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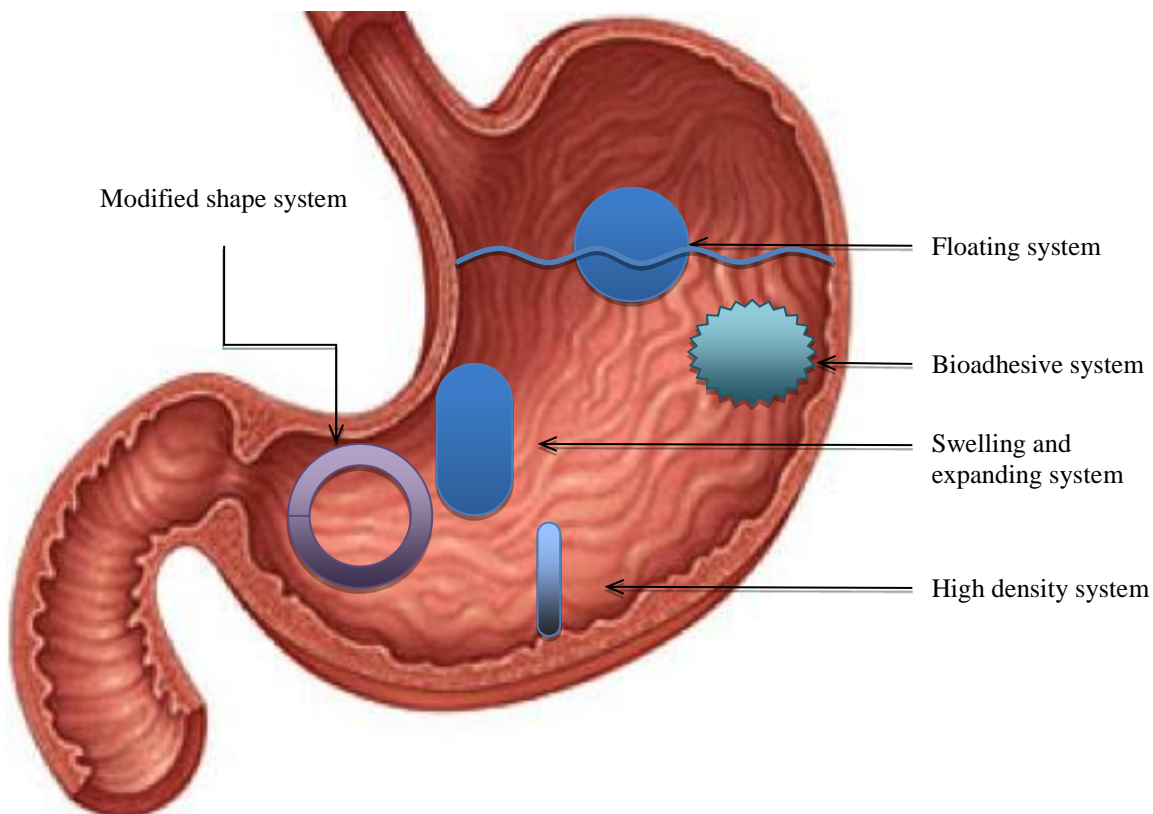
GRAPHICAL ABSTRACT

Gastroretentive Formulations for Improving Oral Bioavailability of Drugs- Focus on Microspheres and their Production

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Figure required for graphical abstract.



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30 microspheres and their production

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35

36 **Abstract**

37 Oral administration is the most commonly used drug delivery route for the majority of
38 conditions. Given its advantages over other routes, such as convenience and cost,
39 its use is increasing every year despite the major advances in drug delivery.
40 Nevertheless, oral formulations are limited and challenged by physicochemical
41 barriers and highly variable residence times. Gastric retention is a strategy that can
42 overcome the highly variable gastric residence time by designing formulations that
43 remain in the stomach longer than would otherwise be expected. This is especially
44 beneficial for drugs that have an absorption window in the stomach and proximal
45 intestine. Various techniques are discussed and include gas-generating tablets,
46 floating microspheres, hydrodynamically balanced systems, bioadhesive particles,
47 rafts and modified shape systems. Microspheres having the advantages of being
48 multi-unit are further discussed with regard to their production methods and
49 characterisation. Further, a summary of microsphere studies is presented that looks
50 at methods used and key results.

51

52 *Keywords:* gastroretentive formulations; oral drug delivery; floating microspheres;
53 microspheres production; microspheres characterisation.

54

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64 1.0 Introduction

65 Despite the numerous innovations in drug delivery and promising alternative routes,
66 orally administered forms comprise more than half the drug delivery market [1]
67 (Gabor et al., 2010). Oral drug administration remains the preferred route in most
68 clinical applications for the treatment of acute and chronic conditions [2]. It is
69 estimated that over 90% of all medicine usage is oral and the share is increasing at
70 10% per year [1]. Amongst the various oral delivery options such as liquids and
71 semisolid formulations, tablets are the preferred choice given their advantages. Oral
72 formulations are easy to self-administer. They are pain free, convenient, can
73 accommodate a wide number of drugs, stable, easy to carry, inexpensive to
74 manufacture and most importantly do not discourage patient compliance [1, 3. In
75 addition, the healthcare system takes advantage of this easy and cost effective
76 delivery especially as health care costs increase and the elderly population grows. It
77 therefore seems like oral dosage forms are the ideal forms of therapy. However, the
78 oral route is also one of the most challenging considering the biopharmaceutical
79 issues such as physiochemical drug characteristics and gut physiological conditions
80 [1].

