ESTIMATION OF ACTIVE PHARMACEUTICAL INGREDIENT CONTENT USING LOCALLY WEIGHTED PARTIAL LEAST SQUARES

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Abstract

Development of quality estimation models using near infrared spectroscopy (NIRS) and multivariate analysis has been accelerated as a Process Analytical Technology (PAT) tool in the pharmaceutical industry. Although linear regression methods such as partial least squares (PLS) are widely used, they may not be able to achieve high estimation accuracy because physical and chemical properties of a measuring object have a complex effect on NIR spectra. In this research, locally weighted PLS (LW-PLS) which utilizes a newly defined similarity between samples is proposed to estimate active pharmaceutical ingredient (API) content in granules for tableting. In addition, a statistical wavelength selection method which quantifies the effect of API content and other factors on NIR spectra is proposed. LW-PLS and the proposed wavelength selection method were applied to real process data provided by Daiichi Sankyo Co., Ltd., and the estimation accuracy was improved by 38.6 % in root mean square error of prediction (RMSEP) compared to the conventional PLS using all wavelengths. The results clearly show that the proposed calibration modeling technique is useful for API content estimation and is superior to the conventional one.

Keywords

Process analytical technology, Near infrared spectroscopy, Active pharmaceutical ingredient content estimation

Introduction

In the pharmaceutical industry, in order to improve production efficiency, Quality by Design (QbD) and Process Analytical Technology (PAT) have been discussed and the documents on QbD and PAT (FDA, 2004a, b; ICH, 2005a, b, 2008) were published by Food and Drug Administration (FDA) and International Conference on Harmonisation of Technical Requirements for Registration of Pharmaceuticals for Human Use (ICH). QbD is a concept that intends to assure drug quality not by a test but by process designing, monitoring and control. PAT is a system for designing, analyzing, and controlling manufacturing through timely measurements (i.e., during processing) of critical quality and performance attributes of raw and in-process materials and processes with the goal of ensuring final product quality (FDA, 2004b). After the documents were published, online process monitoring and control technologies have attracted much attention. Near infrared spectroscopy (NIRS) is a powerful online monitoring method because of its noninvasiveness and short measuring time; the researches on estimation of many kinds of material attribute such as blend uniformity, content uniformity and coating thickness by using NIR spectra have been actively conducted (Roggo et al., 2007; Reich, 2005). In this paper, the estimation objective is active pharmaceutical ingredient (API) content in granules for tableting, which is generally not measured. If API

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content in granules can be estimated by using a PAT tool, the operation condition of the following processes can be changed to make API content in the final products satisfy the specification.

Most of the past researches used linear regression methods such as partial least squares (PLS) to construct estimation models (Moes et al., 2008; Berthiaux et al., 2006; Cogdill et al., 2005; Wu et al., 2009; Li and Worosila, 2005; Berntsson et al., 2002; Sulub et al., 2009; Virtanen et al., 2007). However, linear models may not be able to estimate material attributes accurately because physical and chemical properties of a measuring object have a complex effect on NIR spectra, which are inputs of estimation models. Another key issue is how to cope with changes in process characteristics. In the chemical industry, model maintenance is recognized as the most important problem concerning soft-sensors (Kano and Ogawa, 2010). This problem is quite important not only in the chemical industry but also in other industries including the pharmaceutical industry. In this research, LWR is investigated to cope with changes in process characteristics as well as nonlinearity. In LWR (Cleveland and Devlin, 1988), a local model is constructed by prioritizing samples in a database according to the similarity between a query sample and them. In general, the similarity is defined on the basis of the Euclidean distance or the Mahalanobis distance (Cleveland and Devlin, 1988; Centner and Massart, 1998). In addition, the similarity which takes account not only of the distance between samples but also of the estimates of output derived by a global model (Wang et al., 1994; Chang et al., 2001) and the similarity based not only on the distance but also on the correlation among samples (Fujiwara et al., 2009, 2010) have been proposed.

