PROCESS

The compounder is responsible for ensuring that each individual incidence of compounding meets the criteria given in this section (additional information on these criteria is provided in the sections that follow).

Criteria When Compounding Each Drug Preparation

1. The dose, safety, and intended use of the preparation or device has been evaluated for suitability in terms of:
 - the chemical and physical properties of the components
 - dosage form
 - therapeutic appropriateness and route of administration, including local and systemic biological disposition
 - legal limitations, if any.

- ~~2. A Master Formulation Record should be created before compounding a preparation for the first time. This record shall be followed each time that preparation is made. In addition, a Compounding Record should be completed each time a preparation is compounded.~~
- ~~3. Ingredients used in the formulation have their expected identity, quality, and purity. If the formulation is for humans, ingredients are not on a list of federally recognized drugs or specific drug products that have been withdrawn or removed from the market for safety or efficacy reasons (see *www.FDA.gov*). If the formulation is for food-producing animals, ingredients are not on a list of components prohibited for use in food-producing animals. Certificates of Analysis, when applicable, and MSDSs have been consulted for all ingredients used.~~
- ~~4. Compounding is done in an appropriately clean and sanitized area dedicated to this activity (see the section *Compounding Facilities*).~~
- ~~5. Only one preparation is compounded at one time in a specific workspace.~~
- ~~6. Appropriate compounding equipment has been selected and inspected for cleanliness and correct functioning and is properly used.~~
- ~~7. A reliable BUD is established to ensure that the finished preparation has its accepted potency, purity, quality, and characteristics, at least until the labeled BUD.~~
- ~~8. Personnel engaged in compounding maintain good hand hygiene and wear clean clothing appropriate to the type of compounding performed (e.g., hair bonnets, coats, gowns, gloves, facemasks, shoes, aprons, or other items) as needed for protection of personnel from chemical exposures and for prevention of drug contamination.~~
- ~~9. The preparation is made in accordance with this chapter, other official standards referenced in this chapter, and relevant scientific data and information.~~
- ~~10. Critical processes (including but not limited to weighing, measuring, and mixing) are verified by the compounder to ensure that procedures, when used, will consistently result in the expected qualities in the finished preparation.~~
- ~~11. The final preparation is assessed using factors such as weight, adequacy of mixing, clarity, odor, color, consistency, pH, and analytical testing as appropriate; and this information is recorded on the Compounding Record (see {1163}).~~
- ~~12. The preparation is packaged as recommended in the *Packaging and Drug Preparation Containers* section of this chapter.~~
- ~~13. The preparation container is labeled according to all applicable state and federal laws. The labeling shall include the BUD and storage and handling information. The labeling should indicate that "this is a compounded preparation."~~

14. ~~The Master Formulation Record and the Compounding Record have been reviewed by the compounder to ensure that errors have not occurred in the compounding process and that the preparation is suitable for use.~~
15. ~~The preparation is delivered to the patient or caregiver with the appropriate consultation.~~

COMPOUNDING FACILITIES

~~Compounding facilities shall have an adequate space that is specifically designated for compounding of prescriptions. This space shall provide for the orderly placement of equipment and materials to prevent mixups among ingredients, containers, labels, in-process materials, and finished preparations and is designed, arranged, and used to prevent adventitious cross-contamination. Areas used for sterile preparations shall be separated and distinct from the nonsterile compounding area (see *Pharmaceutical Compounding—Sterile Preparations* {797}, *Environmental Quality and Control*).~~

~~Potable water shall be supplied for hand and equipment washing. This water meets the standards prescribed in the Environmental Protection Agency's National Primary Drinking Water Regulations (40 CFR Part 141). *Purified Water* (see *Purified Water* monograph) shall be used for compounding nonsterile drug preparations when formulations indicate the inclusion of water. *Purified Water* should be used for rinsing equipment and utensils. In those cases when a water is used to prepare a sterile preparation, follow the appropriate monographs and general chapters (see *Water for Pharmaceutical Purposes* {1231}).~~

~~The plumbing system shall be free of defects that could contribute to contamination of any compounded preparation. Adequate hand and equipment washing facilities shall be easily accessible to the compounding areas. Such facilities shall include, but are not limited to, hot and cold water, soap or detergent, and an air-drier or single-use towels. The areas used for compounding shall be maintained in clean, orderly, and sanitary conditions and shall be maintained in a good state of repair. Waste shall be held and disposed of in a sanitary and timely manner and in accordance with local, state, and federal guidelines.~~

~~The entire compounding and storage area should be well lighted. Heating, ventilation, and air conditioning systems shall be controlled to avoid decomposition and contamination of chemicals (see *Packaging and Storage Requirements* {659} and the manufacturers' labeled storage conditions). Appropriate temperature and humidity monitoring should be maintained as required for certain components and compounded dosage forms. All components, equipment, and containers shall be stored off the floor and in a~~

manner to prevent contamination and permit inspection and cleaning of the compounding and storage area.

Hazardous drugs shall be stored, prepared, and handled by appropriately trained personnel under conditions that protect the healthcare workers and other personnel. The following are references for the safe handling of antineoplastic and hazardous drugs in healthcare settings:

- OSHA Technical Manual—Section VI: Chapter 2, *Controlling Occupational Exposure to Hazardous Drugs*
- NIOSH Alert: *Preventing Occupational Exposure to Antineoplastic and Other Hazardous Drugs in Health Care Settings* [DHHS (NIOSH) Publication No. 2004-165] and updates.

Disposal of all hazardous drug wastes shall comply with all applicable federal and state regulations. All personnel who perform routine custodial waste removal and cleaning activities in storage and preparation areas for hazardous drugs shall be trained in appropriate procedures to protect themselves and prevent contamination.

COMPOUNDING EQUIPMENT

The equipment and utensils used for compounding of a drug preparation shall be of appropriate design and capacity. The equipment shall be of suitable composition that the surfaces that contact components are neither reactive, additive, nor sorptive and therefore will not affect or alter the purity of the compounded preparations. The types and sizes of equipment depend on the dosage forms and the quantities compounded (see (1176) and equipment manufacturers' instruction manuals).

Equipment shall be stored to protect it from contamination and shall be located to facilitate its use, maintenance, and cleaning. Automated, mechanical, electronic, and other types of equipment used in compounding or testing of compounded preparations shall be routinely inspected, calibrated as necessary, and checked to ensure proper performance. Immediately before compounding operations, the equipment shall be inspected by the compounder to determine its suitability for use. After use, the equipment shall be appropriately cleaned.

Extra care should be used when cleaning equipment used in compounding preparations that require special precaution (e.g., antibiotics and cytotoxic and other hazardous materials). When possible, special equipment should be dedicated for such use, or when the same equipment is being used for all drug products, appropriate procedures shall be in place to allow meticulous cleaning of equipment before use with other drugs. If possible, disposable equipment should be used to reduce chances of bioburden and cross-contamination.

~~COMPONENT SELECTION, HANDLING, AND STORAGE~~

The following guidelines shall be followed when selecting, handling, and storing components for compounded preparations:

- ~~1. A *United States Pharmacopeia (USP)*, *National Formulary (NF)*, or *Food Chemicals Codex (FCC)* substance is the recommended source of ingredients for compounding all preparations.~~
- ~~2. Compounders shall first attempt to use components manufactured in an FDA-registered facility. When components cannot be obtained from an FDA-registered facility, compounders shall use their professional judgment in selecting an acceptable and reliable source and shall establish purity and safety by reasonable means, which should include Certificate of Analysis, manufacturer reputation, and reliability of source.~~
- ~~3. Official compounded preparations are prepared from ingredients that meet requirements of the compendial monograph for those individual ingredients for which monographs are provided. These preparations may be labeled *USP* or *NF* as appropriate.~~
- ~~4. When components of compendial quality are not obtainable, components of high quality such as those that are chemically pure, analytical reagent grade, or American Chemical Society-certified may be used. However, these components should be used cautiously because the standards for analytical reagents or American Chemical Society-grade materials do not consider whether any impurity present raises human or animal safety concerns.~~
- ~~5. For components in containers that have an expiration date from the manufacturer or distributor, the material may be used in compounding before that expiration date (a) when the material is stored in its original container under conditions to avoid decomposition of the chemicals (see {1191} and {659}), unless other conditions are noted on the label), (b) when there is minimal exposure of the remaining material each time material is withdrawn from the container, and (c) when any withdrawals from the container are performed by those trained in the proper handling of the material. If the component has been transferred to a different container, that container shall be identified with the component name, original supplier, lot or control number, transfer date, and expiration date and shall provide integrity that is equivalent to or better than that of the original container.~~
- ~~6. For components that do not have expiration dates assigned by the manufacturer or supplier, the compounder shall label the container with the date of receipt and assign a conservative expiration date, not to exceed three years after receipt, to the component (see~~

- ~~• Labeling (7), Expiration Date and Beyond Use Date). (CN-1-May-2018) based on the nature of the component and its degradation mechanism, the container in which it is packaged, and the storage conditions.~~
- ~~7. If a manufactured drug product is used as the source of active ingredient, the drug product shall be manufactured in an FDA-registered facility, and the manufacturer's product container shall be labeled with a batch control number and expiration date. When compounding with manufactured drug products, the compounder shall consider all ingredients, including excipients, present in the drug product relative to the intended use of the compounded preparation and the effect of manipulating the drug product on the therapeutic appropriateness and stability of the components.~~
 - ~~8. If the preparation is intended for use as a dietary or nutritional supplement, then the compounder must adhere to this chapter and must also comply with any federal and state requirements. Generally, dietary supplements are prepared from ingredients that meet USP, FCC, or NF standards. Where such standards do not exist, substances may be used in dietary supplements if they have been shown to have acceptable food grade quality using other suitable procedures.~~
 - ~~9. When a component is derived from ruminant animals (e.g., bovine, caprine, ovine), the supplier shall provide written assurance that the component is in compliance with all federal laws governing processing, use, and importation requirements for these materials.~~
 - ~~10. When compounding for humans, the compounder should consult the list of components that have been withdrawn or removed from the market for safety or efficacy reasons by FDA (see www.FDA.gov). When compounding for food-producing animals, the compounder should consult the list of components prohibited for use in food-producing animals.~~
 - ~~11. All components used in the compounding of preparations must be stored as directed by the manufacturer, or according to USP, NF, or FCC monograph requirements, in a clean area, and under appropriate temperature and humidity conditions (controlled room temperature, refrigerator, or freezer). All components shall be stored off the floor, handled and stored to prevent contamination, and rotated so that the oldest stock is used first. All containers shall be properly labeled.~~

STABILITY CRITERIA AND BEYOND USE DATING

The BUD is the date after which a compounded preparation shall not be used and is determined from the date when the preparation is compounded. Because compounded preparations are intended for administration

immediately or following short-term storage, their BUDs are assigned on the basis of criteria different from those applied to assigning expiration dates to manufactured drug products.

