## Contents

Series Preface XIII Preface of Volume 3 XVII List of Contributors XXI Recommended Notation XXV EFCE Working Party on Drying: Address List XXXI v

1 Quality Changes in Food Materials as Influenced by Drying Processes 1

Catherine Bonazzi and Elisabeth Dumoulin

- 1.1 Introduction 1
- 1.2 Biochemical Reactions Induced by Drying 5
- 1.3 Physical Transformations During Drying 9
- 1.4 Mechanical Transformations Induced by Drying 14
- 1.5 Storage and Rehydration of Food Products 16
- 1.6 Conclusion 17 References 18

## 2 Impact of Drying on the Mechanical Properties and Crack Formation in Rice 21

Catherine Bonazzi and Francis Courtois

- 2.1 Introduction 21
- 2.2 Impact of Drying Conditions on Head Rice Yield for Paddy and Parboiled Rice 24
- 2.3 Characterization of Fissures Formation by Image Analysis Techniques 28
- 2.4 Characterization of the Mechanical Properties of the Rice Material 33
- 2.4.1 Stress–Strain Relationships for Linear Materials 34
- 2.4.2 Failure Strength in Rice Grains 36
- 2.5 Modeling the Impact of Drying on the Final Quality of Rice Grains 39

2.6 Conclusion 45 References 46

VI Contents

3	Characterization and Control of Physical Quality Factors During Freeze-Drying of Pharmaceuticals in Vials 51
	Julien Andrieu and Séverine Vessot
3.1	Introduction 51
3.2	Characterization Methods of the Key Quality Factors During
	Freeze-Drying of Pharmaceuticals in Vials 52
3.2.1	State Diagram, Melting Curves, Vitreous Transition,
	Collapse Temperature 54
3.2.2	Characterization Methods: DSC, MDSC, Freeze-Drying
	Microscopy 55
3.2.3	Ice Structure and Morphology: Cold Chamber Optical
	Microscopy 55
3.2.4	Heat Flux Heterogeneity in the Sublimation Chamber 57
3.2.5	Permeability of Freeze-Drying Cake: Pressure
	Rise Tests 59
3.2.6	Estimation of Mean Product Temperature 61
3.3	Influence of Freezing and Freeze-Drying Parameters
	on Physical Quality Factors 63
3.3.1	Influence of Freezing Protocol on Ice Morphology 63
3.3.1.1	Influence of Freezing Rate 64
3.3.1.2	Influence of Vial Type and Filling Height 66
3.3.1.3	Annealing 67
3.3.2	Controlled Nucleation 70
3.3.2.1	Controlled Nucleation by Ultrasound Sonication 70
3.3.2.2	Effect of Ultrasound on Structural and Morphological
	Properties 72
3.3.3	Relationship between Nucleation Temperatures
	and Sublimation Rates 73
3.3.4	Freeze-Dried Cake Morphology 74
3.3.4.1	Water Vapor Mass Transfer Resistance 74
3.3.4.2	Freeze-Dried Layer Permeability 76
3.3.5	Importance of Temperature Control 78
3.3.6	Influence of Operating Conditions on Sublimation Kinetics 79
3.4	Product Quality and Stability During Drying and Storage 83
3.4.1	Product Quality and Formulation 83
3.4.2	Product Quality and Polymorphism 84
3.5	Conclusions 85
	References 87
4	In-Line Product Quality Control of Pharmaceuticals In Freeze-Drying
	Processes 91
	Antonello A. Barresi and Davide Fissore
4.1	Introduction 91
4.2	Control of the Freezing Step 94
4.3	Monitoring of the Primary Drying 96