In this research, in order to construct high performance estimation models, a new similarity measure is proposed and locally weighted partial least squares (LW-PLS) models are constructed. In the proposed method, LW-PLS models are first constructed by using the conventional similarity based on the Euclidean distance, then the LW-PLS models are reconstructed by using the new similarity based on the weighted Euclidean distance. The absolute values of the regression coefficients of the first LW-PLS models are used as the weights for input variables. Furthermore, a statistical wavelength selection method which quantifies the effect of API content and other factors on NIR spectra is proposed. In the present situation, wavelengths are selected by using engineering knowledge and by trial and error. Such conventional approaches are time-consuming and not theoretically well-supported. Although advanced methods such as genetic algorithm (Jouen-Rimbauda and Massart, 1995; Arakawa et al., 2011), interval PLS (Nørgaard et al., 2000), and moving window PLS (Jiang et al., 2002) have been proposed, these methods are computationally intensive because they need iterative calculations. The proposed method can select important wavelengths quickly without iterative calculations.

Locally Weighted PLS

The *n*th sample of input and output variables is denoted by

$$\boldsymbol{x}_n = [x_{n1}, x_{n2}, \cdots, x_{nM}]^{\mathrm{T}} \tag{1}$$

$$\boldsymbol{y}_n = [y_{n1}, y_{n2}, \cdots, y_{nL}]^{\mathrm{T}} \tag{2}$$

where M is the number of input variables, L is the number of output variables and superscript T denotes the transpose of a vector or matrix. $\boldsymbol{X} \in \Re^{N \times M}$ and $\boldsymbol{Y} \in \Re^{N \times L}$ are the input and output variable matrices whose *n*th rows are $\boldsymbol{x}_n^{\mathrm{T}}$ and $\boldsymbol{y}_n^{\mathrm{T}}$, respectively. N is the number of samples.

In LW-PLS, $\boldsymbol{X}$ and $\boldsymbol{Y}$ are stored in a database. When an output estimation is required for a query sample $\boldsymbol{x}_q$, the similarity ω_n between $\boldsymbol{x}_q$ and $\boldsymbol{x}_n$ is calculated and a local PLS model is constructed by weighting samples with a similarity matrix $\boldsymbol{\Omega} \in \Re^{N \times N}$ defined by

$$\boldsymbol{\Omega} = \mathrm{diag}(\boldsymbol{\omega}) \tag{3}$$

$$\boldsymbol{\omega} = [\omega_1, \omega_2, \cdots, \omega_N]^{\mathrm{T}} \tag{4}$$

where diag($\boldsymbol{a}$) denotes a diagonal matrix whose diagonal elements are $\boldsymbol{a}$.

It is important to appropriately define the similarity to achieve the high estimation accuracy by using LW-PLS. In the past researches, many kinds of the similarities have been proposed (Cleveland and Devlin, 1988; Centner and Massart, 1998; Wang et al., 1994; Chang et al., 2001; Fujiwara et al., 2009, 2010). The proposed method utilizes a new similarity measure based on the weighted Euclidean distance

$$d_n = \sqrt{(\boldsymbol{x}_n - \boldsymbol{x}_q)^{\mathrm{T}} \boldsymbol{\Theta} (\boldsymbol{x}_n - \boldsymbol{x}_q)} \tag{5}$$

where $\boldsymbol{\Theta} \in \Re^{M \times M}$ is a weighting matrix.

$$\boldsymbol{\Theta} = \mathrm{diag}(\boldsymbol{\theta}) \tag{6}$$

$$\boldsymbol{\theta} = [\theta_1, \theta_2, \cdots, \theta_M]^{\mathrm{T}} \tag{7}$$

θ_m $(m = 1, 2, \cdots, M)$ is defined as the absolute value of the *m*th variable's regression coefficient of an LW-PLS model in which the normal Euclidean distance

$$d_n = \sqrt{(\boldsymbol{x}_n - \boldsymbol{x}_q)^{\mathrm{T}} \boldsymbol{\Theta} (\boldsymbol{x}_n - \boldsymbol{x}_q)} \qquad (\boldsymbol{\Theta} = I) \tag{8}$$

is used to construct the model. In this research, the following similarity

$$\omega_n = \exp\left(-\frac{d_n}{\sigma_d \, \phi}\right) \tag{9}$$

is investigated, where σ_d is standard deviation of d_n and ϕ is a localization parameter; the similarity decreases steeply when ϕ is small and gradually when ϕ is large. When $\phi = \infty$, LW-PLS becomes equivalent to conventional PLS. This definition is inspired by the work of Shigemori et al. (Shigemori et al., 2011), in which θ_m is defined as the absolute value of the *m*th variable's regression coefficient of a global multiple linear regression model.

