

Handbook of Pharmaceutical Excipients

Seventh edition

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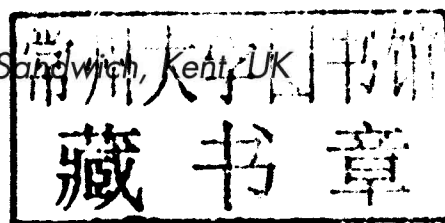
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London • Philadelphia

Pharmaceutical Press

Published by Pharmaceutical Press

1 Lambeth High Street, London SE1 7JN, UK
University City Science Center, Suite 5E, 3624 Market Street, Philadelphia, PA 19104, USA

and the American Pharmacists Association

2215 Constitution Avenue, NW, Washington, DC 20037-2985, USA

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Pharmaceutical Press is the publishing division of the Royal Pharmaceutical Society of Great Britain

First published 1986
Second edition published 1994
Third edition published 2000
Fourth edition published 2003
Fifth edition published 2006
Sixth edition published 2009
Seventh edition published 2012

Typeset by Data Standards Ltd, Frome, Somerset
Printed in Spain by Graphy Cems

ISBN 978 0 85711 027 5 (UK)
ISBN 978 1 58212 169 7 (USA)

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A catalogue record for this book is available from the British Library

Preface

Pharmaceutical dosage forms contain both pharmacologically active compounds and excipients added to aid the formulation and manufacture of the subsequent dosage form for administration to patients. Indeed, the properties of the final dosage form (i.e. its bioavailability and stability) are, for the most part, highly dependent on the excipients chosen, their concentration and interaction with both the active compound and each other. No longer can excipients be regarded simply as inert or inactive ingredients, and a detailed knowledge not only of the physical and chemical properties but also of the safety, handling and regulatory status of these materials is essential for formulators throughout the world. In addition, the growth of novel forms of delivery has resulted in an increase in the number of the excipients being used and suppliers of excipients have developed novel coprocessed excipient mixtures and new physical forms to improve their properties. Some excipient monographs in the *Handbook* describe materials no longer in common use and a comment is included where this is the case. These monographs are retained in the *Handbook* as a resource for users who may need to understand or reproduce the performance and properties of an old product. This database has been conceived as a systematic, comprehensive resource of information on all of these topics.

The first edition of the *Handbook* was published in 1986 and contained 145 monographs. Subsequent editions have contained more monographs, as well as revised existing content. The data is available in print and online. This new edition contains 380 excipient monographs with enhanced online features, compiled by over 140 experts in pharmaceutical formulation or excipient manufacture from Australia, Europe, India, Japan, and the US. All the monographs have been reviewed and revised in the light of current knowledge. There has been a greater emphasis on including published data from primary sources although some data from laboratory projects included in previous editions have been retained where relevant. Variations in test methodology can have significant effects on the data generated (especially in the case of the compactability of an excipient), and thus cause confusion. As a consequence, the editors have been more selective in including data relating to the physical properties of an excipient. However, comparative data that show differences between either source or batch of a specific excipient have been retained as this was

considered relevant to the behavior of a material in practice. Over the past few years, there has been an increased emphasis on the harmonization of excipients. For information on the current status for each excipient selected for harmonization, the reader is directed to the General Information Chapter <1196> in the USP35–NF30, the General Chapter 5.8 in PhEur 7.0, along with the ‘State of Work’ document on the PhEur EDQM website (www.edqm.eu), and also the General Information Chapter 8 in the JP XV. The Suppliers Directory (Appendix I) has also been completely updated with many more international suppliers included.

In a systematic and uniform manner, the *Handbook of Pharmaceutical Excipients* collects essential data on the physical properties of excipients such as: boiling point, bulk and tap density, compression characteristics, hygroscopicity, flowability, melting point, moisture content, moisture-absorption isotherms, particle size distribution, rheology, specific surface area, and solubility. Scanning electron microphotographs (SEMs) are also included for many of the excipients along with over 130 near-infrared (NIR) spectra specifically generated for this publication. In addition, the current edition includes over 150 infrared (IR) spectra. The *Handbook* contains information from various international sources and personal observation and comments from monograph authors, steering committee members, and the editors.