BUDs should be assigned conservatively. When assigning a BUD, compounders shall consult and apply drug-specific and general stability documentation and literature when available and should consider:

- the nature of the drug and its degradation mechanism
- the dosage form and its components
- the potential for microbial proliferation in the preparation
- the container in which it is packaged
- the expected storage conditions
- the intended duration of therapy (see *Labeling (7), Expiration Date and Beyond-Use Date.*) • (CN 1 May 2018)

When a manufactured product is used as the source of the API for a nonsterile compounded preparation, the product expiration date cannot be used solely to assign a BUD for the compounded preparation. Instead, the compounder shall refer to the manufacturer for stability information and to the literature for applicable information on stability, compatibility, and degradation of ingredients; shall consider stability factors in (1191); and shall use his or her compounding education and experience. All stability data shall be carefully interpreted in relation to the actual compounded formulation.

At all steps in the compounding, dispensing, and storage process, the compounder shall observe the compounded drug preparation for signs of instability. For more specific details of some of the common physical signs of deterioration (see (1191), *Observing Products for Evidence of Instability*). However, excessive chemical degradation and other drug concentration loss due to reactions may be invisible more often than visible.

General Guidelines for Assigning Beyond-Use Dates

In the absence of stability information that is applicable to a specific drug and preparation, the following table presents maximum BUDs recommended for nonsterile compounded drug preparations that are packaged in tight, light-resistant containers and stored at controlled room temperature, unless otherwise indicated (see (659)). Drugs or chemicals known to be labile to decomposition will require shorter BUDs.

BUD by Type of Formulation*
For Nonaqueous Formulations —The BUD is not later than the time remaining until the earliest expiration date of any API or 6 months, whichever

BUD by Type of Formulation^a

is earlier.

For Water-Containing Oral Formulations—The BUD is not later than 14 days when stored at controlled cold temperatures.

For Water-Containing Topical/Dermal and Mucosal Liquid and Semisolid Formulations—The BUD is not later than 30 days.

^a These maximum BUDs are recommended for nonsterile compounded drug preparations in the absence of stability information that is applicable to a specific drug or preparation. The BUD shall not be later than the expiration date on the container of any component.

Susceptible preparations should contain suitable antimicrobial agents to protect against bacteria, yeast, and mold contamination inadvertently introduced during or after the compounding process. When antimicrobial preservatives are contraindicated in such compounded preparations, storage of the preparation at controlled cold temperature is necessary; to ensure proper storage and handling of such compounded preparations by the patient or caregiver, appropriate patient instruction and consultation is essential. Antimicrobial preservatives should not be used as a substitute for good compounding practices.

For information on assigning BUDs when repackaging drug products for dispensing or administration, see *General Notices and Requirements, Preservation, Packaging, Storage, and Labeling, Labeling, Expiration Date and Beyond-Use Date, and Packaging and Repackaging—Single-Unit Containers* (1136).

Assurance of sterility in a compounded sterile preparation is mandatory. Compounding and packaging of sterile drugs (including ophthalmic preparations) requires strict adherence to guidelines presented in (797) and in the manufacturers' labeling instructions.

PACKAGING AND DRUG PREPARATION CONTAINERS

The compounder shall ensure that the containers and container closures used in packaging compounded preparations meet *USP* requirements (see (659); *Containers—Glass* (660); *Plastic Packaging Systems and their Materials of Construction* (661); *Plastic Materials of Construction* (661.1); *Plastic Packaging Systems for Pharmaceutical Use* (661.2); *Containers—Performance Testing* (671); (1136)); and when available, compounding monographs. Compounders are not expected to perform the tests described in these chapters but should be knowledgeable about the standards described in them. Container suppliers shall supply, upon request, verification of *USP* container compliance. Containers and container closures

intended for the compounding of sterile preparations must be handled as described in (797).

The containers and closures shall be made of suitable clean material in order not to alter the quality, strength, or purity of the compounded drug preparation. The container used depends on the physical and chemical properties of the compounded preparation. Container-drug interaction should be considered for substances that have sorptive or leaching properties.

The containers and closures shall be stored off the floor, handled and stored to prevent contamination, and rotated so that the oldest stock is used first. The containers and container closures shall be stored in such a way as to permit inspection and cleaning of the storage area.

COMPOUNDING DOCUMENTATION

Documentation, written or electronic, enables a compounder, whenever necessary, to systematically trace, evaluate, and replicate the steps included throughout the preparation process of a compounded preparation. All compounders who dispense prescriptions must comply with the record-keeping requirements of their state boards of pharmacy. When the compounder compounds a preparation according to the manufacturer's labeling instructions, then further documentation is not required. All other compounded preparations require further documentation as described in this section.

These records should be retained for the same period of time that is required for any prescription under state law. The record may be a copy of the prescription in written or machine-readable form and should include a Master Formulation Record and a Compounding Record.

Master Formulation Record

This record shall include:

- official or assigned name, strength, and dosage form of the preparation
- calculations needed to determine and verify quantities of components and doses of active pharmaceutical ingredients
- description of all ingredients and their quantities
- compatibility and stability information, including references when available
- equipment needed to prepare the preparation, when appropriate
- mixing instructions that should include:
 1. order of mixing
 2. mixing temperatures or other environmental controls
 3. duration of mixing

4. ~~other factors pertinent to the replication of the preparation as compounded.~~
- ~~sample labeling information, which shall contain, in addition to legally required information:~~
 1. ~~generic name and quantity or concentration of each active ingredient~~
 2. ~~assigned BUD~~
 3. ~~storage conditions~~
 4. ~~prescription or control number, whichever is applicable.~~
 - ~~container used in dispensing~~
 - ~~packaging and storage requirements~~
 - ~~description of final preparation~~
 - ~~quality control procedures and expected results.~~

~~Compounding Record~~

~~The Compounding Record shall contain:~~

- ~~official or assigned name, strength, and dosage of the preparation~~
- ~~Master Formulation Record reference for the preparation~~
- ~~names and quantities of all components~~
- ~~sources, lot numbers, and expiration dates of components~~
- ~~total quantity compounded~~
- ~~name of the person who prepared the preparation, name of the person who performed the quality control procedures, and name of the compounder who approved the preparation~~
- ~~date of preparation~~
- ~~assigned control or prescription number~~
- ~~assigned BUD~~
- ~~duplicate label as described in the Master Formulation Record~~
- ~~description of final preparation~~
- ~~results of quality control procedures (e.g., weight range of filled capsules, pH of aqueous liquids)~~
- ~~documentation of any quality control issues and any adverse reactions or preparation problems reported by the patient or caregiver.~~

~~Standard Operating Procedures~~

~~All significant procedures performed in the compounding area should be covered by written standard operating procedures (SOPs). Procedures should be developed for the facility, equipment, personnel, preparation, packaging, and storage of compounded preparations to ensure accountability, accuracy, quality, safety, and uniformity in compounding.~~

Implementing SOPs establishes procedural consistency and also provides a reference for orientation and training of personnel.

~~Material Safety Data Sheets File~~

~~MSDSs shall be readily accessible to all employees working with drug substances or bulk chemicals located on the compounding facility premises. Employees should be instructed on how to retrieve and interpret needed information.~~

~~QUALITY CONTROL~~

~~The safety, quality, and performance of compounded preparations depend on correct ingredients and calculations, accurate and precise measurements, appropriate formulation conditions and procedures, and prudent pharmaceutical judgment. As a final check, the compounder shall review each procedure in the compounding process. To ensure accuracy and completeness, the compounder shall observe the finished preparation to ensure that it appears as expected and shall investigate any discrepancies and take appropriate corrective action before the prescription is dispensed to the patient.~~

~~Compounding Controls~~

- ~~1. The Master Formulation Record, the Compounding Record, and associated written procedures shall be followed in execution of the compounding process. Any deviation in procedures shall be documented.~~
- ~~2. The compounder shall check and recheck each procedure at each stage of the process. If possible, a trained second person should verify each critical step in the compounding process.~~
- ~~3. The compounder shall have established written procedures that describe the tests or examinations conducted on the compounded preparation (e.g., the degree of weight variation among capsules) to ensure their uniformity and integrity.~~
- ~~4. Appropriate control procedures shall be established to monitor the output and to verify the performance of compounding processes and equipment that may be responsible for causing variability in the final compounded preparations.~~
- ~~5. For further guidance on recommended quality control procedures, see (1163).~~

~~PATIENT COUNSELING~~

At the time of dispensing the prescription, the patient or the patient's agent shall be counseled about proper use, storage, handling, and disposal of the compounded preparation. The patient or the patient's agent shall also be instructed to report any adverse event and to observe and report to the compounder any changes in the physical characteristics of the compounded preparation (see ~~(1191)~~, *Responsibility of Pharmacists*). The compounder shall investigate and document any reported problem with a compounded preparation and shall take corrective action.