The output estimate $\hat{\boldsymbol{y}}_q \in \Re^L$ is calculated as follows.

1. Set $i = 1$, $\theta_m = 1$, $\hat{\boldsymbol{y}}_q = \boldsymbol{0}$ and determine the number of latent variables *R*.
2. Set $r = 1$.
3. Calculate the similarity matrix $\boldsymbol{\Omega}$ by using Eqs. (5), (6), (7), and (9).

$$\boldsymbol{\Omega} = \mathrm{diag}(\boldsymbol{\omega}) \tag{10}$$

$$\boldsymbol{\omega} = [\omega_1, \omega_2, \cdots, \omega_N]^{\mathrm{T}} \tag{11}$$

4. Calculate $\boldsymbol{X}_r$, $\boldsymbol{Y}_r$ and $\boldsymbol{x}_{qr}$

$$\boldsymbol{X}_r = \boldsymbol{X} - \boldsymbol{1}_N[\bar{x}_1, \bar{x}_2, \cdots, \bar{x}_M] \tag{12}$$

$$\boldsymbol{Y}_r = \boldsymbol{Y} - \boldsymbol{1}_N[\bar{y}_1, \bar{y}_2, \cdots, \bar{y}_L] \tag{13}$$

$$\boldsymbol{x}_{qr} = \boldsymbol{x}_q - [\bar{x}_1, \bar{x}_2, \cdots, \bar{x}_M]^{\mathrm{T}} \tag{14}$$

$$\bar{x}_m = \sum_{n=1}^{N} \omega_n x_{nm} \Big/ \sum_{n=1}^{N} \omega_n \tag{15}$$

$$\bar{y}_l = \sum_{n=1}^{N} \omega_n y_{nl} \Big/ \sum_{n=1}^{N} \omega_n \tag{16}$$

where $\boldsymbol{1}_N \in \Re^N$ is a vector of ones.

5. Derive the *r*th latent variable of $\boldsymbol{X}_1$

$$\boldsymbol{t}_r = \boldsymbol{X}_r \boldsymbol{w}_r \tag{17}$$

where $\boldsymbol{w}_r$ is the eigenvector of $\boldsymbol{X}^{\mathrm{T}}{}_r \boldsymbol{\Omega} \boldsymbol{Y}_r \boldsymbol{Y}^{\mathrm{T}}{}_r \boldsymbol{\Omega} \boldsymbol{X}_r$ which corresponds to the maximum eigen value.

6. Derive the *r*th loading vector of $\boldsymbol{X}_1$

$$\boldsymbol{p}_r = \frac{\boldsymbol{X}^{\mathrm{T}}{}_r \boldsymbol{\Omega} \boldsymbol{t}_r}{\boldsymbol{t}^{\mathrm{T}}{}_r \boldsymbol{\Omega} \boldsymbol{t}_r} \tag{18}$$

and the regression coefficient vector

$$\boldsymbol{q}_r = \frac{\boldsymbol{Y}^{\mathrm{T}}{}_r \boldsymbol{\Omega} \boldsymbol{t}_r}{\boldsymbol{t}^{\mathrm{T}}{}_r \boldsymbol{\Omega} \boldsymbol{t}_r} \tag{19}$$

7. Derive the *r*th latent variable of $\boldsymbol{x}_{q1}$

$$t_{qr} = \boldsymbol{x}^{\mathrm{T}}{}_{qr} \boldsymbol{w}_r \tag{20}$$

8. If $i = 2$ change $\hat{\boldsymbol{y}}_q$ to $\hat{\boldsymbol{y}}_q + t_{qr} \boldsymbol{q}_r$.
9. If $i = 2$ and $r = R$, finish estimation. Otherwise, set $\boldsymbol{X}_{r+1} = \boldsymbol{X}_r - \boldsymbol{t}_r \boldsymbol{p}^{\mathrm{T}}{}_r$, $\boldsymbol{Y}_{r+1} = \boldsymbol{Y}_r - t_r \boldsymbol{q}^{\mathrm{T}}{}_r$, and $\boldsymbol{x}_{qr+1} = \boldsymbol{x}_{qr} - t_{qr} \boldsymbol{p}^{\mathrm{T}}{}_r$.
10. If $r = R$, go to the next step. Otherwise, set $r = r + 1$ and return to step 6.
11. Set θ_m as the absolute value of the *m*th variable's regression coefficient of the LW-PLS model which is constructed at steps 1 ~ 10 and return to step 2.

