



# ***Drug Product Characterization: What Solid Form is in My Formulation?***

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# Solid Forms

## Classes of multicomponent molecular crystals



Neutral

Charged



1. Homomeric

*Polymorphs*

2. Hydrate/solvate

6. Salt hydrate/solvate

3. Cocrystal

7. Salt cocrystal

4. Cocrystal hydrate

8. Salt hydrate cocrystal

5. Salt

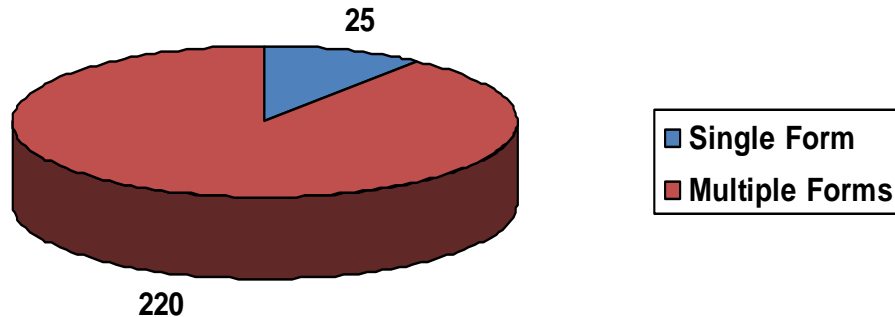
6. Salt hydrate/solvate

7. Salt cocrystal

8. Salt hydrate cocrystal

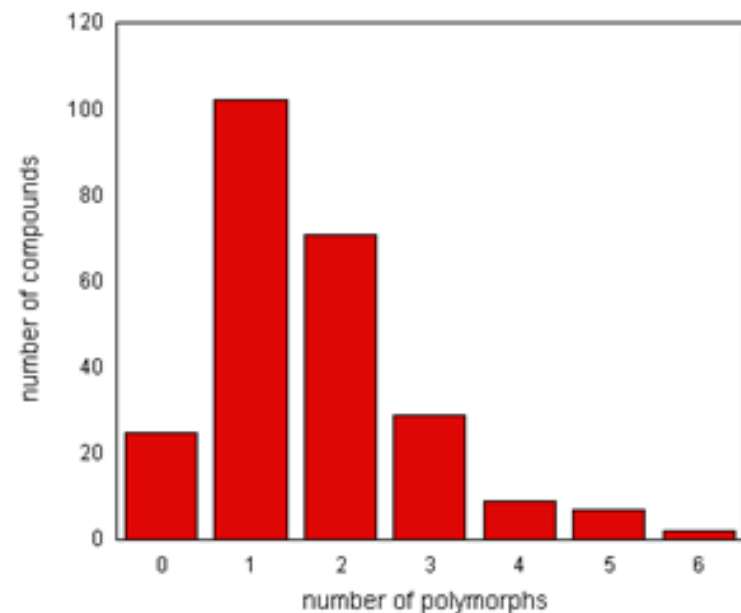
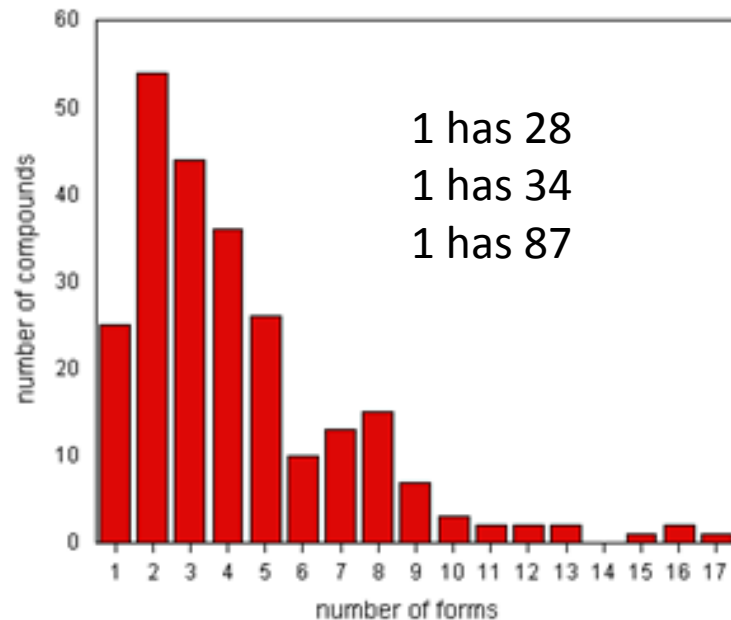


# Solid Forms



89% of compounds screened resulted in multiple forms (based on 245 screens)

- includes 10 steroids, 7 peptide-based structures, 5 cephalosporins, 4 organometallics, 2 macrolide antibiotics





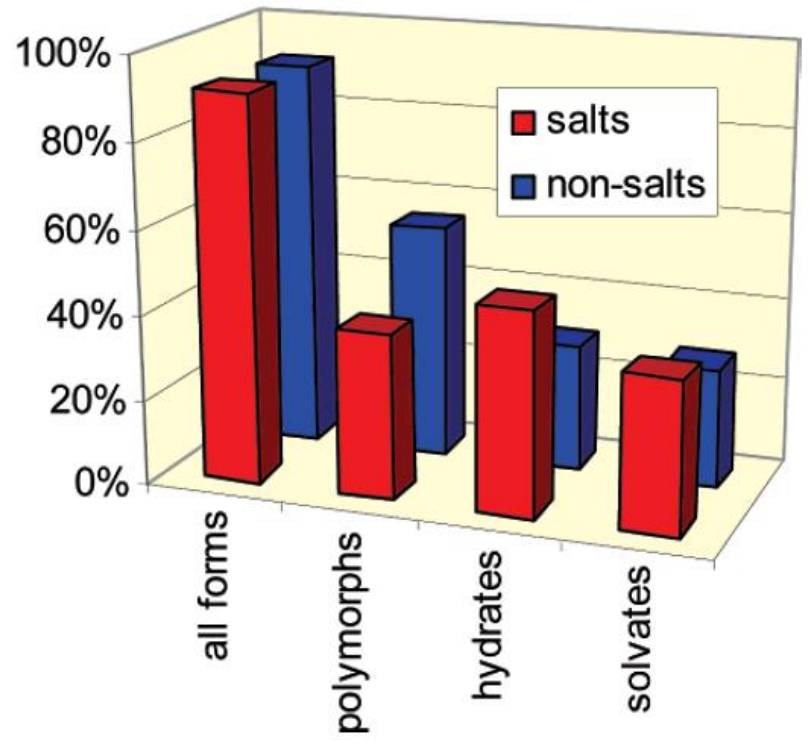
# Solid Forms

- Propensity to produce different forms not significantly different for salts and non-salts
- Need more data on cocrystals

Percentages of Forms from Polymorph Screening

	all compounds [count (%)]	salts [count (%)]	non-salts [count (%)]
multiple forms <sup>a</sup>	220 (89)	86 (91)	116 (91)
multiple crystalline forms <sup>b</sup>	200 (82)	77 (81)	105 (82)
polymorphs <sup>c</sup>	118 (48)	37 (39)	71 (55)
hydrates	94 (38)	46 (48)	38 (30)
solvates	78 (32)	34 (36)	36 (28)
noncrystalline	118 (48)	51 (54)	55 (43)
total compounds	245	95	128

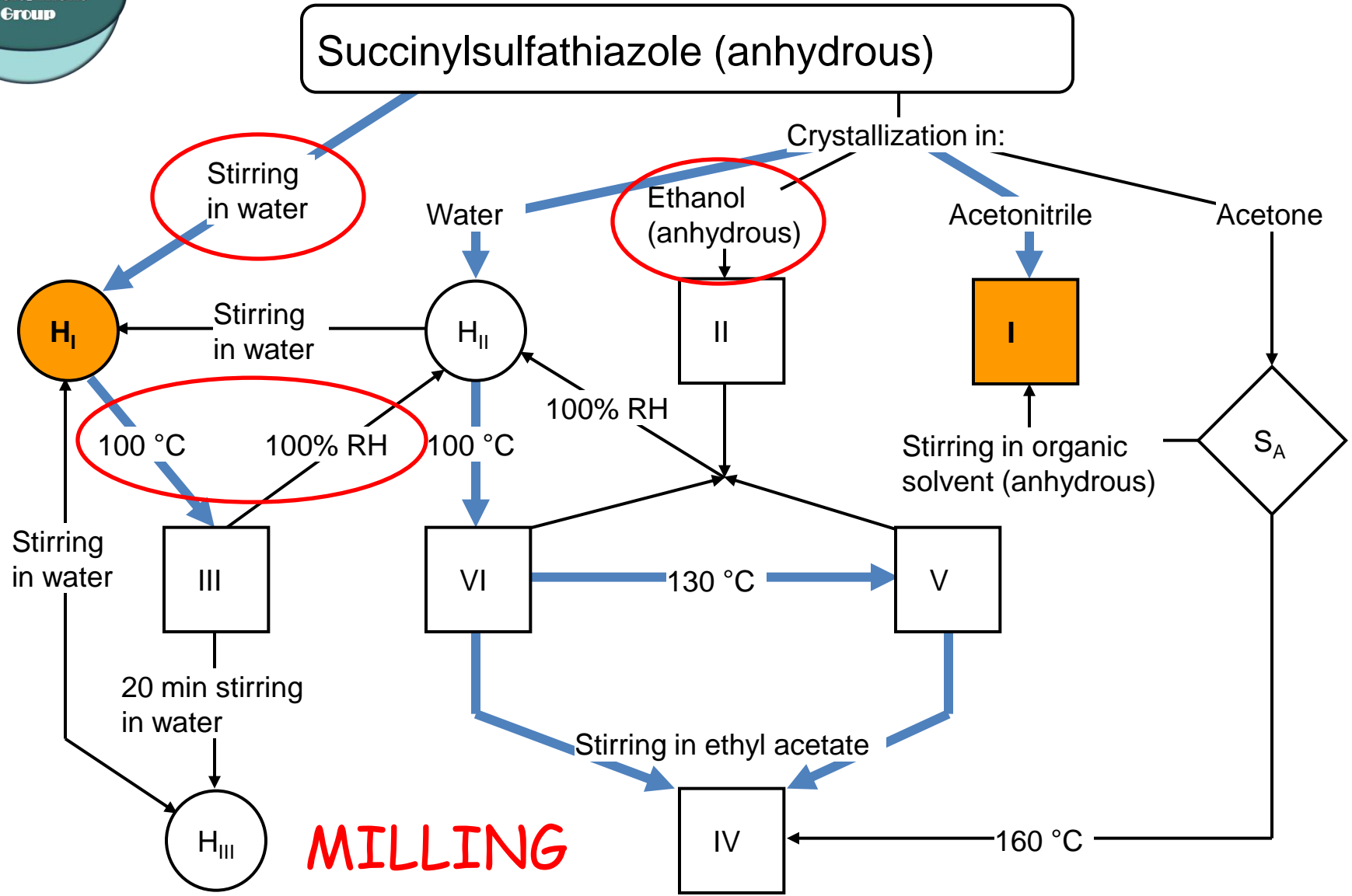
<sup>a</sup> Crystalline polymorphs, hydrates, and solvates plus noncrystalline forms. <sup>b</sup> Crystalline polymorphs, hydrates, and solvates. <sup>c</sup> Crystalline polymorphs.



Stahly. *Crystal Growth & Design*. 2007, 7, 1007-1026



# Solid Forms





# Drug Products

- Tablets
- Capsules
- Solutions
- Suspensions
- Intravenous (IV)
- Soft gel capsules



- Inhalers
- Implants/stents
- Suppositories
- Patches
- Emulsions
- Depot
- Other



Interference from excipients is major issue for drug products



# Liquid Dosage Forms

- Solution
  - Solid is dissolved in liquid, usually with other excipients
  - Can be exposed to elevated temperatures during manufacture
- Suspension
  - Solid is suspended in liquid, usually with other excipients
- Reconstituted Solutions
  - Solid is freeze-dried, usually with excipients
  - Solid is usually amorphous
  - Liquid added at later time to make solution
- Can be exposed to elevated temperature during stability studies, shipping, storage



<http://www.lorrainespharmacy.com/compounding/oral.htm>



<http://www.vetter-pharma.com/vcc/lyo/lyo1>





# Liquid Dosage Forms

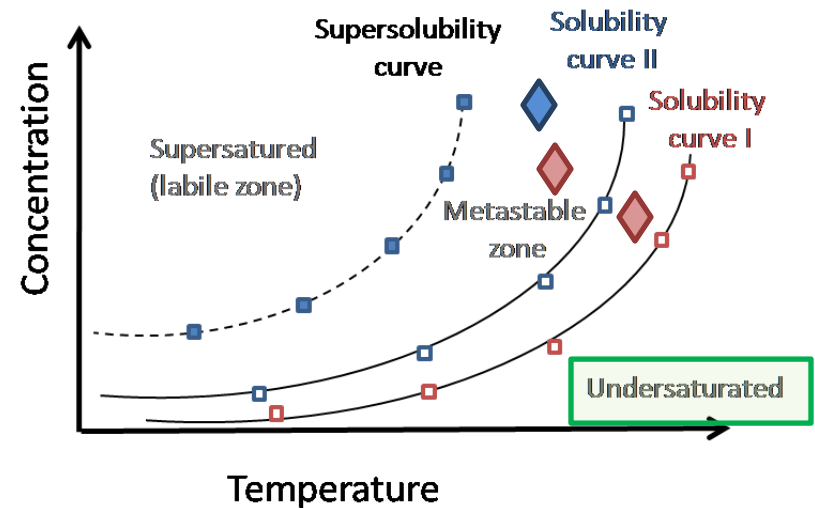
- Excipients added such as thickeners, preservatives, buffer agents, sweeteners, etc