81 The oral route of administration comes with important limitations. Gastric physiology
82 presents many challenges with changing environments and barriers to absorption.
83 Therefore, it is important to consider drug solubility, permeability, lipophilicity,
84 crystalline form, size, charge and pKa in oral formulations because they may affect
85 drug absorption, bioavailability and therapeutic effectiveness. Physiological
86 considerations include regional pH, absorption area, enzyme degradation, residence
87 time and presence of microorganisms [1]. In the stomach, the two most important
88 parameters affecting the fate of the drug are the pH and residence time [4]. Longer
89 gastric residence time allows greater and more reliable drug absorption, however, it
90 is highly variable and despite excellent dosage form *in vitro* release profiles, drug
91 absorption is highly variable and in many cases unsatisfactory [5]. In addition, this
92 variability exists in the same individual at different times and between individuals
93 leading to less predictable therapeutic outcomes. Various strategies have been
94 researched to overcome these challenges, such as using sustained release
95 formulations, pH responsive formulations, osmotic delivery devices, enzyme
96 mediated release, prodrugs, antigen targeting to Meyer cells and use of absorption

97 and permeation enhancers [1]. However, all these strategies are still limited by
98 gastric variability, which is an important determinant of bioavailability.
99 Gastroretentive strategies are designed to control dosage form residence time
100 therefore leading to enhanced, prolonged and predictable drug blood levels.

101 Gastroretentive formulations are very useful for drugs that are aimed at the stomach,
102 drugs with poor solubility such as weakly basic drugs that do not dissolve well
103 enough in basic environments, drugs that are unstable in the colon or drugs that
104 have a narrow absorption window and drugs that are primarily absorbed from the
105 stomach [5]. The concept of absorption window is relevant to compounds that have
106 variable absorption in different regions in the gastrointestinal tract ([2]. For example,
107 polar compounds are better absorbed from the upper gastrointestinal tract and large
108 intestinal absorption is very poor. Therefore, their bioavailability is limited by
109 absorption site. This is the case for many drugs, especially those in classes II to IV of
110 the biopharmaceutical classification scheme. It is difficult and almost impossible to
111 formulate modified release formulations for such substances and therefore
112 absorption window targeting is a useful strategy. Other reasons that create an
113 absorption window are differential drug solubility and stability due to pH or enzymatic
114 degradation [2]. Figure 1 illustrates the concept.

115 Formulation residence time in the gastrointestinal tract determines how long the
116 formulation will be in contact with its absorption window. In humans, gastric
117 residence is very variable and mainly affected by the size of the objects inside and
118 the feeding state in the stomach. This can range from 2 to 4 hours for a meal. On the
119 other hand, transit in the intestine is more constant and around three hours. Transit
120 through the colon is longer and can be 20 hours or more [2]. This therefore means
121 that drugs that are mainly absorbed from the stomach or proximal small intestine will
122 have a short contact time with the absorption window. Consequently, the
123 bioavailability will be limited and will also be variable. A number of important drugs,
124 such as those in Table 1, that are absorbed from the proximal intestine have low
125 bioavailability after oral dosing due to this. Sustained or prolonged release
126 formulations for such drugs have limited benefit because absorption is low in the
127 colon. Gastroretentive strategies overcome the short and variable contact time in two
128 ways: (1) retain drug formulation longer and (2) hold the drug formulation above the
129 absorption window [2].

130 In effect, gastro-retentive strategies improve oral bioavailability and optimize drug
131 plasma levels leading to enhanced and predictable therapeutic outcomes.
132 Gastroretentive formulations also have fewer doses per day leading to dramatically
133 improved patient compliance [6].

134 **2.0 Gastric physiology**

135 The stomach is a J shaped enlargement of the gastrointestinal tract and connects
136 the oesophagus to the first part of the small intestine. Meals can be ingested faster
137 than nutrients can be absorbed through the intestines and the stomach serves as a
138 mixing chamber that liquefies food and holds churned food material for controlled
139 feeding in to the intestine. Digestion of proteins and triglycerides begins, digestion of
140 starch continues and some substances are absorbed. The stomach is divided in to
141 four main regions: the cardia, fundus, body and pylorus. These are shown in figure 2.

142 An empty stomach is about the size of a big sausage with a residual volume of 25 to
143 50ml, but it is the most distensible part of the gastrointestinal tract and can
144 accommodate large amounts of food. Gastric volume is important for dosage form
145 dissolution. At birth the stomach capacity is 30 ml, at puberty it is 1L and 1.5 to 2L in
146 adults. The fasting stomach pH is between 1.2 to 2.0 and 3 to 6.5 when fed [3]. This
147 is because food buffers, dilutes and neutralises gastric acid and causes its increase
148 pH. Gastric pH affects the absorption of drugs, for example, basic drugs will be more
149 likely to dissolve in the fed condition than the fasted condition. After a meal is
150 finished, the stomach pH rapidly increases to 5 and then gradually reduces to the
151 fasting condition levels over a few hours [3].