TRAINING

All personnel involved in the compounding, evaluation, packaging, and dispensing of compounded preparations shall be properly trained for the type of compounding conducted. It is the responsibility of the compounder to ensure that a training program has been implemented and that it is ongoing. Compounding personnel should be evaluated at least annually. Steps in the training procedure include the following:

- All employees involved in pharmaceutical compounding shall read and become familiar with this chapter. They should also be familiar with the contents of the *USP Pharmacists' Pharmacopeia* and other relevant publications, including how to read and interpret MSDSs.
- All employees shall read and become familiar with each of the procedures related to compounding, including those involving the facility, equipment, personnel, actual compounding, evaluation, packaging, storage, and dispensing.
- All personnel who compound hazardous drugs shall be fully trained in the storage, handling, and disposal of these drugs. This training shall occur before preparing or handling hazardous drugs. For information on training for personnel who compound hazardous drugs, see the references in *Compounding Facilities* earlier in this chapter.
- All training activities shall be documented. The compounder shall meet with employees to review their work and answer any questions the employees may have concerning compounding procedures.
- The compounder shall demonstrate the procedures for the employee and shall observe and guide the employee throughout the training process. The employee will then repeat the procedure without any assistance from, but under the direct supervision of, the compounder.
- When the employee has demonstrated to the compounder a verbal and functional knowledge of the procedure, then and only then will the employee be permitted to perform the procedure without direct supervision. However, the compounder should be physically present and shall approve all ingredients and their quantities and the final preparation.

- When the compounder is satisfied with the employee's knowledge and proficiency, the compounder will sign the documentation records to show that the employee was appropriately trained.
- The compounder shall continually monitor the work of the employee and ensure that the employee's calculations and work are accurate and adequately performed.
- The compounder is solely responsible for the finished preparation.

COMPOUNDING FOR ANIMAL PATIENTS

A compounder's responsibility for providing patients with high quality compounded preparations extends beyond the human species. All portions of this chapter apply to compounded preparations formulated for animal patients. Intended use of any animal patient (e.g., companion, performance, food) shall be determined before compounding for that patient.

Because humans can consume animal patients as food, care must be taken to prevent drug residues from entering the human food chain when compounded preparations are used in animal patients. For this reason, all compounders preparing formulations for animals shall possess a functional knowledge of drug regulation and disposition in animal patients. Veterinarians are required by law to provide food producing animal caregivers with an accurate length of time to withhold treated animal tissues (e.g., meat, milk, eggs) from the human food supply. This length of time is referred to as a withdrawal time (WDT) and must also, by law, be included on the dispensing label of every prescription prepared for a food producing species.

Drug use in any performance animal is strictly regulated by federal and state governments, in addition to the governing bodies of each of the specific disciplines. Penalties for violation of these rules may be severe for all contributing to the violation, including the veterinarian, pharmacist, and caregiver.

The pharmacist shall be knowledgeable about the individual species' limitations in physiology and metabolic capacity that can result in toxicity when certain drugs or excipients are used in compounded preparations. For this reason, compounders making preparations for animals should use, when possible, formulations specifically developed for animal patients. If such formulations are not available, the compounder shall conduct a literature review to determine whether a specific component of the formula is toxic to the target species. Extrapolating compounding formulations intended for use in humans may not be appropriate for animal species and may contribute to negative outcomes.

Veterinarians and pharmacists making preparations for animal patients should be familiar with all state and federal regulations regarding drug use in animals, including but not limited to the Food, Drug, and Cosmetic Act; the

Animal Drug Amendment; the Animal Medicinal Drug Use Clarification Act; and FDA's Compliance Policy Guideline for Compounding of Drugs for Use in Animal Patients.

GLOSSARY

Active Pharmaceutical Ingredient (API): Any substance or mixture of substances intended to be used in the compounding of a drug preparation, thereby becoming the active ingredient in that preparation and furnishing pharmacological activity or other direct effect in the diagnosis, cure, mitigation, treatment, or prevention of disease in humans and animals or affecting the structure and function of the body.

Added Substances: Ingredients that are necessary to compound a preparation but are not intended or expected to cause a pharmacologic response if administered alone in the amount or concentration contained in a single dose of the compounded preparation. The term is used synonymously with the terms *inactive ingredients*, *excipients*, and *pharmaceutical ingredients*.

Beyond Use Date (BUD): The date after which a compounded preparation shall not be used; determined from the date the preparation is compounded.

Component: Any ingredient used in the compounding of a drug preparation, including any active ingredient or added substance that is used in its preparation.

Compounder: A professional authorized by the appropriate jurisdiction to perform compounding pursuant to a prescription or medication order by a licensed prescriber.

Compounding: The preparation, mixing, assembling, altering, packaging, and labeling of a drug, drug-delivery device, or device in accordance with a licensed practitioner's prescription, medication order, or initiative based on the practitioner/patient/pharmacist/compounder relationship in the course of professional practice. Compounding includes the following:

- Preparation of drug dosage forms for both human and animal patients
- Preparation of drugs or devices in anticipation of prescription drug orders based on routine, regularly observed prescribing patterns
- Reconstitution or manipulation of commercial products that may require the addition of one or more ingredients
- Preparation of drugs or devices for the purposes of, or as an incident to, research (clinical or academic), teaching, or chemical analysis

- Preparation of drugs and devices for prescriber's office use where permitted by federal and state law.

Hazardous Drug: Any drug identified by at least one of the following six criteria:

- Carcinogenicity
- Teratogenicity or developmental toxicity
- Reproductive toxicity in humans
- Organ toxicity at low doses in humans or animals
- Genotoxicity
- New drugs that mimic existing hazardous drugs in structure or toxicity [for examples see current National Institute for Occupational Safety and Health (NIOSH) publications].

Manufacturing: The production, propagation, conversion, or processing of a drug or device, either directly or indirectly, by extraction of the drug from substances of natural origin or by means of chemical or biological synthesis. Manufacturing may also include any packaging or repackaging of the substance(s) or labeling or relabeling of containers for resale by pharmacies, practitioners, or other persons.

Preparation: For the purposes of this chapter, a compounded drug dosage form or dietary supplement or a device to which a compounder has introduced a drug. This term will be used to describe compounded formulations; the term *product* will be used to describe manufactured pharmaceutical dosage forms. (For the definitions of *official substance* and *official products*, see *General Notices and Requirements*.)

Stability: The extent to which a preparation retains, within specified limits and throughout its period of storage and use, the same properties and characteristics that it possessed at the time of compounding (see *Stability Considerations in Dispensing Practice* (1191), the table *Criteria for Acceptable Levels of Stability*).

Vehicle: A component for internal or external use that is used as a carrier or diluent in which liquids, semisolids, or solids are dissolved or suspended. Examples include, but are not limited to, water, syrups, elixirs, oleaginous liquids, solid and semisolid carriers, and proprietary products.

- 1 **1. INTRODUCTION AND SCOPE**
- 2 This chapter describes the minimum standards to be followed when
- 3 preparing compounded nonsterile preparations (CNSPs) for humans and
- 4 animals. For purposes of this chapter, nonsterile compounding is defined as

5 combining, admixing, diluting, pooling, reconstituting other than as provided
6 in the manufacturer package insert, or otherwise altering a drug or bulk drug
7 substance to create a nonsterile medication. Reconstituting a conventionally
8 manufactured nonsterile product in accordance with the directions contained
9 in the approved labeling provided by the product's manufacturer is not
10 considered compounding as long as the product is prepared for an individual
11 patient and not stored for future use.

12 **1.1 Scope**

13 **COMPOUNDED NONSTERILE PREPARATIONS AFFECTED**

14 CNSPs that may be affected by this chapter include but are not limited to
15 the following dosage forms:

- 16 • Solid oral preparations
- 17 • Liquid oral preparations
- 18 • Rectal preparations
- 19 • Vaginal preparations
- 20 • Topical preparations (i.e., creams, gels, irrigations for non-internal and
21 non-surgical body cavities)
- 22 • Nasal and sinus preparations intended for local application
- 23 • Otic preparations

24 **HANDLING OF HAZARDOUS DRUGS**

25 Compounding of nonsterile hazardous drugs must also comply with
26 [*Hazardous Drugs—Handling in Healthcare Settings \(800\)*](#).

27 **AFFECTED PERSONNEL AND SETTINGS**

28 This chapter applies to all persons who prepare CNSPs and all places where
29 CNSPs are prepared. This includes but is not limited to pharmacists,
30 technicians, physicians, veterinarians, dentists, naturopaths, chiropractors,
31 and nurses, in all places including but not limited to pharmacies, hospitals
32 and other healthcare institutions, patient treatment sites, and physicians' or
33 veterinarians' practice sites.

34 The compounding facility's leadership and all personnel involved in
35 preparing, storing, packaging, and transporting CNSPs are responsible for 1)
36 ensuring that the applicable practices and quality standards in this chapter
37 are continually and consistently applied to their operations, and 2)
38 proactively identifying and remedying potential problems within their
39 operations. Personnel engaged in the compounding of CNSPs must also
40 comply with applicable laws and regulations of the regulatory jurisdiction.