The estimation accuracy may be improved by updating $\boldsymbol{\Omega}$ more than once; however, it makes the computational load heavier. Therefore, $\boldsymbol{\Omega}$ is updated only once in this paper.

Statistical Wavelength Selection

The estimation accuracy strongly depends on the wavelength selection when spectra data are used as model inputs (Andersen and Bro, 2010). Therefore, it is crucial to select an appropriate subset of wavelengths to optimize the model performance. In this research, a statistical wavelength selection method is proposed under the assumption that spectra data are obtained from multiple lots with different API content. This assumption is generally satisfied in practice. The concept of the proposed method is that the selected wavelengths must have the following two features: small absorbance variance in the same lot and large absorbance variance between different lots. Thus, each wavelength is evaluated by the ratio of between-lots variance to within-lot variance.

The *n*th measurement of absorbance at the *m*th wavelength in the *k*th lot is denoted by x_{nmk} $(n = 1, 2, \cdots, N_k, m = 1, 2, \cdots, M, k = 1, 2, \cdots, K)$, where N_k, *M* and *K* denote the number of samples in the *k*th lot, the number of wavelengths and the number of lots, respectively. In addition, the absorbance matrix of the *k*th lot is denoted by

$$\boldsymbol{X}_k = \begin{bmatrix} x_{11k} & \cdots & x_{1Mk} \\ \vdots & \ddots & \vdots \\ x_{N_k 1k} & \cdots & x_{N_k Mk} \end{bmatrix} \tag{21}$$

The proposed statistical wavelength selection procedure is as follows.

1. Calculate mean and variance of x_{nmk} at the *m*th wavelength in the *k*th lot.

$$\bar{x}_{*mk} = \frac{1}{N_k} \sum_{n=1}^{N_k} x_{nmk} \tag{22}$$

$$\mathrm{V}_n(x_{nmk}) = \frac{1}{N_k - 1} \sum_{n=1}^{N_k} (x_{nmk} - \bar{x}_{*mk})^2 \tag{23}$$

2. Select the wavelengths at which the following condition is satisfied.

$$\eta = \frac{\mathrm{V}_k(\bar{x}_{*mk})}{\sum_{k=1}^{K} \mathrm{V}_n(x_{nmk})} > \lambda \tag{24}$$

$$\mathrm{V}_k(\bar{x}_{*mk}) = \frac{1}{K - 1} \sum_{k=1}^{K} (\bar{x}_{*mk} - \bar{x}_{*m*})^2 \tag{25}$$

$$\bar{x}_{*m*} = \frac{1}{K} \sum_{k=1}^{K} \bar{x}_{*mk} \tag{26}$$

where λ denotes a threshold for wavelength selection.

When the effect of the difference in API content in the same lot on the spectra is negligible, $\mathrm{V}_n(x_{nmk})$ indicates the effect of the factors other than API content on the spectra. Therefore, the wavelengths with small within-lot variance $\mathrm{V}_n(x_{nmk})$ should be selected. In addition, $\mathrm{V}_k(\bar{x}_{*mk})$ indicates the effect of API content on the spectra and the wavelengths with large between-lots variance $\mathrm{V}_k(\bar{x}_{*mk})$ should be selected. From the above discussions, the suitable wavelengths for estimation can be selected on the basis of η.

Application to real process data

Experimental

The target drug products consist of six components. Nineteen blending experiments were conducted with different API content using a 3 L scale V-blender (Tsutsui Scientific Instruments Co., Ltd.). After each blending experiment, the granules for tableting were taken out and 200 mg of the granules were set in vials, NIR spectra (2203 points in 800 ~ 2500 nm) were measured with MPA (BrukerOptics K. K.), and API content was measured with Alliance Waters 2690 Separations Module (Waters Corporation). The overview of the experimental data is shown in Table 1. In this study, the data of lots from 1 to 8 are the calibration set, the data of lots from 9 to 16 are the test set, and the data of lots 17 and 18 are the prediction set.

Data Analysis

The procedure of the data analysis is as follows.