- 4.3.1 Monitoring of Single Vials 99
- 4.3.2 Monitoring of a Group of Vials 103
- 4.3.3 Monitoring of the Whole Batch 106
- 4.3.3.1 Detection of the Endpoint of the Primary Drying 106
- 4.3.3.2 Monitoring the Primary Drying Using the Measurement of the Sublimation Flux *113*
- 4.3.3.3 Monitoring the Primary Drying Using Methods Based on the PRT *114*
- 4.4 Control of the Primary Drying 125
- 4.5 Monitoring and Control of Secondary Drying 135
- 4.6 Quality by Design 139
- 4.7 Continuous Freeze-Drying 142
- 4.8 Conclusion 143
  - References 146
- 5 Understanding and Preventing Structural Changes During Drying of Gels 155
  - Thomas Metzger, Angélique Léonard, Wahbi Jomaa,
  - and Hajime Tamon
- 5.1 Introduction 155
- 5.2 Gels and Their Applications Quality Aspects 156
- 5.2.1 Preparation of Wet Gels 156
- 5.2.1.1 Silica Gels 156
- 5.2.1.2 Resorcinol-Formaldehyde (RF) Gels 157
- 5.2.2 Properties of Dry Gels 158
- 5.2.3 Applications of Dry Gels 160
- 5.3 Structural Characterization of Gels Quality Assessment 162
- 5.3.1 Characterization of Wet Gels 162
- 5.3.1.1 Small Angle X-Ray Scattering (SAXS) 162
- 5.3.1.2 Thermoporometry 164
- 5.3.2 Characterization of Dry Gels 166
- 5.3.2.1 Nitrogen Adsorption 166
- 5.3.2.2 Mercury Porosimetry 168
- 5.3.2.3 Other Methods 171
- 5.3.3 Characterization of Gels During Drying 172
- 5.4 Drying Methods for Gels Quality Loss 174
- 5.4.1 Convective Drying 174
- 5.4.1.1 Introduction 174
- 5.4.1.2 Shrinkage 175
- 5.4.1.3 Differential Shrinkage and Stress 177
- 5.4.1.4 Cracking 180
- 5.4.2 Freeze-drying 182
- 5.4.3 Supercritical Drying 185
- 5.4.3.1 Supercritical Drying of the Initial Solvent 185
- 5.4.3.2 Low-Temperature Process with CO<sub>2</sub> 187

