



Propulsive PAT paradigm: Optimization of Freeze Drying Process.

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ABSTRACT

Process analytical technology (PAT) is a propulsive paradigm moving across the pharmaceutical and biotechnological arenas to strengthen the process with better understanding of formulation parameters and process variables. It is increasingly being acquired and utilized for improved operational control and compliance via process analysing. PAT can be defined as a unique approach for planning and implementing principles of validation. It is mainly the part of 'Control strategy'. It combines techniques, procedures and technologies that enable online verification of key process parameters. In our article, application studies of PAT would be described in context of various modern instruments and tools used in analysis, control and design of freeze drying process. This would involve the in-depth assessment of primary drying, secondary drying like mechanisms and their correlation for successful scale up.

Keywords: Freeze drying, PAT, Primary drying, COA, and Risk assessment.

INTRODUCTION

Many pharmaceutical entities lose their viabilities in the liquid state and readily deteriorate if dried in air at normal atmospheric pressures. These entities are either thermo labile or may react readily with oxygen. So, they must be dehydrated to a solid state for stabilization. To prevent deterioration, specialized drying technique are used such as freeze drying (FD), drying by sublimations or gelsication. FD of pharmaceuticals in actual practice is processed at temperature of -10 °C to -40 °C, pressure 2000 to 100 micron¹. Over the years, FD has proven to be an effective conventional method for the large scale production of dried pharmaceuticals². FD is a method to preserve bioactive molecules (DNA, enzymes, and proteins), pharmaceutical products (antibiotics) and other delicate solvent-impregnated materials^{3,4}. FD is a multidimensional, time dependent process mainly used in pharmaceutical industries to retain initial attributes and efficacy of material (biological and biological drug products) after dehydration. FD involves three steps such as:

- a. Frozen the material
- b. Subjected it to high vacuum
- c. Sublimation/ thawing of frozen liquid.

In primary drying, frozen ice is sublimated while secondary drying removes residual water from the porous matrix. These steps and environmental conditions influence the final product quality and sensitivity significantly along with various processing and formulation variables. Assessment and monitoring effects of all such factors individually and collectively is cumbersome and practically unfeasible. Thus, there is a

need for systematic and simultaneous analysis of all variables and PAT is one of the few approaches that suffice this requirement⁵.

Process analytical technology (PAT)

PAT is defined as 'a system for designing, analyzing and controlling manufacturing through timely measurements (in and after processing) of critical quality and performance attributes of raw and in-process materials and processes with the goal of ensuring final product quality⁶. PAT is a unique approach for process validation. It combines techniques, procedures and tools like quality by design (QbD) and real time release (RTR) that enable online and offline verification of key process parameters⁷. PAT creates a robust control strategy for the ongoing process monitoring⁸. PAT is thus, increasingly explored and adopted by pharmaceutical and biotechnological set ups for enhanced process understanding and risk management⁹. PAT from an implementation perspective is visualized as a three-step process:

- a. Design
- b. Analysis and
- c. Control^{10,11}.

'Design' phase starts early in process development. In this phase, the critical quality attributes (COA) that are being affected by the process steps are identified along with the critical process parameters (CPP). During 'Analysis' phase, a suitable analyzer is identified for monitoring of the COA and CPP. 'Control' phase aid in understanding the process, monitoring CPP so as to achieve consistent COA. Four types of process analysis measurements are performed as per **Table 1**¹².



Table 1: Process analysis measurements.

Type of PAT measurements	Method	Characteristics
in-line	No removal of the sample.	Quick and quality result obtained.
on-line	Sample is diverted from the main process, analyzed and may be returned.	
at-line	Sample is removed and analyzed closed to the process.	More time consuming.
off-line	Sample is removed and analyzed away from the process.	Difference between at-line and off-line measurements in lab scale processing is tough to define.

FD process

The principal function of FD process is to separate the solvent from solute. Solvent like water form ice crystals and solutes occupy the interstitial region between the ice crystals to form frozen matrix structure. In primary drying stage, pressure is reduced and heat is applied to initiate the sublimation of the ice crystals. It leads to plunging of the ice-gas interface through the cake. As soon as ice crystals are removed and volume occupied by the resulting cake equates with the frozen matrix, primary drying process completion occurs. This is followed by secondary drying wherein residual moisture content of the product is reduced to acceptable level (desorption of water vapour) that will no longer support any biological or chemical alterations. It is a step which controls the kinetic clock of the active constituents¹³.