- Solution

- Drug is dissolved in formulation vehicle
- Concentration should be below equilibrium solubility of form in vehicle to prevent crystallization

- Suspension

- Drug is suspended in formulation vehicle
- Even with low solubility formulations, drug can dissolve and recrystallize over time
- Most stable form usually used to prevent recrystallization





# Solid Dosage Forms

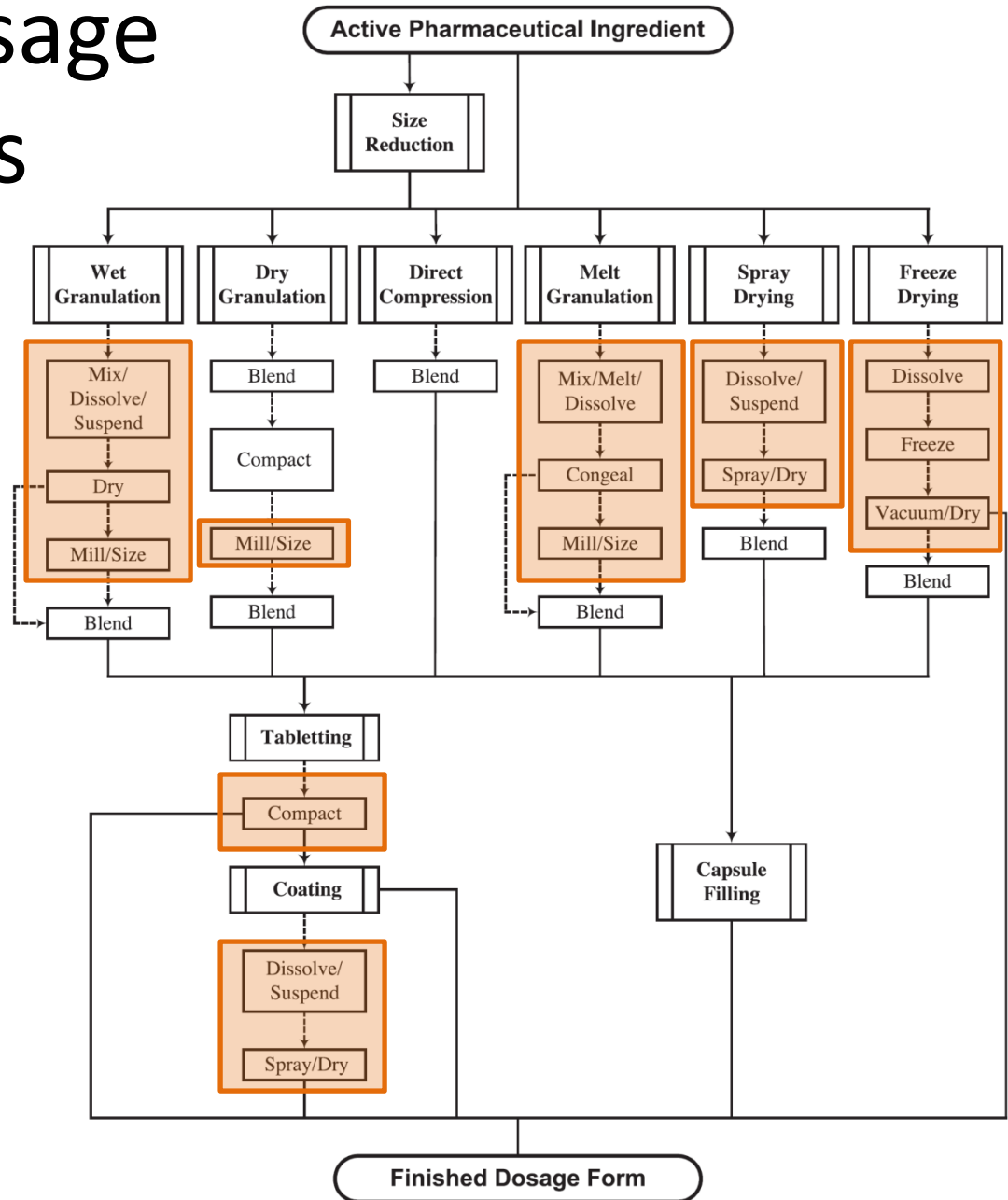
- Solid mixed with excipients (disintegrants, flow aids, etc)
  - Wet granulation
    - Mix solids with water or solvent
    - Dry solids
    - Mill to produce powder
  - Dry granulation/direct compression
    - Mix solids dry
- Put into capsules or pressed into tablets
  - Exposure to RH during capsule filling
  - Compression into tablets
- Tablets may be coated
  - Exposed to coating solutions
- Will be exposed to elevated temperature and RH during stability studies, shipping, storage



Kaletra



# Solid Dosage Forms



- Form changes can occur
  - Mixed/dissolved/suspended in solvent
  - Drying
  - Milling
  - Compaction
  - RH exposure
- Changes can occur with both drug substance and excipients
- Can have interactions between drug substance and excipients that cause form changes



# Process Induced Transformations

- Can involve one component or more
- Can be solid-solid or solid-liquid-solid
- Can happen with compound, excipient, or both

Types of the most important phase transitions during processing of pharmaceuticals<sup>a</sup>

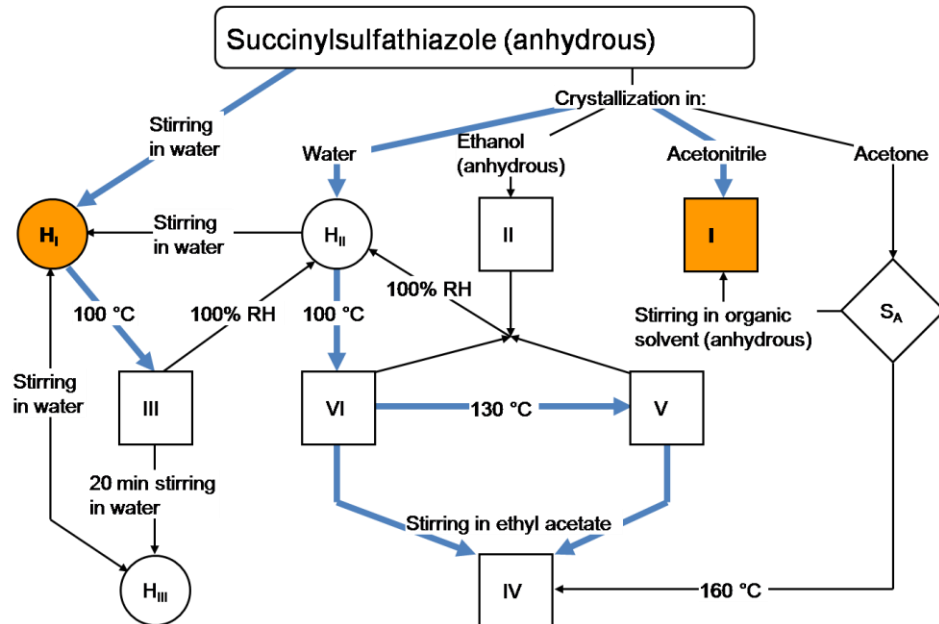
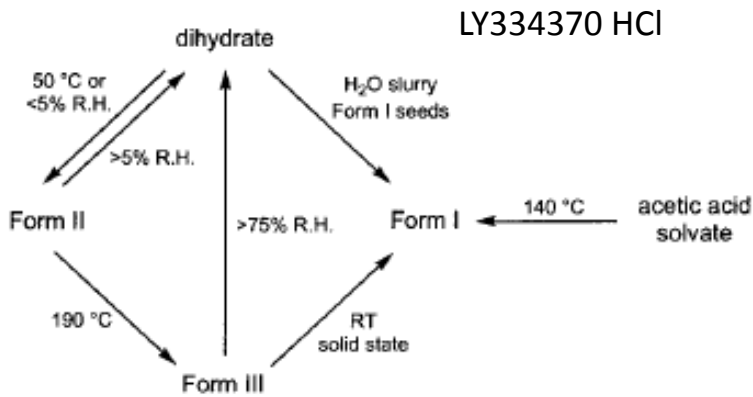
Basic process	State of aggregation	Specific process
Transformations (one component)	Solid–solid	Polymorphic transformations Crystallization of the amorphous form and vice versa
	Solid–liquid–solid	Incongruent melting (melting followed by crystallization of a more stable form) Solution mediated polymorphic transformations
Physical interactions (multicomponent)	Solid–solid	Eutectic reaction
	Solid–liquid–solid	Formation of a molecular compound or a solid solution (including solvate formation) <b>cocrystals, salts</b>
	Solid–solid or Solid–liquid–solid	Hydrate formation in humid air
Physical decompositions (multicomponent)	Solid–solid or Solid–liquid–solid	Desolvation <b>dissociation</b>

<sup>a</sup> Does not consider chemical changes.



# Formulation Plan

- Process induced phase transformations can be anticipated based on screening and preformulation studies
- Use your road maps





# Formulation Plan

Transformations can be controlled and circumvented by selecting the appropriate process

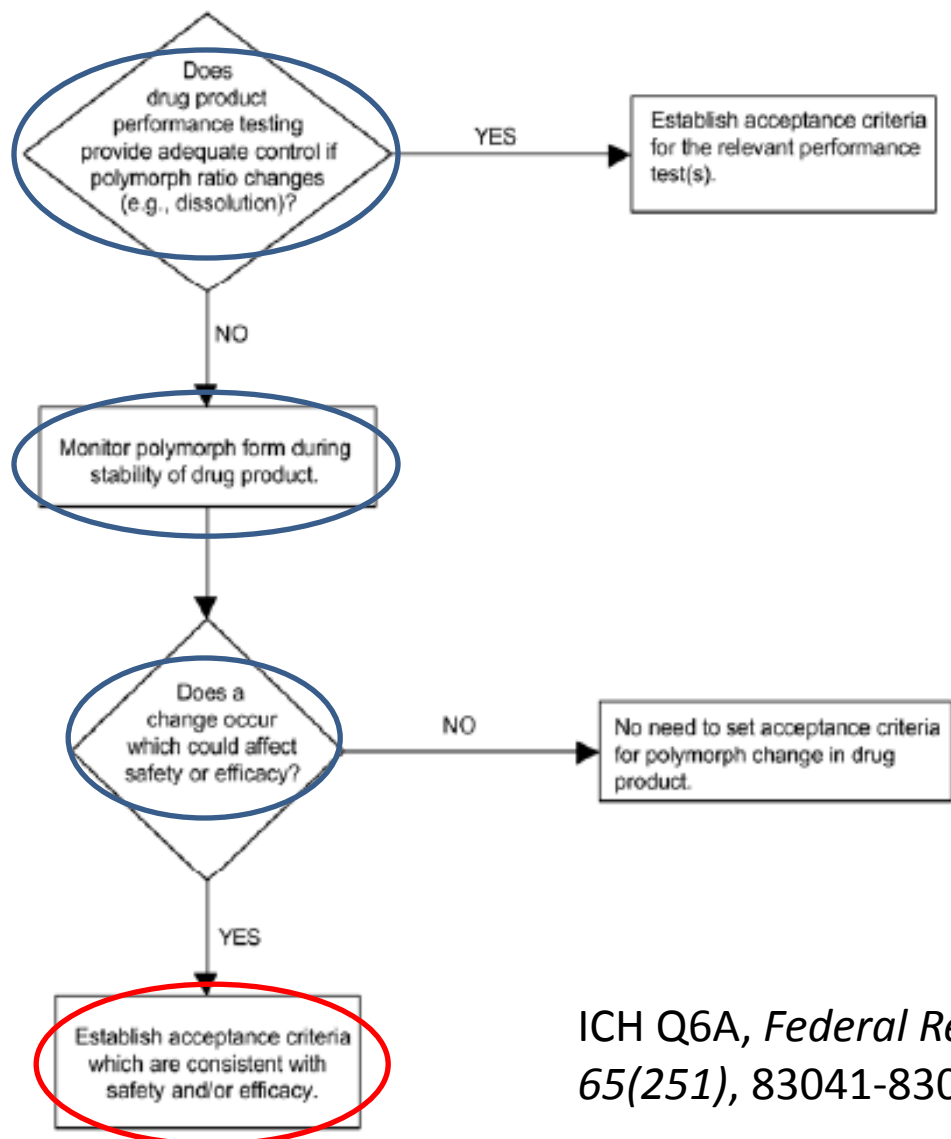
Issue	Possible Process
Solid is sensitive to moisture or solvent	Use dry or melt granulation
Undesirable transition during milling	Use melt granulation through melt extrusion if drug is thermally stable Control particle size during crystallization
Undesirable transition during compression	Use capsules instead of tablets
Enantiotropic form conversion upon heating	Maintain drying temperature below the transition temperature
Undesirable form conversion on surface during film coating	Minimize or eliminate solid-liquid interactions by applying a seal coat of low viscosity or use organic solvent-based polymer with rapid evaporation



# Regulatory

3.

Drug Product



ICH Q6A, *Federal Register*, 2000, 65(251), 83041-83063.