41 The compounding facility must designate one or more individuals (i.e., the
42 designated person) to be responsible and accountable for the performance
43 and operation of the facility and personnel in the preparation of CNSPs. The
44 responsibilities of the designated person include but are not limited to:

- 45 • Developing and implementing a training program
- 46 • Routinely monitoring and observing compounding activities and taking
- 47 immediate corrective action if deficient practices are observed
- 48 • Demonstrating the procedures for personnel and observing and
- 49 guiding personnel throughout the training process
- 50 • Evaluating whether individuals with certain conditions, such as rashes
- 51 or respiratory illnesses, will be allowed to work in compounding areas
- 52 before their conditions are resolved because these conditions carry
- 53 the risk of contaminating the environment and CNSPs
- 54 • Ensuring that standard operating procedures (SOPs) are fully
- 55 implemented. The designated person must ensure that follow-up is
- 56 carried out if problems, deviations, or errors are identified
- 57 • Establishing, monitoring, and documenting procedures for the handling
- 58 and storage of CNSPs and/or components of CNSPs

59 If the compounding facility has only one person responsible for all the
60 compounding in the facility, then that person will become the designate.

61
62
63

2. PERSONNEL QUALIFICATIONS—TRAINING, EVALUATION, AND REQUALIFICATION

64 All personnel involved in the preparation and handling of CNSPs must be
65 trained, must demonstrate competency, and must undergo annual refresher
66 training. Training and competency of personnel must be documented as
67 described in *14. Documentation*.

68 The designated person must develop a written training program that
69 describes the required training, the frequency of training, and the process
70 for evaluating the competency of personnel involved in nonsterile
71 compounding and handling of CNSPs. This program must equip personnel
72 with knowledge and training in the required skills necessary to perform their
73 assigned tasks.

74 In addition to the initial and annual competency training and evaluation
75 described in this section, the designated person should routinely monitor and
76 observe compounding activities and must take immediate corrective action if
77 deficient practices are observed. SOPs must describe procedures for the
78 monitoring and observing of compounding activities and personnel.

79 Before independently beginning to prepare CNSPs, personnel must
80 complete training and be able to demonstrate proficiency in the theoretical
81 principles and hands-on skills of nonsterile manipulations for the type of
82 compounding they will be performing. Proficiency must be demonstrated in
83 at least the following core competencies:

- 84 • Hand hygiene
- 85 • Garbing

- 86 • Cleaning and sanitizing
- 87 • Component selection, handling, and transport
- 88 • Performing calculations
- 89 • Measuring and mixing
- 90 • Use of equipment
- 91 • Documentation of the compounding process (e.g., Master Formulation
- 92 Records and Compounding Records)

93 Steps in the training procedure must include the following:

- 94 • Read and understand this chapter
- 95 • Have access to *USP* compounding monographs, other applicable
- 96 general chapters, and other relevant literature
- 97 • Understand and interpret Certificates of Analysis (COAs) and Safety
- 98 Data Sheets (SDS)
- 99 • Read and understand procedures related to their compounding duties,
- 100 including those regarding the facility, equipment, personnel, garbing,
- 101 actual compounding processes, evaluation, packaging, storage,
- 102 transport, and dispensing

103 Additionally, the designated person must demonstrate the procedures for
104 personnel, and must observe and guide personnel throughout the training
105 process. The personnel will then be expected to repeat the procedures
106 independently, but under the direct supervision of the designated person. An
107 employee will be permitted to perform the procedure without direct
108 supervision only after independently demonstrating understanding and
109 competency to the designated person. Upon completion of the training
110 program, the designated person must document that the employee has been
111 trained and successfully completed competency assessments (see 14.
112 *Documentation*).

113 If the facility has only one person in the compounding operation, that
114 person must document that they have obtained appropriate training outside
115 of the facility and demonstrated competency, and they must comply with the
116 other requirements of this chapter.

117

118

3. PERSONAL HYGIENE AND GARBING

119 Compounding personnel must maintain personal hygiene. Individuals that
120 may have a higher risk of contaminating the CNSP and the environment
121 (e.g., due to rashes, sunburn, recent tattoos or oozing sores, conjunctivitis,
122 active respiratory infection) must report these conditions to the designated
123 person. The designated person must evaluate whether these individuals will
124 be allowed to work in compounding areas before their conditions are
125 resolved because of the risk of contaminating the environment and CNSPs.

126

3.1 Personnel Preparation

127 Personnel engaged in compounding must maintain hand hygiene and wear
128 clean clothing required for the type of compounding performed.

129 Before entering a designated compounding area, compounding staff must
130 remove any items that are not easily cleanable and that might interfere with
131 garbing. At a minimum, personnel must:

- 132 • Remove personal outer garments (e.g., bandanas, coats, hats, jackets,
133 scarves, sweaters, vests)
- 134 • Remove all hand, wrist, and other exposed jewelry or piercing that can
135 interfere with the effectiveness of the garb or hand hygiene (e.g.,
136 watches, rings that may tear gloves)
- 137 • Remove headphones and earphones
- 138 • Keep nails clean and neatly trimmed to minimize particle shedding and
139 avoid glove punctures

140

3.2 Hand Hygiene

141 Hand hygiene is required when initially entering the compounding area and
142 when re-entering the compounding area after a break. Hand hygiene is also
143 required before initiating any compounding activity related to a new CNSP.
144 Perform hand hygiene as described in [Box 3-1](#). If gloves are already donned,
145 wash hands with donned gloves. Gloves must be changed if they have been
146 compromised (i.e., if they are torn or contain holes).

147

Box 3-1. Hand Hygiene Procedures

- Wash hands and forearms up to the elbows with soap and water for at least 30 s.
Alcohol hand sanitizers alone are not sufficient.
- Dry hands and forearms to the elbows completely with disposable towels or wipes.
- Allow hands and forearms to dry thoroughly before donning gloves.

148

3.3 Garb and Glove Requirements

149 Gloves are required to be worn for all compounding activities. Other garb
150 (e.g., shoe covers, head and facial hair covers, face masks, gowns) must be
151 appropriate for the type of compounding performed as needed for the
152 protection of personnel from chemical exposures and for prevention of
153 preparation contamination. Garb must be stored to prevent contamination
154 (e.g., away from sinks to avoid splashing onto garb). Visibly soiled garb or
155 garb with tears or punctures must be changed immediately.

156

EXITING AND REENTERING COMPOUNDING AREA

157 When compounding personnel exit the compounding area during a work
158 shift, if the gown is used but not soiled, it can be removed and retained in
159 the compounding area and re-donned during the same work shift only.
160 Gloves, shoe covers, hair covers, facial hair covers, face masks, or head
161 coverings, if used, may not be reused and must be replaced with new ones.
162 Non-disposable garb, such as goggles or respirators, if used, should be
163 cleaned and sanitized with 70% isopropyl alcohol before re-use.

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165

4. BUILDINGS AND FACILITIES

166 Compounding facilities must have a space that is specifically designated for
167 compounding. Areas related to nonsterile compounding must be separated
168 from areas not directly related to compounding. Areas intended for
169 nonsterile compounding must be separated and distinct from the areas
170 intended for sterile compounding (see [Pharmaceutical Compounding—Sterile
171 Preparations \(797\)](#)), except where permitted as described in [\(800\)](#).

172 Compounding areas used to compound hazardous CNSPs must not be used
173 for compounding nonhazardous CNSPs (see [\(800\)](#)).

174 Compounding facilities must be designed and controlled to provide a well-
175 lighted working environment, with temperature and humidity controls for the
176 comfort of compounding personnel wearing the required garb. Heating,
177 ventilation, and air conditioning systems must be designed and controlled to
178 prevent decomposition and contamination of chemicals, components, and
179 CNSPs (see also *12. CNSP Handling, Packaging, Storage, and Transport*).
180 Temperature and humidity must be maintained as required for components
181 and compounded preparations.

182 The facility must provide for the orderly placement of equipment and
183 materials to prevent mix-ups among ingredients, containers, labels, in-
184 process materials, and finished CNSPs. The space must be designed,
185 arranged, and used in a way that prevents cross-contamination from
186 noncompounding areas.

187 The surfaces of ceilings, walls, floors, fixtures, shelving, counters, and
188 cabinets in a compounding area must be cleanable and must be kept clean.
189 Carpet is not allowed in the compounding area. Surfaces should be resistant
190 to damage by cleaning and sanitizing agents.

191 A source of hot and cold water and an easily accessible sink must be
192 available for compounding. The sink must be emptied of all items and
193 cleaned before being used to clean any equipment used in nonsterile
194 compounding. The plumbing system must be free of defects that may
195 contribute to the contamination of any CNSP. [Purified Water](#) should be used
196 for rinsing equipment and utensils.

197 The areas used for compounding must be maintained in a clean, orderly,
198 and sanitary condition, and in a good state of repair. All components,
199 equipment, and containers must be stored off the floor and in a manner that

200 will prevent contamination and permit inspection and cleaning of the
201 compounding and storage area. Waste must not be allowed to accumulate
202 and must be disposed of in a sanitary manner. Waste disposal must comply
203 with applicable laws and regulations of the regulatory jurisdiction.

204
205

5. CLEANING AND SANITIZING

206 Cleaning and sanitizing of the surfaces in the nonsterile compounding areas
207 must occur on a regular basis at the minimum frequencies specified in [Table](#)
208 [1](#). Cleaning and sanitizing must be repeated when spills occur and when
209 surfaces, floors, and walls are visibly soiled.

