

# Crystallisation Challenges in API Manufacture & Scale-up



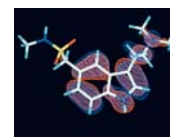
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*Heidelberg PAT Conference 2007, University of Heidelberg &  
European Compliance Agency (ECA) 24<sup>th</sup> -26<sup>th</sup> October 2007*

## Session Overview

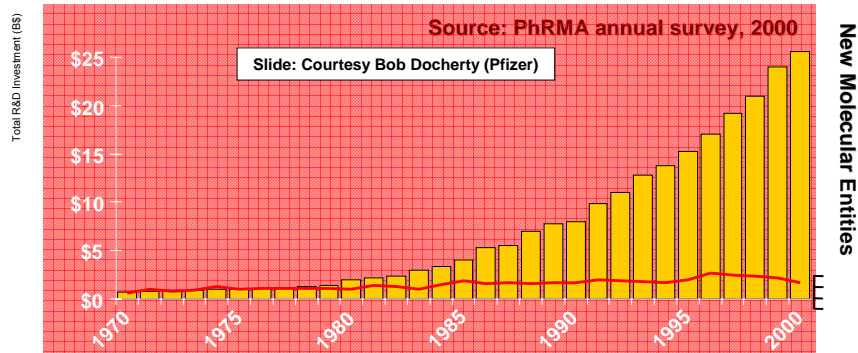
- Reflect underpinning crystallisation science: nucleation, growth, morphology & polymorphism
- Review need for industrial innovation to improve competitiveness of process technology
- Consider holistic aspects of crystal science
  - Model, **Measure**, Manipulate & Manufacture
- Review process analytical techniques (PAT) for monitoring & controlling crystal formation
  - Turbidometric techniques for product solubility & meta-stable zone width
  - ATR-FTIR for solution concentration & supersaturation
  - Digital video microscopy for particle shape & polymorphic form



## Productivity Paradox: Higher R&D Cost per Approved Product

Pharmaceutical industry getting more competitive but not any faster

Molecular complexity & hence solid form challenges increasing



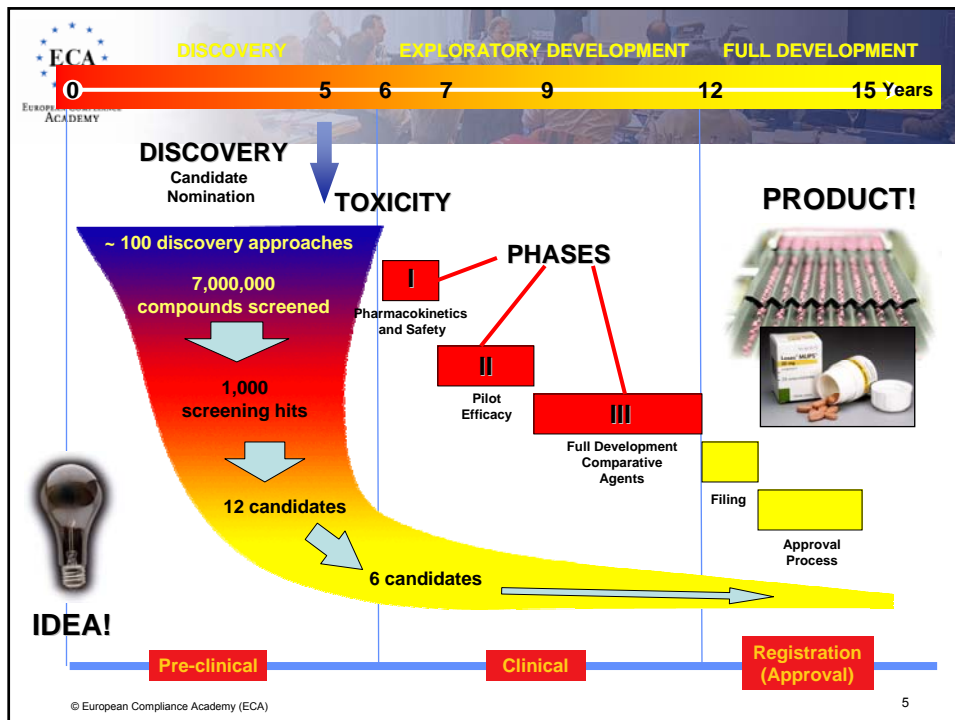
Emerging importance of material properties on production efficiency

Increasing expectations from patient on product performance

## Regulatory & Other Pressures: Need for Innovation

- Need for manufacturing innovation compounded by
  - Significant pressures to deliver product quickly to market post-approval to maximise patent revenue
    - hence discouraging innovation
  - Ever more complex drug products & processes which are hard to control during manufacturing
- Large number of drug candidates in R&D pipeline
  - With high attrition rate: R&D to market
  - Reduces feasibility of allocating significant engineering effort to candidates during R&D
  - Process effectively locked-in after approval via regulatory framework

Engineering currently cannot be on critical path:  
hence key driver against manufacturing innovation



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## Pharmaceutical Manufacturing Supply Chain

- **Manufacturing chain for drug compounds quite lengthy typically 12-18 months**
  - contrasting with 4-6 weeks for e.g. beverages
  - this impedes flexibility - building in conservatism
- **Pharmaceutical manufacturing involves many unit operations & even more processing steps**
  - **API production involves ca. 8-12 synthetic stages**
    - each involving synthesis, isolation & separation
      - i.e. between 20-40 steps in all
    - each step has many processing parameters
      - high potential for knock-on variability
- **Many drug formulation steps also: milling, blending.**

**Key point: address downstream ProcessAbility of APIs via better upstream crystallisation control**

## Pharmaceutical Manufacturing Supply Chain

- Pharmaceutical manufacturing unit processes
  - unsophisticated processing equipment
  - processing ever more complex materials
- End product testing can often lead to batch failure
  - lengthening production cycles
  - encouraging stock build up between stages
    - increasing chemical inventory costs
  - keeping excess of production facilities
    - 25% capital assets utilisation common
- Variation in raw material & API properties impacts on performance of final drug product form
  - e.g. content uniformity, bioavailability, tablet properties (thickness, weight, hardness)

**Overall, key need to intimately link supply & knowledge chains via more science-led approach**

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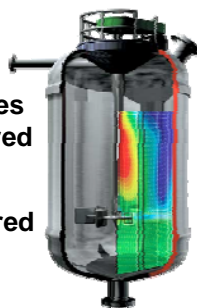
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## Science-Based Manufacture: A Cultural Change

Where we are just now

Process Down

processes discovered  
↓  
engineered to work  
↓  
products result from process



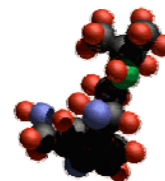
improvements incremental  
↓  
poor product enhancement potential

step change in capability  
↓

**dynamic control of properties**

Where we need to be

Molecule Up



products built from molecules  
↓

**molecular design of product property**

**Much of this approach is routine in areas such as drug discovery but not yet in processing**

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## An Integrated Approach to Crystal Engineering Design & Control

**Model**

**Measure**

**Manipulate**

**Manufacture**

**The 4Ms**  
Brian Scarlet, University of Delft

Manufacturing chain: taking molecules through processes to make crystals into formulated products

Focus of this section

{100} binding  
{101} rejection  
tapered surface

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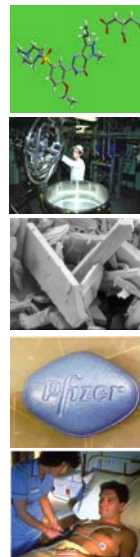
## Product vs Process - Need for Measurements

- ◆ **Process** engineering design relies on manipulation of thermodynamic state functions such as P, V, T, H
  - e.g. can improve process energy (H) efficiency via variation of state functions
- ◆ **Product** dependent parameters (polymorphic form, porosity, morphology, bio-availability, etc.) usually not directly driven by state functions

Paradigm shift: can't ONLY optimise the process flowsheet  
One MUST make measurements together with modelling to optimise processes to meet product requirements

## Defined Feedstock for Down-Stream Product Properties

- Solid-form materials properties of feedstocks impact on their overall processability
  - hence on properties of any formulated products made downstream
  - i.e. variability in feedstock results in variability of products
- Important solid-form properties
  - physical: particle size/shape, density, hardness/plasticity
  - chemical: purity, polymorphic form, crystallinity, hygroscopicity
- Need for flexible PAT controlled processes
  - ensuring reproducible processes
  - producing highly consistent products



## Innovation in Manufacturing, Design Space & ICHQ8

- Major driver for ICHQ8 initiative
  - implement PAT in manufacturing
  - improve quality moving from
    - sigma 2.5 (0.5% variability) to
    - sigma 6 (few ppb variability) culture in longer term
- Key need: improve science base
  - from products pragmatically **engineered to work**
    - **process registered**: - little scope for process improvement
  - to **molecular design** of particulate products manufactured via PAT controlled processes
    - **design space registered**: - flexible processes