# Characterization Methods

X-ray Powder Diffraction (XRPD)

Crystallinity  
Crystalline form

Sampling (PO)  
Specificity  
Particle size

Spectroscopy

- Infrared (IR)
- Raman
- SS NMR

Interactions  
Crystalline form  
Mapping/imaging

Sampling  
Specificity  
Particle size  
Beam size  
Data collection times

Thermal Methods

- DSC (mDSC, HyperDSC)
- Thermogravimetry (TG)
- Hot Stage Microscopy

Melting point/Tg  
Form changes  
Volatile content

Sampling  
Specificity  
Particle size  
Scan rate  
Dynamic techniques

Moisture Sorption

Water uptake  
Form changes

Sampling  
Initial corrections





# Qualitative vs Quantitative

- When multiple forms are known:
  - need test/assay to show control of process
  - assay can be qualitative or quantitative
  - can be an issue in API and drug product
- Different levels of use and validation through out development
  - Early development: qualitative/visual
  - Late development: increase level of validation
- Univariate vs multivariate and chemometric approaches

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## Summary of quantitative methods

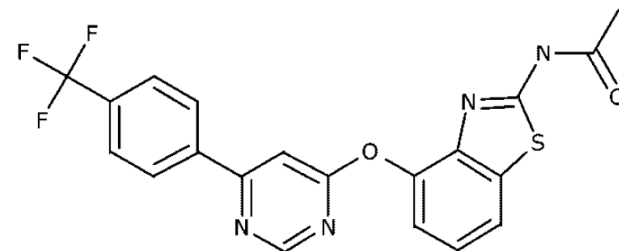
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Quantitative method	Scope of assay	Result
Limit test	A limit of detection for a technique is determined (such as 2%)	Result is specified as '<2% Form B present'
Specification assay	An assay limit is determined for a technique (such as 95%)	Result is specified as '>95% Form A present'
Full quantitative method	A minimum quantifiable limit (MQL) (such as 2%) and linear range (such as 2–25%) is determined	'X% of Form B' if within the quantitation range of 2–25% or '<2% Form B' if below MQL or '>25% Form B' if above linear range

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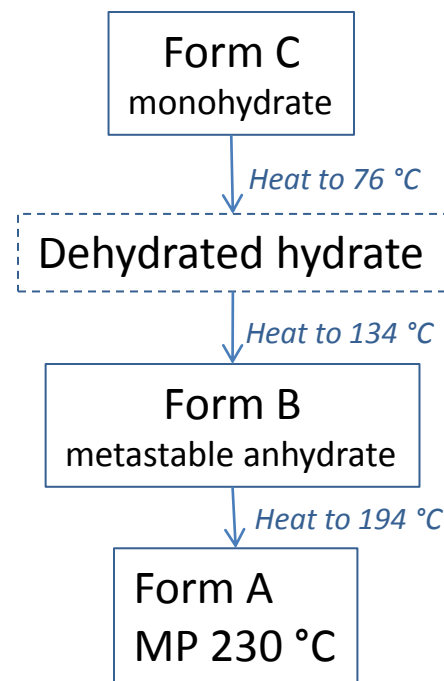


# Solution



## AMG517

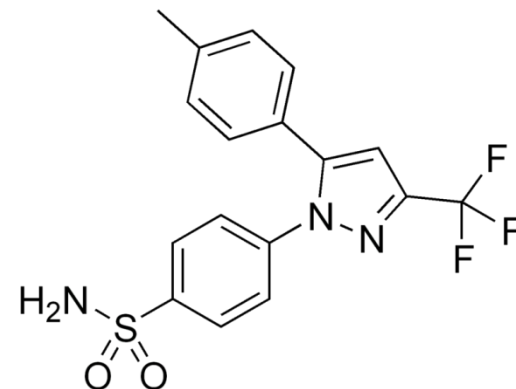
- Number of crystalline forms found for free base
- Numerous solvates also isolated
- Several crystalline salts prepared
  - Disproportionated in aqueous solution
  - Resulting pH was low and acid mediated cleavage occurred at ether bond
- Form A selected for early development
  - Insoluble in water
- A suspension in 10% (w/v) Pluronic F108<sup>®</sup> in OraPlus<sup>®</sup> (unadjusted pH ~4 for all concentration levels)







# Suspension



- Celecoxib
  - Three unsolvated forms (I, II III)
  - Form III thermodynamically stable form at RT
  - Two solvates: N,N-dimethyl acetamine and N,N-dimethyl formamide (DMF)
- Suspension formulation made with Form III

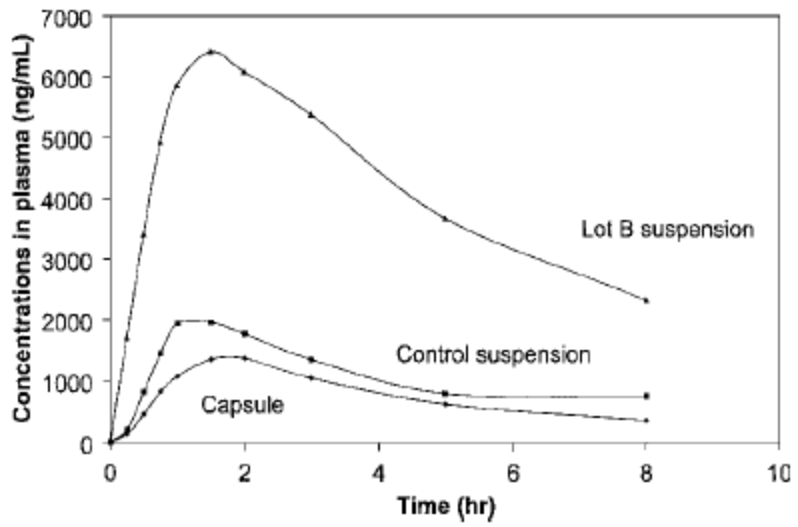
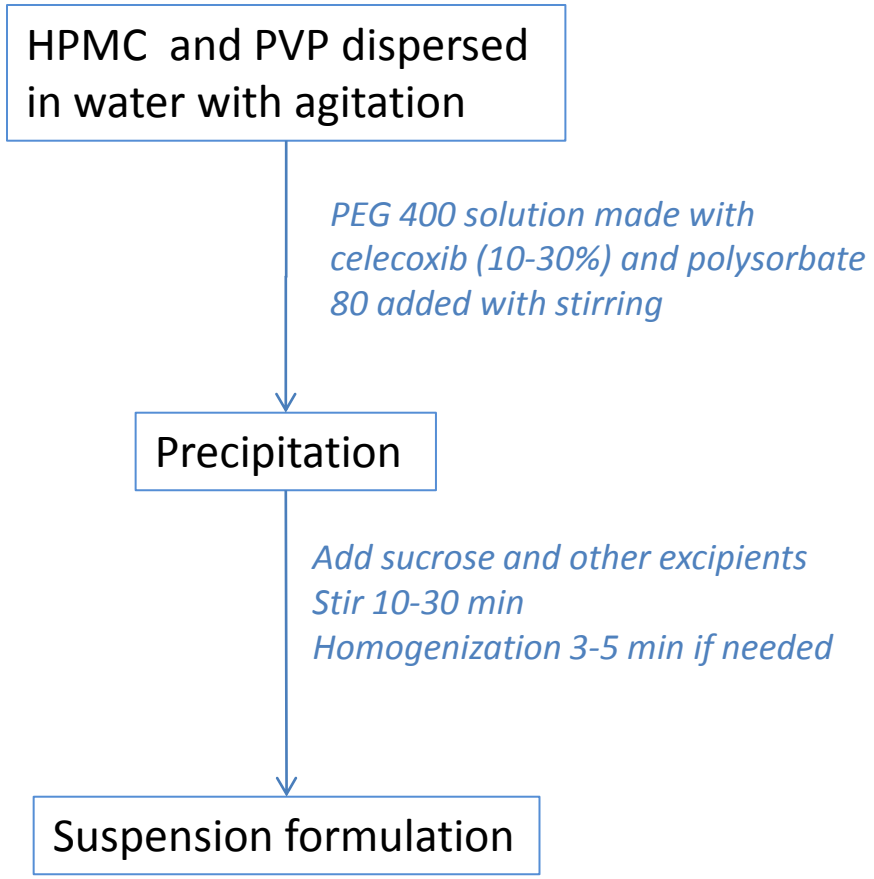
Representative Formulations of Celecoxib Suspensions

Ingredient	% w/w					
	Lot A	Lot B	Lot C	Lot D	Lot E	Lot F
Celecoxib	1.77	1.20	1.77	1.77	1.77	1.77
HPMC 2910 USP 15	4	4	5	5	2.5	5
PEG 400	4.13	2.9	4.13	4.13	4.13	4.13
Polysorbate 80	1	1	1	1	0.5	0
PVP K90	0	1	0	2	1	2
Sodium benzoate	0.2	0.2	0.2	0.2	0.2	0.2
Citric acid	1.31	1.31	1.31	1.31	1.31	1.31
Sodium citrate	1.11	1.11	1.11	1.11	1.11	1.11
Sucrose	30	30	0	30	15	0
Tutti frutti flavoring	0	0	0.05	0.05	0.05	0.05
DI water	q.s. to 100	q.s. to 100	q.s. to 100	q.s. to 100	q.s. to 100	q.s. to 100



# Suspension

Lot B showed significant increase in bioavailability in animals compared to capsules and control formulation (Form III with different excipients)

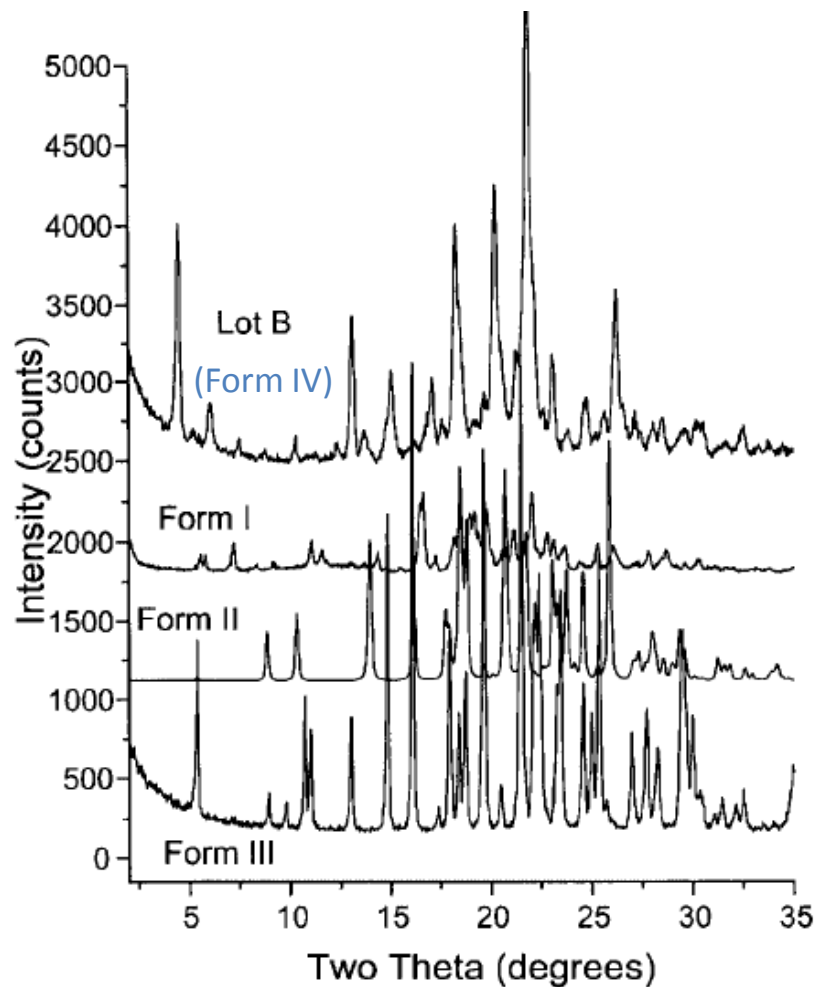
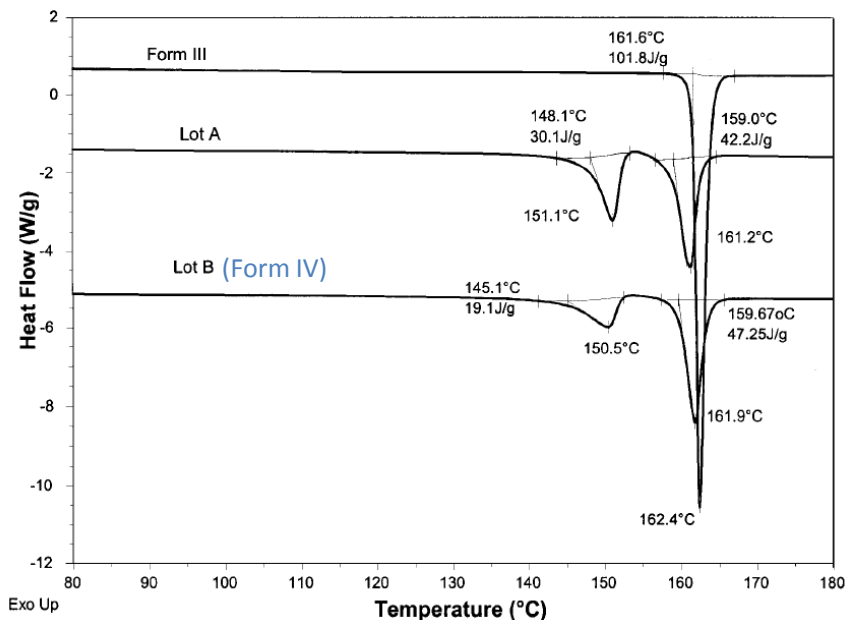


Pharmacokinetic profiles of the celecoxib suspensions and the capsule in dogs (n = 6).



