
MODULE 2: COMMON TECHNICAL
DOCUMENT SUMMARIES

Generic name: Amokinol

2.3 QUALITY OVERALL SUMMARY
Sakura Tablet

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2.3.P.1 Description and Composition of the Drug Product (Sakura Tablet, Film-coated Tablet)

The composition of Sakura Tablet is shown in Table 2.3.P.1-1.

Table 2.3.P.1-1 Composition of Sakura Tablet

| Function | Specification | Excipient | Sakura Tablet 30 mg |
|-------------------|------------------------|------------------------------------|----------------------------|
| Active ingredient | Separate specification | Amokinol | 30 mg / tablet (100 mg) |
| Filler | JP | Calcium hydrogen phosphate hydrate | Appropriate amount |
| Filler | JP | D-mannitol | 10 mg |
| Disintegrant | JP | Sodium starch glycolate | 5 mg |
| Lubricant | JP | Magnesium stearate | 2 mg |
| Coating agent | JP | HPMC | 2.4 mg |
| Polishing agent | JP | Macrogol 6000 | 0.3 mg |
| Coloring agent | JP | Titanium oxide | 0.3 mg |
| Coloring agent | JPES | Iron sesquioxide | Trace amount |

2.3.P.2 Pharmaceutical Development (Sakura Tablet, Film-coated Tablet)

2.3.P.2.1 Composition of Drug Product

Physicochemical properties of amokinol, the active ingredient of Sakura Tablet, are shown in Section 2.3.S.1.3. General Properties. Amokinol is a neutral compound with a molecular weight of 450. It has moderately poor compression properties which could lead to difficulties in manufacturing robust tablets at high drug loading.

Solubility of amokinol in water is 0.015mg/mL at 20°C, making this compound practically insoluble in water. Solubility of amokinol in FaSSIF (Fasted State Simulated Intestinal Fluid) and HIF (Human Intestinal Fluid) is 0.020 mg/mL. As shown in Figure 2.3.P.2.1-1, amount of amokinol dissolved in 250ml of buffer solutions is 4 mg over the pH range from 1 to 8. As the amount of the active ingredient of Sakura Tablet is 30 mg, amokinol is classified as a low solubility compound according to Biopharmaceutical Classification System (BCS). 1-octanol/water partition coefficient (logD) of amokinol is 2.6 at 25°C. Based on the result of permeability using Caco 2 cell membrane, amokinol is classified as a high permeability compound according to BCS.

From these results, amokinol is classified as a BCS class 2 compound (low solubility and high permeability).

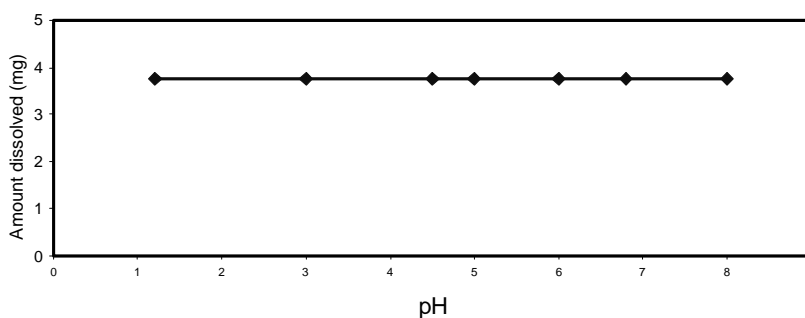


Figure 2.3.P.2.1-1 Solubility of Amokinol in Buffers of Various pH

Calcium hydrogen phosphate hydrate and D-mannitol were selected as diluents for Sakura Tablet, and sodium starch glycolate as a disintegrant, and magnesium stearate as a lubricant were also chosen.

Note) The reason of choice of each excipient and results of their compounding test must be described in later sections.

2.3.P.2.2 Drug Product

1) Drug Product Development Strategy

For drug product development of Sakura Tablet, a more systematic approach (Quality by Design: QbD or Enhanced Approach) was employed, as well as conventional approaches based on experiences. In addition to prior knowledge and experiences of manufacturing, design of experiments and risk management for product quality were used. Moreover, continuous quality improvement during the entire product life cycle for formulation and manufacturing process of Sakura Tablet was intended by systematic evaluation, which is identification of critical quality attributes and critical steps of the API and the drug product, establishment of a design space, and a real time release based on deep understanding of the manufacturing process.

For construction of control strategy for the final manufacturing process and quality assurance of Sakura Tablet, the following approaches were employed.

1. Setting of Target Product Profile and early phase risk assessment
2. Risk assessment of composition and manufacturing process of the drug product
3. Identification of Critical Step and assessment of influence of the critical steps on Quality Attribute of the tablet
 - Study of the effects of particle size of the API on dissolution and in vivo absorption from the drug product
 - Study of level and lubrication process
 - Study of tableting process
 - Confirmation of main factors and interactions
4. Further evaluation of other variables on quality characteristics of the tablet
 - Study of effects on homogeneity of blending process
5. Assessment and construction of DS (Design Space) as a control strategy
6. Assessment and construction of RTR (Real Time Release) in critical processes
7. Review of the Risk assessment after implementation of the control strategy

According to the approach described above, Preliminary Hazard Analysis (PHA) was used in the initial risk assessment, and Failure Mode and Effects Analysis (FMEA) was used in the risk assessment of the manufacturing process and in the risk assessment after implementation of the control strategy. Risk assessment based on results of drug product development with Sakura Tablet manufactured in a pilot scale indicated that it was highly plausible that a particle size of the API affected the dissolution and that tableting pressure affected tablet hardness. Therefore, blending processes of granules for tableting and tableting process were selected as critical steps. However equivalent dissolution and in vivo absorption has been confirmed over the range of 5 to 50 μm , although the particle sizes affected in vitro drug release from the tablet and in vivo pharmacokinetics. Regarding tableting pressure, assessment results indicated low possibility that the pressure affects the quality of the final drug product; therefore it was judged that an appropriate quality could be kept by controlling the tableting pressure in manufacturing. Finally, the design space of Sakura Tablet was constructed by input variables, process parameters and combination of final specifications of the final product (Figure 2.3.P.2.3-8 Design Space of Sakura Tablet).

Additionally, it was concluded that the real time releasing of products is possible on the following specification items: dissolution, content uniformity, and assay, by monitoring and controlling of both uniformity of powder blend in blending process and compression force in tableting process. However, when a new manufacturing line will be introduced in the future, current application of each manufacturing process control methods will be re-evaluated. Until the completion of their reevaluation, content uniformity, dissolution test and assay will be carried out at the finished products

The results of analyses of manufacturing process output made possible to identify all the parameters to be controlled. Additionally, it was confirmed that each parameter was independent from manufacturing scale. Therefore, it was concluded that a change of manufacturing scale could be achieved by only controlling those parameters.

2) Target Product Profile

Product profiles targeted in drug product development are shown in Table 2.3.P.2.2-1.

Table 2.3.P.2.2-1 Target Product Profile of Sakura Tablet

| | |
|--|--|
| Strength and dosage form | Immediate release tablet containing 30 mg of active ingredient. |
| Specifications to assure safety and efficacy during shelf-life | Assay, Uniformity of Dosage Unit (content uniformity) and dissolution. |
| Description and hardness | Robust tablet able to withstand transport and handling. |
| Appearance | Film-coated tablet with a suitable size to aid patient acceptability and compliance. Total tablet weight containing 30 mg of active ingredient is 100 mg with a diameter of 6 mm. |

3) Initial Risk Assessment

Regarding physicochemical properties shown in Section 2.3.S.1.3 General Properties, initial risk assessment on Sakura Tablet quality was performed. Results are summarized in Table 2.3.P.2.2-2, and shown in Figure 2.3.P.2.2-1.

In an initial risk assessment prior to formulation development, drug substance particle size, excipients and water content were identified as possible process inputs which could affect the tablet quality.

Table 2.3.P.2.2-2 Initial risk assessment of Sakura Tablet

| Factor | Risk assessment |
|-----------------------|--|
| API | Drug substance particle size could affect in vivo performance due to the low solubility and high permeability. |
| Excipient | Insoluble (inorganic) excipients could affect dissolution rate. |
| | Soluble (organic) excipients could affect compressing property in compression. |
| | Hydrophobic excipients (lubricants) could affect dissolution rate. |
| Manufacturing process | API is known to undergo hydrolysis and this will probably preclude aqueous wet granulation processes. |
| | The blending process must ensure homogenous distribution of the API to achieve the desired content uniformity. Overblending should be avoided. |
| | Overblending of the lubricant increases surface hydrophobicity, and may decrease dissolution rate. |
| | Uniformity must be controlled in the blending process. |
| | Excessive compaction force could increase disintegration time and thereby reduce dissolution rate. |

| | Drug substance particle size | Filler selection | Moisture control in manufacture | Blending | Lubrication | Compression | Coating | Packaging |
|----------------------------|------------------------------|------------------|---------------------------------|----------|-------------|-------------|---------|-----------|
| <i>In vivo</i> performance | | | | | | | | |
| Dissolution | | | | | | | | |
| Assay | | | | | | | | |
| Degradation | | | | | | | | |
| Content uniformity | | | | | | | | |
| Appearance | | | | | | | | |
| Friability | | | | | | | | |
| Stability – chemical | | | | | | | | |
| Stability – physical | | | | | | | | |

| | |
|--|---------------|
| | - Low risk |
| | - Medium risk |
| | - High risk |

Figure 2.3.P.2.2-1 Summary of Initial Risk Assessment

2.3.P.2.2.1 Formulation Development

A direct compression process was selected as it was known that API undergoes hydrolysis and the relatively high drug loading would enable content uniformity to be achieved without a dry granulation process.

A series of soluble and insoluble fillers were screened for chemical compatibility and it was concluded that lactose was excluded. A dual filler system was proposed to achieve the right balance of brittle compression properties and solubility of the excipients.

In an early experimental design, calcium hydrogen phosphate hydrate and D-mannitol as filler and sodium starch glycolate as disintegrant, and magnesium stearate as lubricant were selected for the assessment.

After selection of the above excipients, the qualities of manufactured tablets were evaluated, varying the amount of the excipient at 2 to 3 levels in the experimental design. From the results, the composition shown in Table 2.3.P.1-1 was selected.

The tablet hardness 80N was chosen, and dissolution, appearance (friability, chip, etc.), content uniformity and stability as quality attributes were assessed to judge appropriateness of tablet.

Film-coating was employed to mask the bitter taste of the API.

It is judged that the risk of control of excipients and water, which were considered as possible critical parameters, can be prevented by the drug product design.

Note) In addition to the above description, composition changes and bioequivalence of the drug products used in clinical development must be described.

2.3.P.2.2.2 Overages (Sakura Tablet, Film-coated Tablet)

Not applicable

2.3.P.2.2.3 Physicochemical and Biological Properties

Solubility of the active ingredient, amokinol, is low and its permeability was high. Therefore, a better absorption from the gastrointestinal tract can be expected. From the phase 1 results using amokinol suspension, it was suggested that once a day administration is sufficient from the fact of an appropriate half life and stability in the gastrointestinal tract.

2.3.P.2.3 Manufacturing Process Development

1) Risk Assessment of Manufacturing Process

A risk analysis was performed using Failure Mode and Effects Analysis (hereafter referred to as FMEA) to direct the establishment of the manufacturing process at the proposed commercial scale.

The details of FMEA are shown in Section 3.2.P.2.3. As for the definition of risk priority number (RPN), ≥ 40 was high risk, ≥ 20 to < 40 was medium risk, and < 20 was low risk.

As shown in Figure 2.3.P.2.3-1, drug substance particle size, lubricant amount and compression force may highly affect the drug product quality. Particle size of the API is a process input which affects critical quality properties, as shown in the initial risk assessment. Excipients and water control, which were identified as process inputs affecting important quality properties in the initial risk assessment, were deleted from the FMEA risk assessment items because employment of the direct compression decreased the control risk. On the other hand, the compression force was newly identified as a high risk and critical process parameter.