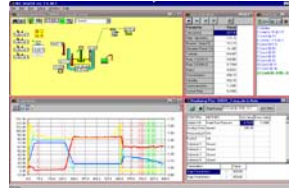


**Major challenge: developing & applying the science underpinning future technical innovations**

## Innovation or Stagnation: FDA's 2004 White Paper

“... pharmaceutical industry generally hesitant to introduce state-of-art science & technology into its manufacturing processes, part due to regulatory impact concerns leading to

- high in process inventories
- low factory utilisation
- significant product wastage
- compliance problems



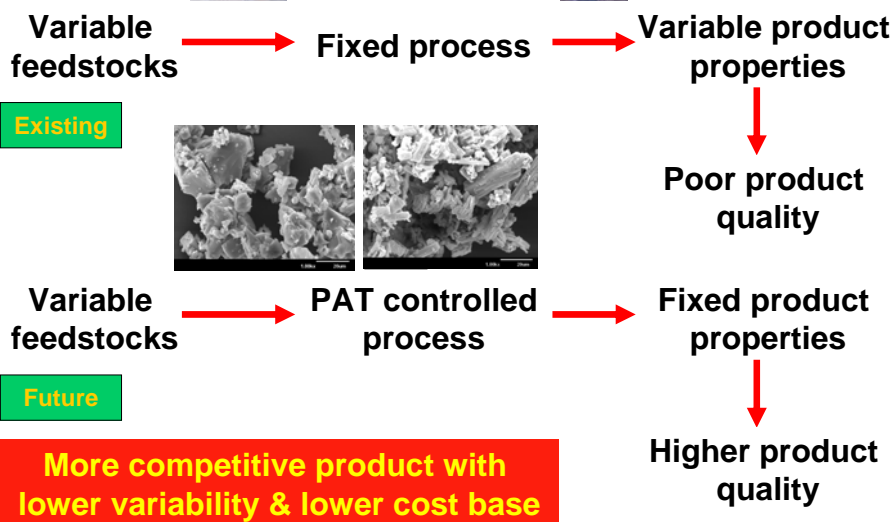
but driving up costs & decreasing productivity”

**“FDA has stimulated use of PAT to improve efficiency & flexibility whilst maintaining high quality standards”**

**Design in Quality (QbD) rather than End Product Testing**

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## Need for PAT for Advanced Control of Manufacturing Processes



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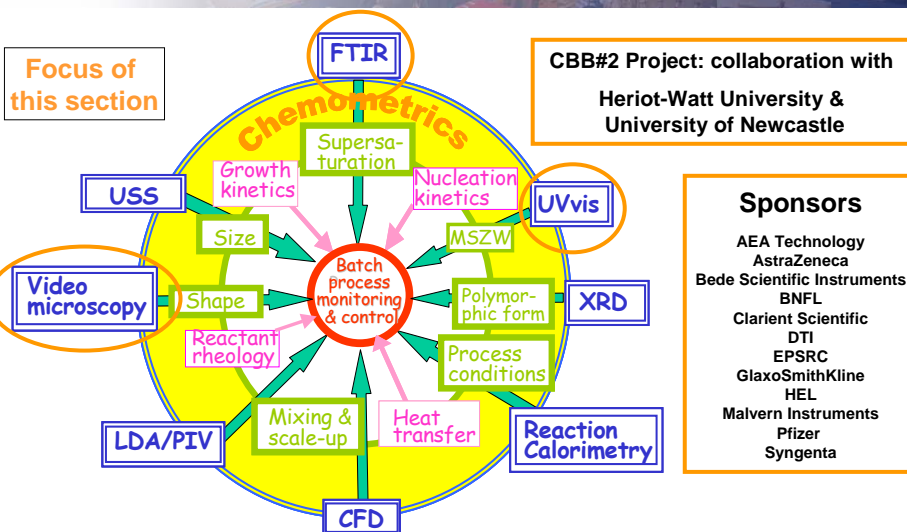
## Batch Crystallisation Engineering Science

- Crystallisation (cooling, reactive, evaporative) key step in pharmaceutical manufacture
  - effects solid-liquid isolation & separation
  - enables product purification
- How does it do this?
  - molecular recognition on growth step controlled surfaces
  - via which growing crystal recognises host & rejects impurities
- Two main fundamental steps
  - Nucleation - assembly of molecular scale 3-D clusters (10-1000 molecules)
    - dominant step - many small crystals
  - Growth – simultaneous 2-D growth of nuclei on atomically



**Controlling competing demands of nucleation & growth  
Is key issue for scale-up from laboratory to plant size**

## Chemicals Behaving Badly (CBB): Integrated In-Process Analytics





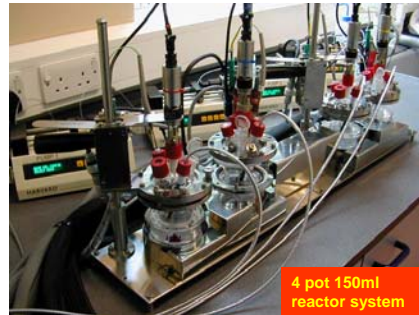
## Automated Batch Reactors for Process (PAT) Monitoring



20 litre reactor system



2 litre reactor system



4 pot 150ml reactor system

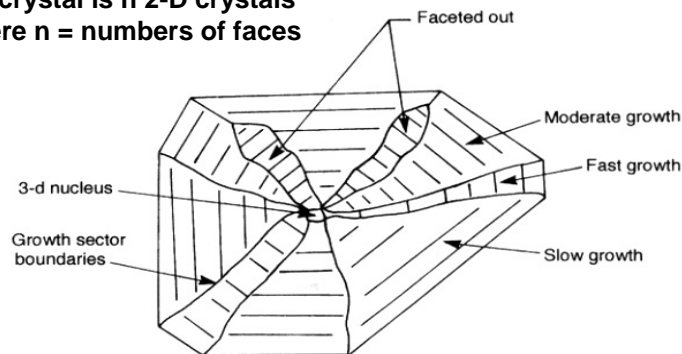
Batch reactor vessels (HEL Autolab & Similar) equipped with reaction calorimetry, turbidity, XRD, NIR, ATR FTIR, ultrasonic spectroscopy & digital video microscopy plus temperature & pH probes

150ml, 500ml, 2l, 20l & 200l scale sizes with solids & liquid dosing

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## Crystal Shape: Outcome of 3-D Nucleation & 2-D Growth Processes

3-D crystal is n 2-D crystals where n = numbers of faces



Each habit face has different surface chemistry & hence different processing properties

Crystals exhibit well-defined shape below roughening transition with surfaces defined by low-indexed planes

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## Chemische Kristallographie, P Groth (1907)

Keine deutliche Spaltbarkeit.  
Auslöschungsschiefe auf  $\delta\{010\} 21^\circ$ ; durch  $r$  und  $\sigma$  ...  
Durch  $r\{001\}$  starker Pleochroismus, hell weingelb ( $\parallel\beta$ -Axe) und orangegeb.

**3,6-Dinitroethylanyliline**  
 $C_8H_8(NO_2)_2 \cdot N(C_2H_5)_2$   
Schmelzpunkt  $74^\circ$ .  
Spec. Gew. 1,362 Jaeger<sup>5</sup>.  
Monoklin prismatisch.  
 $a:b:c = 1,1826:1:1,7228$ ;  $\beta = 91^\circ 24\frac{1}{2}'$  Jaeger<sup>5</sup>.  
 $\{x:\psi:\omega = 5,223:4,447:7,609$ ; ...

Aus Alkohol lange platte Nadeln,  
meist ohne Endflächen; aus Äther +  
Alkohol die Combination (Fig. 1800):  
 $r\{001\}$ ,  $g\{012\}$ , daneben sehr schmal  
 $s\{011\}$ , an den Enden  $\sigma\{111\}$ .

Berechnet: Beobachtet:  
 $g:r = (012):(001) = \dots 40^\circ 44'$   
 $\sigma':r = (111):(001) = \dots 66 \ 51$   
 $\sigma':g = (111):(012) = \dots 40 \ 52\frac{1}{2}$   
 $s:r = (011):(011) = 60^\circ 17' \quad 60 \ 14$

Spaltbarkeit nach  $s\{011\}$  vollkommen.  
Auslöschungsschiefe auf  $g\{012\}$  ca.  $12^\circ$ . Pleochroismus durch  $r\{001\}$  orange  
( $\parallel\beta$ -Axe) und karmoisinrot.