All of the monographs in the *Handbook* are thoroughly cross-referenced and indexed so that excipients may be identified by either a chemical, a nonproprietary, or a trade name. Most monographs list related substances to help the formulator to develop a list of possible materials for use in a new dosage form or product. Related substances are not directly substitutable for each other but, in general, they are excipients that have been used for similar purposes in various dosage forms.

The *Handbook of Pharmaceutical Excipients* is a comprehensive, uniform guide to the uses, properties, and safety of pharmaceutical excipients, and is an essential reference source for those involved in the development, production, control, or regulation of pharmaceutical preparations. Since many pharmaceutical excipients are also used in other applications, the *Handbook of Pharmaceutical Excipients* will also be of value to persons with an interest in the formulation or production of confectionery, cosmetics, and food products.

Arrangement

The information consists of monographs that are divided into 22 sections to enable the reader to find the information of interest easily. Although it was originally intended that each monograph contain only information about a single excipient, it rapidly became clear that some substances or groups of substances should be discussed together. This gave rise to such monographs as 'Coloring Agents' and 'Hydrocarbons'. In addition, some materials have more than one monograph depending on the physical characteristics of the material, e.g. Starch versus Pregelatinized Starch. Regardless of the complexity of the monograph they are all divided into 22 sections as follows:

- 1 Nonproprietary Names
- 2 Synonyms
- 3 Chemical Name and CAS Registry Number
- 4 Empirical Formula and Molecular Weight
- 5 Structural Formula
- 6 Functional Category
- 7 Applications in Pharmaceutical Formulation or Technology
- 8 Description
- 9 Pharmacopeial Specifications
- 10 Typical Properties
- 11 Stability and Storage Conditions
- 12 Incompatibilities
- 13 Method of Manufacture
- 14 Safety
- 15 Handling Precautions
- 16 Regulatory Status
- 17 Related Substances
- 18 Comments
- 19 Specific References
- 20 General References
- 21 Authors
- 22 Date of Revision

Descriptions of the sections appear below with information from an example monograph if needed.

Section 1, Nonproprietary Names

Lists the excipient names used in the current British Pharmacopoeia, European Pharmacopoeia, Japanese Pharmacopoeia, and the United States Pharmacopoeia/National Formulary.

Section 2, Synonyms

Lists other names for the excipient, including trade names used by suppliers (shown in *italics*). The inclusion of one supplier's trade name and the absence of others should in no way be interpreted as an endorsement of one supplier's product over the other. The large number of suppliers internationally makes it impossible to include all the trade names.

Section 3, Chemical Name and CAS Registry Number

Indicates the unique Chemical Abstract Services number for an excipient along with the chemical name, e.g., Acacia [9000-01-5].

Sections 4 and 5, Empirical Formula and Molecular Weight and Structural Formula

Are self-explanatory. Many excipients are not pure chemical substances, in which case their composition is described either here or in Section 8.

Section 6, Functional Category

Lists the function(s) that an excipient is generally thought to perform, e.g., diluent, emulsifying agent, etc. For the purpose of consistency, the functional categories have been thoroughly revised and updated for the current edition of the *Handbook*; see Table I.

Note that the use of the general term 'stabilizing agent' or 'stabilizer' has been replaced with terms specific to the type of stability issue addressed:

Physical stability

Antiadherent
Anticaking agent
Dispersing agent
Emulsion stabilizing agent
Foam stabilizing agent
Gelling agent
Humectant
Suspending agent
Viscosity-increasing agent

Microbiological stability

Antimicrobial preservative

Chemical stability

Acidulant
Air displacement
Alkalizing agent
Antioxidant
Buffering agent
Complexing agent
Opacifier

Section 7, Applications in Pharmaceutical Formulation or Technology

Describes the various applications of the excipient. Therapeutic applications and experimental studies are included in Section 18, Comments.