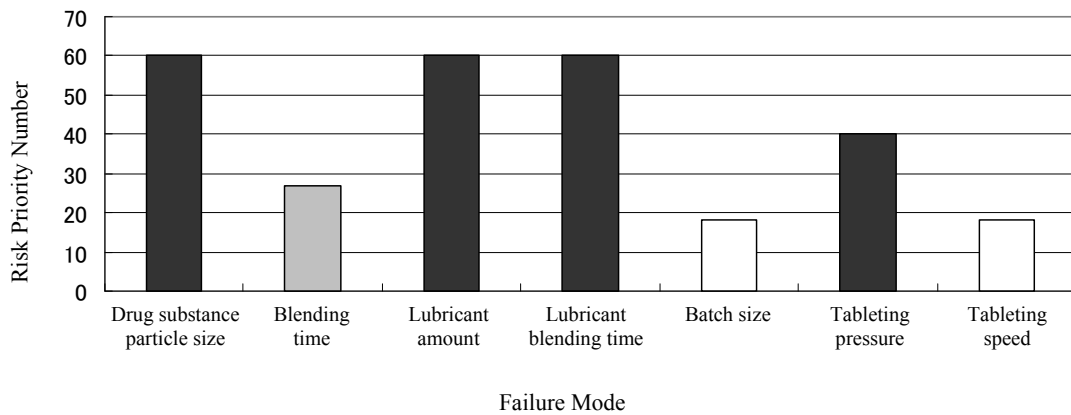


Figure 2.3.P.2.3-1 Results of FMEA Risk Analysis on Drug Product Composition and Manufacturing Process of Sakura Tablet

2) Effect of Critical Process Parameter on Drug Product Quality

2)-1 Evaluation Methods

For evaluation of effect of each critical process parameter on the drug product quality, conditions for dissolution test were investigated. The condition should detect the influences on dissolution from tablets with varied drug substance particle size, lubrication condition and compression force, and correlates with in vivo performance in human.

2)-1-1 Development of Dissolution Test Method

Dissolution profile of tablets with varied drug substance particle size, lubricant amount and compression force manufactured in a small scale or a pilot plant scale was measured using dissolution test method with a medium of 0.1% sodium lauryl sulphate aqueous solution. As shown in Figure 2.3.P.2.3-2, the dissolution test method had discrimination capability of drug product properties. Composing of the large particle size API made the dissolution rate particularly slow. Based on these results, it was confirmed that the dissolution test method had discrimination capability of manufactured tablets with varied manufacturing parameters.

Details of the dissolution test method are shown in Section 2.3.P.5.2 Test Methods (Analytical Procedure) and Section 2.3.P.5.3 Validation of Test Methods (Analytical Procedure).

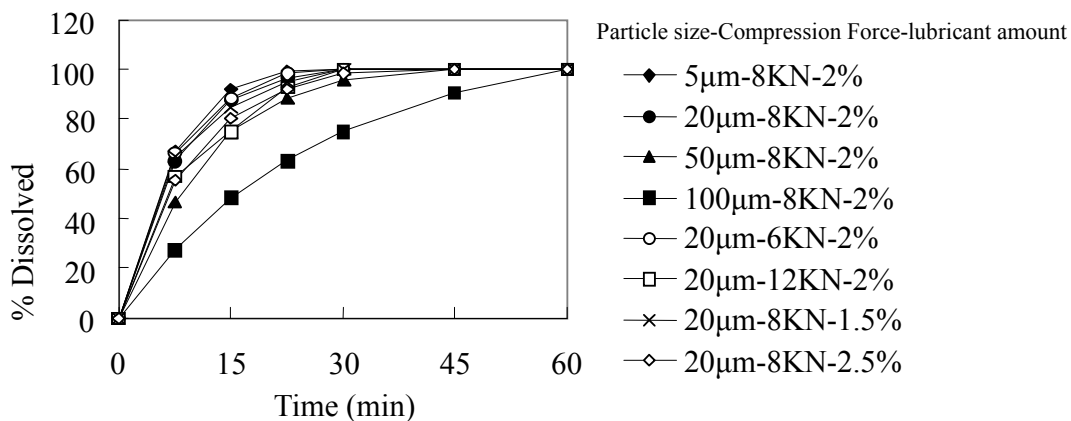


Figure 2.3.P.2.3-2 Dissolution Profiles from Tablets with Varied Drug Substance Particle Size (D90%), Compression Force and/or Lubricant Amount

2)-1-2 In vivo Evaluation

Following the confirmation in the above 2)-1-1, in vivo blood concentration profiles of the API after administered tablets manufactured in a pilot plant scale with composing different particle sizes are investigated. As shown in Figure 2.3.P.2.3-3, a trend that larger particle sizes of API correlated with lower C_{max}, and slightly longer T_{max} was observed. In particular, in the case of drug substance particle sizes of 100 μm , significantly lower C_{max} and AUC were obtained, compared to $\leq 50\mu\text{m}$ particle size. In Section 2.5.2 Overview of Biopharmaceutics, details of this study were shown.

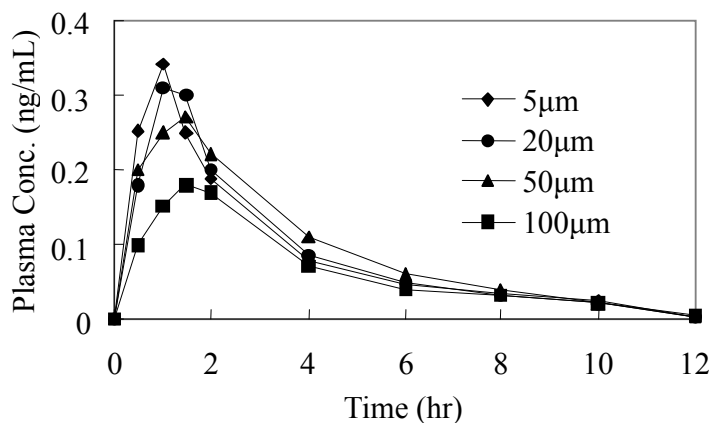


Figure 2.3.P.2.3-3 Blood Concentration Profiles

2)-1-3 IVIVC (in vitro/in vivo Correlation)

Based on the results of in vitro dissolution profiles shown in 2)-1-1 Development of Dissolution Test Method and in vivo blood concentration profiles shown in 2)-1-2 In vivo Evaluation, the established dissolution test method showed discrimination capability of tablets manufactured with the varied parameters, and the IVIVC was confirmed. Therefore, it was concluded that this dissolution test method may be applied to evaluate quality of the tablet manufactured within a design space.

2)-2 Effect of drug substance particle size

As shown in 2.3.P.2.3-2, dissolution rate became slow when an API with 100 µm particle size (D90) was composed, however when the size was within the range of 5 to 50 µm, dissolution profiles were the same. Moreover, as shown in 1)-1-2 In vivo test, when a tablet composed API of 100 µm particle size was orally administered, lower C_{max} and AUC were observed, although high bioavailability was observed by composing a API of ≤50µm particle size.

As described in 2.3.P.2.2 3) Initial Risk Assessment (Design Risk Assessment), due to the low solubility and high permeability of API, the particle size of API affects its dissolution from tablets and in vivo pharmacokinetics. However, dissolution properties and in vivo absorption were same over the particle size range of 5 to 50 µm.

2)-3 Effect of Conditions of Lubrication Process

At 3 levels each of lubricant amount and lubricant blending time, the tablets were manufactured, and the effects on dissolution profile and hardness of tablets were evaluated. The results indicated that tablets manufactured in all conditions showed the similar dissolution profiles, and increase of lubricant amount and blending time tended to decrease tablet hardness (Figure 2.3.P.2.3-4). However the hardness in the study range highly exceeded the in-process control lower limit, 80N, therefore it was confirmed that these parameters did not affect the dissolution or tablet hardness significantly, and the lubricant amount of 2% was justified.

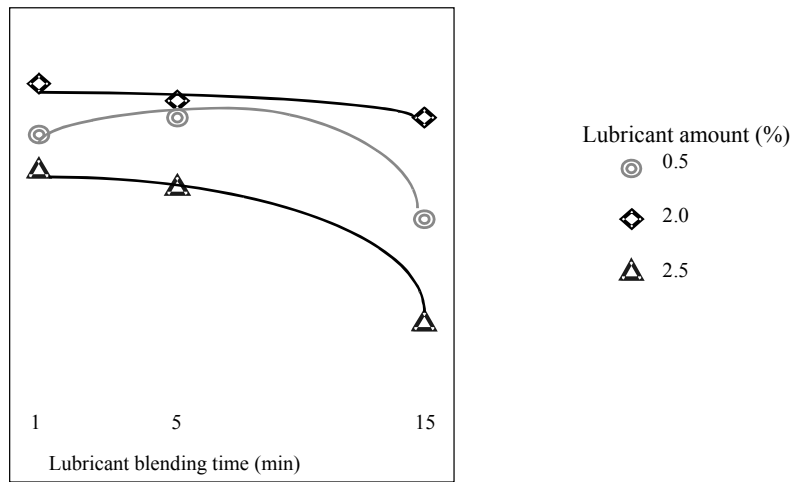


Figure 2.3.P.2.3-4 Correlation between Lubricant Amount, Lubrication Time and Tablet Hardness

2)-4 Effect of Tableting Process

Effects of content uniformity, hardness, dissolution, and friability of tablet were investigated by manufactured with various tableting process parameters. Although the tablet hardness and friability tended to decrease slightly when compression force was low, the target product properties were achieved. On the other hand, when compression force was high, the dissolved amount at earlier testing time tended to be low, and it was difficult to achieve $\geq 80\%$ dissolution in 30 minutes. Regarding rotation speed of tableting machine, when rotation speed increased the acceptance value of content uniformity tended to increase, however all values met the criterion of $\leq 15.0\%$.

From these results, the mean weight of the tablets and compression force (6 to 10KN) were employed in the process control.

Table 2.3.P.2.3-2 Test Results of Tableting Process Parameters

| Tableting condition | | | Tablet properties | | | |
|-------------------------------------|--------------------------------|----------------------|--------------------|-------------------------------|--------------|---|
| Rotation speed of tableting machine | Rotation speed of force feeder | Compression force KN | Content Uniformity | Dissolution (%) at 15 minutes | Hardness (N) | Tablet strength (F intensity, friability (%)) |
| 40 rpm | 40 rpm | 6 | 2.2 | 97 | 90 | 0.5 |
| | | 8 | 1.9 | 95 | 109 | 0.3 |
| | | 10 | 1.7 | 85 | 131 | 0.1 |
| | | 12 | 2.4 | 75 | 159 | 0.1 |
| 80 rpm | 60 rpm | 6 | 3.6 | 97 | 81 | 0.6 |
| | | 8 | 3.7 | 97 | 104 | 0.4 |
| | | 10 | 3.1 | 86 | 123 | 0.1 |
| | | 12 | 3.8 | 73 | 141 | 0.1 |

2)-5 Confirmation of Critical Factors and Interactions

Results shown above indicate that the drug substance particle size affects dissolution, the lubrication condition affects tablet hardness, and the compression force affects both. However, it was confirmed that similar dissolution profiles were achieved with the range of drug substance particle size from 5 to 50 μm , and the target product profile was obtained with the ranges of compression force and lubrication time of 6 to 10 KN and 1 to 15 minutes, respectively. Tablets were then manufactured at the levels of factors which cover all the evaluated levels to assess robustness of the manufacturing process. In the method, all factors were allocated in a $L_9(3^4)$ orthogonal arrays table to assess the effects of these parameters on interactions, drug product properties, and manufacturing efficiency. For each value of drug product property, multiple regression analyses were performed, and contribution ratio and statistical significance were confirmed for each property. The results showed no interactions among the parameters.

Table 2.3.P.2.3-1 Experimental Design of $L_9(3^4)$ Orthogonal Arrays Allocation

| No. | Parameters | Drug substance particle size (μm) | Lubricant amount (%) | Lubrication time (min) | Compression Force (KN) |
|-----|------------|--|----------------------|------------------------|------------------------|
| 1 | | 5 | 1.5 | 1 | 8 |
| 2 | | 5 | 2 | 5 | 10 |
| 3 | | 5 | 2.5 | 15 | 12 |
| 4 | | 20 | 1.5 | 5 | 12 |
| 5 | | 20 | 2 | 15 | 8 |
| 6 | | 20 | 2.5 | 1 | 10 |
| 7 | | 50 | 1.5 | 15 | 10 |
| 8 | | 50 | 2 | 1 | 12 |
| 9 | | 50 | 2.5 | 5 | 8 |

3) Effects of Other Process Parameters on Tablet Quality

3)-1 Effects of Blending Process on Homogeneity

In the initial risk assessment, Sakura Tablet could not be manufactured by wet-granulation due to the susceptibility to hydrolysis, therefore the direct compression method was adopted. Blending conditions such as blending time and rotation speed and drug substance particle size are expected to affect content uniformity. Therefore, an experiment on a small scale according to an experimental design was performed to obtain information of effects of parameter variations on the homogeneity of the blended powder, although the risk has been judged as medium in the risk assessment. Homogeneity of the blended powder samples was assessed using an in-line near infrared spectrophotometry (hereafter referred to as NIR), as well as a high performance liquid chromatography (HPLC).