Primary drying

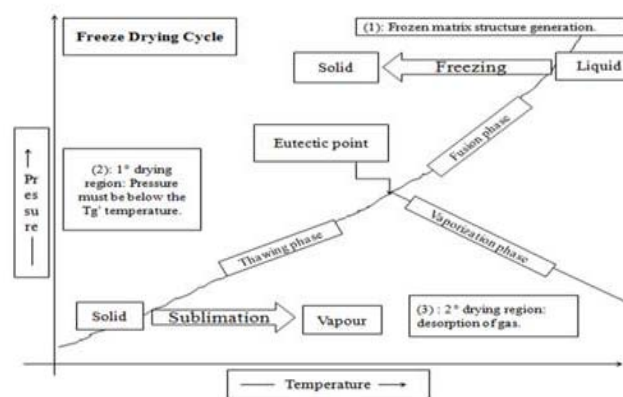
It is usually the rate determining step of the FD process and significant efforts are required to design and optimize this stage¹⁴⁻¹⁶. To prevent gross collapse of the system and to obtain the pharmaceutically acceptable cake-structure solids, product temperature in primary drying should be below the collapse temperature (T_c) or the glass transition temperature of the frozen solution (T_g) (Fig. 1). In primary drying, product temperature is controlled by change of shelf temperature and chamber pressure. The primary drying is usually conducted at above -40°C to accomplish ice sublimation on a practical timescale¹⁷⁻¹⁹. Manometric temperature measurement (MTM) is a PAT tool that greatly improves the FD process design and control. It is an alternative method of in-process product temperature measurement during primary drying. MTM measure the product temperature at the sublimation interface without placing any device in the vial. The MTM method records the pressure versus time data²⁰.

Secondary drying

In case of secondary drying, temperature is elevated up to maximum tolerable temperature of the dried product. When there is no more ice, final temperature is applied so as to gain dry product per vial. A relatively high or low

pressure does not influence the secondary drying from the point of heat transfer as pressure in secondary drying is below 0.1 mbar. Hence, heat transfer coefficient is practically independent of pressure. Pressure has a major influence to play when partial vapour pressure inside the product is equal to the value of desorption isotherm. To avoid pressure interference, pressure must be maintained below this equilibrium point (Fig. 1). Desorption doesn't change physical structure or chemical constitution of product but desorption rate is critical in determining the residual moisture. Residual moisture is essential in assessing the product stability²¹.

Drying rate of the product is affected by the depth of product in container. Hence the product depth in the container should be limited. For large volume product, slanted position of container is useful to increase the surface area. Amount of solid, their precipitated particle size (smaller particle size illustrate faster rate of drying) and their thermal conductance affect the rate of drying²².

**Figure 1:** Phases of freeze drying (FD) cycle.

Process variables

Moisture and temperature control are two critical parameters in FD process. As a PAT strategy, these parameters are monitored by following techniques in Table 2.

Formulation variables

Active constituents

The formulation development or design in FD is dependent on the active pharmaceutical ingredient (API) involved and the intended route of administration for that substance. Various synthetic [fluconazole⁴², flurbiprofen⁴³] or natural [human spermatozoa⁴⁴, black raspberries, blackberries and strawberries^{45,46}] products can be subjected to FD. FD also overcomes protein instability in aqueous systems by removing water⁴⁷. It can be applied to different micro-organism [*Lactobacillus salivarius*⁴⁸, *P. pentosaceus*⁴⁹] to enhance the stability. In presence of API, selection of excipients so to develop a simple, stable and consistent FD formulation with an economical process is judicious activity. Excipients include but are not limited to buffers, bulking agents, stabilizers, solvent, cryoprotectants and lyoprotectants.

Table 2: Techniques used to monitor critical parameters like moisture and temperature.