152 The gastric system is in constant motility, which is in two modes, the inter-digestive
153 or migrating motor complex and the digestive motility pattern. Digestion begins a few
154 minutes after food enters the stomach with peristaltic mixing waves. Few waves are
155 seen in the fundus, which mostly has a storage function. These waves mix the food
156 with gastric secretions and break it down to chyme. As digestion continues, more
157 vigorous waves starting from the body and intensifying at the pylorus are produced.
158 Most chyme is forced backward and the next wave pushes the chyme forward again
159 and small amount may go past the pylorus. These movements are responsible for
160 most mixing in the stomach. Stomach contents must be 1 -2 mm to pass through to
161 the duodenum, the first part of the intestine. Food that has been held in the fundus
162 and has not yet mixed with gastric content may be brought down, which may be held

163 in the fundus for an hour. The control of these movements and of gastric secretions
164 is via neuronal and hormonal mechanisms. The events that occur in the stomach
165 occur in three overlapping phases: the cephalic, gastric and intestinal phase [7].
166 Inter-digestive motility is dominant in the fasted state and its primary role is to clean
167 up any residual content remaining in the stomach. The motility is cyclical and called
168 the migrating motor complex (MMC) and leads to gastric emptying. MMC cycles,
169 which last for 2 to 3 hours are separated by periods of inactivity. The cycle is divided
170 into four phases summarised in table 2 and represented diagrammatically in figure 3.
171 When a meal is eaten, the pattern of contractions changes to that of the fed state.
172 The contractions in the fed state resemble phase II contractions in the MMC.
173 Gastric motility is highly variable and affected by various factors, such as age,
174 posture, gender and type of meal consumed. These are summarised in Table 3.
175 Time taken for a dosage form to traverse the stomach is the 'gastric emptying rate',
176 which is highly variable and dependent on many factors, such as the dosage form
177 itself and stomach fed or fasting condition. Usually, gastric residence is 5 minutes to
178 2 hours and large single unit dosage forms have been shown to remain for 12 hours
179 or longer [3]. For a formulation to be gastroretentive, it must be able to resist the
180 forces of the IMMC phase for a considerable period of time, especially the phase III
181 forceful contractions. In addition, the IMMC phase which is occurring when the
182 dosage form is taken affects its residence time [8].
183 In the fed state, drug residence time is affected by food residence time. This, in turn,
184 is affected by the type and amount of food consumed. Solids and larger food
185 particles spend longer in the stomach than liquids or small food particles [8]. The
186 size of a gastroretentive dosage form is also important. The human pyloric sphincter
187 is 12 ± 7 mm in diameter and is open in the fasting state. The first mouthful can
188 therefore pass straight to the duodenum, after which the sphincter closes. Particles
189 with a diameter less than 7mm are effectively evacuated, whereas a diameter of
190 15mm or greater is usually retained longer, especially during the fasting state.
191 Indigestible solids larger than the pyloric sphincter are propelled back in to the
192 stomach and go through several MMC activities. During the housekeeping waves the
193 pyloric sphincter opens up and allows sweeping of these materials [9]. Whether a
194 single unit is retained or lost in gastric emptying is determined by chance and
195 therefore the high variability in gastric residence time is a drawback for
196 gastroretentive single unit systems. Multiple unit systems can overcome this. They

197 may be evacuated as a linear profile or as a bolus at the end of the digestion [10],
198 whereas the single unit systems would be evacuated at the end of digestion or
199 during phase III of IMMC. In this way, multiple unit systems have more reliable
200 gastric residence patterns because they do not suffer from the “all or none concept”
201 [9].

202 The density of a gastroretentive system affects its location in the stomach. When a
203 system has a density lower than that of the gastric content (1.004g/ml), they float at
204 the top and denser systems sink to the bottom. Both situations may keep the
205 formulation in the stomach and avoid the pylorus [10]. This is shown in figure 4. In a
206 study by Timmermans and Andre,1994) [11] that examined the effect of floating
207 properties on gastric residence time, it was found that floating units remained
208 buoyant and were less likely to be expelled from the stomach compared to the non-
209 floating units. These lay close to the antrum and the pylorus and were expelled into
210 the intestine by the peristaltic waves. The dosage form parameters that affect its
211 gastric residence are summarised in Table 4.

212

213 **3.0 Gastroretentive strategies**

214 Gastroretentive strategies are suitable for compounds that are:

- 215 • primarily absorbed from the stomach or upper gastrointestinal tract, for
216 example, metronidazole
- 217 • drugs that act locally in the stomach, for example misoprostol, antacids and
218 antibiotics
- 219 • drugs poorly soluble in alkaline pH, for example, diazepam, verapamil
220 hydrochloride. Gastric retention prevents solubility being the rate limiting step
- 221 • drugs with a narrow absorption window in the stomach or upper intestine, for
222 example, levodopa, furosemide and simvastatin [12].
- 223 • rapidly absorbed drugs, for example, amoxicillin
- 224 • drugs that degrade in the colon, for example, captopril [8].