# Suspension

- XRPD showed Lot B contained a new form of celecoxib (Form IV)
- Upon heating, Form IV melts and converts to Form III
- IPA slurry with Forms III and IV show Form III is more stable at RT

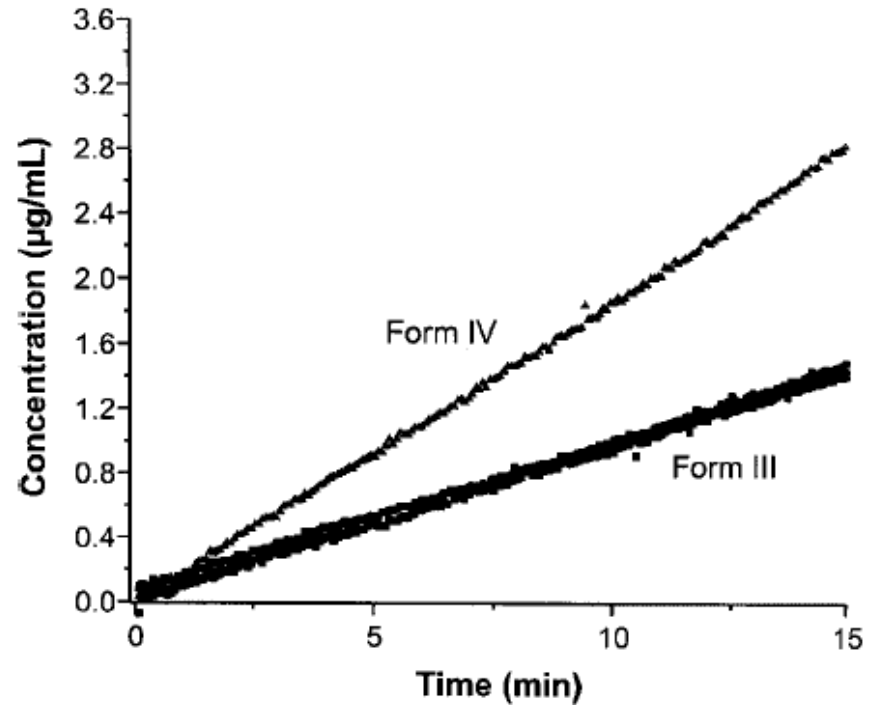


Powder X-ray comparison of the precipitated celecoxib Lot B to the three known crystal forms of celecoxib.



# Suspension

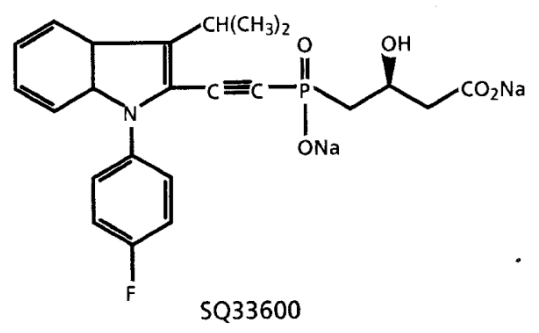
- Metastable Form IV produced from formulation process
- Found concentrations and ratio of HPMC and Polysorbate 80 were critical to the generation of Form IV
- Form IV is 2-3X more soluble than Form III
- Formulations with Form IV are stable at 40 °C for at least 6 months and at 25 °C for at least 16 months
- Possible to stabilize metastable Form IV in suspension and achieve higher bioavailability
- Processing conditions and excipients can affect form; excipients can stabilize forms



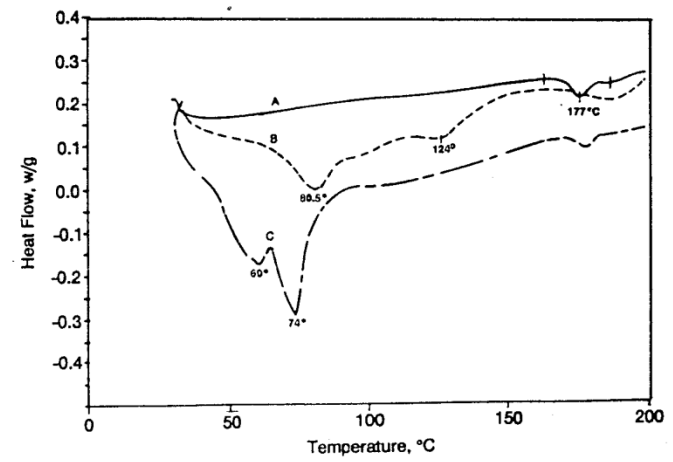
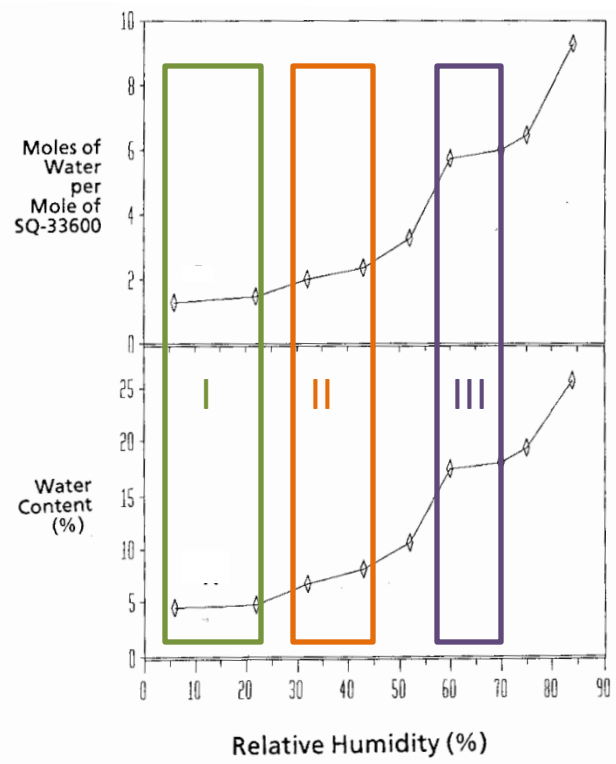
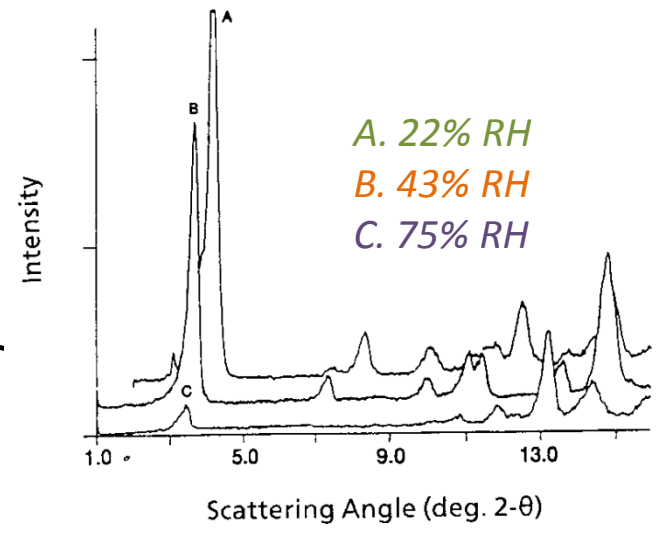
Rotating disk dissolution for Form IV and Form III of celecoxib.



# Early Formulation



- SQ33600
- HMG-CoA reductase inhibitor
- Aqueous solubility 300 mg/mL
- Hygroscopic
- Form dependent on RH
  - Type I (<22% RH)
  - Type II (33-52% RH)
  - Type III (60-75% RH)
  - Semisolid (>84% RH)

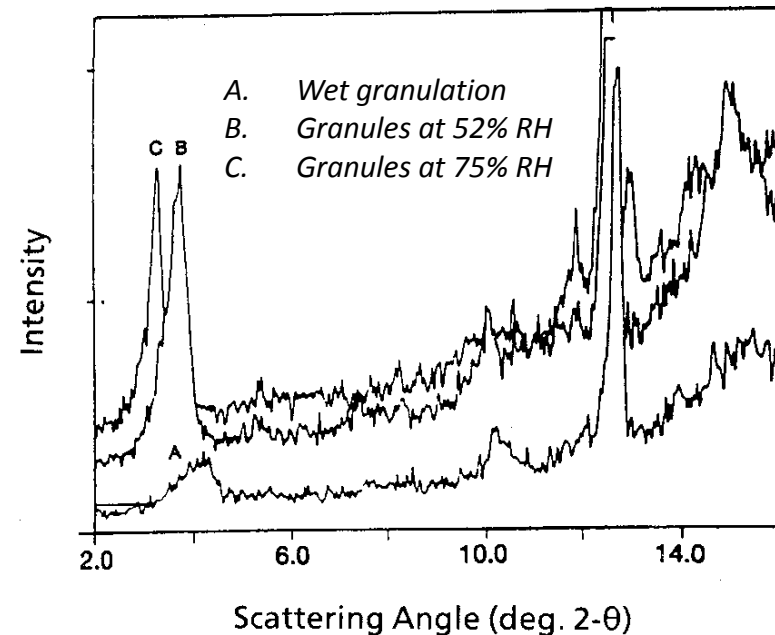






# Early Formulation

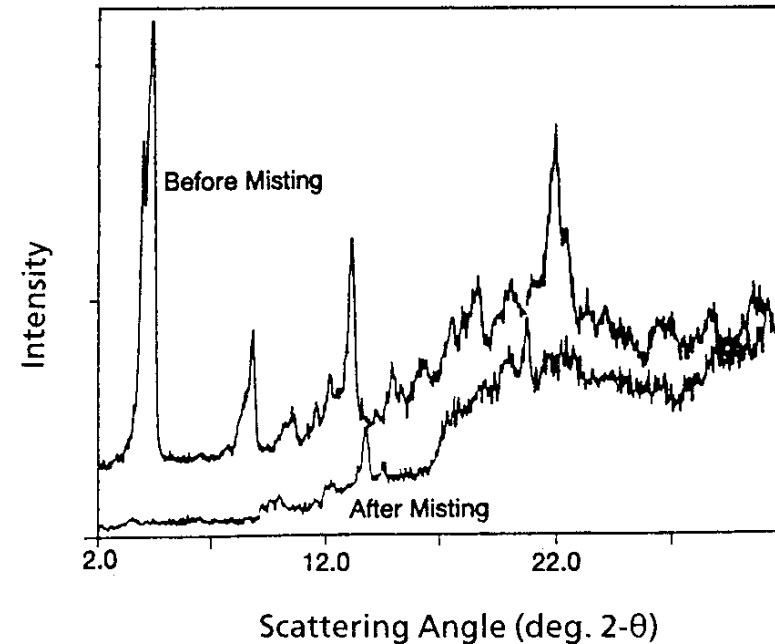
- Capsules and tablets prepared by wet granulation and dry blending
  - Clinical formulations: 1:10 and 1:15 drug:excipient
  - Prototype formulation: 1:2.8 drug:excipient
- Dry blend showed no change in crystallinity
- Wet granulation resulted in mostly amorphous drug
- Dry blend adopted for clinical supplies with special packaging





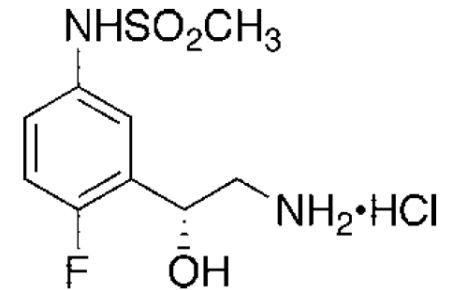
# Early Formulation

- Possible changes at surface investigated by misting surface of compact with water
  - Converted to amorphous or semisolid phase
  - Suggests that all forms would convert in dissolution media and produce the same profile
- Understand the affect of water on forms