Technique	Characteristics
A. Determine % residual moisture during late primary and early secondary drying	
Karl Fischer technique.	Not suitable for small samples ²³ .
Gravimetric method.	Accuracy depends upon hygroscopic nature of sample ²⁴ .
Gas chromatography.	Based on the adsorption of water from the sample using organic solvents ²³ .
Multipoint NIR spectroscopy.	In-line quantification of moisture content and hence used for drying end point determination of a residual moisture level ²⁵ .
Multipoint NIR spectroscopy.	Detection of unequal sublimation rates within a freeze-dryer shelf ²⁶ .
B. Detect the end of primary drying	
Tunable Diode Laser Absorption Spectroscopy.	Spectroscopic and non-invasive sensor for monitoring secondary drying and targeting intermediate moisture contents in product ²⁷ .
	Also, provides continuous measurements of water vapour concentration, velocity of vapour flow and mass flow rates in the real time FD ²⁸ .
Thermal conductivity gauge.	Measuring the thermal conductivity of the gas in the drying chamber. It is the best method for evaluation of end point of primary drying, a batch technique, which is economical, steam sterilizable and easy to install without requiring any modification to the existing dryer ²⁴ .
Gas plasma spectroscopy. (Optical emission spectroscopy)	Measures water vapor concentration during the drying process ²⁴ .
Pressure rise test.	Manometric temperature measurements ²⁴ .
Condenser pressure, dew point, product thermocouples.	Commonly use methods to assess the drying process ²⁴ .
C. Temperature measurement during the FD process.	
Temperature Remote Interrogation System. (TEMPRIS)	Wireless temperature sensors to observe temperature profiles ²⁹ .
Manometric temperature measurement. (MTM)	A valid measurement of product temperature during primary drying even at temperatures as low as -45°C. It measure dry-layer resistance and vial heat transfer coefficients ^{30,31,32} .
Freeze-drying microscope (FDM) based on time-domain Optical Coherence Tomography (OCT).	Measure T_c of product formulations in standard pharmaceutical vials without loss of product quality, Provides quantitative justification for FD above T_c and provides an upper limit to the temperature at which a FD cycle may run without macroscopic product collapse. It helps to reduce the time for primary drying and increase process efficiency for FD products with more accuracy than light transmission or differential scanning calorimetry; other benefits are product microstructure visualization. ³³ .
D. Miscellaneous Monitors	
Raman spectroscopy (in-line) and NIR spectroscopy and X-ray powder diffractometry (XRPD) (at-line)	Real time monitoring of FD processes in combination with experimental designs. Both techniques not only complement each other, but they also provide mutual confirmation of specific conclusions ^{34,35} .
Raman spectroscopy	Useful technique to monitor physical changes during FD ³⁶ .
Cold plasma ionization device	Plasma tool, a relevant method for monitoring FD processes ³⁷ .
XRD technique	Characterize the phase transitions during FD and useful in developing a mechanistic understanding of the solid state alterations during FD of complex, multi-component, pharmaceutical systems ³⁸ .
Frequency Modulation Spectroscopy (FMS)	Helps to demonstrate the uniformity and create a map of headspace moisture (HSM) for vials which allow inspection and play an important part in process validation and quality assurance ³⁹ .
The Optical Fiber Sensors (OFS)	Allow easy handling and positioning along with detection of excipient crystallization events. It helps to obtain three-dimensional temperature profiles with an OFS helix configuration which enables non-invasive, automatic loading compatible monitoring of FD process ⁴⁰ .
Vial impedance spectroscopy (off-line)	Useful in the concurrent product formulation development and FD cycle without any uncertainty introduced so as to define the critical process parameters ⁴¹ .

Buffers

In FD, selection of buffer for pH control was essential to prevent physicochemical changes in the product. Low concentrations of tris, citrate and histidine buffers⁵⁰ lead to minimal pH change during freezing. Buffering agent should have high collapse temperature (for rapid primary drying), non-volatile (to prevent pH drift which ultimately show impact on product stability) and high T_g (ensure

stability during storage)^{51,52}. Amorphous (citrate buffer) buffer was the most preferred as it retained amorphous nature, with negligible shift in pH as compared to crystalline buffer components (sodium and potassium phosphate salts, succinate and tartrate) which lead to a drastic pH shift resulting in degradation of the active component^{53,54}.



Bulking agents

They help to provide adequate structure to cake. These are generally used for low dose, high potency drugs and are more important when the total solid content is less than 2%. Bulking agents emerge as crystalline or amorphous solids at end of FD process. Amorphous solids are preferred as it least affects the physical stability.

Nature of lyophilized cake also depends on the ratio of drug and bulking agent; increased proportion of bulking agent increased crystallization. Mannitol and glycine are the most commonly used bulking agents as compared to other sugars and amino acids, respectively⁵⁵.

Stabilizing agents

During FD, stabilizing agents like disaccharides stabilize liposomes and protein products more effectively by forming an amorphous sugar glass⁵⁶. Disaccharides such as sucrose and trehalose stabilize proteins both, thermodynamically as well as kinetically in aqueous solutions and freeze-dried solids⁵⁷.

Hypothesis postulating stabilizing effects of the disaccharides are the water replacement hypothesis and the vitrification hypothesis⁵⁸. Controlling hydrogen-bonding and electrostatic interactions is a key element to optimize the physical properties of multi-component amorphous FD pharmaceutical formulations¹⁹.

Solvents

Solvents may play minor role in stabilization of the active constituent but improve the aesthetic property of the final product. In case of FD, water is the most preferred solvent. High vapour pressure of co-solvents facilitates their faster removal from the product during drying process thus, speeding up the FD process. As a co-solvent, *tert*-butyl alcohol speeds up the FD process and does not require additional cooling to attain frozen state as compared to ethanol¹³.