VIII Contents

5.5	Advanced Drive Techniques Dresswing Quelity 190
	Advanced Drying Techniques – Preserving Quality 189
5.5.1	Subcritical Drying 189
5.5.2	Freeze-Drying 190
5.5.2.1	General Remarks 190
5.5.2.2	RF and Carbon Cryogels 192
5.5.2.3	Ice Templating (for Silica Gels) 195
5.5.3	Vacuum Drying 197
5.5.4	Convective Drying 198
5.5.4.1	Preliminary Remarks 198
5.5.4.2	Preventing Shrinkage and Cracks by Aging
	(Silica Gels) 199
5.5.4.3	Making Shrinkage Reversible by Surface Modification
	(Silica Gels) 201
5.5.4.4	RF Gels – From First Results to a Systematic
	Investigation 204
5.5.4.5	Aging of RF Gels 208
5.5.4.6	Concluding Remarks 209
5.5.5	Microwave Drying 210
5.6	Advanced Modeling of Convective Drying – Understanding
	Quality 211
5.6.1	Macroscopic Models 211
5.6.1.1	General Remarks 211
F ( 1 )	Diffusion Model 211
5.6.1.2	Diffusion Model 211
5.6.1.2 5.6.1.3	More Rigorous Modeling 217
5.6.1.3	More Rigorous Modeling 217
5.6.1.3 5.6.2	More Rigorous Modeling 217 Development of A Pore-Scale Model 218
5.6.1.3 5.6.2	More Rigorous Modeling 217 Development of A Pore-Scale Model 218 Summary 220
5.6.1.3 5.6.2	More Rigorous Modeling 217 Development of A Pore-Scale Model 218 Summary 220
5.6.1.3 5.6.2 5.7	More Rigorous Modeling 217 Development of A Pore-Scale Model 218 Summary 220 References 223
5.6.1.3 5.6.2 5.7	More Rigorous Modeling 217 Development of A Pore-Scale Model 218 Summary 220 References 223 Morphology and Properties of Spray-Dried Particles 231
5.6.1.3 5.6.2 5.7 <b>6</b>	More Rigorous Modeling 217 Development of A Pore-Scale Model 218 Summary 220 References 223 Morphology and Properties of Spray-Dried Particles 231 Peter Walzel and Takeshi Furuta
5.6.1.3 5.6.2 5.7 <b>6</b> 6.1	More Rigorous Modeling 217 Development of A Pore-Scale Model 218 Summary 220 References 223 <b>Morphology and Properties of Spray-Dried Particles</b> 231 Peter Walzel and Takeshi Furuta Introduction 231
5.6.1.3 5.6.2 5.7 <b>6</b> 6.1 6.2	More Rigorous Modeling217Development of A Pore-Scale Model218Summary220References223Morphology and Properties of Spray-Dried Particles231Peter Walzel and Takeshi Furuta1ntroduction1ntroduction231Morphology of Spray-Dried Particles234
5.6.1.3 5.6.2 5.7 <b>6</b> 6.1 6.2 6.2.1	More Rigorous Modeling217Development of A Pore-Scale Model218Summary220References223Morphology and Properties of Spray-Dried Particles231Peter Walzel and Takeshi Furuta1ntroduction1ntroduction231Morphology of Spray-Dried Particles234Classification of the Morphology of Spray-Dried Powders234
5.6.1.3 5.6.2 5.7 <b>6</b> 6.1 6.2 6.2.1 6.2.2	More Rigorous Modeling 217 Development of A Pore-Scale Model 218 Summary 220 References 223 <b>Morphology and Properties of Spray-Dried Particles</b> 231 <i>Peter Walzel and Takeshi Furuta</i> Introduction 231 Morphology of Spray-Dried Particles 234 Classification of the Morphology of Spray-Dried Powders 234 Solutions of Low Molecular Weight Substances 236 Solutions of Polymers 240
5.6.1.3 5.6.2 5.7 <b>6</b> 6.1 6.2 6.2.1 6.2.2 6.2.2 6.2.3	More Rigorous Modeling 217 Development of A Pore-Scale Model 218 Summary 220 References 223 <b>Morphology and Properties of Spray-Dried Particles</b> 231 <i>Peter Walzel and Takeshi Furuta</i> Introduction 231 Morphology of Spray-Dried Particles 234 Classification of the Morphology of Spray-Dried Powders 234 Solutions of Low Molecular Weight Substances 236 Solutions of Polymers 240
5.6.1.3 5.6.2 5.7 <b>6</b> 6.1 6.2 6.2.1 6.2.2 6.2.3 6.2.3 6.2.4	<ul> <li>More Rigorous Modeling 217</li> <li>Development of A Pore-Scale Model 218</li> <li>Summary 220</li> <li>References 223</li> <li>Morphology and Properties of Spray-Dried Particles 231</li> <li>Peter Walzel and Takeshi Furuta</li> <li>Introduction 231</li> <li>Morphology of Spray-Dried Particles 234</li> <li>Classification of the Morphology of Spray-Dried Powders 234</li> <li>Solutions of Low Molecular Weight Substances 236</li> <li>Solutions of Polymers 240</li> <li>Suspensions Containing Small Solid Particles 244</li> </ul>
5.6.1.3 5.6.2 5.7 <b>6</b> 6.1 6.2 6.2.1 6.2.2 6.2.3 6.2.4 6.2.5	<ul> <li>More Rigorous Modeling 217</li> <li>Development of A Pore-Scale Model 218</li> <li>Summary 220</li> <li>References 223</li> <li>Morphology and Properties of Spray-Dried Particles 231</li> <li>Peter Walzel and Takeshi Furuta</li> <li>Introduction 231</li> <li>Morphology of Spray-Dried Particles 234</li> <li>Classification of the Morphology of Spray-Dried Powders 234</li> <li>Solutions of Low Molecular Weight Substances 236</li> <li>Solutions of Polymers 240</li> <li>Suspensions Containing Small Solid Particles 240</li> </ul>