Section 8, Description

Includes details of the physical appearance of the excipient, e.g., white or yellow flakes, etc.

Section 9, Pharmacopeial Specifications

Briefly presents the compendial standards for the excipient. Information included is obtained from the British Pharmacopoeia (BP), European Pharmacopoeia (PhEur), Japanese Pharmacopoeia (JP), and the United States Pharmacopoeia/National Formulary (USP-NF). Information from the JP, PhEur, and USP-NF are included if the substance is in those compendia. If the excipient is not in the PhEur but is included in the BP, information is included from the BP. Pharmacopeias are continually updated with most now being produced as annual editions. However, although efforts were made to include up-to-date information at the time of publication of this edition, the reader is advised to consult the most current pharmacopeias or supplements.

Section 10, Typical Properties

Describes the physical properties of the excipient which are not shown in Section 9. All data are for measurements made at 20°C unless otherwise indicated. Where the solubility of the excipient is

Table I: Functional categories used in the *Handbook*.

Functional category	Alternative term	Definition
Acidulant	Acidifying agent	Agent added to make a system more acid, decreasing the value of pH
Adsorbent	Adsorbing agent; sorbent; sorbing agent	Agent used to bind another component from within a formulation, acting as a carrier, reservoir or sequestrant
Aerosol propellant	Propellant	Agent used to provide an energy source within a formulation for generation of an aerosol on actuation of a valve
Air displacement	Gas flushing agent; sparging agent	Agent used to replace air in a product or pack with a gas phase of known composition
Alcohol denaturant	Bittering agent; denaturant	Agent added to make alcohol unfit to drink
Alkalizing agent		Agent added to make a system more alkaline, increasing the value of pH
Anionic surfactant	Detergent; surface active agent; wetting agent	Agent carrying an overall negative charge, added to reduce surface and interfacial tension
Antiadherent	Antiadhesive agent	Agent added to reduce the tendency of materials to remain attached to other surfaces
Anticaking agent	Flow aid; glidant	Agent added to reduce the tendency of materials to form non-redispersible masses
Antifoaming agent	Foam preventing agent	Agent added to reduce the stability of foams formed during processing or use of formulated products
Antimicrobial preservative	Disinfectant; preservative	Agent used to prevent spoilage due to microbial growth within a formulation
Antioxidant		Agent used to stabilize a system against oxidative degradation
Bioadhesive material	Mucoadhesive membrane	Agent used to promote adhesion to biomembranes
Biocompatible material		An agent that can be used in a parenteral implant product without producing an immune or inflammatory response
Biodegradable material		Used in products that can be degraded to nontoxic components while implanted over time
Buffering agent	Buffer	Agent used to stabilize pH within a defined range
Cationic surfactant	Detergent; surface active agent; wetting agent	Agent carrying an overall positive charge, added to reduce surface and interfacial tension
Coating agent	Enteric coating agent; film-coating agent; modified-release coating agent; sugar-coating agent	Agent used to produce a cosmetic or functional layer on the outer surface of a dosage form
Colorant	Color; colored lake; dye	An agent that imparts colour to a formulation
Complexing agent	Chelating agent; sequestering agent	Agent added to combine with another component, commonly to maintain or improve solubility or chemical stability
Cryoprotectant		Agent added to prevent cell damage during freeze-drying
Desiccant	Water-absorbing agent	Agent used to adsorb or absorb water
Direct compression excipient		Agent used to produce powder blends with flow and compaction properties suitable for tablet making without intermediate granulation steps
Dispersing agent		Agent added to prevent aggregation in liquid formulations
Dry powder inhaler carrier		Agent used in dry powder inhalation blends as a diluent providing suitable uniformity, flow and dispersion properties
Emollient		Agent added to topical formulations to promote softening of the skin
Emulsifying agent	Emulsifier	Agent added to promote mixing of immiscible phases
Emulsion stabilizing agent	Emulsion stabilizer	Agent added to improve stability against phase separation
Film-forming agent	Film-former; polymer film-former	A material which forms a thin film with some mechanical strength when applied to dosage form or other surfaces
Flavor enhancer	Flavor-enhancing agent	Agent added to enhance flavor
Flavoring agent	Flavor	Agent added to impart flavor to a product
Foam stabilizing agent	Foam stabilizer	Agent added to improve physical stability of foam
Gelling agent	Gel thickening agent	Agent added to produce a gel texture in a product
Glidant	Flow aid	Agent added to improve powder flow
Humectant	Moisture retention agent	Agent added to retain water within a product
Lubricant	Friction-reducing agent; lubricating agent	Agent added to reduce friction effects during processing or use
Lyophilization aid	Freeze-drying agent	Agent added to produce suitable physical properties in a freeze-dried product
Membrane-forming agent	Membrane former	A material which forms a thin film with defined permeability properties when applied to a surface or dosage form
Microencapsulating agent	Encapsulating agent	Agent used to form microcapsules with desirable physical properties