**2,4,6-Trinitroäthylanyliline (Diäthylpikramid) =  $C_8H_5(NO_2)_3 \cdot N(C_2H_5)_2$ .**  
Schmelzpunkt  $164^\circ$ .  
Spec. Gew. 1,476 Jaeger<sup>5</sup>.

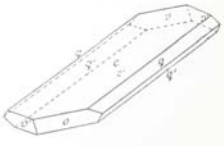


Fig. 1800.

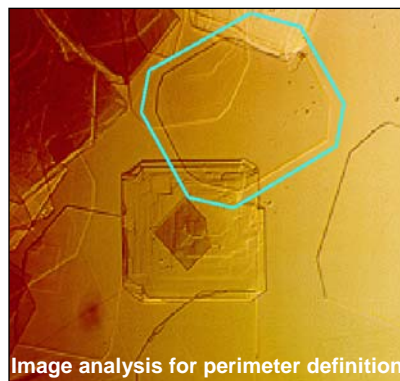
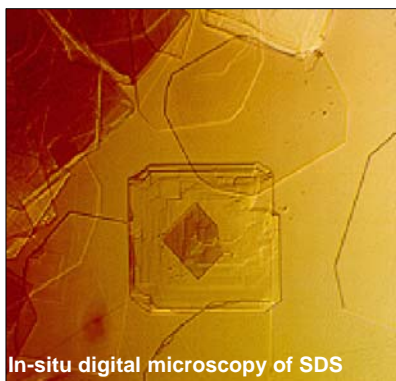
Five Volume Reference Work Providing Details of all  
Morphologies for then Known Crystallographic Phases

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## Digital Video Microscopy for Monitoring Crystal Shape

Identify pseudo-polymorphic form of Sodium Dodecyl  
Sulphate (SDS) via morphological simulation



Note: prior to XRD (Bragg 1914) all crystallography  
was via morphological examination, e.g. Groth (1907)

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## Polymorph Identification from Crystal Shape via Video Microscopy

hemihydrate

anhydrate

monohydrate

1/8 hydrate

Extracted perimeter segment

... good match to observed morphology ...

**Shapes predicted from crystal structures via HABIT95 program**  
L A Smith, A Duncan, G B Thomson, K J Roberts, D Machin & G McLeod, J Crystal Growth 263 (2004) 480-490

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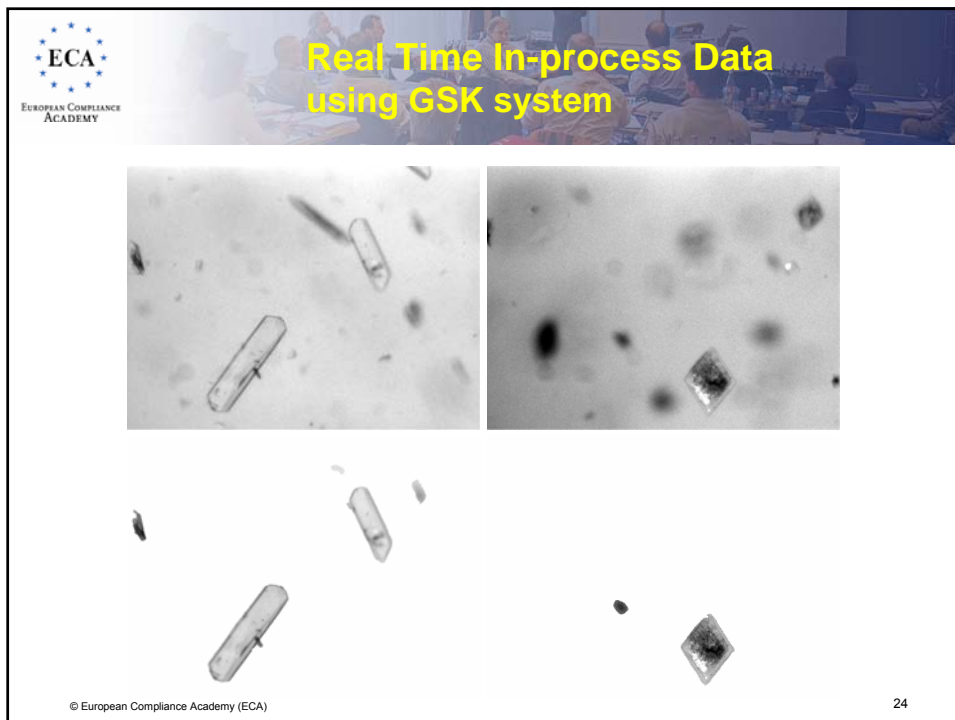
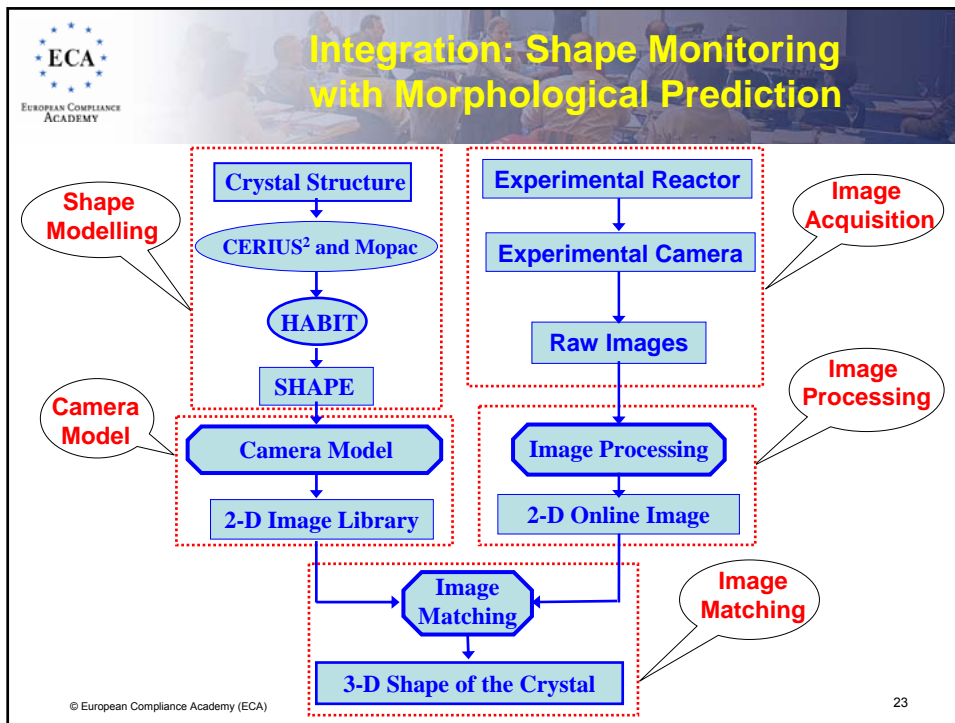
## Monitoring of Crystal Shape via Digital Video Microscopy