5.6.1.3 5.6.2 5.7 <b>6</b> 6.1 6.2 6.2.1 6.2.2 6.2.3 6.2.4 6.2.5	<ul> <li>More Rigorous Modeling 217</li> <li>Development of A Pore-Scale Model 218</li> <li>Summary 220</li> <li>References 223</li> <li>Morphology and Properties of Spray-Dried Particles 231</li> <li>Peter Walzel and Takeshi Furuta</li> <li>Introduction 231</li> <li>Morphology of Spray-Dried Particles 234</li> <li>Classification of the Morphology of Spray-Dried Powders 234</li> <li>Solutions of Low Molecular Weight Substances 236</li> <li>Solutions of Polymers 240</li> <li>Suspensions Containing Small Solid Particles 244</li> <li>Complex Dispersions Such as Emulsions and Other</li> </ul>
5.6.1.3 5.6.2 5.7 <b>6</b> 6.1 6.2 6.2.1 6.2.2 6.2.3 6.2.4 6.2.5 6.2.6	<ul> <li>More Rigorous Modeling 217</li> <li>Development of A Pore-Scale Model 218</li> <li>Summary 220</li> <li>References 223</li> <li>Morphology and Properties of Spray-Dried Particles 231</li> <li>Peter Walzel and Takeshi Furuta</li> <li>Introduction 231</li> <li>Morphology of Spray-Dried Particles 234</li> <li>Classification of the Morphology of Spray-Dried Powders 234</li> <li>Solutions of Low Molecular Weight Substances 236</li> <li>Solutions of Polymers 240</li> <li>Suspensions Containing Small Solid Particles 244</li> <li>Complex Dispersions Such as Emulsions and Other</li> <li>Formulations 244</li> </ul>
5.6.1.3 5.6.2 5.7 <b>6</b> 6.1 6.2 6.2.1 6.2.2 6.2.3 6.2.4 6.2.5 6.2.6 6.2.6.1	<ul> <li>More Rigorous Modeling 217</li> <li>Development of A Pore-Scale Model 218</li> <li>Summary 220</li> <li>References 223</li> <li>Morphology and Properties of Spray-Dried Particles 231</li> <li>Peter Walzel and Takeshi Furuta</li> <li>Introduction 231</li> <li>Morphology of Spray-Dried Particles 234</li> <li>Classification of the Morphology of Spray-Dried Powders 234</li> <li>Solutions of Low Molecular Weight Substances 236</li> <li>Solutions of Polymers 240</li> <li>Suspensions Containing Small Solid Particles 244</li> <li>Complex Dispersions Such as Emulsions and Other</li> <li>Formulations 244</li> <li>Hard Shell Particles 244</li> </ul>
5.6.1.3 5.6.2 5.7 <b>6</b> 6.1 6.2 6.2.1 6.2.2 6.2.3 6.2.4 6.2.5 6.2.6 6.2.6.1 6.2.6.1	<ul> <li>More Rigorous Modeling 217</li> <li>Development of A Pore-Scale Model 218</li> <li>Summary 220</li> <li>References 223</li> <li>Morphology and Properties of Spray-Dried Particles 231</li> <li>Peter Walzel and Takeshi Furuta</li> <li>Introduction 231</li> <li>Morphology of Spray-Dried Particles 234</li> <li>Classification of the Morphology of Spray-Dried Powders 234</li> <li>Solutions of Low Molecular Weight Substances 236</li> <li>Solutions of Polymers 240</li> <li>Suspensions Containing Small Solid Particles 244</li> <li>Complex Dispersions Such as Emulsions and Other</li> <li>Formulations 244</li> <li>Hard Shell Particles 245</li> </ul>
5.6.1.3 5.6.2 5.7 <b>6</b> 6.1 6.2 6.2.1 6.2.2 6.2.3 6.2.4 6.2.5 6.2.6 6.2.6.1 6.2.6.2 6.2.6.3	More Rigorous Modeling 217 Development of A Pore-Scale Model 218 Summary 220 References 223 <b>Morphology and Properties of Spray-Dried Particles</b> 231 <i>Peter Walzel and Takeshi Furuta</i> Introduction 231 Morphology of Spray-Dried Particles 234 Classification of the Morphology of Spray-Dried Powders 234 Solutions of Low Molecular Weight Substances 236 Solutions of Polymers 240 Suspensions Containing Small Solid Particles 240 Suspensions Containing Large Solid Particles 244 Complex Dispersions Such as Emulsions and Other Formulations 244 Hard Shell Particles 244 Gelatinization 245 Microencapsulated Flavor Powders Formed from Emulsions 245
5.6.1.3 5.6.2 5.7 <b>6</b> 6.1 6.2 6.2.1 6.2.2 6.2.3 6.2.4 6.2.5 6.2.6 6.2.6.1 6.2.6.1	More Rigorous Modeling 217 Development of A Pore-Scale Model 218 Summary 220 References 223 <b>Morphology and Properties of Spray-Dried Particles</b> 231 <i>Peter Walzel and Takeshi Furuta</i> Introduction 231 Morphology of Spray-Dried Particles 234 Classification of the Morphology of Spray-Dried Powders 234 Solutions of Low Molecular Weight Substances 236 Solutions of Polymers 240 Suspensions Containing Small Solid Particles 240 Suspensions Containing Large Solid Particles 244 Complex Dispersions Such as Emulsions and Other Formulations 244 Hard Shell Particles 244 Gelatinization 245 Microencapsulated Flavor Powders Formed from Emulsions 245