210 Cleaning and sanitizing agents must be selected and used with
211 consideration of compatibilities, effectiveness, and the potential to leave
212 residues.

213 **Table 1. Minimum Frequency for Cleaning and Sanitizing Surfaces in**
214 **Nonsterile Compounding Areas**

Site	Minimum Frequency
Floors	Daily, after spills, and when surface contamination (e.g., splashes) is known or suspected
Walls	Every 3 months, after spills, and when surface contamination (e.g., splashes) is known or suspected
Ceilings	Every 3 months, after spills, and when surface contamination (e.g., splashes) is known or suspected
Storage shelving	Every 3 months, after spills, and when surface contamination (e.g., splashes) is known or suspected

215
216

6. EQUIPMENT AND COMPONENTS

217

6.1 Equipment

218 The equipment and supplies used for compounding a CNSP must be
219 suitable for the specific compounding process. Equipment surfaces that
220 contact components must not be reactive, additive, or sorptive, and must
221 not alter the quality of the CNSPs. When feasible, disposable or dedicated
222 equipment should be used to reduce the chance of bioburden and cross-
223 contamination.

224 Equipment must be stored in a manner to protect it from contamination
225 and must be located to facilitate its use, maintenance, and cleaning.
226 Automated, mechanical, electronic, and other types of equipment used in
227 the compounding or testing of compounded preparations must be inspected
228 prior to use and verified for accuracy at the frequency recommended by the
229 manufacturer, and at least annually. Immediately after compounding, the

230 equipment must be cleaned to prevent cross-contamination of the next
231 preparation.

232 Any weighing, measuring, or other manipulation of an active
233 pharmaceutical ingredient (API) or added substance in powder form that
234 could generate airborne contamination from drug particles must occur inside
235 a containment device such as a containment ventilated enclosure (CVE) (i.e.,
236 powder containment hood). The CVE must be cleaned as described in [Table](#)
237 [2](#). The CVE must be certified annually. If the CVE is not equipped with an
238 exhaust alarm, the device should be certified every 6 months according to
239 requirements such as the current Controlled Environment Testing
240 Association (CETA) or American Society of Heating, Refrigerating, and Air-
241 Conditioning Engineers (ASHRE) guidelines, or other jurisdictional standards.

242 **Table 2. Minimum Frequency for Cleaning and Sanitizing Equipment**
243 **in Nonsterile Compounding Areas**

Site	Minimum Frequency
CVE and work surfaces outside the CVE	At the beginning and end of each shift, after spills, and when surface contamination is known or suspected. Clean and sanitize the horizontal work surface of the CVE between compounding of different drugs.
Equipment used in compounding operations	Before first use and thereafter in accordance with the manufacturer's recommendations. If no recommendation is available, after each use.

244 **6.2 Components**

245 Compounding personnel must establish, maintain, and follow written SOPs
246 for the selection and inventory control of all components, including all
247 ingredients (i.e., APIs, inactive ingredients), containers, and closures, from
248 receipt to use in a CNSP.

249 SDSs must be readily accessible to all personnel working with drug
250 substances or bulk chemicals located in the compounding facility. Personnel
251 must be instructed on how to retrieve and interpret needed information.

252 **COMPONENT SELECTION**

253 The designated person is responsible for component selection.
254 Compounders must use qualified vendors. A vendor is qualified when there
255 is evidence to support its ability to supply a material that consistently meets
256 all quality specifications. Qualification must include an evaluation of the
257 vendor's reliability and registration/accreditation as required by applicable
258 laws and regulations of the regulatory jurisdiction.

259 In the US, APIs used in compounding must be manufactured by an FDA-
260 registered facility. Outside of the US, APIs used in compounding must
261 comply with applicable laws and regulations of the regulatory jurisdiction.
262 Each API must be accompanied by a valid COA that includes the
263 specifications and test results and shows that the API meets an official *USP*-
264 *NF* monograph, if one exists, and any additional specifications required to
265 appropriately use the API in preparing the CNSP.

266 All ingredients other than APIs should be obtained from an FDA-registered
267 facility. Outside of the US, the facility must comply with applicable laws and
268 regulations of the regulatory jurisdiction. These ingredients should be
269 accompanied by a valid COA that verifies that the ingredient meets an
270 official monograph, if one exists, and any additional specifications for the
271 ingredient. If ingredients other than APIs cannot be obtained from an FDA-
272 registered facility, the designated person must select a material that is
273 suitable for the intended use. The designated person must establish the
274 identity, strength, purity, and quality of the API by reasonable means. These
275 means may include visual inspections, evaluation of the COAs, and/or
276 verification by analytically testing a sample to determine conformance with
277 the COA.

278 [Purified Water](#), or an equivalent quality of water, must be used to
279 reconstitute conventionally manufactured nonsterile products when water
280 quality is not stated in the manufacturer's labeling (see [Water for
281 Pharmaceutical Purposes \(1231\)](#)).

282 COMPONENT RECEIPT

283 Upon receipt, each lot of the component must be visually inspected to
284 ensure that the labeling correctly identifies the component, and that the
285 component meets the expected appearance. The lot must be examined for
286 evidence of deterioration and other aspects of unacceptable quality (e.g.,
287 foreign objects, whether the outer packaging is damaged and whether
288 temperature-sensing indicators show that the component has been exposed
289 to excessive temperature excursions). If there is a compendial monograph
290 for any ingredient received, the COA for the ingredient must be verified to
291 ensure that the ingredient has met the acceptance criteria of all specified
292 monograph tests for that lot and includes the test results. If the Master
293 Formulation Record specifies certain component characteristics, the vendor-
294 supplied COA must be verified to ensure that the component possesses
295 those characteristics.

296 Any ingredient found to be of unacceptable quality must be promptly
297 rejected, clearly labeled as rejected, and segregated from active stock to
298 ensure that they are not inadvertently used. Any other lots of that ingredient
299 from that vendor must be examined to determine whether the other lots
300 demonstrate the same unacceptable quality.

301 The date of receipt by the compounding facility must be clearly and
302 indelibly marked on each ingredient package, except for containers of
303 conventionally manufactured products. For each ingredient, information
304 including the receipt date, quantity received, supplier name, lot number,
305 expiration date, and results of any in-house or third-party testing performed
306 must be documented. The compounding facility must keep a written record
307 of each shipment of components received in accordance with the
308 recordkeeping requirements described in *14. Documentation*.

309 COMPONENT EVALUATION BEFORE USE

310 Before use, compounding personnel must visually re-inspect all
311 components. Ingredient packages must be inspected to detect container
312 breaks, looseness of the cap or closure, or deviation from the expected
313 appearance, aroma, or texture of the contents that might have occurred
314 during storage.

315 Compounding personnel must ascertain before use that ingredients are of
316 the correct identity and have been stored under required conditions.

317 If the correct identity, strength, purity, and quality of ingredients and other
318 components intended for preparation of CNSPs cannot be confirmed (e.g.,
319 containers of ingredients with damaged or incomplete labeling), they must
320 be immediately rejected. If they are not immediately discarded, they must
321 be clearly labeled as rejected, and segregated to prevent their use before
322 disposal.

323 COMPONENT HANDLING AND STORAGE

324 All ingredients used to prepare CNSPs must be handled and stored in
325 accordance with the manufacturer's instructions or per applicable laws and
326 regulations of the regulatory jurisdiction. The handling and storage must
327 prevent contamination, mix-ups, and deterioration (e.g., loss of identity,
328 strength, purity, and quality). If specific instructions are not available,
329 ingredients must be stored in tightly closed containers under controlled
330 temperature, humidity, and lighting conditions as detailed in this chapter.
331 Moisture-sensitive ingredients must be stored in tight, well-closed
332 containers.

333 Packages of ingredients that lack a vendor's expiration date must not be
334 used after 1 year from the date of receipt by the compounding facility. Once
335 removed from the original container for compounding (e.g., weighing or
336 mixing), components not used in compounding (e.g., excess after weighing)
337 must be discarded and not returned to the original container.

338 The containers and closures used to package CNSPs must be stored off the
339 floor, handled and stored in a manner that prevents contamination, and
340 rotated so that the oldest stock is used first. The containers and container
341 closures must be stored in a manner that permits inspection and cleaning of
342 the storage area.

343 COMPONENT SPILL AND DISPOSAL

344 The facility must maintain chemical hazard and disposal information (e.g.,
345 SDSs) and must review and update its chemical hazard and disposal
346 information annually. If a new chemical is used at the compounding facility,
347 the chemical hazard and disposal information must be made accessible to
348 compounding personnel before the chemical is made available for
349 compounding.

350 The facility must have a spill kit in the designated compounding area. The
351 condition and expiration date of the chemical spill kit should be verified
352 annually and replaced as necessary. The capacity of the spill kit should be
353 affixed to the packaging of the spill kit if not readily visible on the
354 manufacturer's label.

355 In the case of spills, immediate remediation is necessary. The facility must
356 have an SOP for the management of nonhazardous component spills and
357 disposal. These activities must be documented and corrective action taken, if
358 necessary. For information on the handling of hazardous drugs, see [\(800\)](#).

359 All personnel who may be required to remediate a spill must receive
360 training in spill management of chemicals used and stored at the
361 compounding facility. Refresher training must be conducted annually and
362 documented for all personnel who may be required to clean up a spill.

363 The disposal of components must comply with applicable laws and
364 regulations of the regulatory jurisdiction.

365

366 7. SOPS AND MASTER FORMULATION AND COMPOUNDING RECORDS

367 The compounding facility must establish and follow written SOPs for
368 compounding CNSPs. A Master Formulation Record and Compounding Record
369 is required for each CNSP.