Functional category	Alternative term	Definition
Modified-release agent	Controlled-release agent; extended-release agent; release-modifying agent; sustained-release agent	Agent used to control the release rate of active ingredient from a dosage form
Nonionic surfactant	Detergent; surface active agent; wetting agent	Agent containing no ionisable functional groups added to reduce surface and interfacial tension
Ointment base		A nonaqueous vehicle for topical products
Oleaginous vehicle		An oil-based vehicle for topical products
Opacifier	Opacifying agent	Agent added to reduce light transmission in a product
Penetration enhancer	Penetration agent; penetration promoter; skin penetrant	Agent used to increase permeability of active ingredient through skin tissues
Pigment	Colored lake	An insoluble coloring agent
Plasticizing agent	Plasticizer	Agent added to promote flexibility of films or coatings
Solubilizing agent	Solubilizer	Agent added to promote solubility of an active ingredient
Solvent	Cosolvent	Component used as the vehicle for dissolved ingredients
Stiffening agent		Agent added to increase stiffness of creams and ointments
Suppository base		Agent used as the carrier for other ingredients in suppository formulations
Suspending agent		Agent added to improve dispersion stability of solids in liquids
Sweetening agent	Sweetener	Agent used to produce a sweet taste
Tablet and capsule diluent	Tablet and capsule filler; tablet diluent; tablet filler	Material used to produce appropriate dosage form size, performance and processing properties for tablets and/or capsules
Tablet and capsule disintegrant	Tablet disintegrant	Agent used to promote break-up of tablet and/or capsule formulations after ingestion
Tablet and capsule lubricant	Tablet lubricant	Agent added to reduce friction effects during tablet and/or capsule processing
Tablet and capsule binder	Tablet binder	Agent used to promote granule formulation during tablet and/or capsule processing
Taste-masking agent		Agent added to improve and/or disguise taste
Tonicity agent		Agent added to alter osmotic potential of liquid formulations
Transdermal delivery component		Component used specifically in transdermal devices
Vaccine adjuvant		Agent added to activate antibody response in vaccines
Viscosity-increasing agent	Rheology modifier; thickening agent; viscosity-controlling agent	Agent added to increase the viscosity of liquid semi-solid products
Water-repelling agent	Water repellent	Agent used to make formulations hydrophobic products

described in words, the following terms describe the solubility ranges:

Very soluble	1 part in less than 1
Freely soluble	1 part in 1–10
Soluble	1 part in 10–30
Sparingly soluble	1 part in 30–100
Slightly soluble	1 part in 100–1000
Very slightly soluble	1 part in 1000–10 000
Practically insoluble or insoluble	1 part in more than 10 000