1. Preprocessing
   Apply first order differential using Savitsky-Golay filter (Savitzky and Golay, 1964) and Standard Normal Variate (SNV) to NIR spectra data. By differentiating spectra, the effect of the noise on NIR spectra can be reduced. SNV can correct the variance in light path length caused by changes in the particle size and density (Barnes et al., 1989). In this application, the window size and the polynomial order in Savitsky-Golay filter were 117 and 5, respectively.
2. Wavelength selection
   Use absorbance at all wavelengths or at the wavelengths selected by the proposed method as model inputs.

Table 1. Experimental data

Lot number	Number of samples	Mean of API content [%]
1	90	68.1
2	86	83
3	100	88.7
4	20	97.4
5	10	98.6
6	90	107.7
7	90	113.8
8	90	128.3
9	100	73.9
10	10	94
11	10	96.8
12	10	98.3
13	10	98.8
14	10	99.5
15	10	100.1
16	90	122.9
17	10	96
18	10	100

Table 2. Search range of the parameters

Parameter	Search range
ϕ	0.2, 0.5, 0.8, 1.1, 1.4, 1.7, 2, 2.3, 2.6, 2.9, 3.2, 3.5, 3.8, 4.1, 4.4, 4.7, 5, 10, 20, 30, 50
λ	0, 1, 2, 3, 4, 5, 10, 15, 20
R	1, 2, 3, 4, 5, 6, 7, 8, 9, 10, 11, 12, 13, 14, 15

3. Model construction
   Construct estimation models by using conventional PLS, LW-PLS without updating $\boldsymbol{\Omega}$ (LW-PLS 1) or LW-PLS with updating $\boldsymbol{\Omega}$ (LW-PLS 2).

Six estimation models were constructed with respect to the selections in steps 2 and 3. Model parameters in each model, i.e. the localization parameter ϕ, the threshold for wavelength selection λ and the number of latent variables R, were determined by using the calibration set (data of lots from 1 to 8) and the test set (data of lots from 9 to 16). API content of the test set was estimated by using the calibration set with different parameter sets, then the parameter set which derived the minimum estimation error was selected. The search range of the parameters is shown in Table 2.

Results and Discussion

Table 3 shows the selected parameters, root mean square error of parameter tuning (RMSE) and root mean square error of prediction (RMSEP). Model validation results are shown in Fig. 1. When conventional PLS was used (cases 1 and 2), RMSEPs were the same because the proposed wavelength selection method selected all wavelengths. The proposed wavelength selection method selected wavelengths, which had index η larger than 10, when LW-PLS 1 (case 4) and LW-PLS 2 (case 6) were used. The index η and preprocessed API spectrum are shown in Fig. 2 (top). In addition, $\mathrm{V}_k\left(\bar{x}_{*mk}\right)$ and $\sum_{k=1}^{K}\mathrm{V}_n\left(x_{nmk}\right)$ in Eq (24) are shown in Fig. 2 (bottom). Absorbance values of API spectra do not have a correlation with η because η takes account not only of the effect of API content on NIR spectra but also of the effect of other factors on NIR spectra. The wavelengths around 1910 and 1970 nm were not selected although peak absorbance values of API and $\mathrm{V}_k\left(\bar{x}_{*mk}\right)$, the effect of API content on NIR spectra, were large. This is because $\sum_{k=1}^{K}\mathrm{V}_n\left(x_{nmk}\right)$, the effect of other factors on NIR spectra, was also large at these wavelengths. On the contrary, the wavelengths around 1120 and 1190 nm were selected although peak absorbance values of API and $\mathrm{V}_k\left(\bar{x}_{*mk}\right)$ were small. By using the proposed wavelength selection method, RMSEP was improved by 28.7% when LW-PLS 1 was used (cases 3 and 4) and by 33.1% when LW-PLS 2 was used (cases 5 and 6). Moreover, LW-PLS 2 (cases 5 and 6) was superior to PLS and LW-PLS 1 (cases 1 ~ 4).

Table 3. Comparison of the calibration modeling techniques

Case	Model	Wavelength	λ	ϕ	R	RMSE	RMSEP
1	PLS	2087	-	-	11	2.15	1.84
2	PLS	2087	0	-	11	2.15	1.84
3	LW-PLS 1	2087	-	10	11	2.14	1.71
4	LW-PLS 1	259	10	0.5	9	1.96	1.22
5	LW-PLS 2	2087	-	10	11	2.13	1.69
6	LW-PLS 2	259	10	0.5	9	1.89	1.13

With the proposed wavelength selection method (cases 2, 4 and 6), LW-PLS 2 derived 7.4% and 38.6% less RMSEP than PLS (case 2) and LW-PLS 1 (case 4), respectively. The results of the case study demonstrate the usefulness of the proposed wavelength selection method and LW-PLS 2.