# Granulation



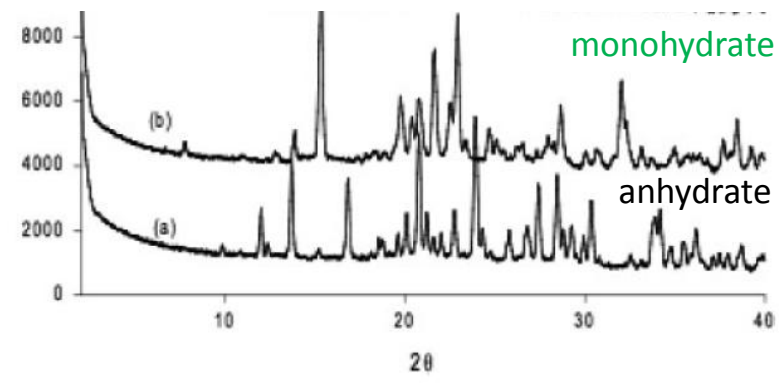
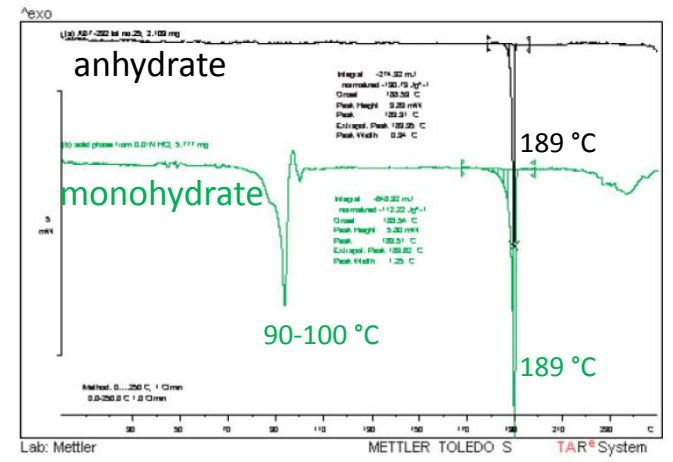
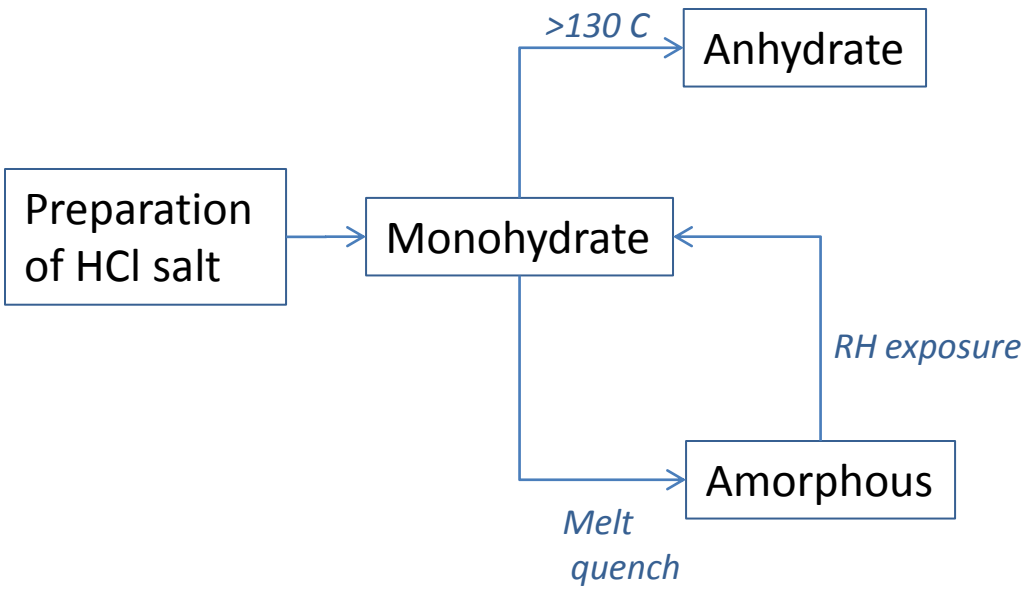
- Abbott-232
  - Investigated for relief of stress urinary incontinence
  - Preformulation studies showed it was
    - Highly water soluble
    - Chemically stable
    - Compatible with range of standard excipients, except lactose and silicon dioxide
    - Stable in solution and to light
    - Stable in solid state for 10 mos at 40 °C/75% RH
    - Highly potent



# Granulation

## Abbott-232

- Three solid forms found
  - Anhydrate
  - Monohydrate
  - Amorphous form





# Granulation

Since the drug was highly potent, low doses (1-2%) needed for clinical studies

- Wet granulation and direct compression used to make immediate release (IR) and extended release (ER) tablets

Abbott-232 Immediate Release Tablet Formulations

	Wet Granulation (% w/w)	Direct Compression (% w/w)
Abbott-232	1.0	1.0
Pre-gelatinized starch	5.0	—
Sodium starch glycolate	4.0	4.0
Mannitol	84.5	—
Avicel pH 101	5.0	—
Avicel pH 102	—	55.3
Fujicalin	—	37.2
Magnesium stearate	0.5	2.5
Total tablet weight (mg)	100.0	100.0

Abbott-232 Extended Release Tablet Formulations

Matrix Tablet—Wet Granulation		Multi-Unit Reservoir Tablet—Direct Compression	
Ingredient	(% w/w)	Ingredient	mg/Tablet
Abbott-232	1.0	Tablets: Abbott-232	0.50
HPMC K15M	30.0	Avicel pH 102 <sup>a</sup>	2.50
Carbopol 974P	15.0	Fujicalin <sup>a</sup>	21.38
Avicel PH 101	20.0	Magnesium stearate	0.62
Mannitol, USP	33.0	Tablet weight	25.00 mg
Magnesium stearate	1.0	Coating <sup>b</sup> :	Solids as % aquacoat
		Aquacoat	N/A
		Triethylcitrate	35.00%
		HPMC 2910 USP 15cp	20.00%

<sup>a</sup>Represents a ratio of 20:75.5 Avicel pH 102: Fujicalin.

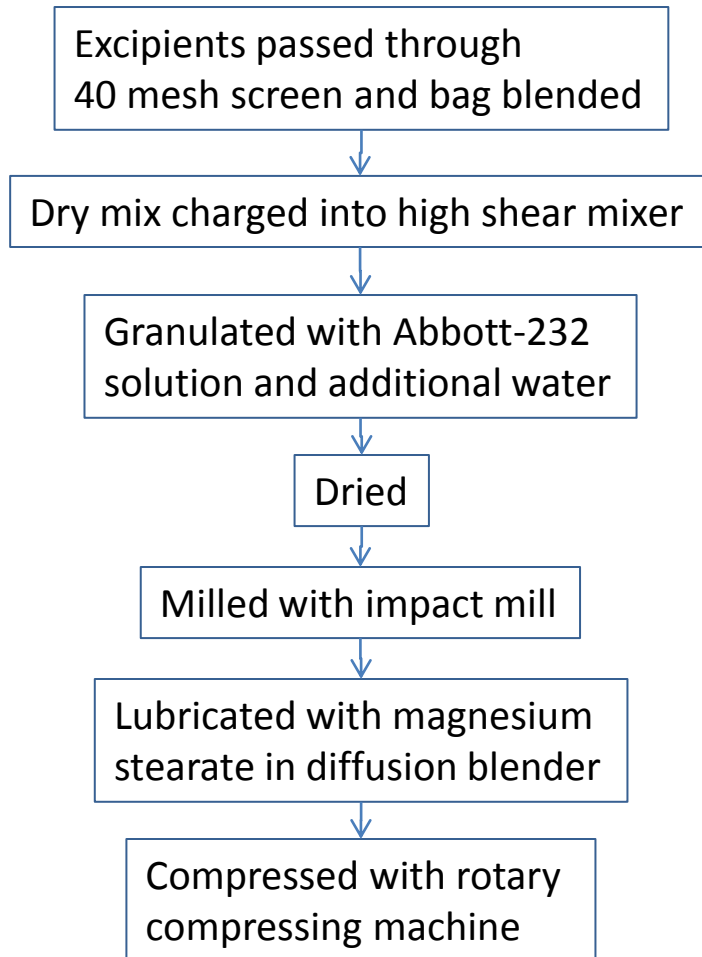
<sup>b</sup>Total coating (solids) weight gain up to 30% tablet weight, solution is 13% solids.



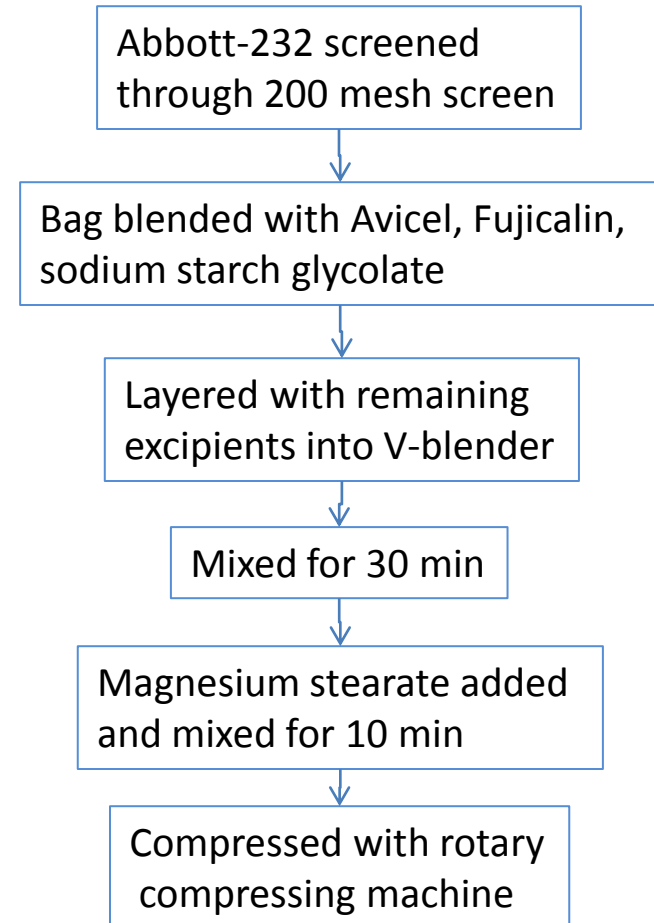
# Granulation

## IR Granulation processes

### Wet Granulation



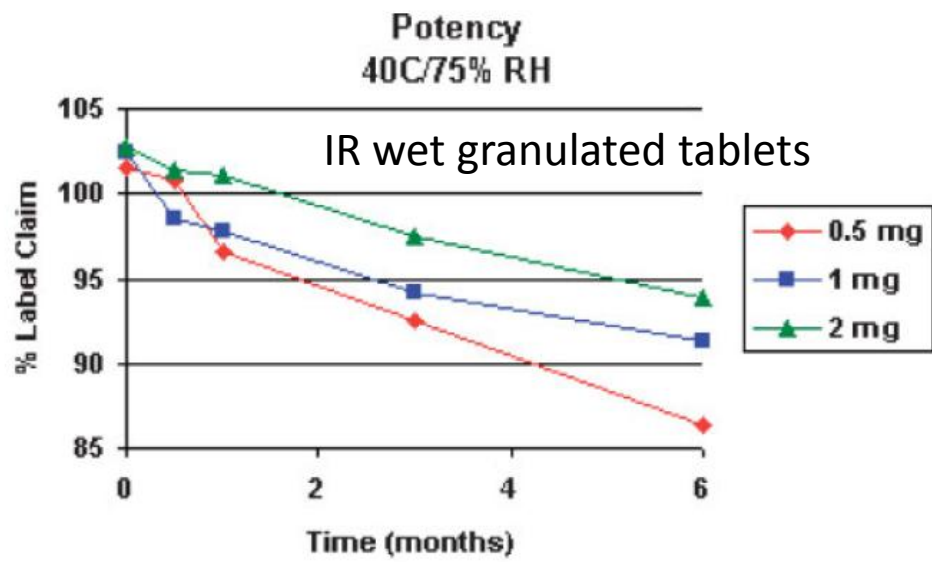
### Direct Compression





# Granulation

- Accelerated stability showed wet granulated material not as stable as direct compression formulation



Accelerated Stability Results for Abbott-232 IR Tablets, 1 mg, Prepared by Wet Granulation and Direct Compression

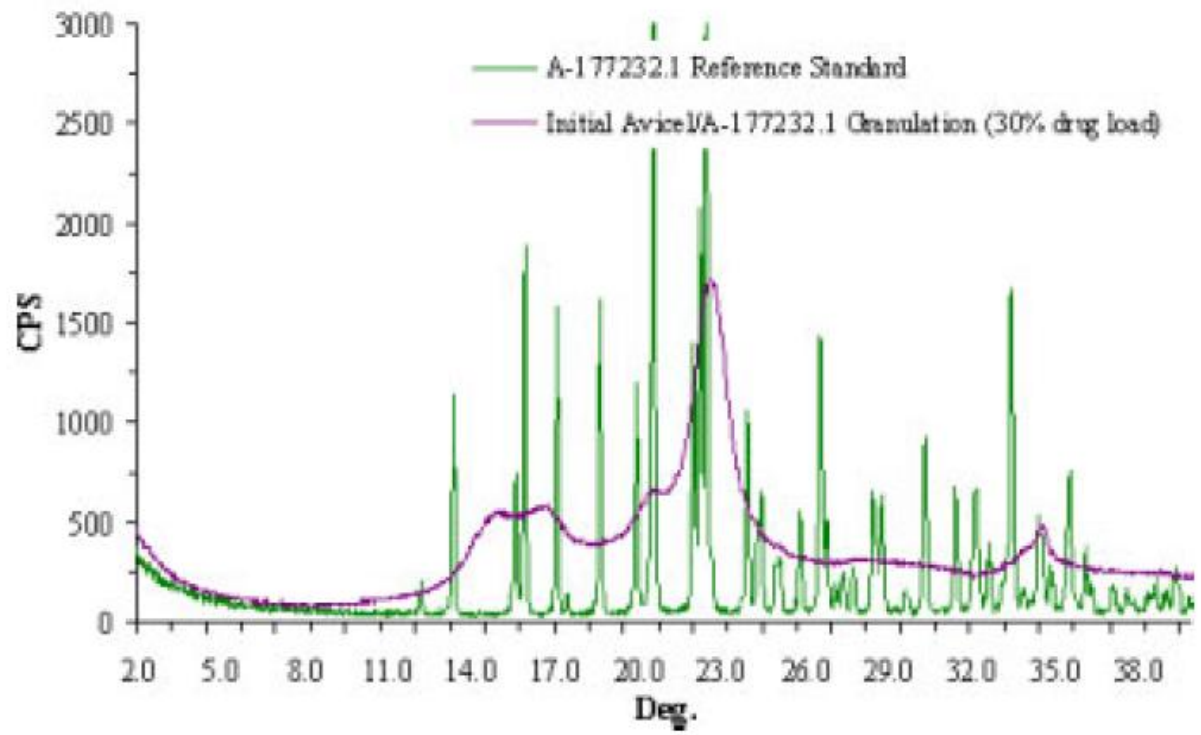
40°C/75% RH	Wet Granulation		Direct Compression	
	Potency (% LC)	Related Substances (% w/w)	Potency (% LC)	Related Substances (% w/w)
Time (weeks)				
1	102.4	0.30	100.5	0.32
4	97.4	1.02	100.2	0.37