Near-infrared (NIR) reflectance spectra of samples as received (i.e. the samples were not dried or reduced in particle size) were measured using a FOSS NIRSystems 6500 spectrophotometer (FOSS NIRSystems Inc., Laurel, MD, USA) fitted with a Rapid Content Analyser against a ceramic standard supplied with the instrument. The instrument was controlled by Vision (version 2.22) software. Spectra were recorded over the wavelength range 1100–2498 nm (700 data points) and each saved spectrum was the average of 32 scans. Solid powdered samples were measured in glass vials of approximately 20 mm diameter. Each sample was measured in triplicate and the mean spectrum taken. When more than one batch of a material was available, the mean of all the batches is presented. Liquid samples were measured by transreflectance using a gold reflector (2 × 0.5 mm optical path-length, FOSS) placed in a 45 mm silica reflectance cell against air as the reference. Spectra are presented as plots of (a) $\log(1/R)$ vs wavelength (dashed line, scale on right-hand side) and (b) second-derivative $\log(1/R)$ vs wavelength (solid line, scale on left-hand side). R is the reflectance and $\log(1/R)$ represents the apparent absorbance. Second-derivative

spectra were calculated from the $\log(1/R)$ values using an 11 point Savitzky-Golay filter with second-order polynomial smoothing. Note, peak positions and amplitudes in the second-derivative spectrum are very sensitive to the method used to calculate the second-derivative.

For this edition, infrared (IR) spectra have been adapted with permission from Informa Healthcare — *Pharmaceutical Excipients: Characterisation by IR, Raman, and NMR Spectroscopy* by David E Bugay and W Paul Findlay eds, Marcel Dekker, Vol 94, 1999. All samples conformed to the USP–NF for identity and purity, and were used as received. The IR spectra were acquired on a Nicolet model 740 Fourier transform (FT) IR spectrophotometer equipped with a water-cooled global source, Ge/KBr beamsplitter, and a deuterated triglycine sulfate (DTGS) detector. Interferograms of 16K data points were collected at a spectral resolution of 2 cm⁻¹. The number of scans acquired for each sample varied so that a minimum signal-to-noise ratio of 5000:1 was achieved. For each data set, a phase angle was calculated and then a Happ-Genzel apodization function applied. The Fourier transform was performed and the phase was corrected on the real portion of the data using the calculated phase angle to produce the single-beam spectrum. Subsequent ratioing of the single beam spectrum to the reference spectrum produced a frequency domain IR spectrum. The intensity of the IR spectra have been normalized such that the most intense absorption band equals 1 intensity unit (absorbance or Kubelka-Munk (K-M) units) and all other band intensities are relative to that band. The Spectra-Tech Collector sampling accessory was used to acquire the DR IR spectra of the solid powdered excipients. Samples were diluted in KCl (~1–5% w/w sample to KCl), ratioed against a KCl background, and the resultant spectra displayed in K-M units. IR spectra of

liquid and waxy solid samples were acquired as neat smears (capillary film) between two 25- x 2-mm KBr transmission windows. A single beam data file was used as the background file for subsequent ratioing.

Where practical, data typical of the excipient or comparative data representative of different grades or sources of a material are included, the data being obtained from either the primary or the manufacturers' literature. In previous editions of the *Handbook* a laboratory project was undertaken to determine data for a variety of excipients and in some instances this data has been retained. For a description of the specific methods used to generate the data readers should consult the appropriate previous edition(s) of the *Handbook*.

Section 11, Stability and Storage Conditions

Describes the conditions under which the bulk material as received from the supplier should be stored. In addition some monographs report on storage and stability of the dosage forms that contain the excipient.

Section 12, Incompatibilities

Describes the reported incompatibilities for the excipient either with other excipients or with active ingredients. If an incompatibility is not listed it does not mean it does not occur but simply that it has not been reported or is not well known. Every formulation should be tested for incompatibilities prior to use in a commercial product.

Section 13, Method of Manufacture

Describes the common methods of manufacture and additional processes that are used to give the excipient its physical characteristics. In some cases the possibility of impurities will be indicated in the method of manufacture.

Section 14, Safety

Describes briefly the types of formulations in which the excipient has been used and presents relevant data concerning possible hazards and adverse reactions that have been reported. Relevant animal toxicity data are also shown.

Section 15, Handling Precautions

Indicates possible hazards associated with handling the excipient and makes recommendations for suitable containment and protection methods. A familiarity with current good laboratory practice (GLP) and current good manufacturing practice (GMP) and standard chemical handling procedures is assumed.