370

370 7.1 Creating and Following SOPs

371 Facilities preparing CNSPs must develop SOPs on all aspects of the
372 compounding operation. All personnel who conduct or oversee compounding
373 activities must be trained in the SOPs and are responsible for ensuring that
374 they are followed. All compounding personnel must:

- 375 • Be able to immediately recognize potential problems, deviations, or
376 errors associated with preparing a CNSP (e.g., related to equipment,
377 facilities, materials, personnel, compounding process, or testing) that

378 could potentially result in contamination or other adverse impacts on
379 CNSP quality associated with their work duties
380 • Document and report any problems, deviations, or errors to the
381 designated person, who must take corrective action

382 The designated person must ensure that SOPs are fully implemented. The
383 designated person must ensure that follow-up occurs if problems, deviations,
384 or errors are identified.

385 **7.2 Creating Master Formulation Records**

386 A Master Formulation is a detailed record of procedures that describes how
387 the CNSP is to be prepared. A Master Formulation Record must be prepared
388 for each unique formulation of a CNSP. CNSPs are then prepared according
389 to the Master Formulation Record and the preparation information is
390 documented on a Compounding Record. [Box 7-1](#) lists the information that
391 must be included in a Master Formulation Record. Any changes or alterations
392 to the Master Formulation Record must be performed only by the designated
393 person, and all changes must be documented.

394 **Box 7-1. Master Formulation Record**

A Master Formulation Record must include at least the following information:

- Name, strength, and dosage form of the CNSP
- Physical description of the final CNSP
- Ingredient identities and amounts, and container–closure systems, including necessary characteristics of components (e.g., particle size, salt form, purity grade, solubility)
- Complete instructions for preparing the CNSP, including equipment, supplies, and a description of the compounding steps
- Beyond-use date (BUD) assignment and storage requirements
- Reference source of the BUD assignment and storage requirements
- Quality control procedures (e.g., pH, visual inspection)
- Any other information needed to describe the operation and ensure its repeatability (e.g., adjusting pH, temperature)

395 **7.3 Creating Compounding Records**

396 A Compounding Record documents the compounding of each CNSP. It must
397 be created for each CNSP. The Compounding Record or inventory control
398 system must permit traceability of all ingredients. The Master Formulation
399 Record can be used as the basis for preparing the Compounding Record. For

400 example, a copy of the Master Formulation Record can be made that
401 contains spaces for recording the information needed to complete the
402 Compounding Record. It is critical that the Compounding Record document
403 in detail any deviations from the process outlined in the Master Formulation
404 Record and any problems or errors experienced during the compounding of
405 the CNSP. [Box 7-2](#) lists the information that must be included in a
406 Compounding Record. Each Compounding Record must be reviewed for
407 completeness before the CNSP is released. The person completing the
408 review must sign or initial and date the Compounding Record.

409

Box 7-2. Compounding Records

Compounding Records must include at least the following information:

- Name, strength, and dosage form of the CNSP
- Physical description of the final CNSP
- Master Formulation Record reference for the CNSP
- Date and time of preparation of the CNSP
- Assigned internal identification number (e.g., prescription or lot number)
- Signature or initials of individuals involved in each step
- Name, vendor or manufacturer, lot number, and expiration date of each ingredient and container-closure system
- Weight or measurement of each ingredient
- Documentation of the calculations made to determine and verify quantities and/or concentrations of components, if appropriate
- Documentation of quality control procedures in accordance with the SOP (e.g., pH, visual inspection)
- Any deviations from the Master Formulation Record, and any problems or errors experienced during the compounding of the CNSP
- Total quantity compounded
- BUD assignment and storage requirements
- Reference source of the BUD assignment and storage requirements

410

411

8. RELEASE TESTING

412 At the completion of compounding and before release and dispensing, the
413 CNSP must be visually inspected to determine whether the physical
414 appearance is as expected. The inspection must also confirm that the CNSP
415 and its labeling match the Compounding Record and the prescription or
416 medication order. Some CNSPs, as noted in their Master Formulation Record,

417 also must be visually checked for certain characteristics (e.g., emulsions
418 must be checked for phase separation). All checks and inspections, and any
419 other tests necessary to ensure the quality of the CNSP (e.g., pH, assays),
420 must be detailed in the facility's SOPs and completed before release.
421 Additional quality assurance and quality control activities are described in
422 *11. Quality Assurance and Quality Control*. Pre-release inspection also must
423 include a visual inspection of container-closure integrity (e.g., checking for
424 leakage, cracks in the container, or improper seals). CNSPs with observed
425 defects must be immediately discarded, or marked and segregated from
426 acceptable units in a manner that prevents them from being released or
427 dispensed.

428 When a CNSP will not be promptly released or dispensed after preparation,
429 a release inspection must be conducted immediately before it is released or
430 dispensed to ensure that the CNSP or the container-closure system does not
431 exhibit any defects that may develop during storage (e.g., separation
432 beyond what would be expected, precipitation, cloudiness, discoloration, or
433 leakage).

434
435

9. LABELING

436 The term "labeling" designates all labels and other written, printed, or
437 graphic matter on an article's immediate container or on, or in, any package
438 or wrapper in which the article is enclosed, except any outer shipping
439 container. The term "label" designates the part of the labeling on the
440 immediate container. See [Labeling \(7\)](#), [Labels and Labeling for Products and](#)
441 [Other Categories, Compounded Preparations](#).

442 Every dispensed CNSP must be labeled with adequate, legible identifying
443 information to prevent errors during storage, dispensing, and use. All
444 labeling must be in compliance with applicable laws and regulations of the
445 regulatory jurisdiction.

446 The label on the CNSP must, at a minimum, display the following
447 information:

- 448 • Assigned internal identification number (e.g., prescription or lot
449 number)
- 450 • Chemical and/or generic name(s), or active ingredient(s), and
451 amounts or concentrations
- 452 • Dosage form
- 453 • Total amount or volume
- 454 • Storage conditions
- 455 • BUD
- 456 • Indication that the preparation is compounded

457 The labeling on the CNSP must, at a minimum, display the following
458 information:

- 459 • Route of administration
- 460 • Any special handling instructions
- 461 • Any warning statements that are applicable
- 462 • Name, address, and contact information of the compounding facility if
463 the CNSP is to be sent outside of the facility or healthcare system in
464 which it was compounded

465 Labeling operations must be controlled to prevent labeling errors and CNSP
466 mix-ups. A final check must be conducted to verify that the correct and
467 complete label has been affixed to the finished CNSP. All labels must also
468 comply with applicable laws and regulations of the regulatory jurisdiction.

469

470

10. ESTABLISHING BEYOND-USE DATES

471 Each CNSP label must state the date beyond which the preparation cannot
472 be used and must be discarded (i.e., the BUD). The parameters described in
473 this section must be considered before establishing these dates.

474

10.1 Terminology

475 A number of terms are used to describe the time period during which a
476 drug can be expected to retain its desired characteristics so that it can be
477 safely administered to a patient to achieve the desired therapeutic effect.

478 The "expiration date" identifies the time during which a conventionally
479 manufactured drug product may be expected to maintain its labeled identity,
480 strength, purity, and quality, provided that it is kept under the labeled
481 storage conditions. The expiration date limits the time during which a
482 conventionally manufactured product may be dispensed or used. Expiration
483 dates are determined based on product-specific studies that evaluate the
484 specific formulation of a conventionally manufactured product in the specific
485 container in which it is to be stored and under the conditions to which it
486 could be exposed. Temperature, humidity, and light are some of the factors
487 that can affect whether and how much a product degrades over time. An
488 expiration date is determined by taking representative samples from
489 batches, placing them in storage under controlled conditions, and then
490 testing them at scheduled intervals to determine whether they meet
491 specifications throughout their labeled shelf lives. When an expiration date is
492 stated only in terms of the month and the year, it is a representation that
493 the intended expiration date is the last day of the stated month.

494 A BUD is the time period after which a CNSP must not be used. BUDs for
495 CNSPs are calculated in terms of hours, days, or months.

496 The term “expiration date” is not appropriate for CNSPs because the types
497 of full stability studies conducted by manufacturers to establish expiration
498 dates for conventionally manufactured products are not typically performed
499 for CNSPs. A BUD cannot be extended past the expiration date of any
500 component in the CNSP.

501 **10.2 Parameters to Consider in Establishing a BUD**

502 BUDs for CNSPs should be established conservatively to ensure that the
503 preparation maintains its required characteristics to minimize the risk to
504 patients of receiving a contaminated or degraded preparation.

505 When establishing a BUD for a CNSP, it is critical that personnel carefully
506 consider all of the possible ways that the physical or chemical characteristics
507 of the CNSP could change over time. The following factors must be
508 considered:

- 509 • The chemical and physical stability properties of the API and any
510 added substances in the preparation (e.g., if the API and added
511 substances in the preparation are known to degrade over time and/or
512 under certain storage conditions, which would reduce the strength of
513 the preparation and/or produce harmful impurities)
- 514 • The compatibility of the container–closure system with the finished
515 preparation (e.g., consider leachables, interactions, adsorption, and
516 storage conditions of the components)
- 517 • Degradation of the container–closure system, which can lead to a
518 reduction in integrity of the CNSP
- 519 • The potential for microbial proliferation in the CNSP

520 **10.3 Establishing a BUD for a CNSP**

521 The BUDs indicate the days after the CNSP is prepared and beyond which
522 the CNSP cannot be used. The day that the preparation is compounded is
523 considered Day 1.