The study results showed robustness of blending process against a large variation of process parameters. On the other hand, when variations of factors occurred simultaneously (drug substance particle size was large, V type blender was used, blending time was short, blending rate was slow), relative standard deviation of blending homogeneity was 6.5%, which indicated a trend of larger variations.

As a result, the manufacturing of tablets with the target content uniformity was confirmed, even if each parameter of drug substance particle size, type of blender and blending speed were varied in the studied experimental range, the blending was stopped at the time when relative standard deviation of blending homogeneity was <6%.

In 3.2.P.3.3 Manufacturing Process and Process Control, the NIR monitoring system was described.

Variation factor:

- Time: from 2 to 16 minutes
- Blending speed: 10 to 30 rpm
- Equipment: Drum type and V type blender
- Drug substance particle size: D90 = 10 to 50 μm

Table 2.3.P.2.3-1 Experimental Design for Blending Process Parameter Assessment

| Experiment No. | Run | Condition | Blending time (minutes) | Rotation speed (rpm) | Blender | Particle size D90 (μm) |
|----------------|-----|-----------|-------------------------|----------------------|-----------|-------------------------------------|
| 1 | 2 | varied | 2 | 10 | V type | 10 |
| 2 | 7 | varied | 16 | 10 | V type | 50 |
| 3 | 10 | varied | 2 | 30 | V type | 50 |
| 4 | 5 | varied | 16 | 30 | V type | 10 |
| 5 | 6 | varied | 2 | 10 | Drum type | 50 |
| 6 | 1 | varied | 16 | 10 | Drum type | 10 |
| 7 | 8 | varied | 2 | 30 | Drum type | 10 |
| 8 | 11 | varied | 16 | 30 | Drum type | 50 |
| 9 | 3 | standard | 9 | 20 | V type | 30 |
| 10 | 12 | standard | 9 | 20 | Drum type | 30 |
| 11 | 9 | standard | 9 | 20 | V type | 30 |
| 12 | 4 | standard | 9 | 20 | Drum type | 30 |

Note) Content Uniformity results in the above experiments must be presented.

4) Effect of Manufacturing Process on Quality

As for the main parameters identified in the evaluation of the manufacturing process, effects on the tablet quality were evaluated, and the results were summarized in Figure 2.3.P.2.3-5. The figure shows that drug substance particle size may highly affect dissolution, and also tableting pressure may highly affect tablet hardness. However, as shown in 2)-4 Effect of Tableting Process, manufacturing of the drug product with the target quality over the range of tableting pressure from 6 to 10 KN was confirmed.

| | Clinical quality | | | Physical quality | |
|-------------------------------------|------------------|----------|--------------------|------------------|-------------|
| | Dissolution | Assay | Content uniformity | Appearance | Hardness |
| Material characteristics | | | | | |
| Drug substance particle size | High risk | Low risk | Medium risk | Low risk | Low risk |
| Lubricant amount on tablet surface | Medium risk | Low risk | Low risk | Medium risk | Medium risk |
| Process parameters | | | | | |
| Blending (speed and time) | Low risk | Low risk | Medium risk | Low risk | Low risk |
| Lubricant (blending speed and time) | Medium risk | Low risk | Low risk | Low risk | Low risk |
| Tableting pressure | Medium risk | Low risk | Low risk | Medium risk | High risk |
| Tableting speed | Low risk | Low risk | Low risk | Low risk | Low risk |
| Batch size | Low risk | Low risk | Low risk | Low risk | Low risk |



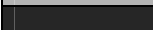
| | |
|---|---------------|
|  | - Low risk |
|  | - Medium risk |
|  | - High risk |

Figure 2.3.P.2.3-5 Summary of Effects of Each Parameter on Tablet Quality

5) Risk Assessment after Manufacturing Process Development

FMEA risk assessment was performed for the drug product manufactured by the planned commercial scale and manufacturing processes which may fully affect the tablet quality. As shown in Figure 2.3.P.2.3-6, drug substance particle size most affected the final product quality. Risk scores became low on lubricant amount and tableting pressure, which were identified as critical quality properties in the risk assessment before establishment of the commercial scale, because as shown in 2)-1-1 Dissolution, variation of lubricant amount and tableting pressure did not change the dissolution of tablets which were manufactured in a pilot plant scale indicating small effects on final product quality.

The blending process and tableting process, which include failure mode judged as medium risk in the risk assessment after manufacturing process development, were judged as critical processes.

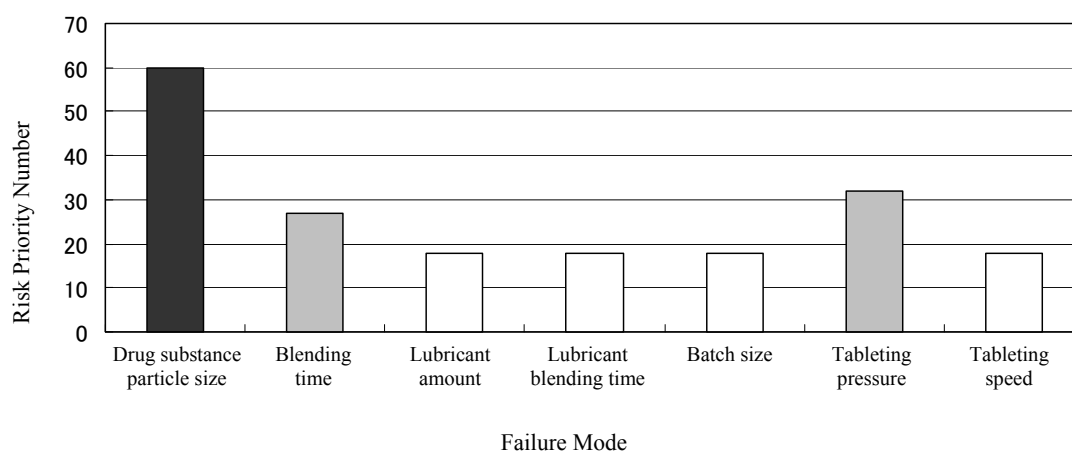


Figure 2.3.P.2.3-6 Results of FMEA Risk Assessment after Manufacturing Process Development for Sakura Tablet

6) Evaluation and Construction of Design Space as Control Strategy

6)-1 Evaluation of Control Strategy of Quality Properties

Control strategy was evaluated for dissolution, content uniformity and assay, which are indexes of quality property for clinical studies.

6)-1-1 Dissolution

Effects of drug substance particle size, lubricant amount, lubricant blending time and tableting pressure on dissolution were clarified using a multidimensional analysis. During manufacturing process development, effects of blending process, lubricant blending process and tableting process on dissolution were small and effects of drug substance particle size were largest for dissolution. Therefore, the drug substance particle size was controlled as an input variable in the design space.

6)-1-2 Content Uniformity

In 3)-1 Effects of blending process on homogeneity, influences of the input variable (drug substance particle size) and blending process on process parameters (blending time, rotation speed and blending machine) were studied, and its effects on content uniformity were clarified. Based on the understanding of the blending process during the study, it was considered that two control strategies of different combinations of controlled items as shown in Figure 2.3.P.2.3-7 were feasible. In case of control strategy 1, many parameters depending on the equipment and scale are included. Therefore, control strategy 2 was chosen because the final drug product met the criterion of the content uniformity test by confirmation of

blend homogeneity (relative standard deviation <6%) and control of the end point by the in-line NIR, and the real time release was employed.

In the case of NIR use, it was confirmed that control of blending end point did not depend on manufacturing scale or equipment.

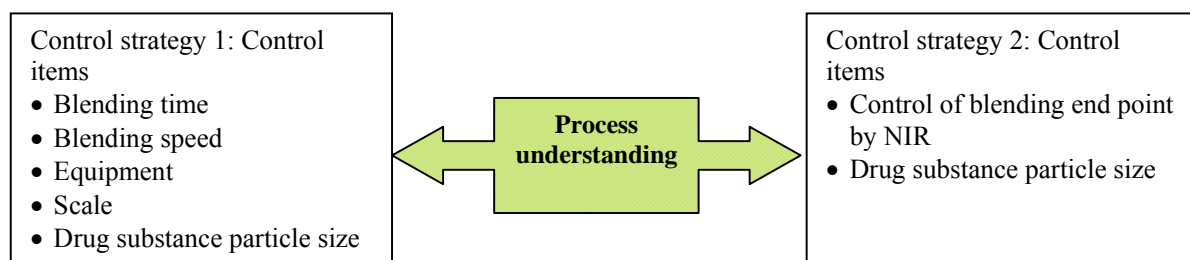


Figure 2.3.P.2.3-7 Control Strategy for Blending Process

Note) In the case of employment of control strategy 1, it is possible that drug substance particle size as an input variable is combined with process parameters of blending time and blending speed to construct and present a three dimensional design space.

6)-1-3 Assay

Effects of the input variable (drug substance particle size) and the process parameters (blending, lubricant blending process and tableting pressure, etc.) on assay values were clarified using a multidimensional analysis. From the results it was judged that there were no effects of input variables or process parameters on assay values. Therefore, an assay specification was set, and mean weight of the tablet was controlled in the control strategy.

6)-2 Design Space Construction

The design space of Sakura Tablet was constructed by a combination of the process input (input variable and process parameters) and specification of the final product, based on the control strategy of the quality properties as described above.

6)-2-1 Input Variable

Drug substance particle size was chosen as an input variable in the design space construction because this parameter most affected dissolution, and target dissolution was obtained by controlling the particle in the size range of 5 to 20 μm .

6)-2-2 Process Parameter

During manufacturing process development, it was revealed that blending process, lubricant blending process and tableting process give small impact on clinical quality. These processes were included as a component in the design space because it has been demonstrated that drug product with appropriate quality can be manufactured when applying the controls shown below.

6)-2-2-1 Blending Process

Control of relative standard deviation of blending homogeneity <6% using the NIR was included in the design space because, based on confirmation of the blending homogeneity and control of the end point using the in-line NIR, appropriate content uniformity of the final drug product was available not depending on equipment or manufacturing scale.

6)-2-2-2 Lubricant Blending Process

The design space of the lubricant blending time will be established after process validation at the commercial scale production, although it was confirmed on a small scale that the lubricant amount of 2% was justified and blending time of from 1 to 15 minutes did not affect the dissolution or hardness of the tablets remarkably.

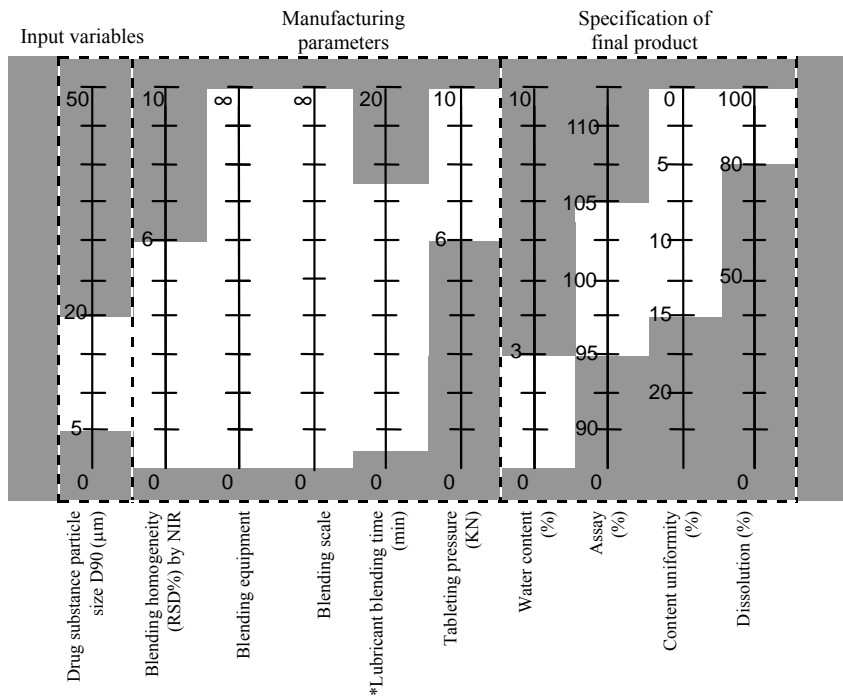
6)-2-2-3 Tableting Process

Tableting pressure 6 to 10 KN has been demonstrated to produce tablets with appropriate quality, therefore this pressure range was set in the design space.

6)-3 Final Product Specification

Water content was set as a component in the design space to control assay, content uniformity, dissolution, and generation of impurities produced from hydrolysis of the API which were identified, in the target profiles, as specification items for the final drug product to assure safety and efficacy during the shelf-life. Each specification is shown in Section 2.3.P.5.6 Justification of specification and test methods.