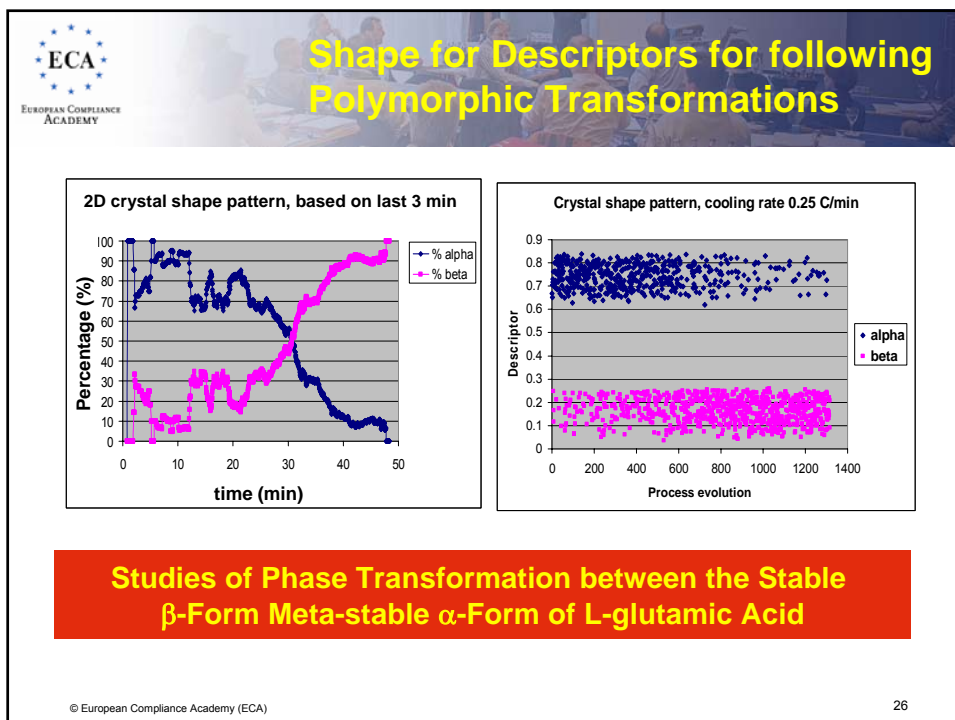
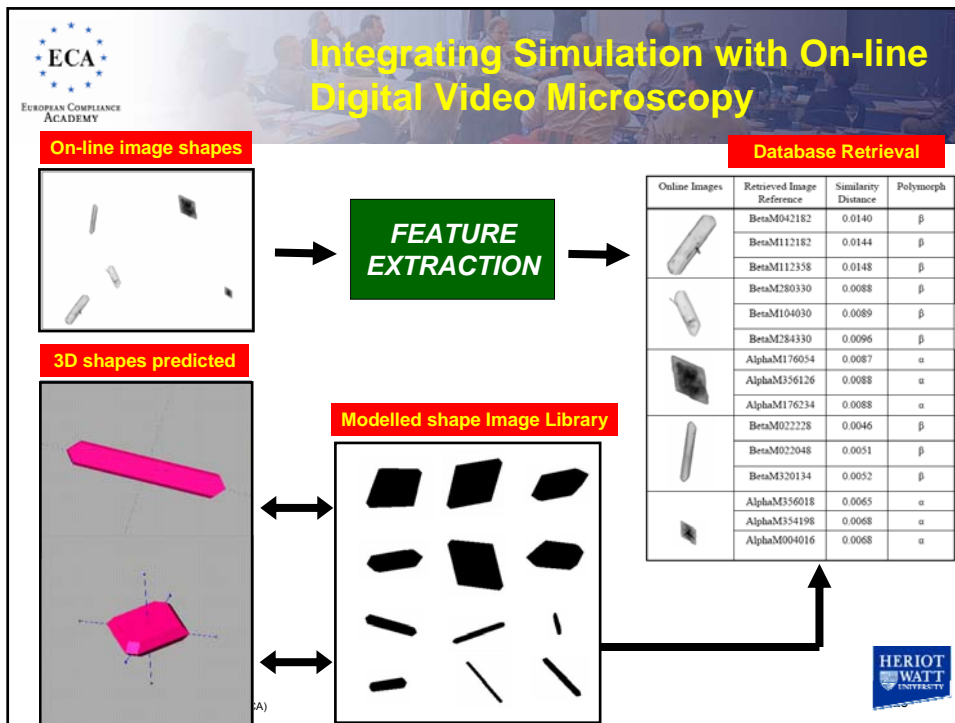
**Stroboscopic digital video Microscopy for crystal shape monitoring developed by GlaxoSmithKline, Harlow, UK**

Enables examination of crystal shape during batch processing at ca. 1 litre scale size

Advantage of in-process Measurements whilst being but non-invasive

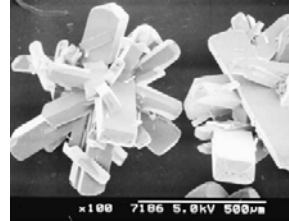
**Enabling technology for Malvern Instruments PVS380 Pharmavision & Morphologi shape analysis systems**





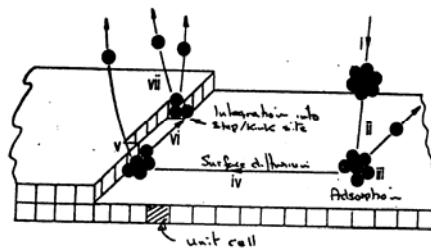
## Impurity Incorporation Strongly Affect Crystal Properties

- **Note:** low levels of impurities have big effect on crystals growth, i.e.
  - ppm of sodium ferrocyanate changes salt crystal morphology to dendritic
- Hence, consider typical  $100 (\mu\text{m})^3$  crystal of Aspirin having a ca. 0.1% impurity content
- Such a particle would have ca. 10nMol ( $10^{16}$  molecules) of material & hence  $10^{13}$  molecules of impurity
- Moving towards a sigma 6 culture demands a drastic reduction in impurity content in crystals to reduce product variability
- Demanding much better selectivity in synthesis to reduce formation of hetero-impurity side-products



**Need for better linkage between synthetic chemistry & downstream isolation & separation processes**

### Mass Transfer Stages in Crystal Growth from Solution



- bulk transport (i): here under the driving force of supersaturation solvated monomers in the bulk mother phase solution are transported towards the growth interface;
- boundary layer diffusion (ii): close to the crystal/solution interface the solution is depleted of solute and a concentration boundary layer, through which the solvated monomers must diffuse, is set up;
- surface nucleation/adsorption of monomers on the surface (iii);
- interfacial diffusional processes (iv-vii): here the adsorbed monomers find their optimum incorporation sites (flat surface, step or kink site) and undergo varying degrees of desolvation.

### The Crystal Growth Interface Can be Highly Selective on Molecular Scale

Purification via crystallisation reflects molecular selectivity at the crystal growth interface

Molecular size and shape can be important factors as to whether a given material can be easily purified.

AZULENE



$5 \times 10^{-4}$  M

IN

NAPHTHALENE



poor segregation

AZULENE



$5 \times 10^{-4}$  M

IN

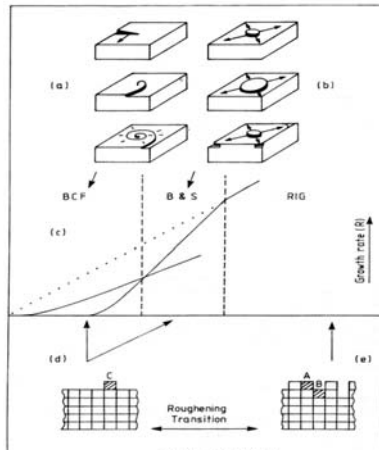
BIPHENYL



complete segregation.

**Note:** impurities can play an enormously powerful role in mediating & controlling both nucleation & growth stages in overall crystallisation process

## Crystal Surface Growth: Different Mechanisms

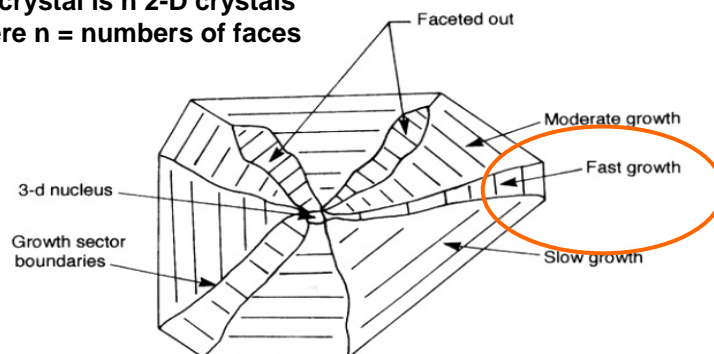


- Crystal growth interface relies on molecular recognition to effect high species selectivity
- 3 main mechanisms
  - screw dislocation (BCF)
  - birth & spread (B&S)
  - rough interface (RIG)
- At high supersaturation &/or temperatures growth interface roughens