524 If there is a *USP–NF* compounded preparation monograph for the CNSP,
525 the BUD specified in the monograph must be used, unless a shorter BUD is
526 required as described below. If there is no *USP–NF* compounded preparation
527 monograph for the CNSP, [Table 3](#) represents the maximum BUDs for CNSPs
528 that are packaged in tight, light-resistant containers unless there is a CNSP-
529 specific stability study as described below. The BUDs in [Table 3](#) are based on
530 the ability of the CNSP to maintain chemical and physical stability and to
531 suppress microbial growth. APIs or ingredients known to be susceptible to
532 decomposition will require shorter BUDs (see *10.3 Establishing a BUD for a*
533 *CNSP, Shorter Buds May Be Required*).

534 **Table 3. Maximum BUD by Type of Preparation in the Absence of**
535 **CNSP-Specific Stability Information**

Type of Preparation	BUDs (days)	Storage Temperature ^a
Solid dosage forms ^b	180	Controlled room temperature
Preserved aqueous dosage forms ^c	30	Controlled room temperature
Non-preserved aqueous dosage forms ^c	14	Refrigerator
Nonaqueous dosage forms ^d	90	Controlled room temperature

^a See [Packaging and Storage Requirements \(659\)](#).

^b Capsules, tablets, granules, powders.

^c An aqueous preparation is one that has a water activity (Aw) of >0.6 (e.g., emulsions, gels, creams, solutions, sprays, or suspensions).

^d Any preparation other than solid dosage forms that have a reduced Aw of ≤0.6 (e.g., suppositories, ointments, fixed oils, or waxes).

536 The aqueous and nonaqueous dosage forms in [Table 3](#) are defined based
537 on the water activity (Aw) of the most similar drug product described in
538 [Application of Water Activity Determination to Nonsterile Pharmaceutical](#)
539 [Products \(1112\)](#). In general, the use of Aw aids in assessing the
540 susceptibility of CNSPs to microbial contamination and the potential for API
541 degradation due to hydrolysis. Reduced Aw greatly assists in the prevention
542 of microbial proliferation in conventionally manufactured products and is
543 expected to convey the same benefit to CNSPs. The list of manufactured
544 products in [Application of Water Activity Determination to Nonsterile](#)
545 [Pharmaceutical Products \(1112\)](#), [Table 2](#) is not exhaustive. However, it does
546 provide guidance on the Aw value of a particular CNSP and can assist
547 personnel in determining the BUD by dosage form based on [Table 3](#).

548 Susceptible CNSPs should contain suitable antimicrobial agents to protect
549 against bacteria, yeast, and mold contamination from proliferation if
550 inadvertently introduced during or after the compounding process. When
551 antimicrobial agents are used, the compounder is responsible for ensuring
552 an effective final preservative concentration for the particular CNSP (i.e.,
553 taking into account dilutions). When antimicrobial preservatives are
554 contraindicated in a CNSP, storage of the preparation in a refrigerator is
555 required if such storage does not change the physical or chemical properties
556 of the CNSP (i.e., precipitation).

557 The BUDs specified in [Table 3](#) for aqueous dosage forms and nonaqueous
558 dosage forms may be extended up to maximum of 180 days if there is a
559 stability study (published or unpublished) using a stability-indicating assay
560 for the specific API, CNSP, and container–closure that will be used.

561 If the BUD of the CNSP is extended beyond the BUDs in [Table 3](#), an
562 aqueous CNSP must first be tested for antimicrobial effectiveness (see
563 [Antimicrobial Effectiveness Testing \(51\)](#)) at the end of the proposed BUD

564 unless such testing was done as part of the referenced stability study. The
565 test must be conducted once for a particular CNSP. If changes are made to
566 the ingredients or storage conditions of the CNSP, the test must be
567 conducted for the new preparation. When a range of API concentrations are
568 compounded in the same CNSP formulation and stored under the same
569 conditions, the antimicrobial effectiveness test can be conducted for the
570 highest and lowest concentrations, and the results can be similarly
571 extrapolated for the concentrations within the range studied (e.g., bracketed
572 study design).

573 SHORTER BUDS MAY BE REQUIRED

574 A shorter BUD must be established under the following circumstances:

- 575 • If the API or any other ingredients in the CNSP have an expiration date
576 that is earlier than the BUD date that could be assigned from [Table 3](#),
577 the expiry date supersedes the BUD and must be the assigned
578 shortest date
- 579 • If the CNSP includes components from conventionally manufactured
580 product(s), the BUD of the CNSP must not exceed the shortest
581 remaining expiration date of any of those conventionally
582 manufactured product(s)
- 583 • If the CNSP includes components from other compounded
584 preparations, the BUD of the final CNSP must not exceed the shortest
585 remaining BUD of any of those compounded preparations
- 586 • APIs or ingredients known to be susceptible to decomposition will
587 require shorter BUDs.

588 The assigned BUD must not exceed 180 days regardless of stability
589 information or antimicrobial activity.

590

591 **11. QUALITY ASSURANCE AND QUALITY CONTROL**

592 A quality assurance (QA) and quality control (QC) program is necessary to
593 ensure that consistently high-quality CNSPs are prepared. QA is a set of
594 written processes that, at a minimum, verifies, monitors, and reviews the
595 adequacy of the compounding process. QC is the observation of techniques
596 and activities that demonstrate that requirements are met.

597 Each facility must have a formal, written QA and QC program that
598 establishes a system of adherence to procedures, prevention and detection
599 of errors and other quality problems, and appropriate corrective actions
600 when needed. A facility's QA program must be formally established and
601 documented in SOPs that ensure that all aspects of the preparation of CNSPs
602 are conducted in accordance with this chapter and applicable federal, state,
603 and local laws and regulations. For further guidance on recommended

604 quality control procedures, see [Quality Assurance in Pharmaceutical](#)
605 [Compounding \(1163\)](#).

606 The roles and duties of personnel responsible for each aspect of the QA
607 program must be described in the SOPs. Designated personnel responsible
608 for the QA program must have the training, experience, responsibility, and
609 authority to perform these duties.

610 An annual assessment of the quality assurance and quality control
611 programs must be documented. Noted deficiencies must be addressed
612 through corrective action, which must be described in the facility's SOPs.

613

614 **12. CNSP HANDLING, PACKAGING, STORAGE, AND TRANSPORT**

615 SOPs must describe processes or techniques for storing, handling,
616 packaging, and transporting CNSPs. Personnel who will be storing, handling,
617 packaging, and transporting CNSPs within the facility must be trained in
618 accordance with the facility's SOPs.

619 **12.1 Handling of CNSPs**

620 The designated person has the responsibility to establish, monitor, and
621 document a program that will provide both the information and protections
622 needed for safe handling and storage of CNSPs and/or any of the
623 components of CNSPs. Garb, spill kits, and SDSs must be readily accessible.
624 Hazard labels (if appropriate) should be on all chemical containers.

625 **12.2 Packaging of CNSPs**

626 Personnel must select and use packaging materials that will maintain the
627 physical and chemical integrity and stability of the CNSPs. The containers
628 and closures must be made of suitable clean material so as to not alter the
629 identity, strength, purity, or quality, of the CNSP. Packaging materials must
630 protect CNSPs from damage, leakage, contamination, degradation, and
631 adsorption, while simultaneously protecting transport personnel from
632 exposure. Container–drug interaction must be considered for substances
633 that have sorptive or leaching properties. If the CNSP is sensitive to light,
634 light-resistant packaging materials must be used.

635 **12.3 Storing CNSPs within the Compounding Facility**

636 To ensure that CNSP quality is retained during storage within the
637 compounding facility, compounding personnel must monitor conditions in the
638 storage area. A controlled room temperature area (see [\(659\)](#)) must be either
639 monitored manually at least once daily on days that compounding is
640 performed or by a continuous temperature recording device to determine
641 whether the temperature remains within the appropriate range for the CNSP.
642 The results of the temperature readings must be documented on a
643 temperature log or stored in the continuous temperature recording device,
644 and must be retrievable. All temperature monitoring equipment must be

645 calibrated or verified for accuracy at least every 12 months or as
646 recommended by the manufacturer.

647 The humidity of the storage room temperature area should be maintained
648 at or below 60%.

649 The compounding facility must adhere to SOPs to detect and prevent
650 temperature excursions within the controlled temperature area. When it is
651 known that a CNSP has been exposed to temperatures either below or above
652 the storage temperature limits for the CNSP, personnel must determine
653 whether the CNSP integrity or quality has been compromised and, if so, the
654 CNSP must be discarded.

655 **12.4 Shipping and Transporting CNSPs**

656 The facility must have written SOPs that describe appropriate shipping
657 containers, insulating materials, and packaging materials based on the
658 chemical and physical characteristics of the CNSP. The SOPs must indicate
659 the mode of transportation and any special handling instructions that are
660 required so the properly packed CNSPs are delivered in an undamaged and
661 stable condition. When shipping or transporting CNSPs that require special
662 handling outside of the compounding facility, personnel must include specific
663 handling instructions on the exterior of the container.

664 **13. COMPLAINT HANDLING AND ADVERSE EVENT REPORTING**

666 Compounding facilities must develop and implement SOPs for complaint
667 receipt, acknowledgment, and handling. Complaints may include concerns or
668 reports on the quality and labeling of, or possible adverse reactions to, a
669 specific CNSP.

670 **13.1 Complaint Handling**

671 The designated person must review all complaints to determine whether
672 the complaint indicates a potential quality problem with the CNSP. If it does,
673 a thorough investigation into the cause of the problem must be initiated and
674 completed. The investigation must consider whether the quality problem
675 extends to other CNSPs. Corrective action, if necessary, must be
676 implemented for all potentially affected CNSPs. Consider whether to initiate
677 a recall of potentially affected CNSPs and whether to cease nonsterile
678 compounding processes until all underlying problems have been identified
679 and corrected.