The design space using a parallel coordinate axis method was constructed because there were no interactions between components in the design space described above. The design space was shown in Figure 2.3.P.2.3-8.



*: Design space will be established after process validation in the commercial scale

Figure 2.3.P.2.3-8 Design Space of Sakura Tablet

7) Release Strategy of Final Drug Product

(1) Dissolution

For the drug substance particle size and the tableting pressure which affected tablet quality as shown in Figure 2.3.P.2.3-6, a multidimensional calculation method was established to assess correlation with dissolution rate, and this method was used in validation of the first commercial tablet.

Dissolution rate is set in the Specification and Test Methods, however the test is not performed at the release of the commercial product because this calculation method assures specification conformity of dissolution rate.

(2) Content Uniformity

In the blending process, a validated in-line NIR monitoring system was employed. Therefore, for control of the blending process a feed back loop was used, and not end point control at a certain time point.

Content uniformity of tablets is assured by confirming the blending homogeneity by NIR prior to the lubricant blending process.

In the tableting process, Content uniformity was assured by using PCD equipment which monitors tableting pressure of each tablet and excludes tablets in which the pressure is out of the control range as

critical abnormality, and by using WAC equipment which performs feedback control of PCD equipment by mean weight of tablets which are sampled automatically.

Description on the in-line NIR monitoring system used in the blending process is presented in Section 3.2.P.3.3 Manufacturing process and process control.

In Specification and Test Methods, drug product homogeneity (content uniformity) is set, however it is not tested at release of the tablet because monitoring of the blending homogeneity in the blending process and tableting pressure in the tableting process can assure the content uniformity of tablets.

(3) Content (Assay)

In Specification and Test Methods, the assay is set, however it is not tested at the release of the tablet because content of the blended powder in the blending process and mean weight of tablets after tableting can assure the content of the active ingredient.

The description on determination method of tablet weight after the tableting process is presented in Section 3.2.P.3.3 Manufacturing Process and Process Control.

When a new manufacturing line is introduced, application of controlling methods in each manufacturing process will be reconfirmed. Until the introduction content uniformity*, dissolution test* and content (assay)* will be applied as shown in Section 2.3.P.5.1 Specification and Test Methods. Also, for yearly stability tests, dissolution test* and content (assay)* will be applied.

8) Risk Assessment after Control Strategy Implementation

Results of the risk analysis using control strategy FMEA are shown in Figure 2.3.P.2.3-9. The results may indicate that appropriate control of parameters, which affects the tablet quality, can be attained.

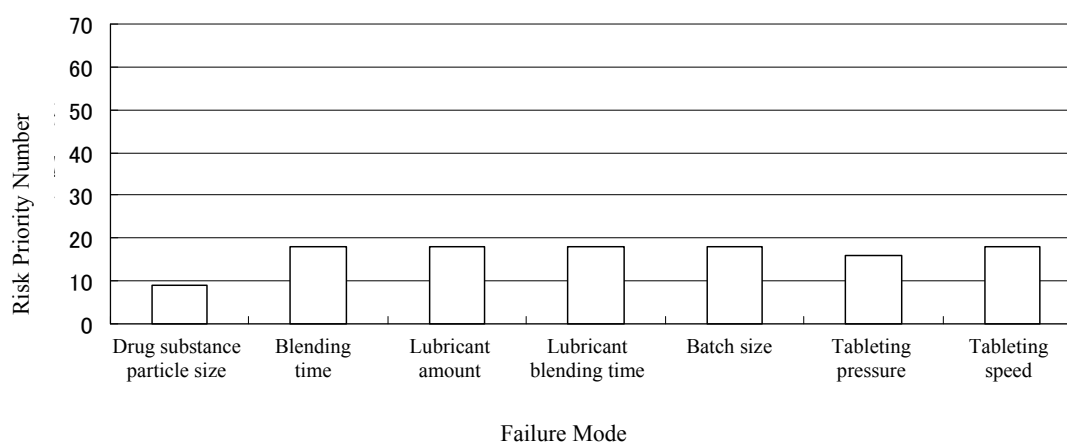


Figure 2.3.P.2.3-9 Results of FMEA Risk Analysis for Sakura Tablet after Control Strategy Implementation

2.3.P.2.4 Container Closure System

In a stability test, tablets adsorbed water at a maximum by 3% under the condition of $\geq 75\%RH$.

Afterwards, by a packaging/vapour permeation test, it was confirmed that polypropylene blister packaging could control water adsorption in $\leq 3\%$.

From the results of the stability study and evaluation of the design space, it was confirmed that Sakura Tablet manufactured in the range of the design space and packed in the polypropylene blister were stable for not less than 24 months at 25°C.

2.3.P.2.5 Microbiological Attributes

Microbial limit testing was set. However, the testing by each release test is not considered necessary because of the following reasons.

- Amokinol has no action to promote microbial growth.
- Water and excipients used in drug product manufacturing meet JP.
- At the release of Sakura Tablet by 10 lots, Microbial Limit Test JP is performed.
- Stability testing is performed and monitored with 1 lot every year.

2.3.P.2.6 Compatibility

Not applicable because the final product is a tablet.

2.3.P.3 Manufacture

2.3.P.3.3 Manufacturing Process and Process Control

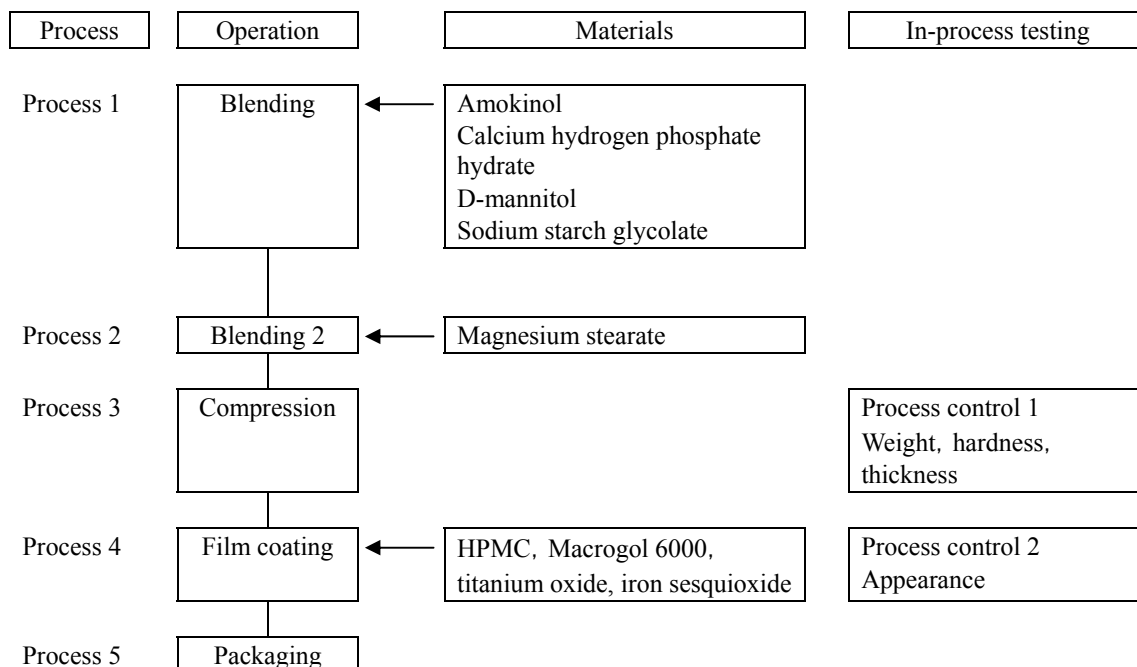


Figure 3.2.P.3.3-1 Summary of the Manufacturing Process

2.3.P.3.3.1 Manufacturing Parameters and Specifications

Table 2.3.P.3.3-1 Manufacturing Parameter for Each Process

| | | |
|---------------------|-----------------------|---|
| Drug substance | Particle size | |
| Magnesium stearate | Specific surface area | |
| Blending process | Blending speed | XX rpm |
| | Blending time | Stop at the time point when the set standard of homogeneity is met. |
| Lubricant | Blending time | XX ± X minutes |
| Compression process | Filling speed | XXX |
| | Compression pressure | XX KN |
| | Tablet weight | XXX ± X mg |

2.3.P.3.3.2. Control Method

A design space was constructed with the blending process, based on an understanding of the manufacturing process in Section 2.3.P.2.2.3. The controls and tablet weight were monitored after compression was performed to manufacture the tablets in the design space.

Real-time release was employed, based on the results of developing the drug product as shown in Table 2.3.P.3.3.2, considering that multiple forms of control can each serve as a test of the specifications to maintain tablet quality.

Table 2.3.P.3.3.-2 Specifications, Monitored Process and Variables impacting on Quality Properties

| Specifications and test methods | Process | Quality property |
|---------------------------------|----------------|---|
| Dissolution test | Drug substance | Drug substance particle size |
| | Material | Specific surface area of magnesium stearate |
| | Blending | Lubricant blending time |
| | Compression | Compression pressure |
| Content uniformity | Blending | Blending homogeneity of the drug substance |
| | Compression | Weight deviation |
| Content (assay) | Blending | Content of blended powder |
| | Compression | Tablet weight |

2.3.P.3.3.3 Monitoring of Quality Properties

For the real-time release of content uniformity, monitoring of homogeneity by the in-line NIR at blending process and monitoring of the drug product weight calculated by tablet weight at compression process were employed. Monitoring methods used in each process are described below. To achieve real-time release of the assay, blended powder assay was measured within the blending process, and 20 samples were taken for weight measurement of 10 tablets per each sampling point during compression process.

2.3.P.3.3.3.1 Blending Process

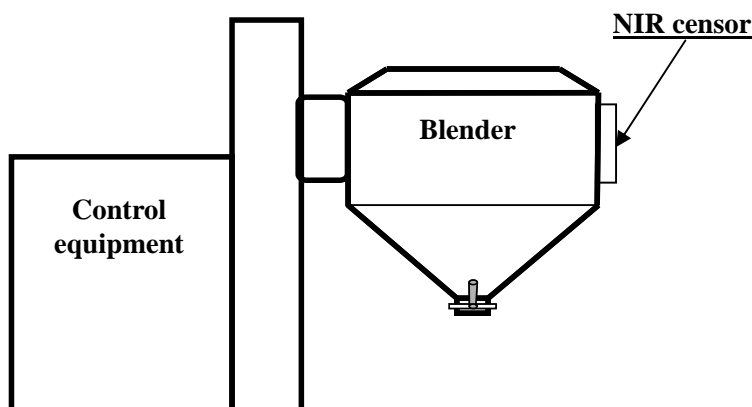
The in-line NIR method was employed for monitoring the blending process, as this method gives real time analysis of the progress of the blending process as opposed to off line testing by the HPLC method in monitoring the homogeneity of the active ingredients in the blending process. The determination conditions of the in-line NIR method were assessed by evaluating the position of the sensor and the determination conditions, and the conditions were set as below:

Equipment: XXXXX

Location of sensor attachment: Side position of the blender

Wavelength: XXXX cm^{-1} (Range of wave number: XXX to XXX cm^{-1})

Spectral Acquisition mode: diffuse reflectance



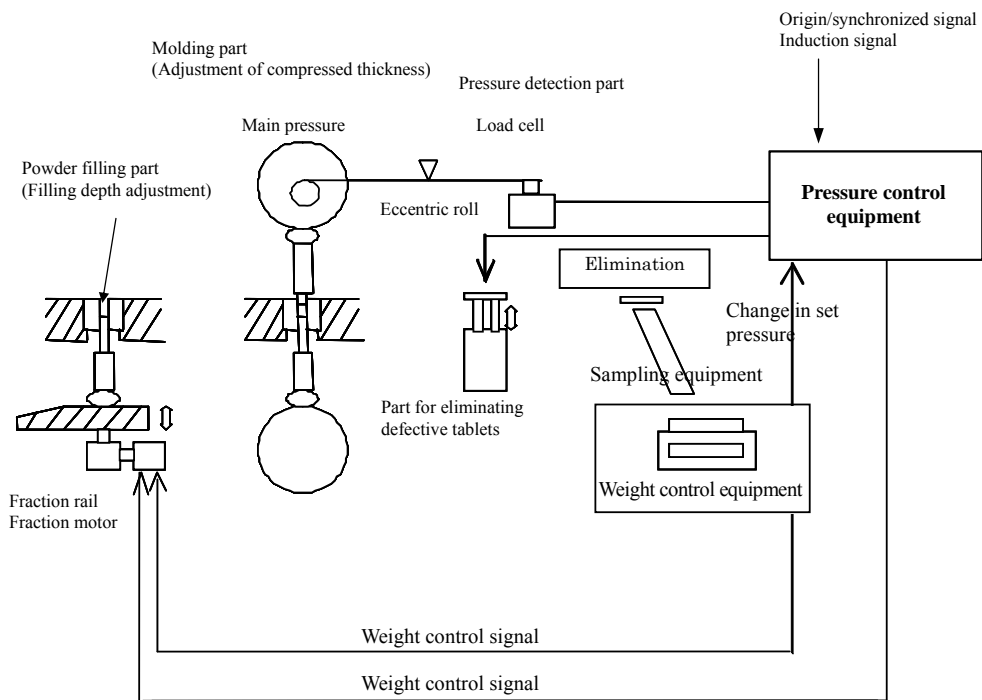
2.3.P.3.3.2.3. Compression Process

Online monitoring control was employed for the compression pressure of each tablet in the compression process. Based on information concerning the compression pressure, the amounts of filled blended powder (filling depth) were adjusted and the tablets that were off-specification were eliminated by the compression pressure control equipment. In addition, a correcting system that adjusts the amounts of filled blended powder (filling depth) and compression pressure control equipment was also selected by feeding back the mean weight information of regularly and automatically sampled tablets.