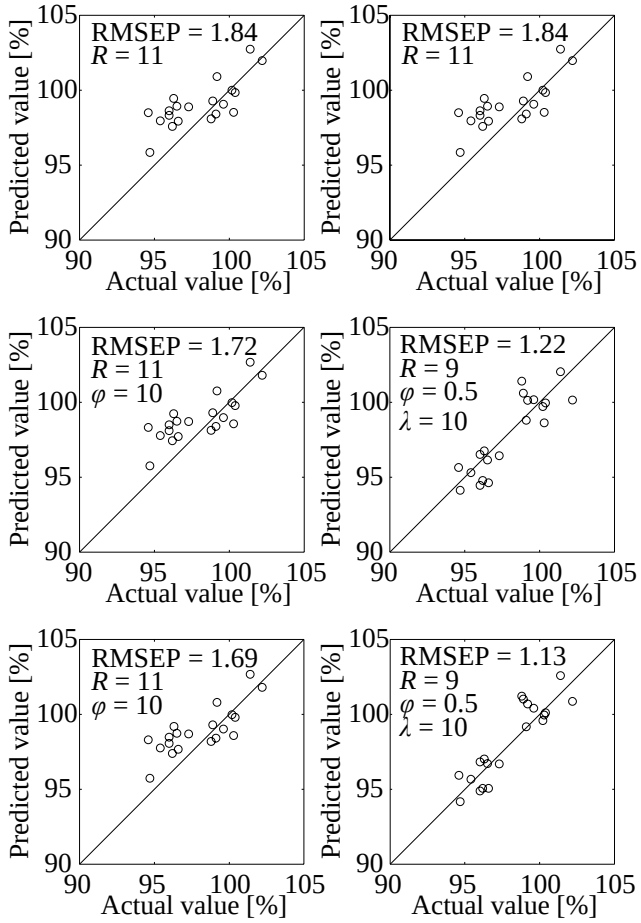

Figure 1. Results of model validation. (left-top) case 1: PLS with all wavelengths, (right-top)case 2: PLS with the proposed wavelengths, (middle-top) case 3: LW-PLS 1 with all wavelengths, (middle-top) case 4: LW-PLS 1 with the proposed wavelengths, (left-bottom) case 5: LW-PLS 2with all wavelengths, and (right-bottom) case 6: LW-PLS 2 with the proposed wavelengths.

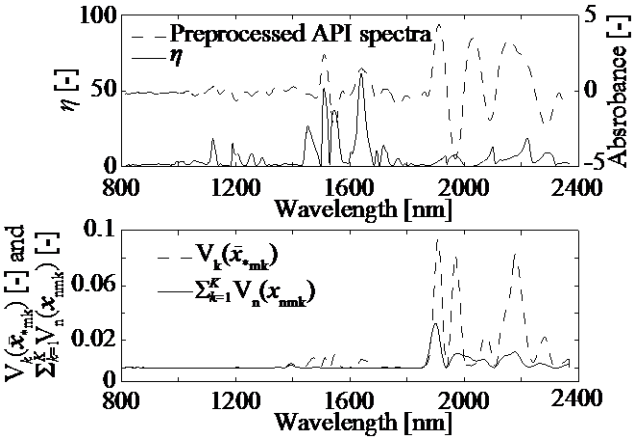

Figure 2. Wavelength selection index η and preprocessed API spectra and (bottom) $V_k(\bar{x}_{*mk})$ *and* $\sum_{k=1}^{K} V_n(x_{nmk})$

Conclusions

Locally weighted partial least squares (LW-PLS), which utilized the similarity based on the weighted Euclidean distance, was proposed to estimate API content in a blending process. The regression coefficients of the LW-PLS model using the normal Euclidean distance are used as weights for input variables. Moreover, a statistical wavelength selection method which quantified the effect of API content and other factors on NIR spectra was proposed. By using the proposed methods, the estimation accuracy was improved by 38.6 % in RMSEP compared to the conventional PLS using all wavelengths. The results clearly show that the proposed calibration modeling technique is useful for API content estimation and is superior to the conventional one.

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