680 A readily retrievable written or electronic record of each complaint must be
681 kept by the facility, regardless of the source of the complaint (e.g., e-mail,
682 telephone, mail). The record must contain the name of the complainant, the
683 date the complaint was received, the nature of the complaint, and the
684 response to the complaint. In addition, to the extent that the information is
685 known, the following should be recorded: the name and strength of the

686 CNSP, the prescription or medication order number, and the lot number, if
687 one is assigned.

688 The record must also include the findings of any investigation and any
689 follow-up. Records of complaints must be easily retrievable for review and
690 evaluation for possible trends and must be retained in accordance with the
691 record-keeping requirements in *14. Documentation*. A CNSP that is returned
692 in connection with a complaint must be quarantined until it is destroyed after
693 completion of the investigation and in accordance with applicable laws and
694 regulations of the regulatory jurisdiction.

695 **13.2 Adverse Event Reporting**

696 Reports of potential adverse events involving a CNSP must be reviewed by
697 the designated person. If the investigation into an adverse event reveals a
698 quality problem with a CNSP that is likely to affect other patients, those
699 patients and prescribers potentially affected must be informed. The
700 designated person must review all adverse event reports as part of the QA
701 and QC programs (see *11. Quality Assurance and Quality Control*). Adverse
702 events must be reported in accordance with facility SOPs and all applicable
703 state and local laws and regulations. In addition, adverse events associated
704 with a CNSP should be reported to the FDA through the MedWatch program
705 for human drugs and through Form FDA 1932a for animal drugs.

706

707

14. DOCUMENTATION

708 All facilities where CNSPs are prepared must have and maintain written or
709 electronic documentation to demonstrate compliance with this chapter. This
710 documentation must include, but is not limited to, the following:

- 711 • Personnel training, competency assessment, and qualification records
712 including corrective actions for any failures
- 713 • Equipment records (e.g., calibration, verification, and maintenance
714 reports)
- 715 • Receipt of components
- 716 • SOPs, Master Formulation Records, and Compounding Records
- 717 • Release testing, including corrective actions for any failures
- 718 • Information related to complaints and adverse events including
719 corrective actions taken

720 Documentation must comply with all applicable laws and regulations of the
721 regulatory jurisdiction. Records must be legible and stored in a manner that
722 prevents their deterioration and/or loss. All required compounding records
723 for a particular CNSP (e.g., Master Formulation Record, Compounding
724 Record, and testing results) must be readily retrievable for at least 3 years

725 after preparation or as required by the applicable laws and regulations of the
726 regulatory jurisdiction, whichever is longer.

727
728

GLOSSARY

729 **Active pharmaceutical ingredient (API):** Any substance or mixture of
730 substances intended to be used in the compounding of a preparation,
731 thereby becoming the active ingredient in that preparation and furnishing
732 pharmacological activity or other direct effect in the diagnosis, cure,
733 mitigation, treatment, or prevention of disease in humans and animals or
734 affecting the structure and function of the body.

735 **Added substances:** Ingredients that are necessary to compound a
736 preparation but are not intended or expected to cause a pharmacologic
737 response if administered alone in the amount or concentration contained in a
738 single dose of the compounded preparation. The term is used synonymously
739 with the terms inactive ingredients, excipients, and pharmaceutical
740 ingredients.

741 **Article:** An official article is an article that is recognized in *USP* or *NF*.
742 Official articles include both official substances and official products. An
743 official substance is a drug substance, excipient, dietary ingredient, other
744 ingredient, or component of a finished device for which the monograph title
745 includes no indication of the nature of the finished form. An official product is
746 a drug product, dietary supplement, compounded preparation, or finished
747 device for which a monograph is provided (see [General Notices, 2.20 Official](#)
748 [Articles](#)).

749 **Batch:** More than one unit of CNSP prepared in a single process and
750 intended to have uniform characteristics and quality within specified limits.

751 **Beyond-use date (BUD):** The date or time beyond which a CNSP must
752 be discarded. The date or time is determined from the date or time when the
753 preparation was compounded.

754 **Certificate of analysis (COA):** A report from the supplier of a
755 component, container, or closure that accompanies the supplier's material
756 and contains the specifications and results of all analyses and a description
757 of the material.

758 **Cleaning:** The process of removing soil (e.g., organic and inorganic
759 material) from objects and surfaces, normally accomplished by manually or
760 mechanically using water with detergents or enzymatic products.

761 **Component:** Any ingredient used in the compounding of a drug
762 preparation, including any active ingredient or added substance that is used
763 in its preparation.

764 **Compounded nonsterile preparation (CNSP):** A preparation intended
765 to be nonsterile created by combining, admixing, diluting, pooling,
766 reconstituting other than as provided in the manufacturer package insert, or
767 otherwise altering of a drug or bulk drug substance.

768 **Compounder:** Personnel trained to compound preparations.

769 **Compounding:** The combining, admixing, diluting, pooling, reconstituting
770 other than as provided in the manufacturer package insert, or otherwise
771 altering of a drug or bulk drug substance to create a nonsterile medication.
772 Reconstituting a conventionally manufactured nonsterile product in
773 accordance with the directions contained in approved labeling provided by
774 the product's manufacturer is not considered compounding as long as the
775 product is prepared for an individual patient and not stored for future use.

776 **Container-closure system:** The sum of packaging components that
777 together contain and protect the dosage form. This includes primary
778 packaging components and secondary packaging components, if the latter
779 are intended to provide additional protection to the CNSP.

780 **Containment ventilated enclosure (CVE):** A full or partial enclosure
781 that uses ventilation principles to capture, contain, and remove airborne
782 contaminants through high-efficiency particulate air (HEPA) filtration and to
783 prevent their release into the work environment.

784 **Conventionally manufactured product:** A pharmaceutical dosage form,
785 usually the subject of an FDA-approved application that is manufactured
786 under current good manufacturing practice conditions. Conventionally
787 manufactured products are not compounded preparations.

788 **Designated person:** The compounding facility must designate one or
789 more individuals to be responsible and accountable for the performance and
790 operation of the facility and personnel in the preparation of CNSPs.

791 **Disinfectant:** A chemical agent used on inanimate surfaces and objects to
792 destroy fungi, viruses, and bacteria, but not necessarily their spores.

793 **Expiration date:** The date until which a conventionally manufactured
794 drug product may be expected to maintain its labeled identity, strength,
795 purity, and quality, provided that it is kept under the labeled storage
796 conditions.

797 **Hazardous drug:** Any drug identified by at least one of the following six
798 criteria: carcinogenicity, teratogenicity or developmental toxicity,
799 reproductive toxicity in humans, organ toxicity at low dose in humans or
800 animals, genotoxicity, or new drugs that mimic existing hazardous drugs in
801 structure or toxicity. See [\(800\)](#).

802 **Label:** A display of written, printed, or graphic matter on the immediate
803 container of any article.

804 **Labeling:** All labels and other written, printed, or graphic matter that are
805 1) on any article or any of its containers or wrappers, or 2) accompanying
806 such an article.

807 **Purified Water:** The minimal quality of source water for the production of
808 Purified Water is drinking water whose attributes are prescribed by the US
809 Environmental Protection Agency (EPA), the EU, Japan, or the World Health
810 Organization (WHO). This source water may be purified using unit operations
811 that include deionization, distillation, ion exchange, reverse osmosis,
812 filtration, or other suitable purification procedures. (See [Water for
813 Pharmaceutical Purposes \(1231\)](#), [3. Waters Used for Pharmaceutical
814 Manufacturing and Testing Purposes, 3.1 Bulk Monographed Waters and
815 Steam, 3.1.1 Purified Water.](#))

816 **Preservative:** A substance added to inhibit microbial growth or to prevent
817 decomposition or undesirable chemical changes up until the BUD.

818 **Quality assurance (QA):** A set of written processes that, at a minimum,
819 verifies, monitors, and reviews the adequacy of the compounding process.

820 **Quality control (QC):** The sampling, testing, and documentation of
821 results that, taken together, ensure that specifications have been met before
822 release of the CNSP.

823 **Reconstitution:** The process of adding a diluent to a powdered
824 medication to prepare a solution or suspension.

825 **Release testing:** Testing or visual inspection performed to ensure that a
826 preparation meets appropriate quality characteristics.

827 **Sanitizing agent:** An agent for reducing, on inanimate surfaces, the
828 number of all forms of microbial life including fungi, viruses, and bacteria.
829 (See [Disinfectants and Antiseptics \(1072\)](#).)

830 **Specification:** The tests, analytical methods, and acceptance criteria to
831 which an API or other ingredient, CNSP, component, container–closure
832 system, equipment, or other material used in compounding CNSPs must
833 conform to be considered acceptable for its intended use.

834 **Stability:** The extent to which a CNSP retains physical and chemical
835 properties and characteristics within specified limits until its BUD.

836

837

APPENDIX

838

Acronyms

API	Active pharmaceutical ingredient
ASHRE	American Society of Heating, Refrigerating, and Air-Conditioning Engineers
BUD	Beyond-use date
CETA	Controlled Environment Testing Association
CNSP	Compounded nonsterile preparation
COA	Certificate of Analysis
CVE	Containment ventilated enclosure
FDA	Food and Drug Administration
QA	Quality assurance
QC	Quality control
SDS	Safety Data Sheet
SOP	Standard operating procedures