# Granulation

Prepared batch at 30% loading to investigate instability

- XRPD showed that Abbott-232 was amorphous
- Amorphous material less chemically stable than crystalline



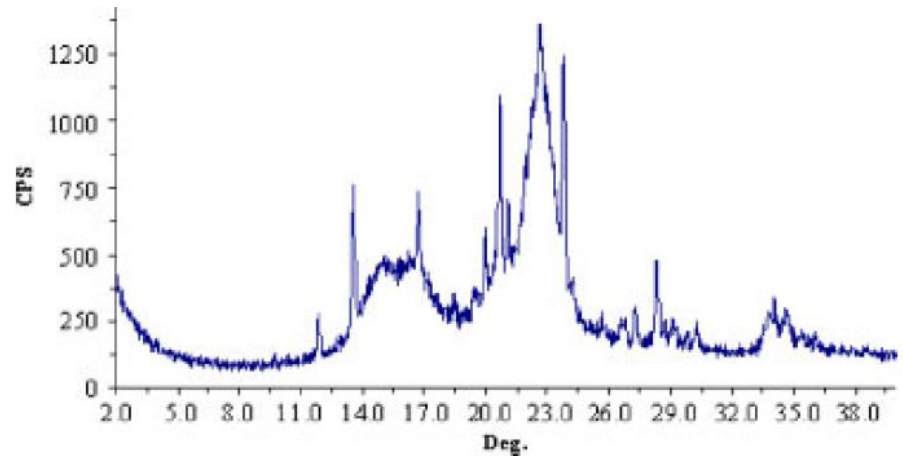
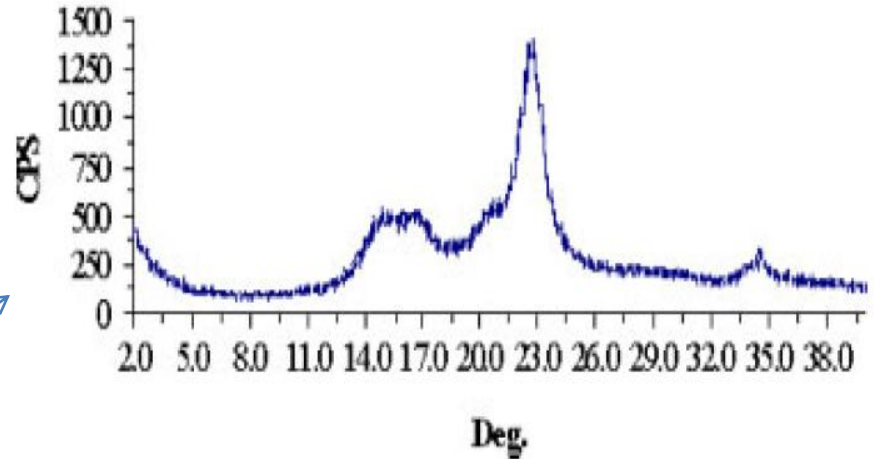




# Granulation

## Amorphous formulation

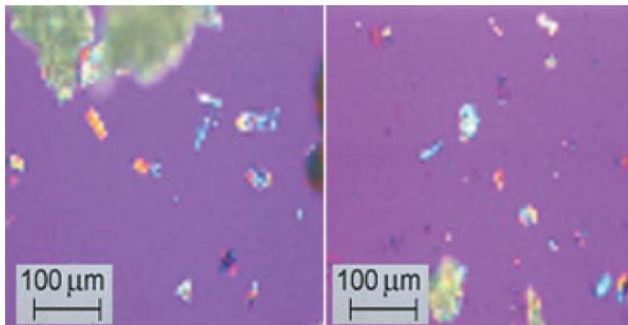
- Stable in capped bottle for 5 mos at ambient RH
- Unstable after 1 mo at 40 °C/75% RH





# Granulation

- Switched to direct compression formulation
- Monitored crystal form by optical microscopy
  - Anhydrate form can be distinguished in formulation
  - Other techniques could not be used due to low loading (1%)
- Direct compression gave desired stability
- Understand the changes in form during your process; may need to do perform targeted studies at higher concentrations to understand changes



Abbott-232 IR Dry Blend

A: Before Compression    B: After Compression, Crushing

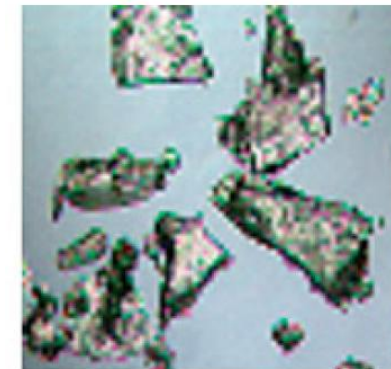
Direct  
compression  
blend



Abbott-232 (anhydrate)  
Crystalline



Abbott-232 (anhydrate)  
Amorphous



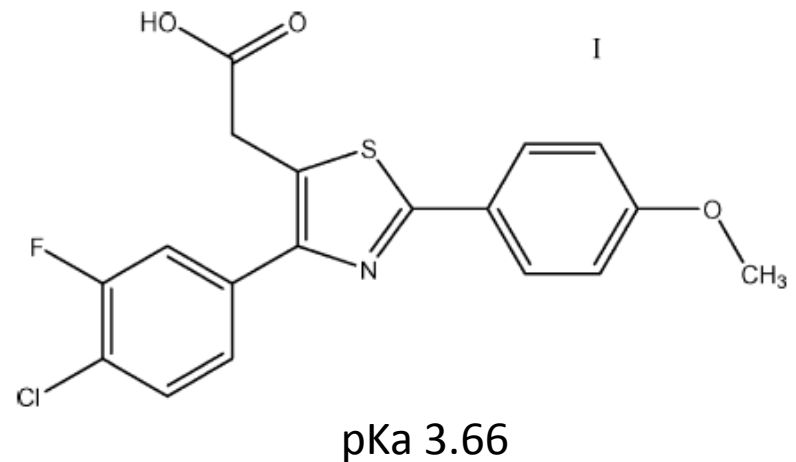
Abbott-232 (monohydrate)  
Crystalline

Pure Forms



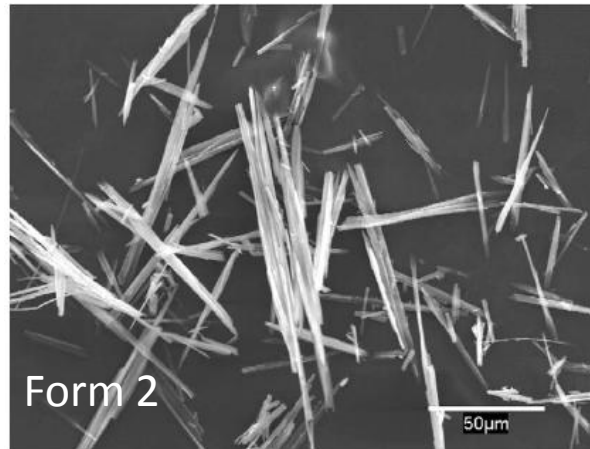
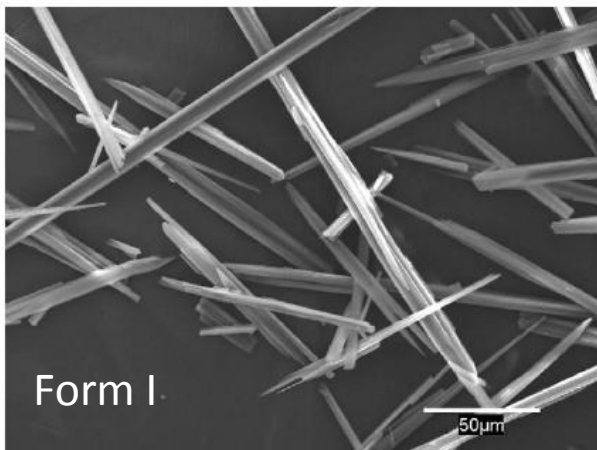
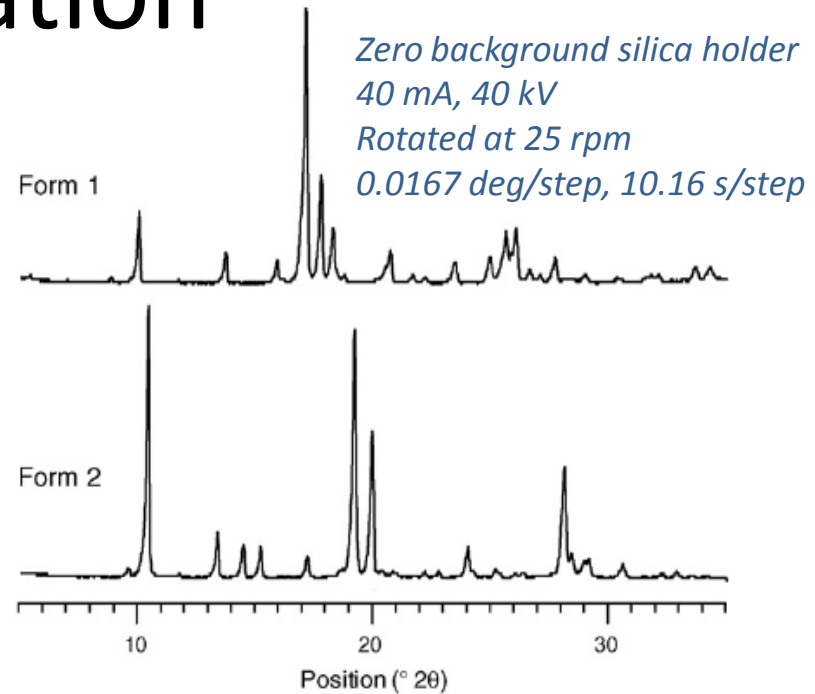
# Case Study

- Compound 1 being developed for treatment of overactive bladder
- Aqueous equilibrium solubility 0.07 mg/mL
- Comprehensive polymorph screen resulted in two anhydrous forms (Forms 1 and 2)
- Salt screening did not result in any developable salts



# Characterization

- XRPD showed distinct peaks for each form
- SEM showed needle morphology for both forms



Backscatter mode  
15 kV beam

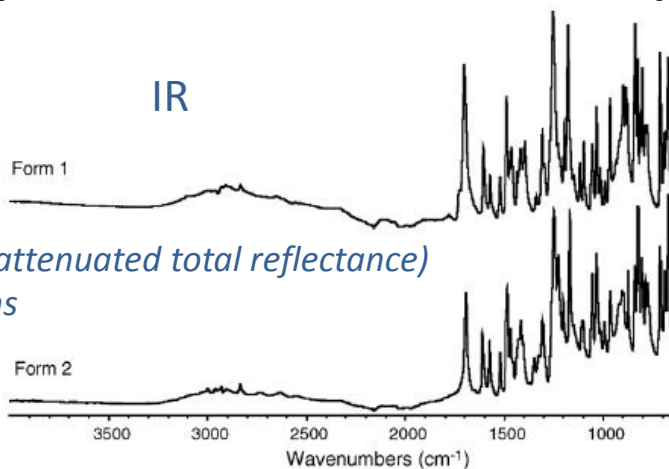
Katrincic et al. *Int J Pharm.*  
2009, 366, 1-13