Nevertheless, non-aqueous solvents control degradation rate of active constituents in the presence of water⁵⁵.

Cryoprotectants and lyoprotectants

Primary function of cryoprotectants is to protect the active constituents during FD process. Example includes glycerol and dimethyl sulfoxide (DMSO). Lyoprotectants are the excipients which prevent degradation of active constituents during freezing-thawing process. These molecules are typically polyhydroxy compounds such as sugars (mono-, di-, and polysaccharides), polyalcohols and their derivatives. Trehalose (anhydrobiosis) and sucrose are natural lyoprotectants⁵⁹. Cryopreservation allows the use of very low temperatures to preserve structurally intact living cells and tissues. Cryoprotectants, simply by increasing the total concentration of all solutes in the

system, reduce the amount of ice formed at any given temperature; but to be biologically acceptable they must be able to penetrate into the cells and have low toxicity. These include ethanediol and propanediol⁶⁰.

FD generates various stresses, during both, freezing and drying; to protect against such stresses, cryoprotectants/lyoprotectants are used. Optimization of both, type and concentration of cryoprotectants is essential. Freeze-thaw study is short and quick pre-test for screening of type and concentration of cryoprotectants used for FD⁶¹.

CQA for FD process and product

FD is a typical pharmaceutical process that incorporates various unit operations and variables as discussed above. Each unit operation or variable can be potentially regulated by implementation of one or more PAT tools. For effective implementation of PAT, CQA and CPP of each unit operation in FD process are selected (**Fig. 2**).

Understanding interaction between CQA and CPP assist in continuous analysis and improvement of FD product as well as process. Diversity of the available automated PAT tools (**Table 2**) and their capabilities to visualize the process helps to design FD process in a way such that at the end of each unit operation, assurance can be provided that the step performed its function in a satisfactory manner.

Risk assessment

Risk assessment is an imperative module of PAT strategy. ICH Q9 summaries the three basic components of risk assessment: risk identification, risk analysis and risk evaluation. These basic components deal with the systematic use of information derived from PAT tools to identify the potential harm, qualitative or quantitative linking of the likelihood of occurrence and severity of harm and compares the identified, analyzed risk against given risk criteria.

Purpose of risk assessment is to highlight the risk factors and accordingly frame a robust FD process and quality FD product. Quality risk management supports a scientific and practical approach to decision-making and problem-elucidation⁶².

Risk assessment involves different tools in it such as Fault Tree Analysis. This tool assumes failure of the functionality of a product or process. The results are represented pictorially in the form of a tree of fault modes which can be used to investigate the errors or deviations.

This helps to fully understand the root cause of problem and ensure that intended improvement will resolve the issues without creation of any other problem. Application of this tool for addressing one of the risk issues regarding product appearance is as depicted in **Fig. 3**.