**For pure crystals growth interface needs to be singular as rough interfaces cannot easily reject impurities**

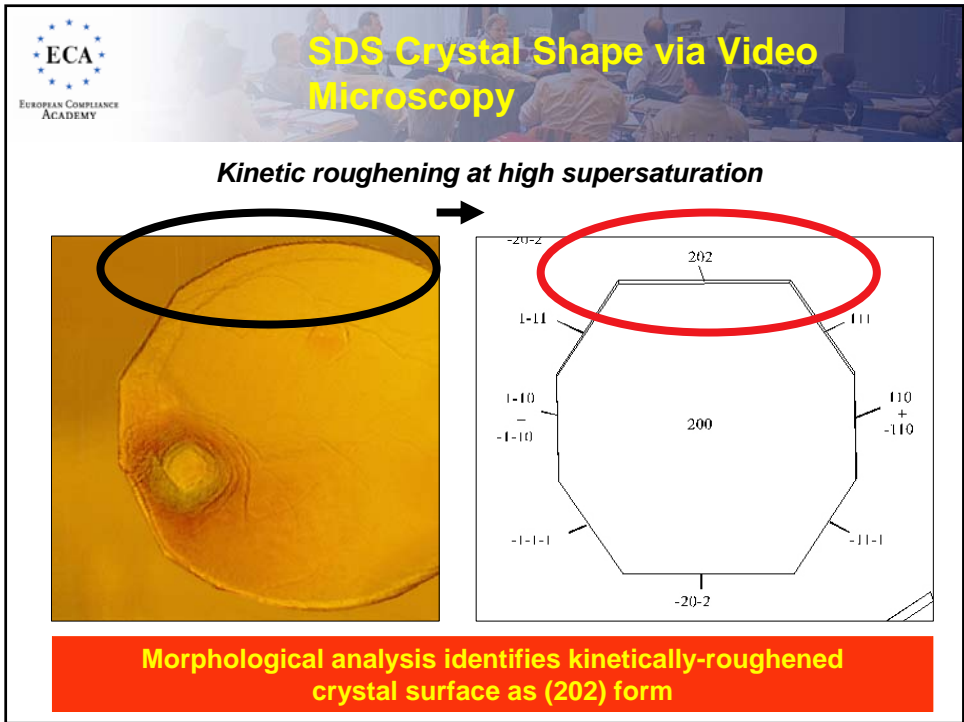
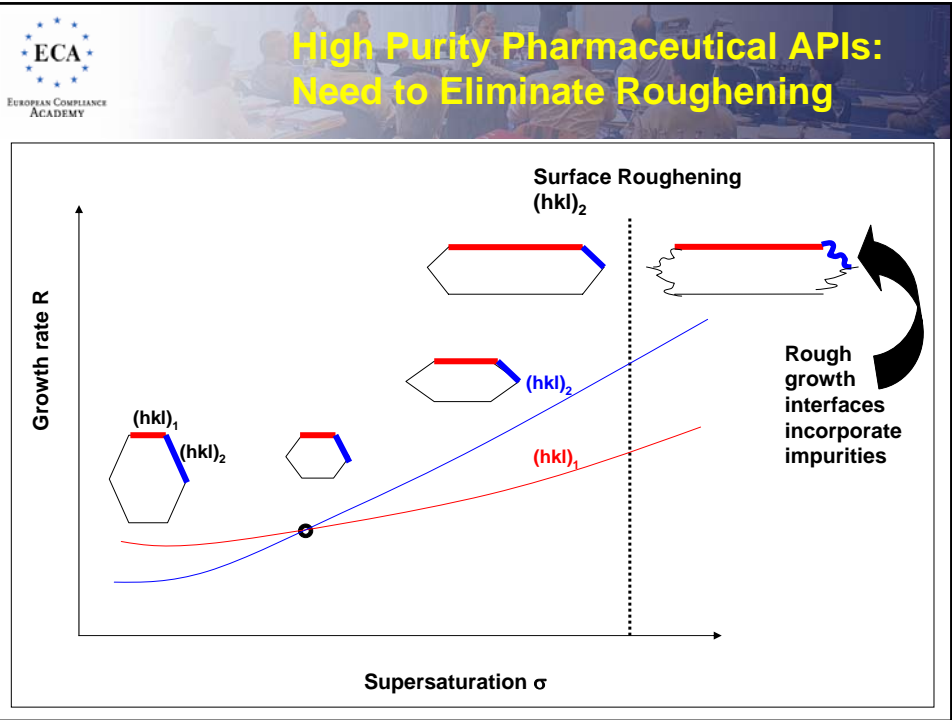
## Crystal Shape: Outcome of 3-D Nucleation & 2-D Growth Processes

3-D crystal is n 2-D crystals where n = numbers of faces



**Each habit face has different surface chemistry & hence different processing properties**

**Crystals exhibit well-defined shape below roughening transition with surfaces defined by low-indexed planes**



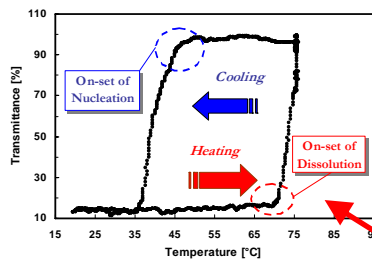


## Meta-Stable Zone Width via Optical Turbidimetry

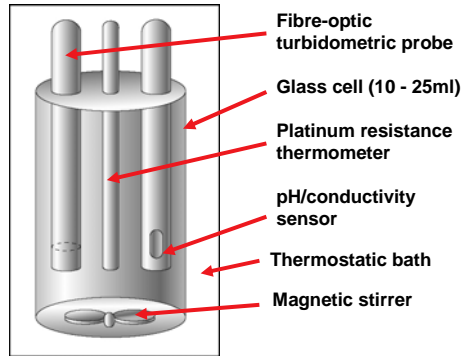
MSZW represents nucleation barrier to crystallisation process being temperature zone between:

- Dissolution (thermodynamic)
- Crystallisation (kinetic)

MSZW: - scale, system, reactor & operating condition dependant



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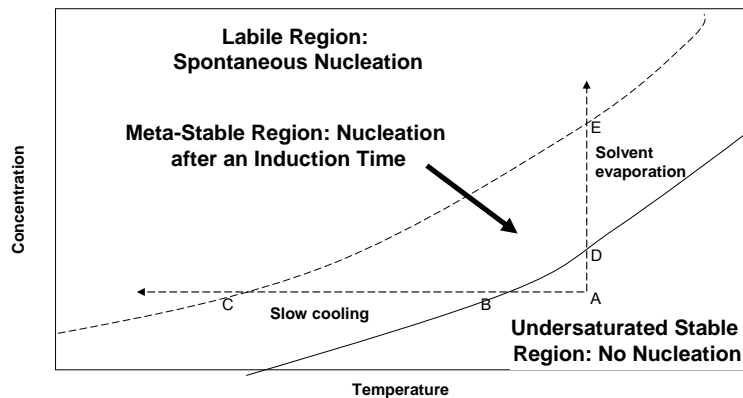
Measure MSZW using micro-reactor with in-process turbidometric probe

Use to detect on-set of crystallisation & dissolution processes

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## Meta-Stable Zone Width (MSZW)

Meta-stable zone – boundary between kinetic crystallisation Points (CE) & thermodynamic dissolution points (BD) wrt initially undersaturated solution state (A)



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## MSZW for Typical Pharmaceutical

MSZWs vary with process conditions  
e.g. cooling rates – kinetic process

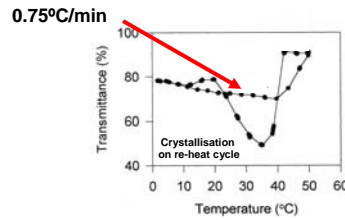
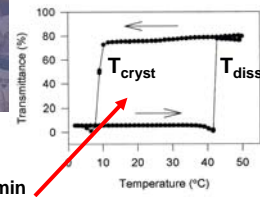
Important that crystallising  
solutions are not cooled too fast

Need to match nucleation rate to  
excess solubility generation via  
(say) solution cooling

Too fast cooling creates excess  
supersaturation as solutions  
can't nucleate fast enough

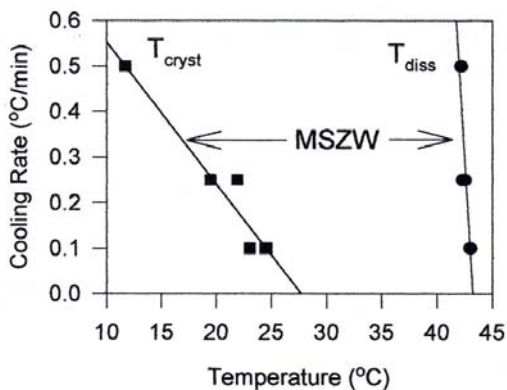
Effect changes with scale  
size, equipment & operational  
conditions

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| Cooling Rate<br>°C min <sup>-1</sup> | MSZW<br>°C | pH | MSZW<br>°C |
|--------------------------------------|------------|----|------------|
| 0.50                                 | 30.5       | 2  | 15.6       |
| 0.25                                 | 22.1       | 4  | 17.2       |
| 0.10                                 | 19.0       | 6  | 21.9       |

## MSZW for Typical Pharmaceutical Compound



Calculate nucleation order (m): low order  
- T sensitive & high order – T insensitive

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Use turbidity to measure  $T_{cryst}$   
&  $T_{diss}$  as function of heating &  
cooling rates (b)

Plotted slope indicates ease of  
nucleation & enables  
assessment of balance between

- rate of solubility decrease  
with cooling
- rate of nucleation

Fit plot of MSZW to b via Nyvlt  
equation

$$\log(b) = m \log(\text{MSZW}) + A$$

where m is reaction order &

$$A = (m-1) \log \frac{dC}{dt} + \log k$$

where c - concentration, k - rate  
constant & t - temperature

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## MSZWs of Sodium Laurate (NaL- C12) & Myristate (NaM – C14)

| Concentration<br>(wt%) | MSZW (C) |      |
|------------------------|----------|------|
|                        | NaL      | NaM  |
| 5                      | 6.81     | 4.56 |
| 10                     | 7.25     | 4.12 |
| 15                     | 5.10     | 3.01 |
| 20                     | 4.33     | 2.75 |

increase

decrease

| NaL/NaM ratio | MSZW (C) |
|---------------|----------|
| 1:0           | 4.33     |
| 3:1           | 5.73     |
| 1:1           | 3.99     |
| 1:3           | 7.45     |
| 0:1           | 2.75     |