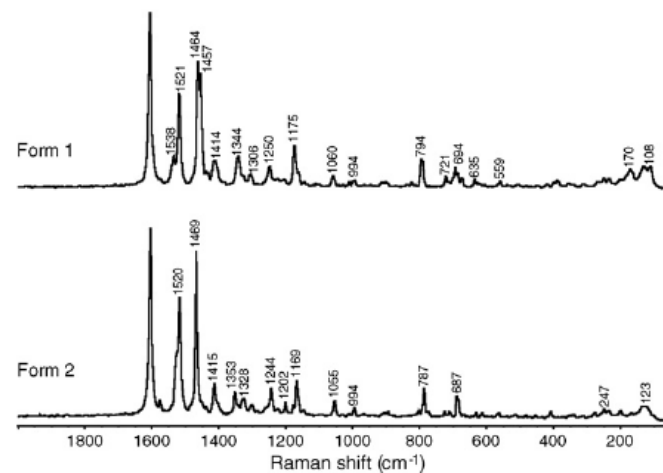
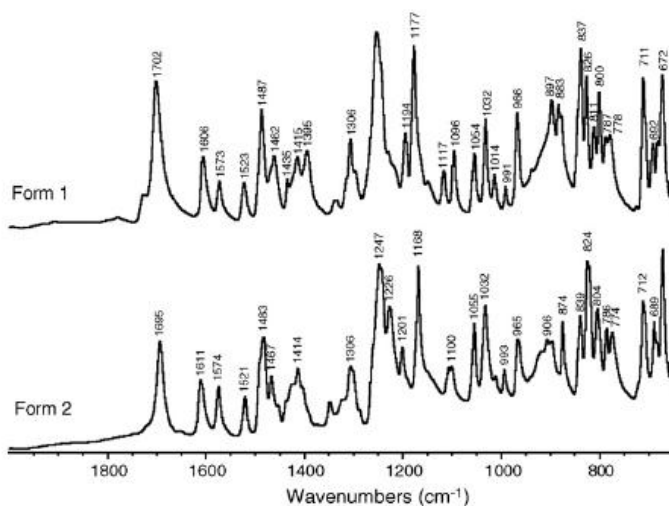
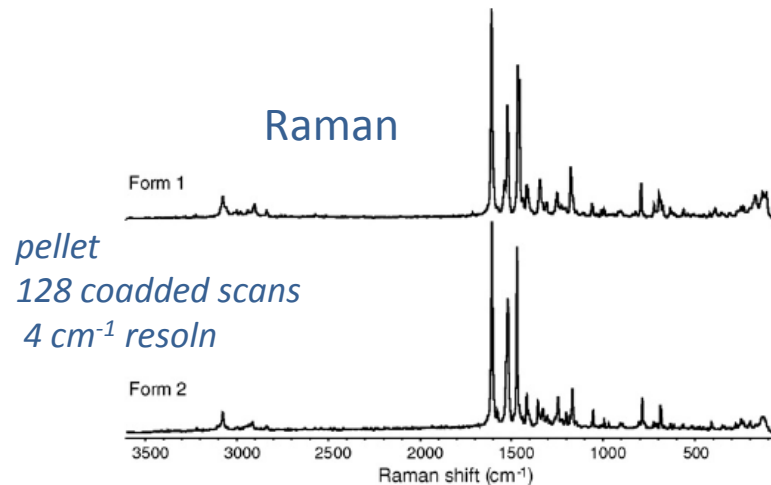
# Characterization

Unique IR and Raman spectra were observed

IR



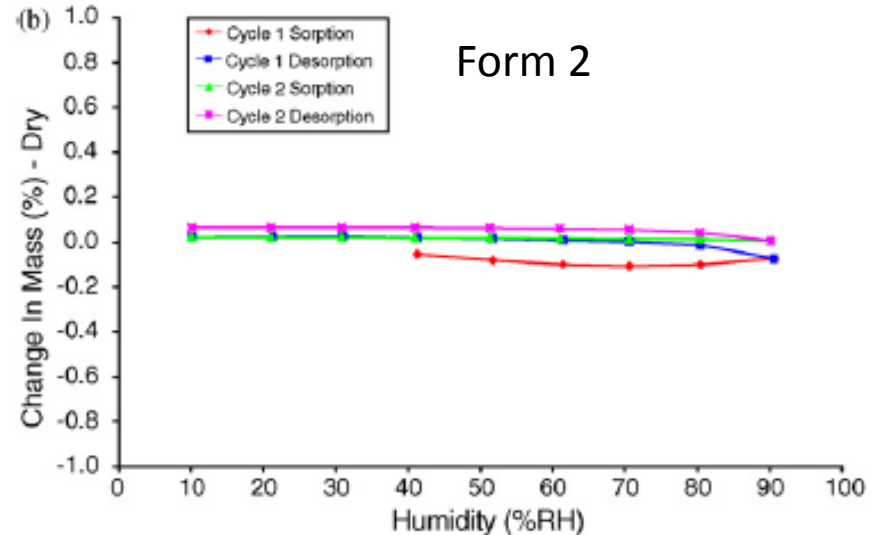
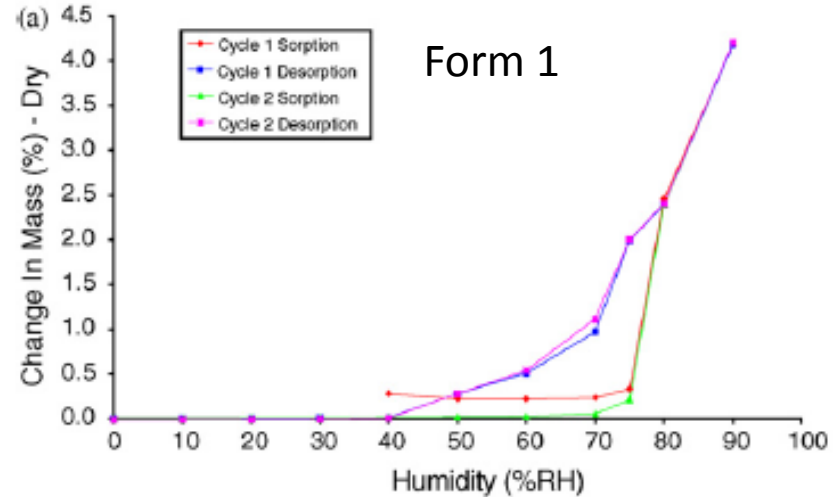
Raman





# Characterization

- Water isotherms show that Form 1 will take up more water than Form 2
- Handling conditions would need to be monitored for Form 1

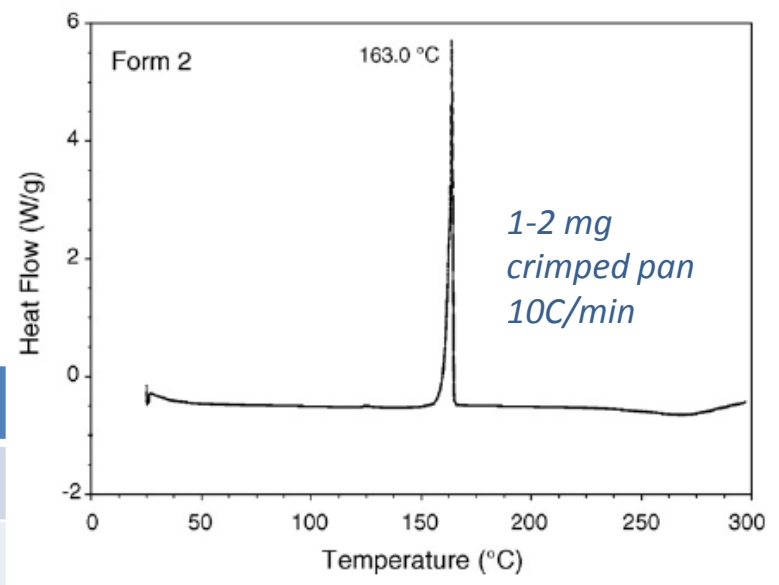
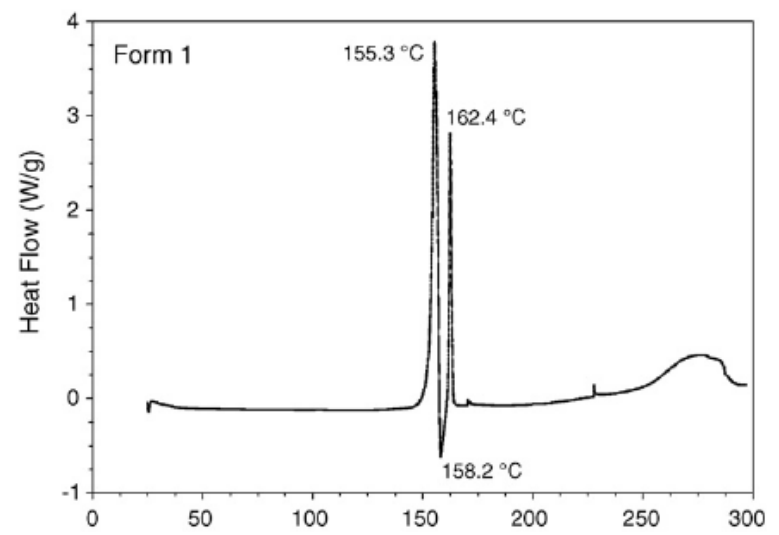
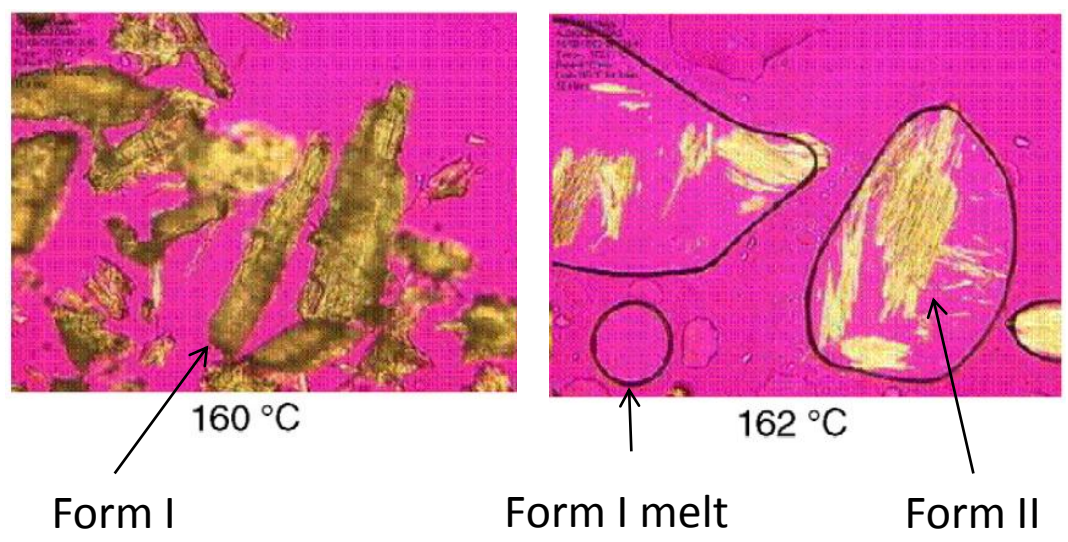






# Characterization

DSC and hot stage microscopy show that Form 1 melts and recrystallizes to Form 2



Form	Solubility RT (mg/mL)	Solubility 43°C (mg/mL)
1	10.6	20
2	13.3	16

*acetonitrile*



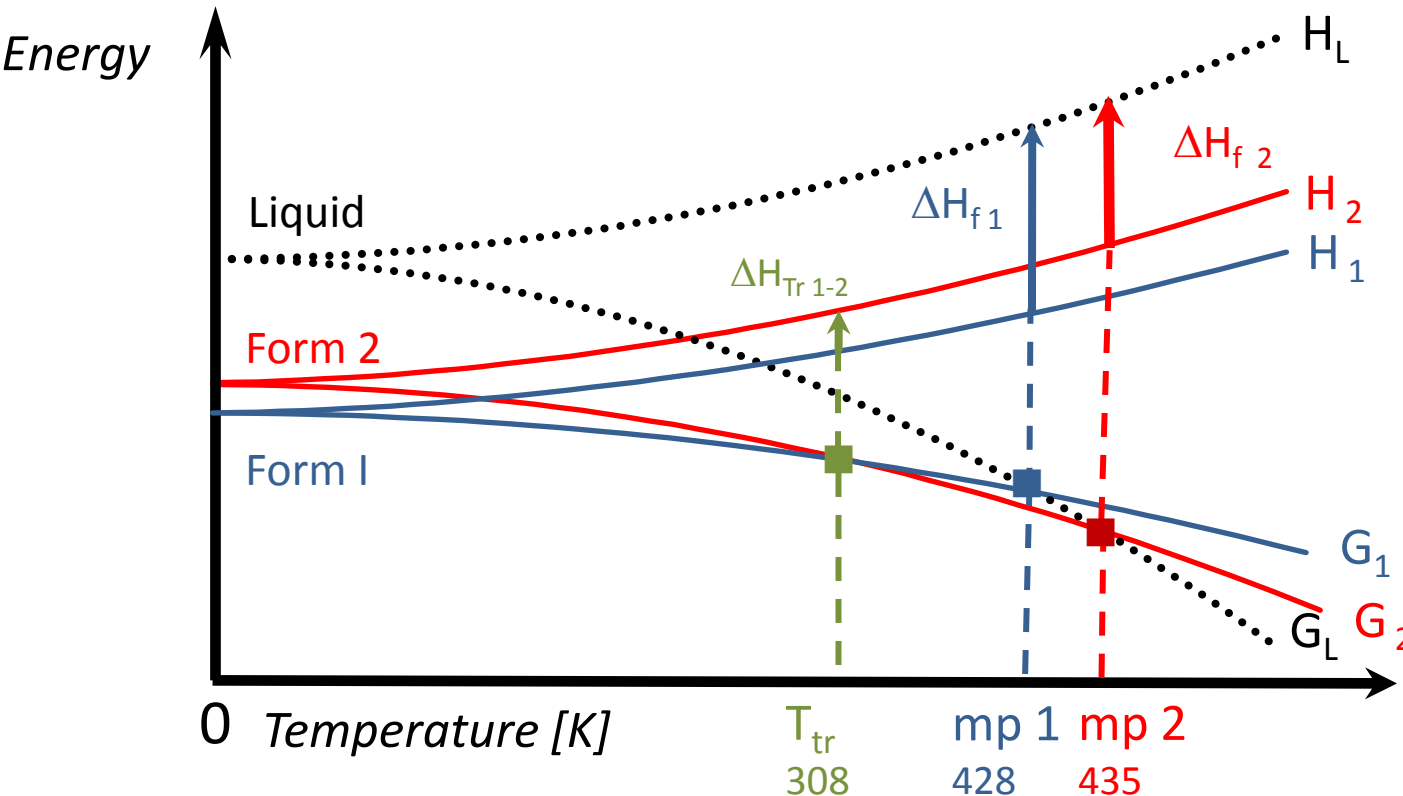
# Stability

## Enantiotropic system

- Form 1 is stable below 32°C
- Form 2 is stable above 36.5°C
- Transition temperature of 35°C