225 Unsuitable candidates include drugs that are absorbed equally throughout the
226 gastrointestinal tract, such as isosorbide dinitrate, drugs that are unstable in stomach
227 pH, and drugs that irritate stomach mucosa [3]. Various strategies have been used to
228 prolong gastric residence. These are summarised in the following sections. These
229 strategies still depend on the presence of gastric fluid for the system to work

230 effectively. This translates into patient instructions to take the dosage form with food
231 and water. In order for a dosage form to be successfully gastroretentive, it must be
232 able to withstand the stomach waves and, equally important, it must be easily
233 removed from the stomach once the drug release is complete [8].

234 **3.1 Floating drug delivery systems**

235 Floating gastroretentive systems, as the name implies, remain afloat over the gastric
236 contents because of their buoyancy and low bulk density. This allows these systems
237 to remain in the stomach for a prolonged period of time, while the drug is being
238 released at a desired rate [5]. Eventually they are eliminated and emptied from the
239 stomach. There are several methods used to create a floating delivery system and
240 they can be broadly classified in to two categories: effervescent and non-
241 effervescent formulations. Floating dosage forms may be designed as a single unit
242 or a multiple unit.

243 **3.1.1 Effervescent systems (gas generating)**

244 Effervescent systems contain a floatation chamber, which is filled with an inert gas,
245 air or vacuum [5, 13]. This chamber is created within the formulation when it is in
246 contact with gastric fluid or warms up to body temperature, depending on the system
247 used. Gas can be produced by an effervescent chemical reaction involving
248 carbonates or bicarbonates with an acid. The acid can be from the surrounding
249 gastric environment or can be included in the formulation as citric acid or tartaric acid
250 [10]. This reaction generates carbon dioxide gas and fills the chamber with gas,
251 keeping the delivery system afloat. Surrounding the gas chamber is a matrix of
252 swellable hydrophilic polymer, which expands from the collapsed form to the
253 expanded form as the chamber is filled with gas [5]. This matrix is insoluble and
254 permeable to water but not carbon dioxide. Substances that have been used include
255 chitosan and methocel. The effervescent substances may also be entrapped within
256 the polymer matrix and the produced gas would trap bubbles in a swollen matrix [10].
257 Figure 5 illustrates this process.

258 In another technique, a volatile organic solvent such as ether or cyclopentane is
259 included in the floatation chamber. This solvent evaporates at body temperature to
260 fill the chamber and produce the same floating effect [5, 10]. *In vitro* the lag time until
261 the unit floats is less than one minute and it remains afloat for 8 to 10 hours. *In vivo*
262 studies in fasted dogs showed a mean gastric residence of up to 4 hours [10].

263 The effervescent systems can be formulated as a single unit system or a multiple
264 unit system. A single unit system, such as a tablet or capsule, may be a one layer
265 system that has the effervescent components in the hydrophilic polymer matrix and
266 carbon dioxide bubbles are trapped in this swollen matrix. It may also be formulated
267 as two or more layers, which are formulated separately, and further refinements
268 involve coating with a semipermeable membrane [10]. Multiple unit systems avoid
269 the 'all or nothing' emptying process.

270 In a study by Hu et al (2011) [14], sustained release floating tablets were prepared to
271 deliver dexamethorphan via gas generation. The tablets were prepared by a wet
272 granulation technique with HPMC, sodium bicarbonate as the gas generating agent,
273 hexadecanol as a floatation assistant, lactose and ethylcellulose solutions the
274 binding agent. The tablets took three minutes to float *in vitro* and floatation lasted
275 over 24 hours. By 12 hours, over 85% of the drug was released. A pharmacokinetic
276 study in humans comparing the floating tablets to a regular sustained release tablet
277 showed increased area under the curve (AUC) in concentration time graph and a
278 prolonged T_{max} . In a study by Goole et al. (2008) [15], sustained release floating mini
279 tablets for levodopa that were made using sodium bicarbonate, calcium carbonate
280 and tartaric acid as gas generators. Gastric residence time was evaluated in humans
281 with gamma scintigraphy and compared to marketed Prolopa®. The results showed
282 gastric retention of four hours and more constant drug pharmacokinetics.

283 In a study by Tadros (2009)[16], ciprofloxacin was prepared in an effervescent
284 floating tablet using sodium or calcium carbonate to generate gas. The matrix was
285 made of hydroxypropylmethylcellulose K15M. *In vitro* testing showed a 16 second
286 lag time till floatation, which lasted longer than 12 hours suggesting that that
287 generated gas was successfully entrapped and kept the system floating. *In vivo*
288 studies in a human volunteer showed a lag time of 78 seconds, floatation for three
289 hours in one location then further retention of another three hours in a lower location
290 in the stomach. The mean gastric retention was 5.5 hours. This formulation showed
291 promising results for the gastroretentive delivery of ciprofloxacin.