Balance: XXXXX

Equipment for measuring the compression pressure: XXXXX

Equipment for conducting automatic sample measurements/equipment for controlling weight: XXXX



2.3.P.3.4 Control of Critical Process and Critical Intermediates

Among the specification test items, real-time release was employed for the content uniformity test, dissolution test and content (assay). The process control methods that serve as each test method are as shown below.

2.3.P.3.4.1 Test Items in Real-time Release

Based on the control strategy described in Section 2.3.P.2.3 Manufacturing Process, the dissolution test, content uniformity test and content were judged as candidates for real-time release.

2.3.P.3.4.1.1 Content Uniformity Test

To ensure content uniformity in the final product, the homogeneity of the blended powder in the blending process and compression pressure in the compression process were monitored for control.

The authors employed a control method whereby homogeneity was monitored in the blending process by the in-line NIR that finished the blending process when the values of ten continuous samples were within the acceptable range shown in Table 2.3.P.3.4.1-1.

Based on evaluation of blended powder using HPLC method at pilot plant scale, and result obtained from assay homogeneity following compression, it was confirmed that assay homogeneity for tablet can always be managed to fall within acceptance criteria when blending homogeneity is monitored within inline NIR during blending process.

Table 2.3.P.3.4.1.1-1 Acceptable Range of the Homogeneity of Blended Powder

| | |
|--------------------------|---------------------------------------|
| Number of points sampled | n = 10 |
| Acceptable range | Mean = within 2% of the labeled value |
| | RSD: 1.0% or less |

Compression pressure in the compression process was controlled using Auto Weight Control (AWC). AWC is a control method that utilizes the linear relationship between the compression pressure and the weight of the drug product. The weight of the tablet is calculated from the determined compression pressure. Tablets not meeting the specified criteria are rejected. The application of this system makes it possible to control the compression pressure of all tablets. The combination of this method with control of the homogeneity of the blended powder is believed to control content uniformity of the drug product. Therefore, it was decided that the content uniformity test could be omitted from the specifications.

Table 2.3.P.3.4.1.1-2 Control of Compression Pressure

| | |
|-----------------------------------|--------------|
| Control range (on a weight basis) | 97 to 103 mg |
| RSD | 1.0% or less |

2.3.P.3.4.1.2 Dissolution Test

The effects of each factor on the dissolution rate were studied for the drug products manufactured according to the allocation of the drug substance particle size, specific surface of magnesium stearates, lubricant blending time and compression pressure as factors. The test results were subjected to multidimensional analysis. For the formula for the sum of each factor which is multiplied by a coefficient, the coefficients that make the residual sum of squares minimum were calculated (the formula is shown below).

Dissolution (%) = $108.9 - 11.96 \times \log_{10}(d(0.9))$ drug substance particle size - $7.556 \times 10^{-5} \times$ specific surface area of magnesium stearate - $0.1849 \times$ lubricant blending time - $3.783 \times 10^{-2} \times$ compression pressure

For the particle size of the drug substance, the volume distribution was measured using a dry method without preparing the sample using a laser diffraction scattering method. For the specific surface area of magnesium stearate, nitrogen molecules were adsorbed on a surface of powder particles at low temperature, and the specific surface area was determined from the adsorption amount (BET method). The items and ranges for process control that applies to the dissolution test are shown in Table 2.3.P.3.4.1.2. By controlling each process using this system, dissolution of the drug product is believed to be controllable. Therefore, dissolution test in the specification could be omitted.

Table 2.3.P.3.4.1.2-1 Process Control Items and Control Range

| Process control items | Control range |
|---|------------------------------|
| Drug substance particle size | XX-XX $\log_{10}(d(0.9))$ |
| Specific surface area of magnesium stearate | XX-XX cm^2/g |
| Lubricant blending time | XX-XX min |
| Compression pressure | XX-XX N |

2.3.P.3.4.1.3 Content

For assay of the active ingredient, process control by HPLC has been set in the blending process. In the pilot scale, the weight of each ten tablets from 20 sampling points were determined over the manufacturing process. The process control ranges from these test are shown in Table 2.3.P.3.4.1.3-1. Utilizing above strategies, conclusion was drawn for this particular drug product that conventional assay studies required as part of release test can be abbreviated and used for release assessment by utilizing the assay value (refer to following calculation) that will be calculated using active ingredient assay amount in blended powder obtained during blending process, drug product weight following compression process and correction value to be taken from theoretical weight.

Content (%) = Blended powder content \times drug product weight \div theoretical tablet weight

Table 2.3.P.3.4.1.3-1 Process Control Items and Control Range

| Process control items | Control range |
|--|---------------|
| Content of blended powder (blending process) | 98 to 102% |
| Tablet weight (compression process) | 97 to 103 mg |

2.3.P.3.4.2. Validation of Test Methods (Analytical Procedures)

For the NIR monitoring method used in the blending homogeneity test, the calibration model was constructed and validated.

[1] Construction of Calibration Model

During the blending process, sampling was performed five times at ten time points per blending

process cycle. The sampling procedure was replicated three times with materials of different particle size. The 150 samples obtained were used to construct a calibration curve. For the observed values, the HPLC method was used. It was confirmed that the observed values of the samples were in the range of $\pm 10\%$ of their theoretical values.

A fiber probe was used in the NIR measurement. Y software of XX Company was used to construct the calibration curves. For analysis, the method of Partial Least Squares (PLS) was used and optimization calculation was performed.

The optimized results are shown in Table 2.3.P.3.4.2-1.

Table 2.3.P.3.4.2-1 Test Results of the Calibration Curves

| Items | Results |
|--|------------------------------|
| Range of wavelength for the analysis | 6100 - 5500 cm^{-1} |
| Pre-treatment for spectrum measurement | MSC |
| PLS component number | 5 |
| Multiple correlation coefficient | 0.985 |
| RMSECV (standard deviation) | 0.67 |

It was confirmed that the loading spectra used in the calibration model were similar to the spectra of the drug substance, so this model was justified.

[2] Test of the Calibration Model (Validation)

Fifty samples were tested in the validation. The validation results with samples that were sampled in the same manner as in the calibration exhibited good results, as shown in Table 2.3.P.3.4.2-2.

Table 2.3.P.3.4.2-2 Test Results of Calibration Curves

| Items | Results |
|----------------------------------|---------|
| Multiple correlation coefficient | 0.981 |
| RMSEP (standard error) | 0.75 |

2.3.P.3.5 Process Validation and/or Evaluation

For the items employed in the real-time release tests, calibration will be performed again if the production scale is changed. In the registration step, three batches manufactured in the pilot scale were evaluated. The first three commercial batches will be evaluated.

2.3.P.3.5.1 Blending Process (Evaluation Results Concerning Content Uniformity)

All results of homogeneity measured in the blending process with three batches manufactured in the pilot scale indicated completion of the blending process within the control range.

Content uniformity after compression was confirmed using Ultraviolet-visible Spectrophotometry. The uniformity values were 95.4% to 104.2% of the labeled amount and its RSD values were 1.5% to 2.0%. Therefore all batches met the criteria of drug product homogeneity in General Tests, Processes and Apparatus.

Table 2.3.P.3.5.1-1 Comparison of Content Uniformity Results

| | Content (%) | | |
|---|-------------------|-------------------|--------------------|
| | Batch XX1 | Batch XX2 | Batch XX3 |
| Mean | 99.8 | 100.1 | 101.4 |
| RSD | 1.2 | 1.5 | 1.4 |
| Result by ultraviolet-visible spectrophotometry | | | |
| Mean (min-max) | 97.4 (96.4-102.1) | 99.1 (97.4-101.0) | 100.3 (96.5-102.3) |
| Relative standard deviation (%) | 1.6 | 1.8 | 1.9 |
| Determined value | 3.9 | 4.0 | 2.6 |

2.3.P.3.5.2 Blending Process (Results of Dissolution Test Evaluation)

For three batches manufactured in the pilot scale, all results of the drug substance particle size, specific surface area of magnesium stearate, lubricant blending time and dissolution rate calculated from the compression pressure were within the control ranges. With three batches of Sakura tablets, it was confirmed that the dissolution of each batch in 30 minutes were 88.4% to 95.2% and met the criteria of the dissolution test.

Table 2.3.P.3.5.2-1 Comparison of Dissolution

| | Batch Data | | |
|---|---------------------|----------------------|---------------------|
| | Batch XX1 | Batch XX2 | Batch XX3 |
| Drug substance particle size | X | X | X |
| Specific surface area of magnesium stearate | XX | XX | XX |
| Lubricant blending time | XX | XX | XX |
| Compression pressure | XXX | XXX | XXX |
| Result of multivariate analysis | 99.8 | 100.1 | 101.4 |
| Dissolution test results Mean (min-max) | 92.8 (88.4 to 94.2) | 90.3 (89.0 to 102.5) | 91.5 (90.5 to 93.5) |

2.3.P.3.5.3 Compression Process (Results of Content Evaluation)

For three batches manufactured in the pilot scale, all results of blended powder content and contents calculated from tablet weight after the compression were within the control ranges. It was confirmed that the content determined using the content test (HPLC method) after compression was 98.4% to 100.2%, which met the criteria in the specifications.

Table 2.3.P.3.5.3-1 Results of Tablet Weight and Content

| | Weight (mg) | | |
|---------------------------------|-------------|-----------|-----------|
| | Batch XX1 | Batch XX2 | Batch XX3 |
| Mean | 99.5 | 100.3 | 99.1 |
| Relative standard deviation (%) | 0.9 | 1.2 | 1.5 |
| Results of content by HPLC | 98.4% | 100.2% | 99.1% |

2.3.P.5 Control of Drug Product

The specifications and test methods for Sakura Tablet were set based on the results of Drug Product Development, Stability results and the analytical results of the batches that were manufactured in the pilot scale.

2.3.P.5.1 Specifications and Test Methods

Real-time release is employed for the release test items of Sakura Tablet, content uniformity, dissolution test and content (assay). The summary of the method for real-time release control applied to the items in the Specifications and the test methods have been described. The summaries and criteria for the critical specifications and test methods in the control strategy have also been described.

Table 2.3.P.5.1-1 Specifications and Test Methods

| Test items | | Test methods | Specification |
|------------------------|------------------------------|---|---|
| Appearance | | Visual inspection | White plain tablet |
| Identification | Ultraviolet-visible spectrum | Ultraviolet-visible spectrophotometry (acetonitrile/water mixture (1:1)) | Amokinol exhibits similar intensities of absorption at the same wavelength, compared to the reference standard. |
| Purity | Related substances | HPLC method (absolute calibration curve method) | Individual related substance: 0.2% and under Total related substances: 1.0% and under |
| Content uniformity | | Omitted. Because Content Uniformity of amokinol in the blending process and compression pressure in the compression process are monitored. | |
| Content uniformity (*) | | Ultraviolet-visible spectrophotometry (acetonitrile/water mixture (1:1)) | Meet the criterion of drug product homogeneity (Content Uniformity) |
| Dissolution test | | Omitted. Because drug substance particle size, specific surface area of magnesium stearate, lubricant blending time and compression pressure are monitored for control. | |
| Dissolution test (*) | | Apparatus: Paddle method Test fluid: 0.1% sodium lauryl sulfate Test fluid volume: 900 mL Rotating speed: 50 rpm Assay: HPLC method (absolute calibration curve method) | Dissolution rate in 30 minutes 80% and more (Q) |
| Content (assay) | | Omitted. Because the content of the blended powder in the blending process and weight in the compression process are determined. | |
| Content (assay*) | | HPLC method (internal standard) | 95.0% to 105.0% of labeled amount |

* To be used for items described in Section 2.3.P.2.3 Manufacturing Process Development (10) Control Strategy.