Temperature	Form
23.2	1
29.8	1
32.0	1
36.5	2
41.3	2
48.0	2

*ethyl acetate*  
6 days  
XRPD and DSC data



Enantiotropic system:  
Stable form at RT has  
lower melting point and  
higher heat of fusion;  
stability determined by  
transition temperature





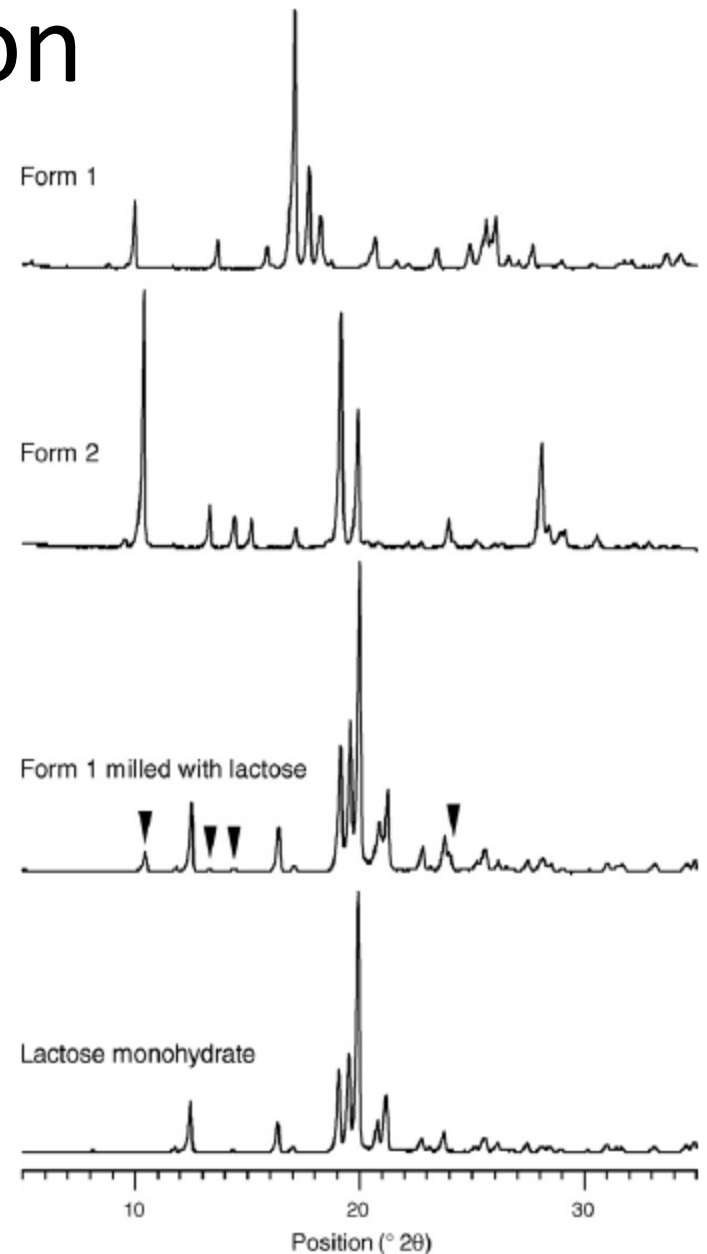
# Formulation

## Multistep dry-blending

- Mill drug with lactose monohydrate to reduce particle size and improve flow properties
- Form 1 converts to Form 2 during milling

Component	Percent (w/w)
Drug	8.3
Lactose monohydrate	61
Microcrystalline cellulose	24
Crosscarmellose sodium	3
Magnesium stearate	1

*307.5 mg film coated tablet  
300 mg of blend  
Additional mass from film coating*





# Form Selection

Form 2 was chosen for development even though it wasn't the stable form at RT

- Milling and hygroscopicity were important
- Showed that Form 2 was stable for 1 year under stability conditions

Criteria	Form 1	Form 2
Thermodynamic stability at RT	✓	✗
Milling stability	✗	✓
Chemical stability	✓	✓
Physical stability 20C/65% RH and 40C/75% RH (1yr)	✓	✓
Flow properties	✗	✓
Hygroscopicity	✗	✓
Ease of processing	✗	✓



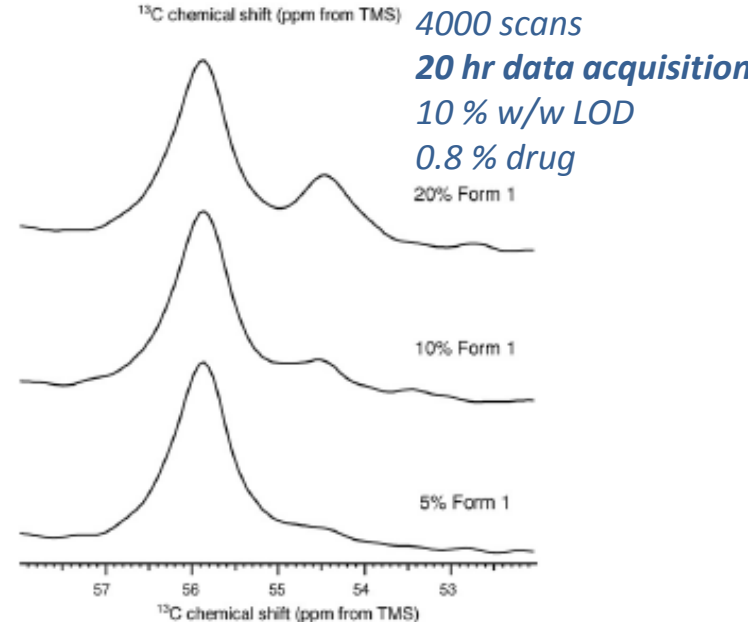
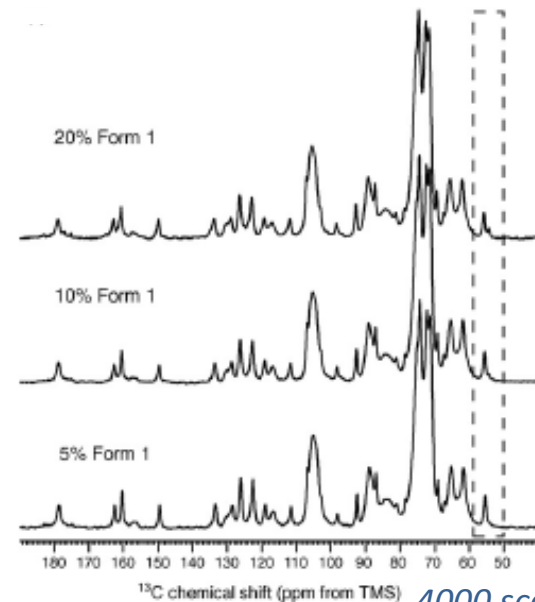
# API Quantitation

- IR was used for API quantitation
  - May be a regulatory specification and need to be transferred to manufacturing sites; IR commonly onsite for chemical identification
  - DATR-IR benefits from rapid, simple sample preparation and minimal instrument to instrument variability
  - Multivariate approach using Partial Least Squares (PLS) employed
    - 1450-1420, 1360-1330, 1240-1215, 1190-1155, 820-775 cm<sup>-1</sup>
  - Standards: 10,25,50,75, and 90% Form 1 mixed with Form 2
  - Standards analyzed in triplicate
  - Correlation coefficient (R<sup>2</sup>) of 0.991, low root mean square error of calibration (RMEC) of 4.88%
  - Lower limit 5% Form 1; minimum quantifiable limit 10%
  - Limits confirmed with XRPD and SSNMR
  - Used for batch analysis and stability testing



# Drug Product Quantitation

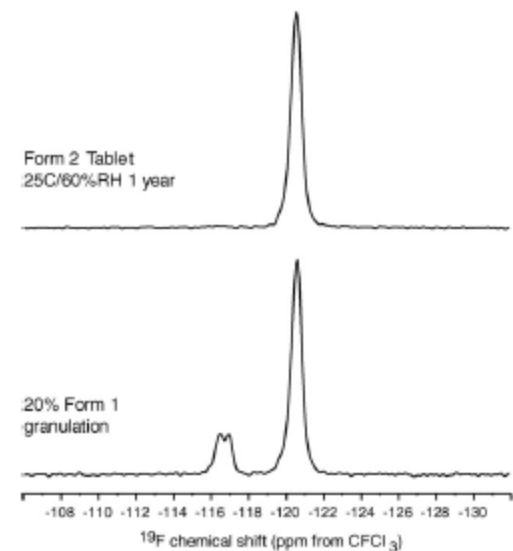
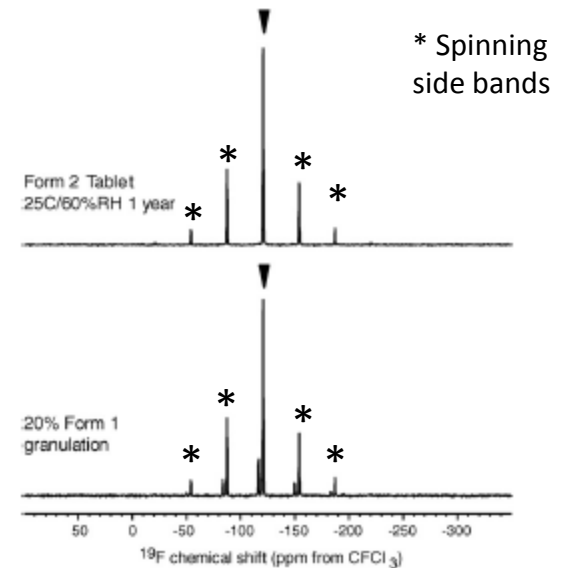
- Highest strength tablet 8.1% w/w drug
- IR and Raman did not have needed sensitivity
- XRPD had significant overlap with Form 1 and excipients; Form 2 did not show significant overlap
- $^{13}\text{C}$  SSNMR had sufficient sensitivity and resolution
  - Limit test method developed





# Drug Product Quantitation

- Improved method developed with  $^{19}\text{F}$  NMR
  - $^{19}\text{F}$  more sensitive than  $^{13}\text{C}$
  - Reduces long analysis times
  - Transfer to other sites may be limited
- Limit of detection of  $^{19}\text{F}$  method 1.5% w/w Form 1
  - Absolute detection limit 0.12% w/w Form 1
  - 4.2 hr acquisition time
- Can be used for lower dose tablets
  - 0.3% w/w drug in tablets (1 mg drug in 300 mg tablets)





# Case Study

- Understand and characterize your API before doing formulation development
- Metastable forms can be chosen if risks are considered
- Understand what properties you need/want for formulation
- Test key processing steps to determine change in form
- Development of analytical testing requires more than just specificity (testing sites, excipient interference, loading, sensitivity, etc)



# What Have We Learned

- Characterization is a key component to successful formulation development
- A variety of characterization methods are available to analyze the form in drug products
- Characterization can involve qualitative or quantitative determination of forms
- Most processes can change the crystal form of the drug substance or excipients
- Formulation development must be linked with known forms, properties, formulation processes, etc
- Consider what other components are in the formulation and how the process may affect the solid
  - Crystalline to amorphous, amorphous to crystalline, salt/cocrystal formation, eutectics, etc
- May need small scale experiments to understand changes or determine operating parameters for process/forms
- Make sure your solid form fits your dosage form



# Why Do We Care

- A change in form can result in property changes
  - Dissolution, bioavailability, physical stability, chemical stability, hardness, etc
- Property changes in the drug product can lead to failed batches
- Understanding the relationship between forms and form changes upon processing will help develop robust product manufacturing and decrease the number of failed batches
- Good characterization of the forms in drug products will result in better regulatory and IP documentation





# Resources

- Over view: *Solid-State Chemistry of Drugs*, 2nd edition, S. R. Byrn, R. R. Pfeiffer, and J. G. Stowell, SSCI, Inc, West Lafayette, IN 1999.
- Overview: Newman et al. *Drug Discovery Today* **2003**, *8*, 898-905.
- Overview: Zhang et al. *Adv. Drug Delivery Rev.* **2004**, *56*, 371-390.
- XRPD chemometrics: Moore et al. *J Pharm Biomedical Analysis* **2009**, *49*, 619-626.
- Raman: Taylor et al. *J. Pharm Sci*, **2000**, *89*, 1342-1353.
- Thermal: Giron et al. *J. Therm Analysis*, **1997**, *48*, 473-483.
- NMR: Tishmack et al. *J Pharm Sci*, **2003**, *92*, 441-474.
- NIR imaging: Reich. *Adv Drug Delivery Rev*, **2005**, *57*, 1109-1143.
- Terahertz: Zeitler et al. *J Pharm Pharmacol.* **2007**, *59*, 209-223.
- Thermal conductivity: Sanders et al. *J. Microscopy*, **2000**, *198*-77-81.
- Quantitation: Stephenson et al. *Adv Drug Delivery Rev.* **2001**, *48*, 67-90.
- Reactivity: Byrn and Newman. *Adv. Drug Delivery Rev.* **2001**, *48*, 115-136.