292

293 **3.1.2 Non effervescent (hydrodynamically balanced systems)**

294 Hydrodynamically balanced systems are single unit dosage forms composed of a
295 hydrophilic polymer matrix that contains the drugs. The polymer swells when it
296 becomes hydrated and forms a lightweight gel. Usually they are administered as

297 gelatin capsules. In the gastric contents, the gelatin shell erodes away and dissolves
298 in the gastric fluid. The polymer is now exposed to the gastric fluid and starts to swell
299 at the surface, therefore forming a gel barrier surrounding the capsule dosage form.
300 This hydrated outermost layer gives buoyancy and keeps the capsule afloat. It also
301 keeps the capsule shape together to prevent it from disintegrating and controls the
302 rate of drug release. Continuous erosion of the surface allows water to penetrate in
303 to the inner layers thus maintaining surface hydration and buoyancy. Figure 6
304 illustrates the process.

305 Gel forming polymers that can be used for such formulations include
306 hydroxypropylmethylcellulose (HPMC) [17], hydroxyethylcellulose (HEC),
307 hydroxypropyl cellulose (HPC) sodium carboxymethylcellulose, agar and alginic acid.
308 Ali et al (2007)[18] produced a hydrodynamically balanced system for metformin.
309 HPMC and EC were used as polymers and the optimized formulation was tested in
310 rabbits. *In vitro* buoyancy studies showed floatation up to 12 hours and gamma
311 scintigraphy showed the formulation was buoyant for five hours in rabbits. The AUC
312 was increased by 136% compared to the immediate release formulation and the
313 release was prolonged with c_{max} being at 7 hours in the gastroretentive formulation
314 and 3 hours in the immediate release formulation. The formulation was able to
315 successfully remain in the stomach for a prolonged period of time and constantly
316 deliver metformin to its site of absorption, the proximal small intestine.

317 **3.1.3 Raft forming systems**

318 Raft systems are gel forming solutions that swell and form a viscous cohesive gel
319 which floats on the top of gastric fluid. The dosage form includes an alginate solution
320 such as sodium alginate that contains carbonates or bicarbonates. When in contact
321 with the gastric environment, the alginate solution forms the viscous gel with
322 entrapped carbon dioxide bubbles. This enables the system to float. Figure 7 shows
323 how these systems appear in the stomach. This floating delivery design is very
324 useful for gastroesophageal reflux because the raft produced prevents gastric
325 contents from seeping back to the oesophagus and cause irritation. A well-known
326 and widely used product is Gaviscon (GlaxoSmithKline) [3]. Raft systems can also
327 be used for antibiotics, for example, clarithromycin for *H. Pylori* eradication [19]. This
328 formulation resulted in greater *in vivo* *H. Pylori* eradication as compared to the
329 solution formulation.

330

331 **3.1.4 Low Density Systems**

332 Hollow microspheres are multiple unit dosage form with low density ($<1\text{g/cm}^3$) and
333 immediate buoyancy. They are also called microcapsules or microballoons because
334 of the low density core in their structure. Gastric contents have a density close to
335 water, 1.004g/cm^3 , and particles less dense than that float [10,20]. Other examples
336 of low density systems are microparticles, hollow beads, emulgel beads and floating
337 pellets [3]. Microspheres can be between 1 and 1000 μm in size, commercial
338 microspheres are between 3 and 800 μm [21, 8] and ideally are smaller than 200 μm
339 [10]. The core makes up 10 to 90% of the microparticle weight [8]. Polymers that can
340 be used to formulate them include albumin, gelatin, starch, polymethacrylate,
341 polyacrylamine and polyalkcyanoacrylate. These microspheres are usually a free
342 flowing powder with very good *in vitro* floatability and have a high loading capacity [5].
343 Currently, floating microspheres are considered to be the most promising buoyant
344 systems because they combine the advantages of multiple unit systems and have
345 good floating properties. Like all other floating systems, however, they still depend
346 on the presence of enough liquid in the stomach, which requires frequent drinking
347 [10].

348 In a study by Miyazaki et al (2007)[22], theophylline was incorporated into floating
349 gastroretentive microspheres. The floating formulation showed *in vitro* floatation of 5
350 hours. An *in vivo* assessment was carried out in Beagle dogs and showed highest
351 AUC for the floating formulations. The floating formulation improved gastric retention
352 and oral bioavailability. Joseph et al (2002) [23], conducted a study for piroxicam
353 loaded hollow polycarbonate microspheres via the solvent evaporation technique.
354 The resultant floating microspheres had entrapment efficiencies over 95%, and over
355 90% of drug was released at 8 hours *in vitro*. *In vivo* evaluation in rabbits showed
356 multiple peaking, suggesting enterohepatic recirculation and the bioavailability was
357 1.4 times the free drug control. The data showed that the formulation was successful
358 in retaining the drug to provide sustained drug delivery and enhanced bioavailability.

359 **3.2 Modified Shape Systems**

360 Modified shape systems are composed of biodegradable polymers folded in a
361 compressed form, which expand to form a three dimensional geometric shape in the
362 stomach. This dosage form withstands gastric emptying because the expanded form
363 is bigger than the pyloric sphincter and is small enough to swallow in the folded form.
364 This folded form is incorporated in a capsule carrier, which dissolves in the stomach.

365 Expansion occurs via osmosis and the shape unfolds due to mechanical shape
366 memory [5]. The device is eliminated when it reduces in volume and rigidity due to
367 depletion of drug and expanding agent. The polymer also erodes and these prevent
368 gastric obstruction or accumulation of repeated doses [10]. The different geometric
369 forms are shown in figure 8.