2.3.P.5.2 Test Methods (Analytical Procedures)

Real time release was employed for content uniformity, the dissolution test and content (assay). For validation of the test methods and analytical procedures, those used in the real-time release are described in Section 2.3.P.3.4 Management of Critical Processes and Critical Intermediates. For test items in the real-time release, the test methods for qualities will be described in cases of use in control strategies, such as changes to the manufacturing facilities and use in stability tests.

2.3.P.5.2.1 Dissolution Test

2.3.P.5.2.2 Content Uniformity

2.3.P.5.2.3 Content (Assay)

2.3.P.5.3 Validation of Test Methods (Analytical Procedures)

2.3.P.5.4 Justification of Specification and Test Methods

2.3.P.5.4.1 Dissolution Test

Setting of dissolution test using the paddle method, in accordance with JP general tests, processes and apparatus was investigated. The dissolution rate was assayed by HPLC method.

With tablets manufactured in processes with varied parameters (refer to P.2.3. Manufacturing Process Development), dissolution tests were performed using each of the test fluids, Solution 1 and Solution 2, under the following conditions: solvent volume = 900 mL, 50 rpm. Not all the tablets were fully dissolved under these conditions.

Then, 0.1% polysorbate 80 was added to the test fluids. Although the compounded tablets were nearly 100% dissolved after 15 minutes, it was not possible to discriminate each tablet batch as shown in Figure 2.3.P.5.3-1.

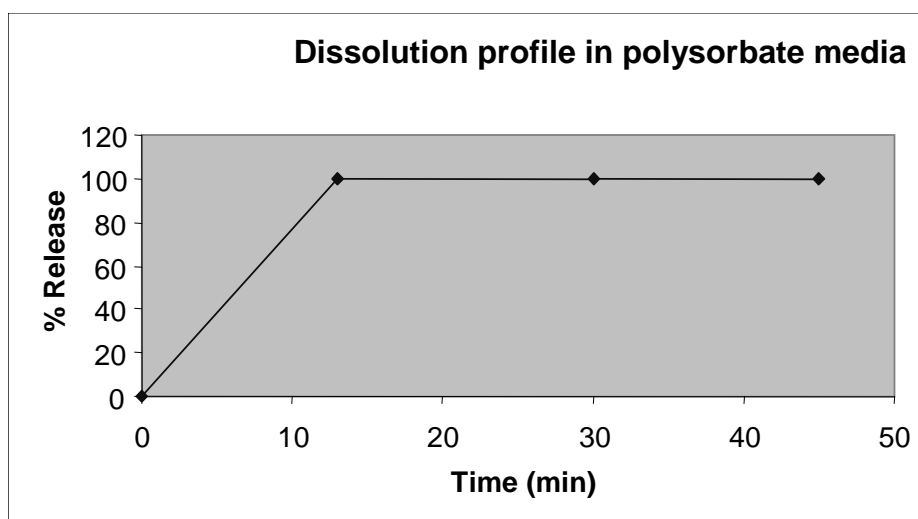


Figure 2.3.P.5.3-1 Dissolution Profiles in the Polysorbate 80 Added Test Fluids

In addition, the dissolution test method was evaluated in a test fluid with 0.1% sodium lauryl sulphate. The results indicated that sufficient discrimination capability and dissolution were obtained using this test fluid as shown in Figure 2.3.P.5.3-2.

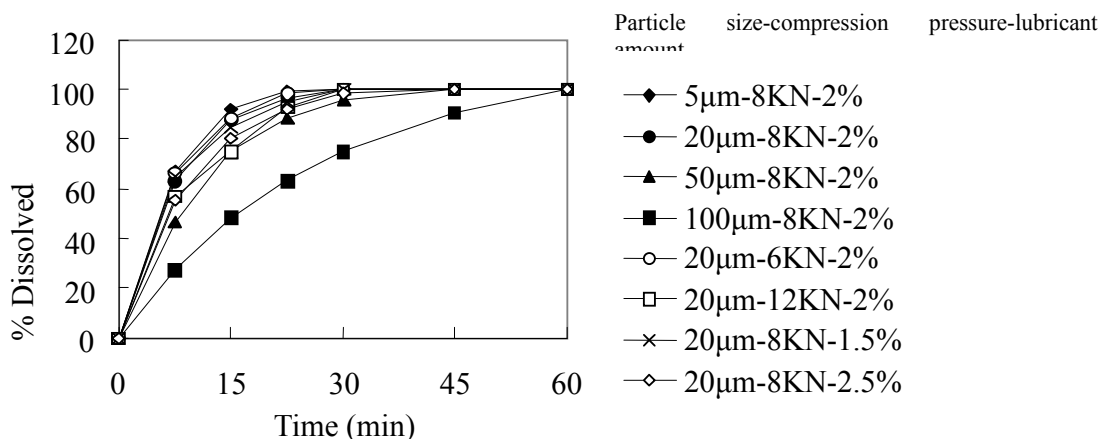


Figure 2.3.P.5.3-2 Dissolution Profiles in 0.1% Sodium Lauryl Sulphate Test Fluid

Based on the above results, the test fluid of 0.1% sodium lauryl sulphate was chosen in which a difference in the dissolution of the inter-products was observed. A sampling point at 30 minutes after start of dissolution was selected, where the dissolution profiles become steady.

As the linearity, accuracy and precision were all satisfactory, as shown in Table 2.3.P.5.3-1 Summary of Validation of Analytical Procedure, the analytical procedures have been justified.

Table 2.3.P.5.3-1 Summary of Validation of Analytical Procedure

| Items | | Results |
|------------------------|---|--------------------------|
| Linearity | Correlation coefficient | $r = 0.99994$ |
| | Regression formula | $y = 0.00191x + 0.00090$ |
| | Residual sum of squares | 6.8694×10^{-6} |
| Range (%) | | 0 to 150 |
| Accuracy | Recovery rate (%) | 100.6 |
| | 95% confidence interval of accuracy | -1.94 to 2.94 |
| Repeatability | Standard deviation | 0.84 |
| | Relative standard deviation (%) | 0.84 |
| | 95% confidence interval of standard deviation | 0.60 to 1.44 |
| Intermediate precision | Standard deviation | 0.8 |
| | Relative standard deviation (%) | 0.8 |
| | 95% confidence interval of standard deviation | 0.7 to 1.0 |

2.3.P.5.4.2 Content Uniformity

2.3.P.5.4.3 Content (Assay)

3.2.P.2 Pharmaceutical Development (Sakura Tablet, Film-coated Tablet)

3.2.P.2.2 Drug Product

3) Initial Risk Assessment (Design Risk Assessment)

Preliminary Hazard Analysis (PHA)¹ was used for the initial risk assessment.

First, the following quality properties were listed as below from the target profile of Sakura Tablet.

- *In vivo* performance
- Dissolution
- Assay
- Degradation
- Content uniformity
- Appearance
- Friability
- Chemical stability
- Physical stability

Material properties and processes that are likely to affect tablet quality properties were selected as hazards from process inputs, and listed as below.

- Drug substance particle size
- Filler selection
- Moisture control in manufacturing process
- Blending
- Lubrication
- Compression
- Coating
- Packaging

The severity and probability of risks on which each hazard has an effect are rated during risk assessment using PHA.

Definitions of severity and probability are shown in Figure 3.2.P.2.2-1.

| Severity | Score | Probability | Score |
|--------------|-------|---------------|-------|
| Minor | 1 | Very unlikely | 1 |
| Major | 2 | Remote | 2 |
| Critical | 3 | Occasional | 3 |
| Catastrophic | 4 | Probable | 4 |
| | | Frequent | 5 |

Figure 3.2.P.2.2-1 Definition of Severity and Probability in Preliminary Hazard Analysis

The risk assessment in this development stage were qualitatively evaluated by team member and company experts who are responsible for developing the drug product, based on experience in the development of drug products, namely oral solid dosage and research data of Sakura Tablet. The results of the evaluation were discussed and confirmed by the team member and company experts. When the rating given by the team members differed, the higher risk rating was employed.

Criteria for severity and probability are qualitatively shown in Figure 3.2.P.2.2-2. The degree of each definition is shown below.

¹⁾ *Preliminary Hazard Analysis*, Marvin Rausand, Norwegian University of Science and Technology, May 2005

Severity

- Catastrophic: Products will be recalled by the degree of effects of the hazard.
- Critical: The manufacturing line will be stopped (product shortage will occurred) by the degree of effects of the hazard.
- Major: Products will be deviated by the degree of effects of the hazard.
- Minor: No effects on the product quality properties.

Probability

- Frequent: Outbreak frequency not less than about once per month, assuming the manufacture of about 100 lots per year
- Probable: Outbreak frequency about once per month
- Occasional: Outbreak frequency about once per year
- Remote: Outbreak frequency about once every 10 years
- Very unlikely: Outbreak frequency about once every 100 years or less

Each hazard was rated by their severity and outbreak probability, then classified into high risk (H), medium risk (M) or low risk (L) according to the risk rating table shown in Table 3.2.P.2.2-2.

Hazards with high risk or medium risk must be controlled as low risk by the control strategy from the drug product design.

| Severity / Probability | 1 | 2 | 3 | 4 | 5 |
|------------------------|---|---|---|---|---|
| Catastrophic: 4 | M | H | H | H | H |
| Critical: 3 | L | M | M | H | H |
| Major: 2 | L | L | M | M | H |
| Minor: 1 | L | L | L | M | M |

H High risk
M Medium risk
L Low risk

Table 3.2.P.2.2-2 Risk Ranking of Preliminary Hazard Analysis

The results of the actual score rating and risk ranking using the Preliminary Hazard Analysis described above are shown in Table 3.2.P.2.2-1 and summarized in Figure 3.2.P.2.2-3.

Table 3.2.P.2.2-1 Results of Preliminary Hazard Analysis

| Hazard | Event | Severity | Probability | Risk score |
|-----------------------------------|----------------------------|----------|-------------|------------|
| Drug substance particle size | <i>In vivo</i> performance | 3 | 5 | H |
| Drug substance particle size | Dissolution | 3 | 5 | H |
| Drug substance particle size | Assay | 3 | 1 | L |
| Drug substance particle size | Degradation | 2 | 1 | L |
| Drug substance particle size | Content uniformity | 3 | 3 | M |
| Drug substance particle size | Appearance | 1 | 1 | L |
| Drug substance particle size | Friability | 1 | 2 | L |
| Drug substance particle size | Stability – chemical | 1 | 2 | L |
| Drug substance particle size | Stability – physical | 1 | 2 | L |
| Filler selection | <i>In vivo</i> performance | 3 | 3 | M |
| Filler selection | Dissolution | 3 | 4 | H |
| Filler selection | Assay | 1 | 2 | L |
| Filler selection | Degradation | 1 | 3 | L |
| Filler selection | Content uniformity | 2 | 2 | L |
| Filler selection | Appearance | 3 | 3 | M |
| Filler selection | Friability | 4 | 4 | H |
| Filler selection | Stability – chemical | 3 | 3 | M |
| Filler selection | Stability – physical | 3 | 3 | M |
| Moisture control in manufacturing | <i>In vivo</i> performance | 1 | 2 | L |
| Moisture control in manufacturing | Dissolution | 1 | 3 | L |
| Moisture control in manufacturing | Assay | 2 | 4 | M |
| Moisture control in manufacturing | Degradation | 4 | 4 | H |
| Moisture control in manufacturing | Content uniformity | 1 | 1 | L |
| Moisture control in manufacturing | Appearance | 1 | 2 | L |
| Moisture control in manufacturing | Friability | 2 | 2 | L |
| Moisture control in manufacturing | Stability – chemical | 3 | 3 | M |
| Moisture control in manufacturing | Stability – physical | 2 | 2 | L |