Contents IX

6.2.8	Particles Formed in Integrated Fluidized Beds 253
6.3	Retention of Flavor in Spray-Dried Food Products 253
6.3.1	General Remarks on Microencapsulation 253
6.3.2	Encapsulation of Flavor by Spray Drying 255
6.3.2.1	Theory and Mechanism 255
6.3.2.2	Microencapsulation of Hydrophilic Flavors 255
6.3.2.3	Spray Drying of Emulsified Hydrophobic Flavors 256
6.3.2.4	Factors Affecting the Retention of Emulsified Hydrophobic
	Flavors During Spray Drying 257
6.3.2.5	Stickiness of the Spray-Dried Powder 260
6.3.3	Release and Oxidation of the Encapsulated Flavor During
	Storage 261
6.3.3.1	Influence of Glass Temperature on the Storage
	Stability of the Encapsulated Flavor 261
6.3.3.2	Release of Flavor from Spray-Dried Powder
0.3.3.2	During Storage 262
6.3.3.3	Oxidation of Encapsulated Flavor During Storage 267
6.3.3.4	Relaxation Process Correlation by Glass Transition
0.3.3.4	Temperature 267
6.4	Encapsulation and Microencapsulation of Enzymes
0.4	
C A 1	
6.4.1	Microencapsulation of Enzymes by Spray Drying 269
6.4.2	Stress on Proteins During the Spray Drying Processes 270
6.4.2.1	Adsorption Stress 270
6.4.2.2	Shear Stress 271
6.4.2.3	Thermal and Dehydration Stress 271
6.4.3	Protein Encapsulation Theory by Spray Drying 272
6.4.4	Spray Drying of Protein Solutions 273
6.4.4.1	Drying of a Single Suspended Droplet 273
6.4.4.2	Stabilization of Enzymes During Spray Drying: Effects
	of Formulation Composition 274
6.4.4.3	Effect of Process Variables on the Stabilization of Enzymes
	During Spray Drying 275
6.4.5	Microencapsulation of Oil 278
6.4.5.1	Spray Drying of Oil Emulsions 278
6.4.5.2	Oxidation of Lipids Encapsulated in Spray-Dried Particles 279
6.5	General Quality Aspects 280
6.5.1	Porosity of Spray-Dried Particles and Species
	Distribution 280
6.5.2	Strength of Particles and Attrition 281
6.5.3	Bulk Density and Product Flowability 282
6.5.4	Residual Moisture 282
6.5.5	Reconstitution Behavior 283
6.6	Concluding Remarks 284
	References 286

**X** Contents

7	Particle Formulation in Spray Fluidized Beds 295
	Mirko Peglow, Sergiy Antonyuk, Michael Jacob, Stefan Palzer,
	Stefan Heinrich, and Evangelos Tsotsas
7.1	Introduction 295
7.2	General Principles of Particle Formulation in Spray
	Fluidized Beds 296
7.3	Influence of Material Properties 299
7.3.1	Adhesion Mechanisms and Mechanical Strength
	of Agglomerates 299
7.3.1.1	Material Structure and Properties 300
7.3.1.2	Van der Waals Forces 301
7.3.1.3	Capillary Forces Due to Liquid Bridges Between
	Particles 303
7.3.1.4	Viscous Forces in Sinter Bridges Between Amorphous
	Particles 304
7.3.1.5	Mechanical Strength of Agglomerates 308
7.3.2	Breakage of Agglomerates and of Granulated
	Products 315
7.3.2.1	Elastic–Brittle Breakage Behavior 316
7.3.2.2	Elastic–Plastic Breakage Behavior 317
7.3.2.3	Plastic Breakage Behavior 319
7.3.2.4	Breakage of Granules with Layered Structure 320
7.3.3	Consideration of Primary Particle Properties
	in Agglomeration 321
7.4	Influence of Operating Conditions 324
7.4.1	Mechanical Strength of Granulated Particles 324
7.4.1.1	Influence of Binder Content in the Sprayed Solution 325
7.4.1.2	Influence of the Particle Retention Time 326
7.4.1.3	Influence of Process Temperature 327
7.4.2	Catalyst Impregnation in Fluidized Beds 329
7.5	Influence of Apparatus Design 332
7.5.1	Apparatus Design Features with an Influence on
750	Product Quality 332
7.5.2	Residence Time Distribution 338
7.5.3	Dispersive Growth in Batch Granulation 344
7.5.4	Discrete Particle Modeling of a Wurster Coater 349
7.5.4.1	Principles of the DPM 350
7.5.4.2 7.5.4.3	Parameters for the DPM Simulation 351 Influence of the Spout Velocity 352
7.5.4.3 7.5.4.4	Influence of the Spout Velocity 352 Influence of the Wurster Gap Distance 355
7.5.4.4 7.6	Neural Networks, Encapsulation 357
7.0	Stochastic Discrete Modeling of Agglomeration 363
7.7.1	General Principles 363
7.7.2	Computational Method 364
7.7.2	Results 367
1.1.5	ICOULD JU/

- 7.7.3.1 Effect of Liquid Flow Rate and Viscosity 367
- 7.7.3.2 Thermal Effects 367
- 7.7.3.3 Effect of Particle Porosity 369
- 7.8 Summary and Outlook 372 References 374

Index 379