370 Despite the interesting properties and mechanism of action of this dosage form,
371 expandable systems have important drawbacks. The mechanical shape-memory is
372 short lived and these systems are difficult to industrialise and may not be cost-
373 effective. Storage of easily hydrolysable, biodegradable polymers is challenging. It is
374 important for such systems to have reproducible 'collapse time' so that it does not
375 cause obstruction or gastropathy [10].

376

377 **3.3 Bioadhesive systems**

378 Bioadhesive or mucoadhesive systems are designed with materials that adhere to
379 the mucosal membranes. These systems resist emptying and therefore have
380 prolonged gastric residence. For example, microspheres, microparticles [24] or
381 liposomes can be coated with bioadhesive material. Bioadhesive polymers adhere to
382 either the mucus lining or the biological membranes. Polymers include chitosan,
383 carbopol, carboxymethyl chitin and carboxymethyl chitosan [3]. Several mechanisms
384 have been proposed for mucoadhesion. The electrostatic theory proposes that
385 adhesion is via attractive electrostatic forces between the glycoprotein mucin
386 network and the polymer. The adsorption theory proposes that adhesion is due to
387 Van der Waals and hydrogen bonding. The wetting theory is based on the polymers'
388 ability to spread and the diffusion theory is based on the physical entanglement of
389 mucin strands with the flexible polymer chains, or an interpenetration of the mucin
390 strands in the porous polymer structure [10].

391 Formulation and clinical use issues of these systems include unpredictable
392 adherence because the mucus layers are in a constant state of renewal. In addition,
393 the gastric content is highly hydrated which reduces the binding property and it is
394 difficult to target these dosage forms because they may adhere to membranes or
395 mucus in other locations. This raises concerns about oesophageal binding, which
396 also presents a challenge [5]. Figure 9 illustrates gastroretention of bio-adhesive
397 microspheres. Liu et al (2004) [25] compared amoxicillin powder, amoxicillin
398 entrapped in microspheres and bioadhesive amoxicillin loaded microspheres in

399 Helicobacter Pylori eradication. The results showed that mucoadhesion had
400 prolonged gastric residence and greater amoxicillin levels leading to better therapy
401 than the regular microspheres. Rajinikanth et al (2008) [19] formulated floating
402 bioadhesive microspheres containing clarithromycin for H. Pylori eradication. The
403 matrix polymer was ethylcellulose and carbopol P934. The resulting microspheres
404 showed strong adhesion and buoyancy. *In vivo* studies in Mongolian gerbils showed
405 that significantly less clarithromycin was needed for H. Pylori eradication using the
406 designed formulation compared to the regular suspension. The formulation was also
407 successful in stabilising clarithromycin, which is known for its acidic instability.

408 **3.4 Swelling and Expanding Systems**

409 Swelling and expanding systems are composed of super-porous hydrogels that swell
410 to a large size, with a swelling ratio of approximately 100 times or more. Swelling
411 occurs through rapid water uptake via capillary action through the pores, which are
412 usually greater than 100 μm in size. In addition, they swell to equilibrium size in less
413 than one minute. These properties set this system apart from conventional ones,
414 which have pore sizes between 10nm and 10 μm and have slow swelling that takes
415 several hours to reach equilibrium [10]. Figure 10 illustrates swelling and expanding
416 systems. The superporous hydrogels are also intended to have sufficient mechanical
417 strength to withstand gastric contraction pressure. In a study by Gupta and
418 Shivakumar (2010) [26], rosiglitazone was formulated in a swelling super-porous
419 hydrogel. The drug is extensively absorbed from the stomach and therefore could
420 benefit from gastroretention in anti-diabetic therapy. Chitosan and polyvinyl alcohol
421 were used as a polymer network. The hydrogels were sensitive to pH and showed
422 reversible swelling and de-swelling but still retaining its mechanical stability.
423 Chitosan which acted as a cross linker, determined the swelling characteristics and
424 polyvinyl alcohol gave the formulation the required mechanical strength. *In vitro* drug
425 release was sustained for 6 hours and this formulation was found to be successful
426 for rosiglitazone delivery in gastric pH. In another study by Chava and Patel (2011)
427 [27], a super-porous hydrogel was made to deliver ranitidine hydrochloride. The
428 system was made with hydroxypropylmethyl cellulose and had interconnected pores
429 and channels. *In vitro*, the system remained afloat and continued to deliver ranitidine
430 for 17 hours showing a Korsmeyer-Peppas release profile. The formulation proved to
431 be a successful system for gastroretentive delivery of ranitidine. Others have used

432 gellan gum, sodium alginate, pectin and xanthan gum polymers to prepare size
433 expanding gastroretentive systems [28].

434 **3.5 Magnetic systems**

435 Magnetic systems contain a small internal magnet and an external magnet placed
436 externally on the abdomen and above the stomach to attract and hold the dosage
437 form in place. This can be accomplished with the addition of ferrite [10]. Although
438 these systems works very well in these trials and in theory, in practice the external
439 magnet must be positioned with a degree of accuracy that may compromise patient
440 compliance [10] or lead to sub-therapeutic treatment.