Table 3.2.P.2.2-1 Results of Preliminary Hazard Analysis (continued)

| Hazard | Event | Severity | Probability | Risk score |
|-------------|----------------------------|----------|-------------|------------|
| Blending | <i>In vivo</i> performance | 2 | 2 | L |
| Blending | Dissolution | 1 | 2 | L |
| Blending | Assay | 3 | 3 | M |
| Blending | Degradation | 1 | 2 | L |
| Blending | Content uniformity | 3 | 3 | M |
| Blending | Appearance | 2 | 2 | L |
| Blending | Friability | 1 | 2 | L |
| Blending | Stability – chemical | 1 | 2 | L |
| Blending | Stability – physical | 1 | 2 | L |
| Lubrication | <i>In vivo</i> performance | 3 | 3 | M |
| Lubrication | Dissolution | 3 | 4 | H |
| Lubrication | Assay | 1 | 2 | L |
| Lubrication | Degradation | 1 | 2 | L |
| Lubrication | Content uniformity | 3 | 3 | M |
| Lubrication | Appearance | 2 | 3 | M |
| Lubrication | Friability | 3 | 3 | M |
| Lubrication | Stability – chemical | 1 | 2 | L |
| Lubrication | Stability – physical | 2 | 2 | L |
| Compression | <i>In vivo</i> performance | 3 | 3 | M |
| Compression | Dissolution | 3 | 3 | M |
| Compression | Assay | 2 | 2 | L |
| Compression | Degradation | 2 | 2 | L |
| Compression | Content uniformity | 1 | 2 | L |
| Compression | Appearance | 2 | 4 | M |
| Compression | Friability | 2 | 4 | M |
| Compression | Stability – chemical | 1 | 2 | L |
| Compression | Stability – physical | 2 | 3 | M |

Table 3.2.P.2.2-1 Results of Preliminary Hazard Analysis (continued)

| Hazard | Event | Severity | Probability | Risk score |
|-----------|----------------------------|----------|-------------|------------|
| Coating | <i>In vivo</i> performance | 2 | 2 | L |
| Coating | Dissolution | 2 | 2 | L |
| Coating | Assay | 2 | 2 | L |
| Coating | Degradation | 2 | 2 | L |
| Coating | Content uniformity | 1 | 1 | L |
| Coating | Appearance | 3 | 3 | M |
| Coating | Friability | 2 | 2 | L |
| Coating | Stability – chemical | 1 | 1 | L |
| Coating | Stability – physical | 1 | 2 | L |
| Packaging | <i>In vivo</i> performance | 1 | 1 | L |
| Packaging | Dissolution | 1 | 1 | L |
| Packaging | Assay | 1 | 1 | L |
| Packaging | Degradation | 1 | 1 | L |
| Packaging | Content uniformity | 1 | 1 | L |
| Packaging | Appearance | 1 | 1 | L |
| Packaging | Friability | 1 | 1 | L |
| Packaging | Stability – chemical | 3 | 3 | M |
| Packaging | Stability – physical | 3 | 3 | M |

| | Drug substance particle size | Filler selection | Moisture control in manufacture | Blending | Lubrication | Compression | Coating | Packaging |
|----------------------------|------------------------------|------------------|---------------------------------|-----------|-------------|-------------|-----------|-----------|
| <i>In vivo</i> performance | High risk | High risk | High risk | High risk | High risk | High risk | High risk | High risk |
| Dissolution | High risk | High risk | High risk | High risk | High risk | High risk | High risk | High risk |
| Assay | High risk | High risk | High risk | High risk | High risk | High risk | High risk | High risk |
| Degradation | High risk | High risk | High risk | High risk | High risk | High risk | High risk | High risk |
| Content uniformity | High risk | High risk | High risk | High risk | High risk | High risk | High risk | High risk |
| Appearance | High risk | High risk | High risk | High risk | High risk | High risk | High risk | High risk |
| Friability | High risk | High risk | High risk | High risk | High risk | High risk | High risk | High risk |
| Stability – chemical | High risk | High risk | High risk | High risk | High risk | High risk | High risk | High risk |
| Stability – physical | High risk | High risk | High risk | High risk | High risk | High risk | High risk | High risk |



Figure 3.2.P.2.2-3 Summary of Initial Risk Assessment

Drug substance particle size, excipients and water content were assessed as properties that could affect tablet quality, based on the initial risk assessment before development of the drug product described above. Details of the assessment are shown in Table 3.2.P.2.2-2.

Table 3.2.P.2.2-2 Initial Risk Assessment of Sakura Tablet

| Factor | Risk assessment |
|-----------------------|--|
| Drug substance | Particle size could affect <i>in vivo</i> drug behaviors due to the low dissolution rate and high permeability. |
| Excipients | The addition of poorly soluble (inorganic) excipients may reduce dissolution rate. |
| | The addition of soluble (organic) excipients could affect compressibility in compression. |
| | The addition of hydrophobic excipients (lubricant) may reduce dissolution rate. |
| Manufacturing process | Due to hydrolysis of the drug substance, the wet-granulation method cannot be used. |
| | The blending process must have homogeneous distribution of the drug substance to achieve the desired content uniformity. Overblending should be avoided. |
| | Overblending of the lubricant increases surface hydrophobicity, and may decrease dissolution rate. |
| | Homogeneity must be controlled in the blending process. |
| | The disintegration time increases and the dissolution rate becomes slow when excess compression pressure is used. |

3.2.P.2.3 Manufacturing Process Development

1) Risk Assessment on Drug Product Composition and Manufacturing Process

Risk assessment using Failure Mode Effects Analysis (hereafter FMEA) was performed to establish the drug product composition and its manufacturing process on a commercial scale.

The risk assessment will be performed on factors that are selected based on initial risk assessment results. The product composition and manufacturing process will then be designed.

Among the process inputs identified in the initial risk assessment that affect critical quality properties, the effects of excipients selection (poorly soluble, soluble) and water content in the granulation process on drug substance quality properties were deleted from the FMEA risk assessment criteria because the direct compression method was employed.

The initial risk assessment to establish the manufacturing process is likely to indicate that the blending time in the blending process could be a critical process. In addition, selection of direct compression was likely to require compression pressure in the tableting process as a critical process. In the FMEA assessment, the effects of batch size on the blending process and the effects of compression speed on the compression process were included as assessment criteria.

The results of the above assessment are shown in Table 3.2.P.2.3-1.

Table 3.2.P.2.3-1 Results of Item Evaluation

| Factor | Critical quality properties identified in the initial risk assessment | Items for the FMEA assessment (critical quality properties) |
|------------------------------------|---|--|
| Drug substance particle size | <i>In vivo</i> performance (solubility) | Dissolution (because amokisinol was confirmed as a BCS class 2 compound) |
| Excipient selection | Dissolution | Omitted from test items because direct compression was employed. |
| | Compressibility in compression | |
| Lubricant amount | Dissolution | Dissolution |
| Granulation | Water content | Omitted from test items because direct compression was employed. |
| Blending (blending time) | Content uniformity | Content uniformity |
| Blending (batch size) | Content uniformity | Content uniformity |
| Blending (lubricant) | Dissolution | Dissolution |
| Compression (compression pressure) | Disintegration and dissolution | Dissolution |
| Compression (compression speed) | Disintegration and dissolution | Dissolution |

FMEA assessment, which treats factors listed in the initial risk assessment as failure mode, was performed. For evaluation, scores for severity, probability, and detectability are defined as below. When the value obtained by multiplying the severity, probability and detection timings by the risk priority number is <20, the rank is defined as low. When the value is from 20 or more to less than 40, the rank is defined as medium, and when the value is 40 or more, the rank is high.

The risk assessment was evaluated by team members who are responsible for drug product development. The results of the evaluation were discussed and confirmed by the team members. When the ratings among the team members differed, the higher rates were employed.

Table 3.2.P.2.3-2 Definition of Severity

| Severity rank | Score | Remarks |
|------------------------------|-------|--|
| Deviation | 1 | In case which affects the quality significantly, rank is 3 or 4. |
| Passed the re-test | 2 | ----- |
| Sub-batch or rejected batch | 3 | ----- |
| Stop the flow of manufacture | 4 | Affecting stable product supply |
| Recall | 5 | ----- |

Table 3.2.P.2.3-3 Definition of Outbreak Probability

| Probability rank | Score | Remarks |
|------------------|-------|--|
| ≤1/10000 | 1 | Not more than once per 10,000 lots. |
| 1/1000 | 2 | Not more than once per 1,000 lots and not less than once per 10,000 lots |
| 1/100 | 3 | Not more than once per 100 lots and not less than once per 1,000 lots |
| 1/10 | 4 | Not more than once per 10 lots and not less than once per 100 lots |
| >1/10 | 5 | Not less than once per 10 lots |

Table 3.2.P.2.3-4 Definition of detectability

| Detectability rank | Score | Remarks |
|----------------------------------|-------|---------|
| Before each unit operation | 1 | ----- |
| During a unit operation | 2 | ----- |
| During series of unit operations | 3 | ----- |
| Test of the final product | 4 | ----- |
| Found by customers | 5 | ----- |

The results of the risk analysis on each failure mode based on definitions of FMEA assessment are shown in Figure 3.2.P.2.3-1 and Table 3.2.P.2.3-5.

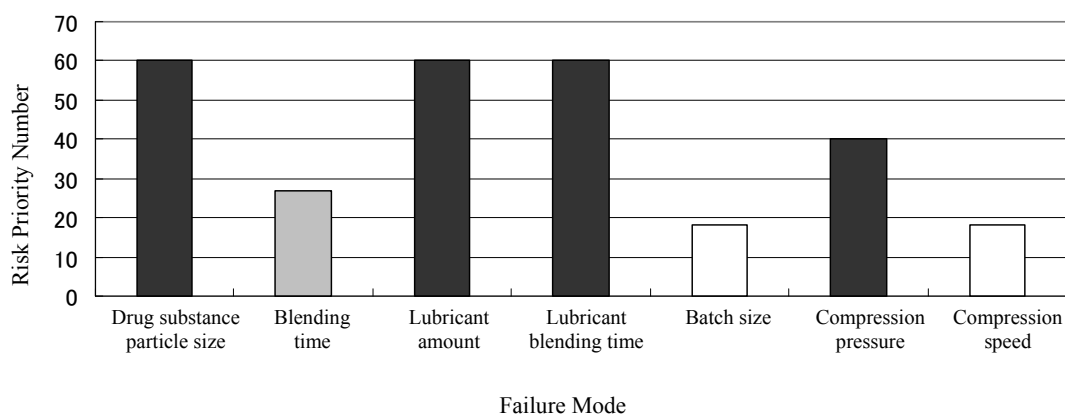


Figure 3.2.P.2.3-1 Results of FMEA Risk Assessment

Table 3.2.P.2.3-5 Results of FMEA Risk Assessment

| Target product profile/quality property | Potential failure mode | Effect | Severity | Outbreak probability | Detectability | Risk priority number |
|---|------------------------------|-----------------------|----------|----------------------|---------------|----------------------|
| Dissolution | Drug substance particle size | Decreased dissolution | 3 | 5 | 4 | 60 |
| Content uniformity | Blending time | Not uniform | 3 | 3 | 3 | 27 |
| Dissolution | Lubricant amount | Decreased dissolution | 3 | 5 | 4 | 60 |
| Dissolution | Lubricant blending time | Decreased dissolution | 3 | 5 | 4 | 60 |
| Content uniformity | Batch size | Not uniform | 3 | 2 | 3 | 18 |
| Dissolution | Compression pressure | Decreased dissolution | 4 | 5 | 2 | 40 |
| Content uniformity | Compression speed | Not uniform | 3 | 2 | 3 | 18 |

| Severity | Score |
|---------------------------------|-------|
| Deviation | 1 |
| Passed the re-test | 2 |
| Rejection of sub-batch or batch | 3 |
| Stop the flow of manufacture | 4 |
| Recall | 5 |

| Outbreak probability | Score |
|----------------------|-------|
| ≤1/10000 | 1 |
| 1/1000 | 2 |
| 1/100 | 3 |
| 1/10 | 4 |
| >1/10 | 5 |

| Detectability | Score |
|----------------------------------|-------|
| Before each unit operation | 1 |
| During a unit operation | 2 |
| During series of unit operations | 3 |
| Test of the final product | 4 |
| Found by customers | 5 |

| Risk priority number | Rank |
|----------------------|--------|
| ≥40 | High |
| 20 ≤ <40 | Medium |
| <20 | Low |

Based on the above results of risk analysis, the manufacturing process was designed mainly according to the nature of the drug substance particles, lubricant blending condition (lubricant amount, lubricant blending time) and compression pressure, which are process inputs that possibly affect critical quality properties.

4) Effects on Manufacturing Process Quality

PHA was used to assess the effects of the process inputs, which were identified during the manufacturing process evaluation, on the tablet quality properties.

Following hazards were listed for the risk analysis.

Material property

- Material particle size
- Excipient amount on tablet surface area

Process parameter

- Blending (blending speed and blending time)
- Lubricant blending (blending speed and blending time)
- Compression pressure
- Compression speed
- Batch size

The following items were listed for the event (effect) analysis.

