POLICY ON INVESTIGATION ON OUT OF SPECIFICATION RESULTS

INTRODUCTION:

This document provides the policy for the investigation of out of specification results.

SCOPE:

Applicable to out of specification (OOS) test results obtained during the analysis of drug substances (API's), Raw materials, Packaging materials, API-starting materials and Intermediates, Excipients and Drug Products at ……. and Associated units.

POLICY DETAILS:

- ✧ All the OOS results observed during the analysis shall be investigated and documented on time with scientific rationale in an unbiased manner.
- ✧ A written procedure for handling of Out Of Specification results shall be in place. The investigation shall be performed without any preconceived assumptions.
- ✧ All the investigations shall be identified with a unique number.
- ✧ Initial laboratory investigation shall be completed within 48 hrs. and complete investigation closure within 30 calendar days from the reporting of OOS results.
- ✧ All the preparations (including the composite and homogeneous source of the aliquot, standard/s, sample/s solutions, reagents and glassware used) shall be preserved till the investigation is complete.
- ✧ Predetermined retesting plan including number of preparations/replicate determinations shall be specified and approved in advance.
- ✧ Test results shall not be averaged for compliance. However, averaging is permissible based on the tests / limits defined for the purpose.
- ✧ Investigations shall not be limited to the product under investigation. It shall be extended to other lots / products, instruments used, personnel to evaluate the probable / root causes and its impact, (as applicable).
- ✧ Batch disposition decision shall be taken only after thorough investigation, with necessary root cause analysis & corrective and preventive actions.
- ✧ Batch rejection does not negate the need to perform the investigation.
- ✧ OOS observed by customer on pre-shipment sample or on marketed consignment shall be handled as per complaint handling procedure.
- ✧ OOS observed for distributed products by licensee of the country of the origin, shall be handled as the prevailing local regulations.
- ✧ An initial filed alert report (FAR) of information concerning failure of batches distributed to US shall be submitted to USFDA within three working days from the date of OOS unless the OOS result is found to be invalid.
- ✧ A follow-up FAR shall be submitted when the OOS investigation is complete.
- ✧ For other countries and customers, the details of OOS shall be provided as per agreement with customer and /or as per local regulatory requirements.

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- An agreement with contract laboratory shall be in place for providing OOS results with detailed supporting documents.

AMENDMENT AND WAIVER:

The company reserves the right to amend, alter and/or terminate this policy at any time.

DEFINITION: Not Applicable.

ABBREVIATIONS:

API	:	Active Pharmaceutical ingredient
FAR	:	Field Alert Report
Hrs.	:	Hours
MHRA	:	Medicines and Healthcare products Regulatory Agency
OOS	:	Out of Specification
US	:	United States
USFDA	:	United States Food and Drug Administration

REFERENCES:

Guidance for Industry: Investigating Out-Of-Specification (OOS) Test results for Pharmaceutical Production (October 2006).
Out of Specifications Investigations – MHRA