MSZW smaller for longer chain length  
and for higher concentration

Solid solution behaviour for  
1:1 mixtures but not 1:1

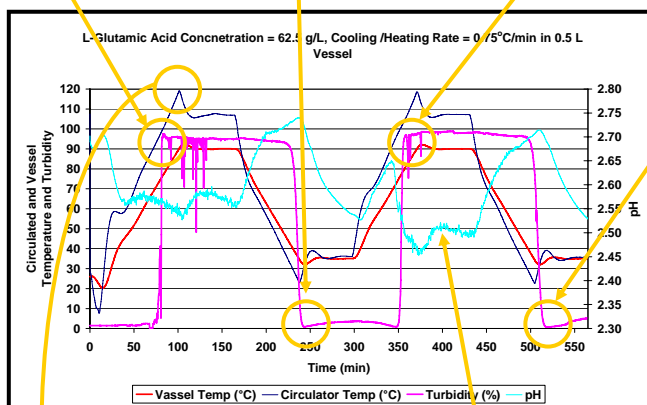
## Slow Cool Data to Measure Meta- Stable Zone Width (MSZW)

Dissolve up  
raw materials

Crystallisation  
point

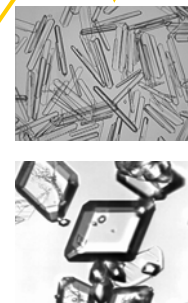
Dissolution  
point

Re-crystallise &  
harvest crystals for  
optical microscopy



Reactor jacket temperature  
overshoot

Variation in solution  
pH due to T, c change



Cross-check crystal  
morphology against  
that predicted


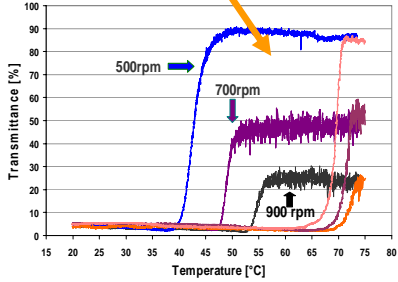
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## Nucleation Scale-Up

Nucleation promoted via sites within crystallisation reactor such as:

- Walls of vessel & at liquid free surface
- Stirrer & reactor internals such as baffle surfaces & impellers
- Heteronuclei, e.g. impurities, particulates, seeds etc.
- Particle/particle & reactor/particle collision attrition fragments
- Process inhomogeneities due

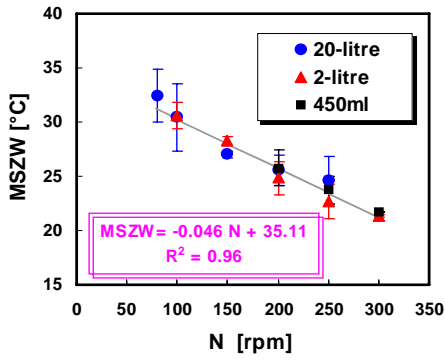
LGA: stirrer speed effects MSWZ with nucleation being enhanced by greater mixing

**Fundamental understanding of nucleation processes vs reactor scale essential if NPI timescale to be met**

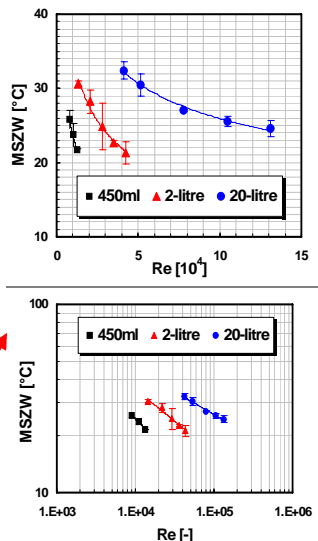
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## Effects of Reactor Stirring & Scale Size on Nucleation



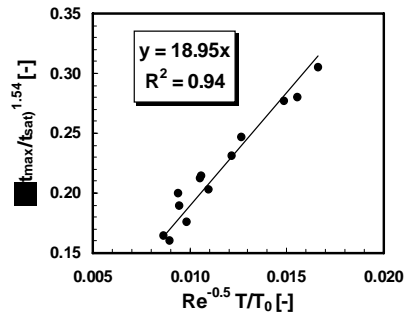
MSZW correlates to stirrer speed across several reactors scale sizes

$MSZW \propto Re^a$



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## Glutamic Acid: Scale-up Correlations

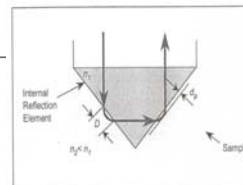
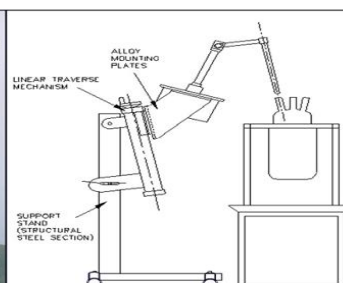
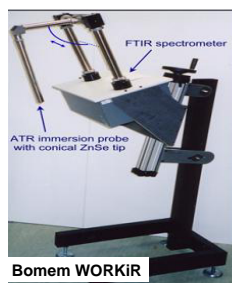


- Physical properties of substance: e.g. molecular weight ( $m$ )
- Physical properties of mother liquor: e.g. viscosity ( $Re$ )
- Reactor internals: e.g. stirrer materials & surface roughness ( $m$ )

$$J \propto \left( \frac{\Delta t_{\max}}{t_{\text{sat}}} \right)^{1.54} = 18.95 Re^{-0.5} \left[ \frac{T}{T_0} \right]$$

## Using ATR-FTIR & Turbidity to Examine Crystallisation On-set

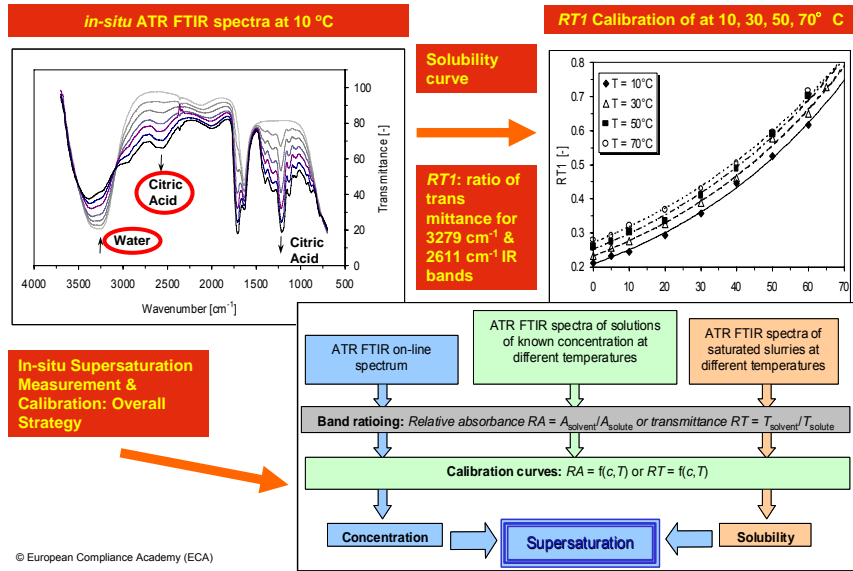
- Control of API nucleation vital to avoid variability downstream in product formulation with concomitant QA problems
- Supersaturation measurements cross-correlated with measuring crystallisation on-set during processing



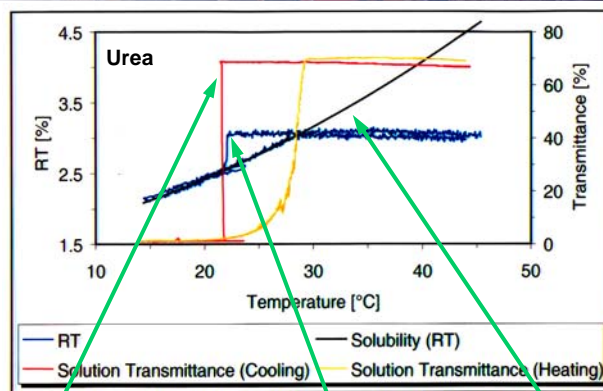
$$d_p = \frac{\left( \frac{\lambda}{n_2} \right)}{2\pi \left[ \sin^2 \theta - \left( \frac{n_2}{n_1} \right)^2 \right]^{1/2}}$$