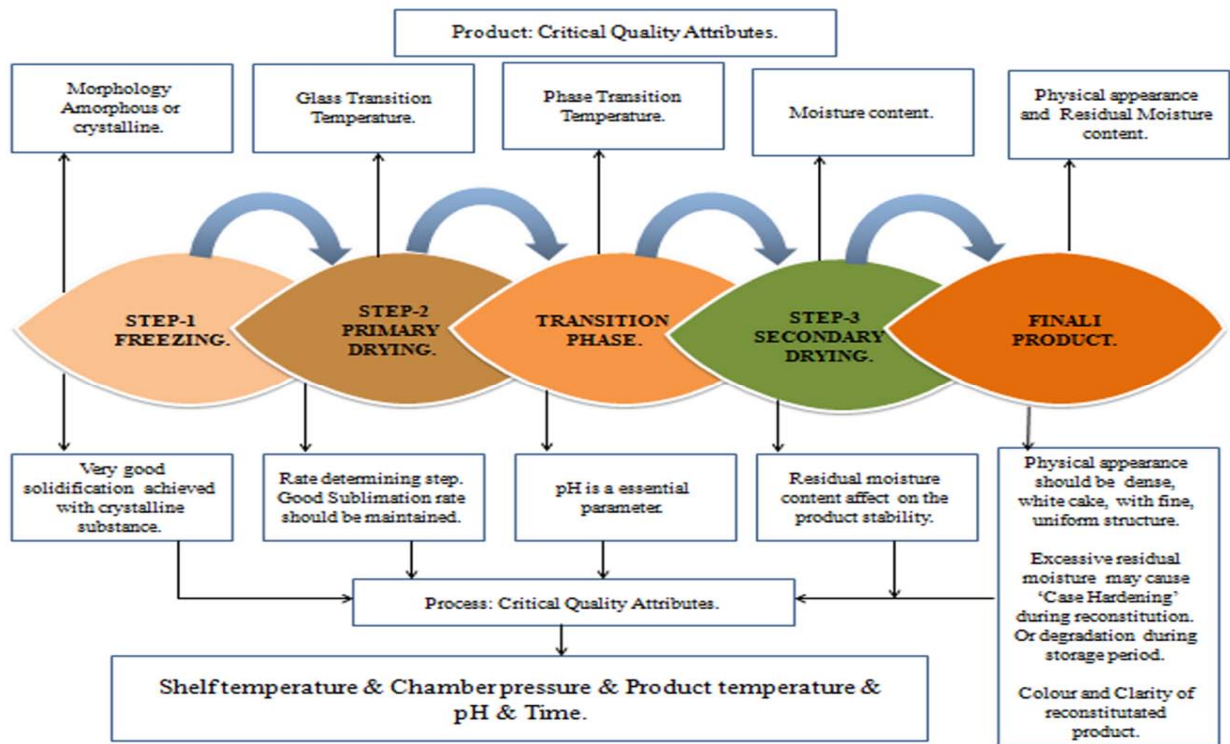


Figure 2: COA for FD product and process.

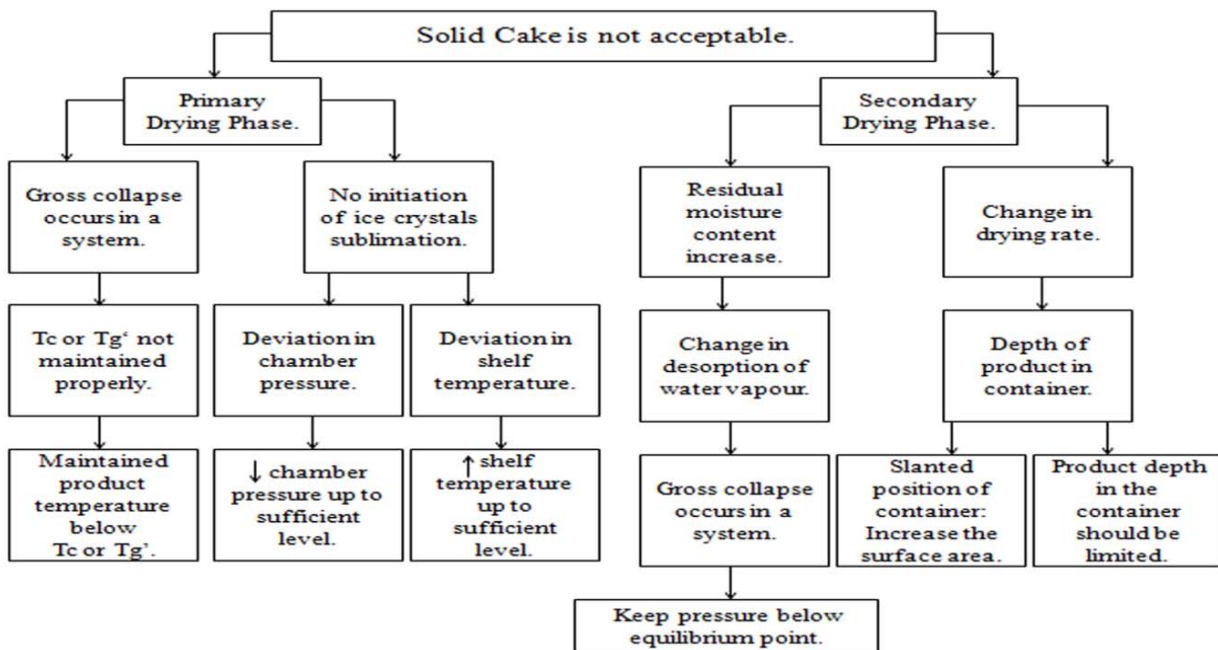


Figure 3: Risk assessment via Fault Tree Analysis in FD process.

8. Conclusion:

PAT provides wide range of tools for continuous optimization of the freeze drying process. It provides valid knowledge about freeze drying cycles. In order to design a robust process and quality product, all complementary and alternative devices as process analyzers (PAT tools) aid in the non-invasive or invasive, in, on, at, off-line and real-time monitoring of a freeze drying process.

Simultaneous application of different PAT tools allows complete monitoring of a freeze drying process at negligible risk. Thus, PAT will be useful for better understanding of the real time interactions among all process and product variables thereby, attaining the most coherent design space for freeze drying of foods and pharmaceuticals.

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