Section 16, Regulatory Status

Describes the accepted uses in foods and licensed pharmaceuticals where known. However, the status of excipients varies from one nation to another, and appropriate regulatory bodies should be consulted for guidance.

Section 17, Related Substances

Lists excipients similar to the excipient discussed in the monograph.

Section 18, Comments

Includes additional information and observations relevant to the excipient. Where appropriate, the different grades of the excipient available are discussed. Also includes therapeutic applications and experimental studies. Comments are the opinion of the listed author(s) unless referenced or indicated otherwise.

Section 19, Specific References

Is a list of references cited within the monograph.

Section 20, General References

Lists references which have general information about this type of excipient or the types of dosage forms made with these excipients.

Section 21, Authors

Lists the current authors of the monograph in alphabetical order. Authors of previous versions of the monograph are shown in previous printed editions of the text.

Section 22, Date of Revision

Indicates the date on which changes were last made to the text of the monograph.

Acknowledgments

A publication containing so much detail could not be produced without the help of a large number of pharmaceutical scientists based world-wide. The voluntary support of over 140 authors has been acknowledged as in previous editions, but the current editors would like to thank them all personally for their contribution. Grateful thanks also go to the members of the International Steering Committee who advised the editors and publishers on all aspects of the *Handbook* project. Many authors and Steering Committee members have been involved in previous editions of this text. For others, this was their first edition although not, we hope, their last. We extend our thanks to all for their support. Thanks are also extended to Roger Jee, Kelly Palmer, and Tony Moffat at The School of Pharmacy, University of London for supplying the NIR spectra, to Pfizer PGRD, Sandwich, UK for supplying SEMs, and to

excipient manufacturers and suppliers who provided helpful information on their products. IR spectra have been adapted with permission from Informa Healthcare.

Thanks are also gratefully extended to the editorial and production staff of the Pharmaceutical Press and American Pharmacists Association, as well as to the team of dedicated copyeditors and proofreaders, who were involved in the production of this resource.

Two contributors, Stanley L Hem and Atul J Shukla, sadly passed away since the publication of the 6th print edition.

Raymond C Rowe, Paul J Sheskey, Walter Cook, Marian E Fenton
March 2012

Notice to Readers

The *Handbook of Pharmaceutical Excipients* is a reference work containing a compilation of information on the uses and properties of pharmaceutical excipients, and the reader is assumed to possess the necessary knowledge to interpret the information that this resource contains. The *Handbook of Pharmaceutical Excipients* has no official status and there is no intent, implied or otherwise, that any of the information presented should constitute standards for the substances. The inclusion of an excipient, or a description of its use in a particular application, is not intended as an endorsement of that excipient or application. Similarly, reports of incompatibilities or adverse reactions to an excipient, in a particular application, may not necessarily prevent its use in other applications. Formulators should perform suitable experimental studies to satisfy themselves and regulatory bodies that a formulation is efficacious and safe to use.

While considerable efforts were made to ensure the accuracy of the information presented in the *Handbook*, neither the publishers nor the compilers can accept liability for any errors or omissions. In particular, the inclusion of a supplier within the Suppliers Directory

is not intended as an endorsement of that supplier or its products and, similarly, the unintentional omission of a supplier or product from the directory is not intended to reflect adversely on that supplier or its product.

Although diligent effort was made to use the most recent compendial information, compendia are frequently revised and the reader is urged to consult current compendia, or supplements, for up-to-date information, particularly as efforts are currently in progress to harmonize standards for excipients.

Data presented for a particular excipient may not be representative of other batches or samples.

Relevant data and constructive criticism are welcome and may be used to assist in the preparation of any future editions or digital versions of the *Handbook*. The reader is asked to send any comments to the Editor, *Handbook of Pharmaceutical Excipients*, Royal Pharmaceutical Society, 1 Lambeth High Street, London SE1 7JN, UK, or Editor, *Handbook of Pharmaceutical Excipients*, American Pharmacists Association, 2215 Constitution Avenue, NW, Washington, DC 20037-2985, USA.

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