Portable ATR FTIR with Direct Data Logging to HEL AUTOLAB

## ATR-FTIR Spectra Calibration vis Peak Ratio Method



## ATR-FTIR Combined with Turbidimetric Measurements



Crystallisation  
on-set via turbidity

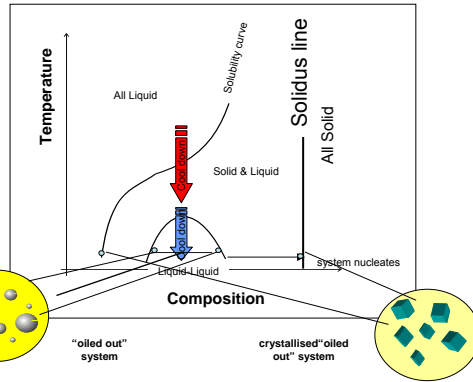
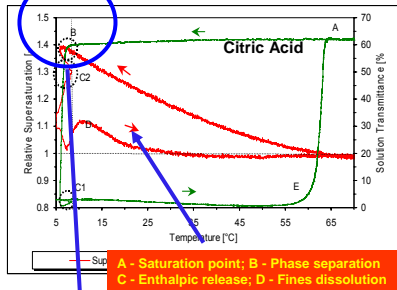
De-supersaturation  
following nucleation

Equilibrium  
solubility

Temperature programmed studies reveal, as expected, ATR FTIR detects crystallisation on-set ahead of turbidity probe (size limit ca. 1µm)

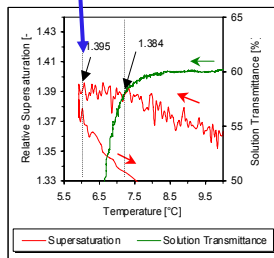
## ATR-FTIR & Turbidimetric Studies of Citric Acid

Temperature programmed studies reveal phase separation prior to nucleation (wide MSZW)

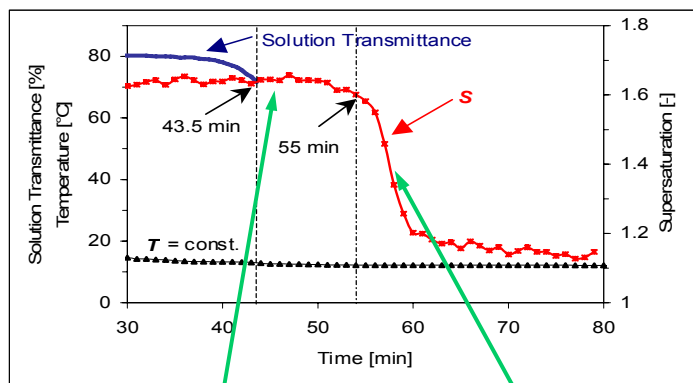


Note: Poorly nucleating materials with wide MSZWs tend to oil-out particularly when process scaled up

Significant problem in crude crystallisation post synthesis when hetero-impurity content is high



## Phase Separation in Citric Acid Prior to Nucleation



Constant supersaturation prior to nucleation

Rapid de-supersaturation after on-set of nucleation

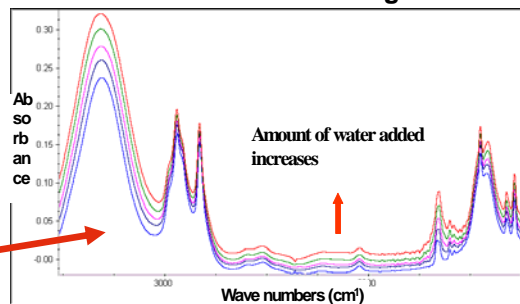
## Benzophenone via Aqueous Drown-out

- Use of ATR FTIR to monitor on-line concentration & supersaturation in drowning-out process
- Building calibration model for Benzophenone concentration in Water/Methanol solution On-line monitoring of drowning-out of Benzophenone in Water/Methanol
- Studying effect of antisolvent addition rate on drowning-out process

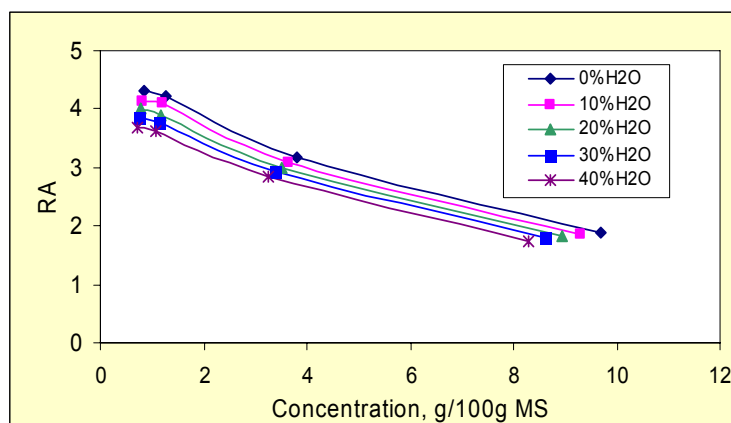
ATR FTIR spectra of benzophenone in water-methanol solutions at 20°C & different amount of water added

IR peaks: methanol at 2942  $\text{cm}^{-1}$  & benzophenone at 1281  $\text{cm}^{-1}$

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## ATR-FTIR Calibration for Aqueous Drown-out Studies



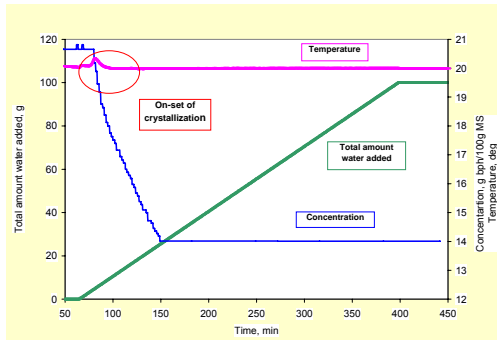
RA calibration curves for benzophenone in water-methanol solution at 20°C as f (Conc)

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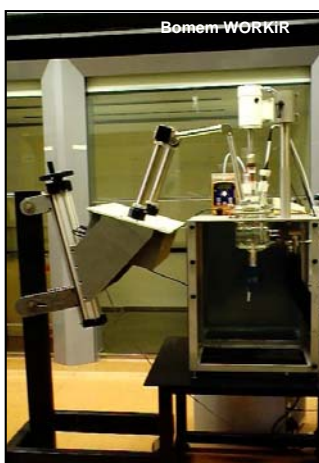


## Aqueous Drown-out of Benzophenone from Methanol

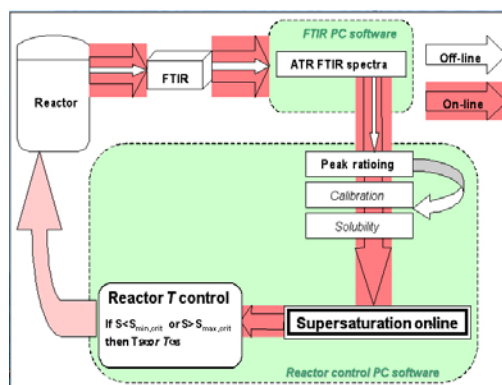


**Benzophenone solute concentration decreases from 20.65 to 14.02 g/100g via aqueous drown-out from methanolic solutions**

## Crystalliser Supersaturation in Closed-loop Control via ATR-FTIR



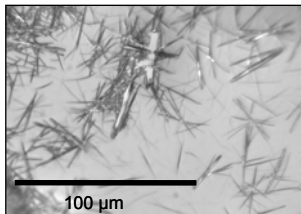
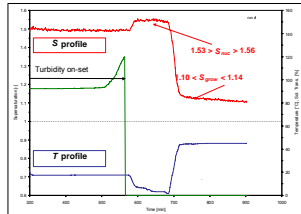
**Batch reactor with ATR FTIR probe**



**Control system including FTIR peak ratio based calibration matrix**

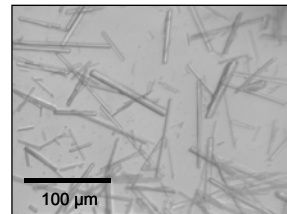
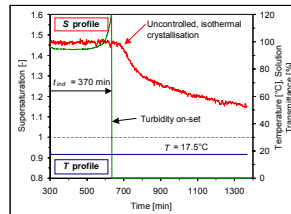
## Close-loop Supersaturation Control: MSG Crystals Made to Measure

### High $S_{nuc}$ and low $S_{grow}$



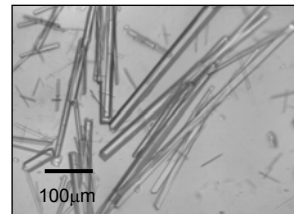
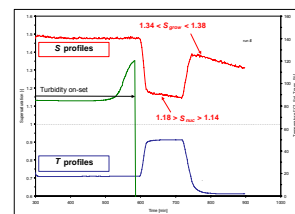
... lots of small crystals...