Quality properties influencing clinical performance

- Dissolution
- Assay
- Content uniformity

Physical quality properties

- Appearance
- Hardness

For risk assessment using PHA, the severity and probability of risks were rated in a similar manner to the initial risk assessment.

The definition of severity and probability were the same as in the initial risk assessment.

Details of summary of effects and conclusions are shown in Table 3.2.P.2.2-6 and Figure 3.2.P.2.2-2 respectively.

Table 3.2.P.2.2-6 Results of Preliminary Hazard Analysis

| Hazard | Event (Effect) | Severity | Probability | Risk score |
|-------------------------------------|--------------------|----------|-------------|------------|
| Drug substance particle size | Dissolution | 3 | 5 | H |
| Drug substance particle size | Assay | 3 | 1 | L |
| Drug substance particle size | Content uniformity | 3 | 4 | M |
| Drug substance particle size | Appearance | 1 | 1 | L |
| Drug substance particle size | Hardness | 1 | 2 | L |
| Lubricant amount on tablet surface | Dissolution | 3 | 3 | M |
| Lubricant amount on tablet surface | Assay | 1 | 1 | L |
| Lubricant amount on tablet surface | Content uniformity | 2 | 2 | L |
| Lubricant amount on tablet surface | Appearance | 3 | 3 | M |
| Lubricant amount on tablet surface | Hardness | 3 | 3 | H |
| Blending (speed and time) | Dissolution | 1 | 2 | L |
| Blending (speed and time) | Assay | 2 | 2 | L |
| Blending (speed and time) | Content uniformity | 3 | 3 | M |
| Blending (speed and time) | Appearance | 1 | 2 | L |
| Blending (speed and time) | Hardness | 2 | 2 | L |
| Lubricant blending (speed and time) | Dissolution | 3 | 3 | M |
| Lubricant blending (speed and time) | Assay | 2 | 2 | L |
| Lubricant blending (speed and time) | Content uniformity | 1 | 1 | L |
| Lubricant blending (speed and time) | Appearance | 2 | 2 | L |
| Lubricant blending (speed and time) | Hardness | 2 | 2 | L |
| Compression pressure | Dissolution | 3 | 3 | M |
| Compression pressure | Assay | 2 | 2 | L |
| Compression pressure | Content uniformity | 2 | 2 | L |
| Compression pressure | Appearance | 2 | 4 | M |
| Compression pressure | Hardness | 3 | 4 | H |
| Compression speed | Dissolution | 2 | 2 | L |
| Compression speed | Assay | 2 | 2 | L |
| Compression speed | Content uniformity | 1 | 1 | L |
| Compression speed | Appearance | 2 | 2 | L |
| Compression speed | Hardness | 2 | 2 | L |
| Batch size | Dissolution | 1 | 1 | L |
| Batch size | Assay | 1 | 1 | L |
| Batch size | Content uniformity | 2 | 2 | L |
| Batch size | Appearance | 1 | 1 | L |
| Batch size | Hardness | 1 | 1 | L |

| | Quality properties influencing clinical performance | | | Physical quality properties | |
|-------------------------------------|---|----------|--------------------|-----------------------------|-------------|
| | Dissolution | Assay | Content uniformity | Appearance | Hardness |
| Material characteristics | | | | | |
| Drug substance particle size | High risk | Low risk | Medium risk | Low risk | Low risk |
| Lubricant amount on tablet surface | Medium risk | Low risk | Low risk | Medium risk | Medium risk |
| Process parameters | | | | | |
| Blending (speed and time) | Low risk | Low risk | Medium risk | Low risk | Low risk |
| Lubricant (blending speed and time) | Medium risk | Low risk | Low risk | Low risk | Low risk |
| Compression pressure | Medium risk | Low risk | Low risk | Medium risk | High risk |
| Compression speed | Low risk | Low risk | Low risk | Low risk | Low risk |
| Batch size | Low risk | Low risk | Low risk | Low risk | Low risk |

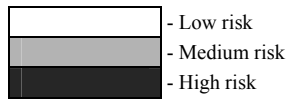


Figure 3.2.P.2.2-2 Summary of Effects of Each Parameter on Quality Properties

Based on the above summary, it was concluded that it was highly likely that the drug substance particle size affects dissolution, and that compression pressure affects tablet hardness. However it is considered that appropriate tablet quality properties can be maintained by controlling the compression pressure in the manufacturing because the results of an *in vivo* study showed a low effect of the compression pressure on the tablet quality.

5) Risk Assessment after Development of the Manufacturing Process

The results of the risk assessment using FMEA on the manufacturing process in the planned commercial scale after development of the manufacturing process are shown in Figure 3.2.P.2.3-3 and Table 3.2.P.2.3-7. The definitions of severity, probability and detectability follow section 1) described above.

The lubricant amount and lubricant blending time at the risks of the failure mode were judged as low based on the results of design evaluation of the lubricant blending process. In addition, for the compression pressure, the control range was determined and its risk could be decreased. Regarding the blending time, however, its risk was judged as medium both of before and after development of the manufacturing process, because it was found that the blending process needed to be monitored in the control strategy according to the results of design evaluation of the blending process.

The blending process and compression process, which were judged to contain failure mode of medium risk in the risk assessment after assessment of the manufacturing process, were judged as critical. In this direction, the risk concerning drug substance particle size remains high also after the manufacturing process development, because control is required at the acceptance step.

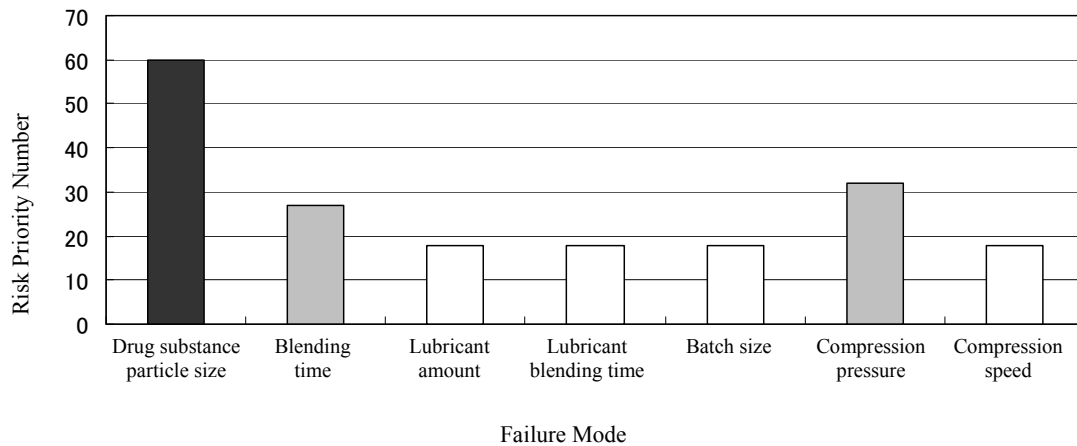


Figure 3.2.P.2.3-3 Results of FMEA Risk Analysis

Table 3.2.P.2.3-7 Results of FMEA Risk Analysis

| Target product profile/quality property | Potential failure mode | Effect | Severity | Outbreak probability | Detectability | Risk priority number |
|---|------------------------------|-----------------------|----------|----------------------|---------------|----------------------|
| Dissolution | Drug substance particle size | Decreased dissolution | 3 | 5 | 4 | 60 |
| Content uniformity | Blending time | Not uniform | 3 | 3 | 3 | 27 |
| Dissolution | Lubricant amount | Decreased dissolution | 3 | 3 | 2 | 18 |
| Dissolution | Lubricant blending time | Decreased dissolution | 3 | 3 | 2 | 18 |
| Content uniformity | Batch size | Not uniform | 3 | 2 | 3 | 18 |
| Dissolution | Compression pressure | Decreased dissolution | 4 | 4 | 2 | 32 |
| Content uniformity | Compression speed | Not uniform | 3 | 2 | 3 | 18 |

| Severity | Score |
|---------------------------------|-------|
| Deviation | 1 |
| Passed the re-test | 2 |
| Rejection of sub-batch or batch | 3 |
| Stop the flow of manufacture | 4 |
| Recall | 5 |

| Outbreak probability | Score |
|----------------------|-------|
| ≤1/10000 | 1 |
| 1/1000 | 2 |
| 1/100 | 3 |
| 1/10 | 4 |
| >1/10 | 5 |

| Detectability | Score |
|----------------------------------|-------|
| Before each unit operation | 1 |
| During a unit operation | 2 |
| During series of unit operations | 3 |
| Test of the final product | 4 |
| Found by customers | 5 |

| Risk priority number | Rank |
|----------------------|------|
| ≥40 | |
| 20≤ <40 | |
| <20 | |

7) Risk Assessment after Implementation of the Control Strategy

The results of the risk assessment using FMEA after implementation of the control strategy are shown in Figure 3.2.P.2.3-4 and Table 3.2.P.2.3-8. The definitions of severity, probability, and detectability follow the section 1) described above.

The risks of blending time and compression pressure after development of the manufacturing process (before implementing control strategy) were judged as medium. However it was judged that the risks of the blending time and compression pressure decreased because of the use of feedback controls using in-line NIR monitoring, and control using online monitoring.

In addition, it was judged that risk concerning the drug substance particle size decreased because the design space that contains the particle size was obtained through the drug product design, and the particle size was controlled at the acceptance step.

From these results, the process inputs that affect important quality properties can be managed properly.

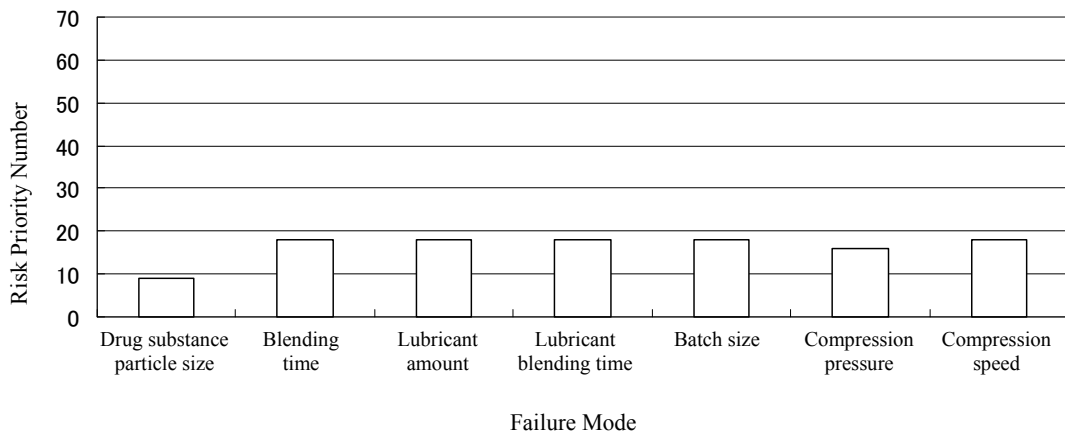


Figure 3.2.P.2.3-4 Results of FMEA Risk Analysis

Table 3.2.P.2.3-8 Results of FMEA Risk Analysis

| Target product profile/quality property | Potential failure mode | Effect | Severity | Outbreak probability | Detectability | Risk priority number |
|---|------------------------------|-----------------------|----------|----------------------|---------------|----------------------|
| Dissolution | Drug substance particle size | Decreased dissolution | 3 | 3 | 1 | 9 |
| Content uniformity | Blending time | Not uniform | 3 | 3 | 2 | 18 |
| Dissolution | Lubricant amount | Decreased dissolution | 3 | 3 | 2 | 18 |
| Dissolution | Lubricant blending time | Decreased dissolution | 3 | 3 | 2 | 18 |
| Content uniformity | Batch size | Not uniform | 3 | 3 | 3 | 18 |
| Dissolution | Compression pressure | Decreased dissolution | 4 | 2 | 2 | 16 |
| Content uniformity | Compression speed | Not uniform | 3 | 2 | 3 | 18 |

| Severity | Score |
|---------------------------------|-------|
| Deviation | 1 |
| Passed the re-test | 2 |
| Rejection of sub-batch or batch | 3 |
| Stop the flow of manufacture | 4 |
| Recall | 5 |

| Outbreak probability | Score |
|----------------------|-------|
| ≤1/10000 | 1 |
| 1/1000 | 2 |
| 1/100 | 3 |
| 1/10 | 4 |
| >1/10 | 5 |

| Detectability | Score |
|----------------------------------|-------|
| Before each unit operation | 1 |
| During a unit operation | 2 |
| During series of unit operations | 3 |
| Test of the final product | 4 |
| Found by customers | 5 |

| Risk priority number | Rank |
|----------------------|------|
| ≥40 | |
| 20≤ <40 | |
| <20 | |