441 **High density system**

442 High density systems are made up of pellets with a density higher than gastric fluid
443 density. When the patient is in the upright position, the system sinks to the bottom,
444 withstands the peristaltic gastric waves and avoids the pylorus. It has been found
445 that a density close to 2.5g/cm^3 is needed for sufficient residence time and
446 excipients used include barium sulphate, zinc oxide, iron and titanium dioxide.
447 Although these systems have shown successful gastric retention in animal models,
448 they are not very effective in humans and there are no marketed systems utilising
449 this strategy [10].

450

451 Gastroretentive formulations can be designed as single unit systems or multiple unit
452 dosage forms. Single unit systems are inefficient in prolonging the gastric retention
453 time of drugs due to their all-or-nothing emptying process which may lead to inter-
454 subject variability in drug bioavailability. In addition, their use maybe associated with
455 local irritation due to high concentration of the drug in particular site of the GIT. On
456 the other hand, multiple unit dosage forms including microspheres distribute
457 uniformly in the GIT, and therefore overcome the gastric emptying problems, provide
458 consistent drug release in the GIT and avoid local irritation of the drug [29].
459 Processing techniques for formulation of multiple unit microspheres gastroretentive
460 dosage forms have been extensively developed. They are shown below.

461

462 **4.0 Microspheres production methods**

463 Gastroretentive microspheres can be prepared by three main techniques: solvent
464 evaporation, spray drying and coacervation. Other methods are modifications of
465 these three basic methods [30]. A successful formulation of microspheres needs to (i)

466 have sufficient drug loading, (ii) be chemically and physically stable for a clinically
467 acceptable shelf life, (iii) have controlled particle size, and (iv) have controlled drug
468 release to achieve therapeutic effect and side effect minimisation ([31].

469 **4.1 Solvent evaporation**

470 Solvent evaporation for the preparation of low density systems has achieved
471 tremendous popularity and floating microparticles were the primary dosage form of
472 choice [5]. This is an emulsion based method and does not involve highly elevated
473 temperatures like spray draying and is therefore suitable for temperature sensitive
474 compounds. It also does not involve phase separating agents. This means that the
475 resulting microspheres do not have residual solvents, as is the case with phase
476 separation and coacervation methods [6]. There are different ways to make
477 microspheres via solvent evaporation and the choice of method depends on the
478 drug's hydro- and lipophilicity [32, 33]. Lipophilic drugs are incorporated with oil-in-
479 water (o/w), which is the simplest and most frequently used method [32]. Hydrophilic
480 drugs formulated in this way would not be appropriate because the drug may not
481 dissolve in the lipophilic solvent and also diffuse through to the hydrophilic
482 continuous phase. These limitations for hydrophilic drugs can therefore be overcome
483 with the addition of a co-solvent to increase drug solubility, drug addition as a
484 dispersion of solid powder, using a system composed of a lipophilic solvent, such as
485 mineral oil, and therefore form an oil in oil emulsion or the formation of a double
486 emulsion with water-in-oil-in-water [32].

487 Solvent evaporation involves four steps to microsphere production. These are (i)
488 dispersion or dissolution of the drug in an organic solvent that contains the matrix
489 forming material, (ii) emulsification of organic phase in a lipophilic phase, (ii) solvent
490 removal and finally, (iv) harvesting and microsphere drying [30, 31]. These steps are
491 illustrated in figure 11. Polymers and solvents commonly used with this method are
492 shown in Table 5. Emulsion formation in the second step is the primary determinant
493 of final product particle size and particle size distribution. Microsphere size
494 determines the rate of drug release, drug encapsulation efficiency and *in vivo* fate [6].
495 Factors that improve the encapsulation efficiency are (i) low polymer solubility in
496 organic solvent, (ii) high solubility of organic solvent in water, (iii) high concentration
497 of polymer, (iv) low dispersed phase to continuous phase ratio and (v) fast solvent
498 removal rate [21]. Other factors that affect microsphere properties are summarised in
499 table 6.

500 **4.2 Spray drying**

501 Spray drying is a process that involves transforming an emulsion, suspension,
502 dispersion or liquid to a dry state by atomization followed by drying [34 35]. The spray
503 process involves three steps: (1) atomization or droplet formation (2) solvent
504 evaporation and (3) particle collection. However, these steps are continuous and are
505 only described in different sections to make explanation easier. In brief, a stream of
506 liquid is atomized to fine droplets, and then dried in a chamber to give solid particles.
507 This is then collected with a suitable dry collector [36]. Spray drying is less
508 dependent on the hydrophilicity or solubility of a compound or polymer and can be a
509 good choice for hydrophilic drugs that leech out in solvent evaporation techniques.
510 Parameters that affect the final product characteristics include inlet air temperature,
511 liquid feeding rate, rate of atomized airflow and particle residence time. These
512 variables affect the particle size, size distribution, particle morphology and bulk
513 density [34]. Figure 12 illustrates how a spray dryer works.