### No S control



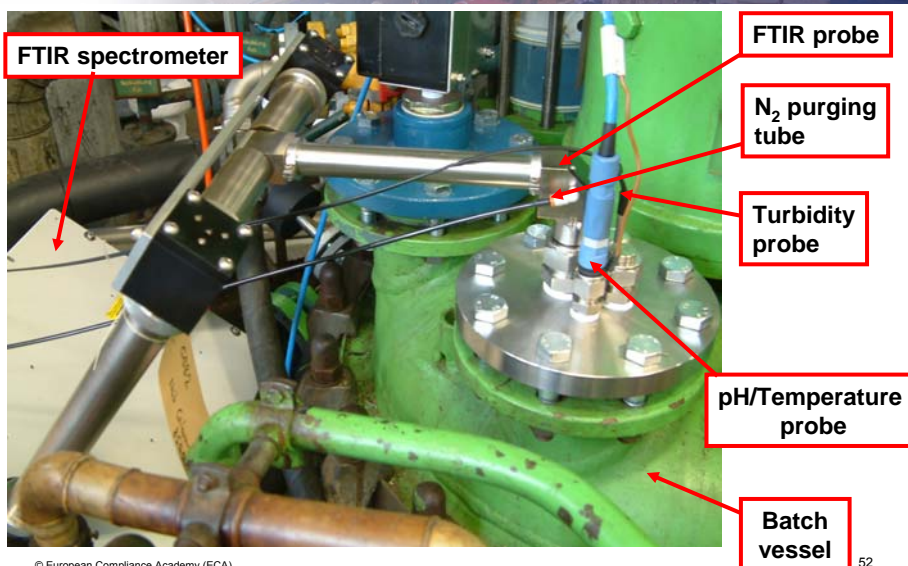
... mixed size crystals...

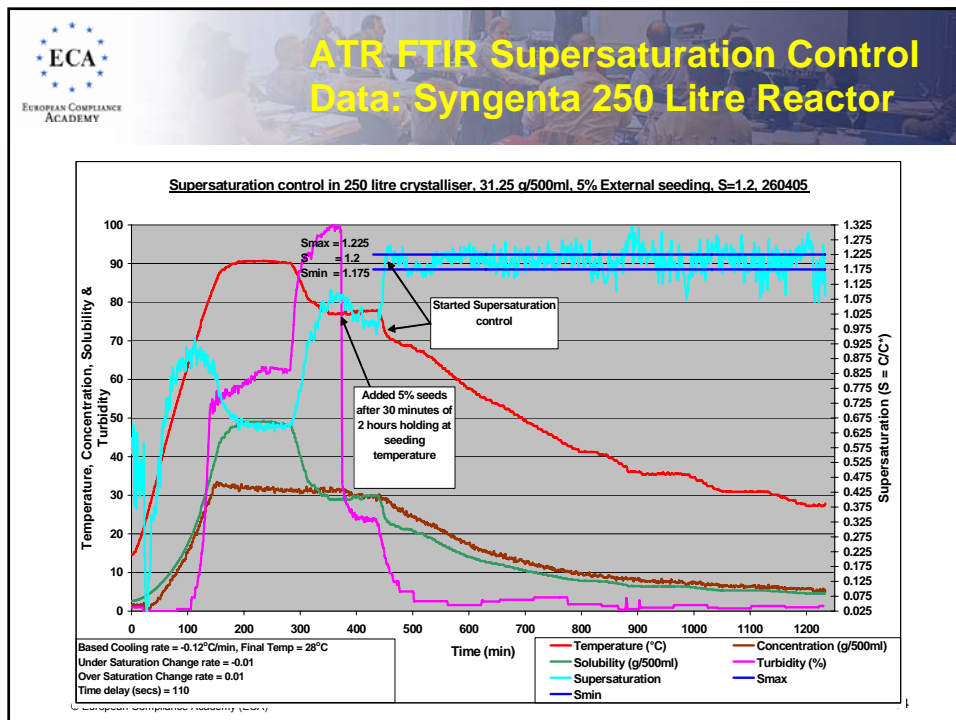
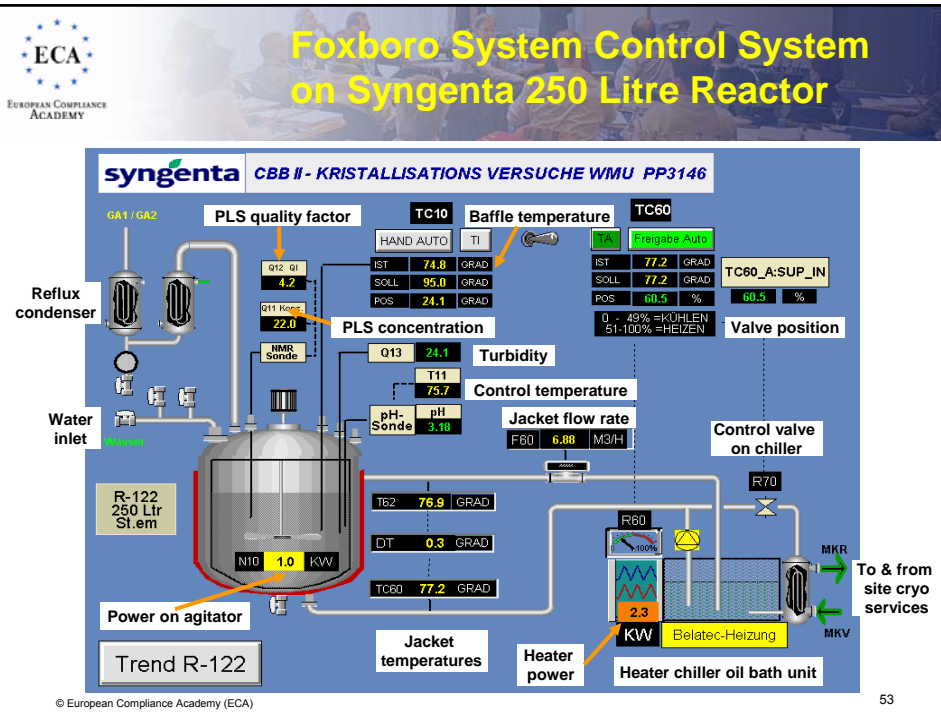
### Low $S_{nuc}$ and high $S_{grow}$



... few bigger crystals...

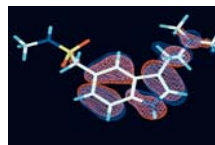
## Supersaturation Control on 250 Litre Reactor





## Need for Better Industry/University Linkages

- **Academic research is curiosity-based**
  - not very focussed on needs of industrial product manufacture
- **Industrial research is very delivery-based**
  - not too focussed upon fundamental science unless it impacts on product performance
- **Both academic & industrial approaches are highly complementary**
  - strong synergy & each has a lot to learn from the other
- **Strong EU academic research base poorly connected to needs of speciality materials industry**
  - key current industrial objective to cross-



**Major challenge for sector: how to build-up joint industry academic teams to deliver against strategic needs**

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## Acknowledgements

I would like to gratefully acknowledge

Royal Academy of Engineering & AstraZeneca for supporting my industrial secondment from which I gained a greater insight into current needs of the speciality chemical sector

- particularly hosts Simon Ruddick & Mark Hindley

PAT studies of crystallisation processes involved collaboration\* with Heriot-Watt & Newcastle Universities with funding from DTI, EPSRC, AEA, AstraZeneca, BASF, Bede, BNFL, Clairret, GSK, HEL, ICI, Malvern Instruments, Pfizer & Syngenta

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- Xue Wang & Jorge Calderon de Anda – Video-microscopy
- Tariq Mahmud, Antonia Borrisova, Shahid Kahn & Heidi Grön – ATR FTIR
- Lesley McCalman & Richard van Gelder – Turbidometric studies

\* Chemicals Behaving Badly Project

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## Closure and Thanks

In this talk, I have tried to...

- ◆ Review basic crystal science associated with the crystallisation (nucleation & growth) of fine chemical products set within an holistic industrial perspective
- ◆ Stressed importance, & reviewed a number of works, of process analytical techniques (PAT), notably DVM, Turbidometric & ATR FTIR through work aiming to improve understanding of batch crystallisation processes & its scale-up

Once again, many thanks to the organisers of PAT Conference 2007 for this kind invitation to visit Heidelberg and to present this paper at this most stimulating meeting

And of course you, the audience, for your kind attention

***I will be most happy to attempt to answer questions!***