514 4.2.1 Atomization:

515 In the atomization process, the liquid is reduced to fine droplets as it passes through
516 the atomizer spray nozzle. This can be achieved with centrifugal, electronic or
517 ultrasound pressure. Different types of atomizers are designed to produce different
518 particle size ranges, for example, the ultrasonic nebulizer produces particles in the 1
519 to 10 μm range and hydraulic nozzle atomizer produces particles of 100 to 400 μm
520 size range. Other factors that influence droplet size are viscosity, density and surface
521 tension in the liquid [36,34].

522 2.3 Solvent evaporation

523 The liquid droplets are carried by an inert gas through the drying chamber and they
524 form solid particles. Usually drying chambers work with electric heaters.
525 Homogenous particles result from laminar gas flow with uniform heating (Heng et al.,
526 2011). Solvent evaporation is fast and by simultaneous heat and mass transfer. The
527 drying rate is affected by the difference in temperature between the atomized
528 droplets and the air in the spray drying chamber. In addition, the scale of the batch or
529 rate of atomization can affect drying rate. This generally takes between a few
530 seconds to a minute [34].

531 2.3.3 Particle collection

532 The most common method of solid particle collection and separation is the cyclone.
533 This works with a rotating air stream, which generates a centrifugal force on the
534 particles. This force pushes the particles against the walls of the collection chamber.
535 Another method is via bag filtration, which uses fabric to separate the particles from
536 the exhaust air. Electrostatic precipitators are also an option; however, they are not
537 widely used due to their high cost. However, they have the potential to collect
538 particles smaller than 2 μ m and down to 50nm [36].

539

540 **4.3 Phase separation or coacervation**

541 Phase separation, also called coacervation, is process where a system composed of
542 colloidal particles dispersed in a medium separates in to two different phases, a
543 colloid rich and colloid poor phase. This separation process can be brought upon
544 with a coacervating agent to produce coacervate droplets, which can be solidified
545 with a hardening agent to produce the microspheres [37].

546 In detail, coacervation involves several steps. Firstly, the polymer that will provide
547 suitable coating or matrix characteristics is dissolved in a suitable solvent. In the
548 case of a core that requires coating, it may be mixed at this stage with the polymer
549 solution. The solvent should not dissolve this core. Coacervation is brought upon by
550 various techniques, for example, the addition of a non-solvent for the polymer, salt
551 addition or pH change. This causes the polymer to concentrate in a new separate
552 phase, the 'coacervate', and polymer droplets form with stirring. Most of the solvent
553 initially used to dissolve the polymer is now the polymer-poor phase. The solvent is
554 removed, by evaporation for example, and the system is further desolvated to
555 harden the formed polymer particles. This may be by solvent evaporation or other
556 methods such as thermal desolvation or crosslinking. Finally the microparticles or
557 microspheres are collected and may be rinsed to remove unwanted solvents or
558 excipients [38, 39].

559 Another variation on this process is emulsion-coacervation. This process uses an oil-
560 in-water emulsion of an organic phase that contains the drug in an aqueous phase
561 that has the polymer and a stabilising agent. Mechanical stirring or ultrasound aids
562 the emulsification. Coacervation is brought on with electrolytes, also called salting-
563 out, or addition of a water miscible non-solvent or dehydrating agent [40]. This is the
564 critical step of microsphere production and the polymer precipitates from the
565 continuous phase to form a film on the emulsion droplets, which act as a template for

566 microsphere formation. Coacervation works through polymer desolvation. While the
567 polymer is dissolved in water, the water molecules solvate and surround its
568 functional groups through hydrogen bonding and van der Waals forces. When a
569 coacervating agent is added, water solvation of the polymer decreases and the
570 polymer concentrates in the coacervate phase. There is greater attraction among the
571 polymer chains via secondary valent bonds and non-covalent weak crosslinks and
572 the polymer forms a thin entangled network film as a shell around the emulsion
573 droplets [41]. Finally, a crosslinking step produces rigid hollow core spheres. This
574 can be done with addition of a crosslinking agent, or changing pH or temperature
575 [40]. Solvent removal, by evaporation for example, leaves the microspheres with
576 nothing to keep them suspended. It may therefore be necessary to provide another
577 liquid such as liquid paraffin or water, which does not evaporate appreciably, to
578 suspend the particles. The microspheres are collected and rinsed to remove solvent
579 and excipients [38].

580

581 **Microsphere Characterisation**

582 Microparticles are characterised by their micromeritic properties such as particle size,
583 tapped density, bulk density, compressibility and angle of repose. Scanning electron
584 microscopy can be used to examine microsphere internal structure to confirm the
585 hollow core nature [8, 42]. In addition, they are characterised on their specific gravity,
586 content uniformity and drug release [9].

587 Particle size can be measured with laser diffraction particle size analysers and larger
588 particles can also be examined under the light microscope. The mean particle size
589 can be obtained from measurement of 200 to 300 particles using a calibrated
590 micrometer [8]. Particle sizes and their distribution can also be obtained from sieving.
591 This separates the microspheres into different size fractions using a mechanical
592 shaker.

593 Drug release studies can be dissolution studies in USP dissolution apparatus ([;[43].
594 Samples are withdrawn at specified times and fresh medium is replaced. Floating
595 dosage forms may not remain afloat for the dissolution test and therefore must be
596 allowed to sink to the bottom first. The USP states “a small, loose piece of non-
597 reactive material such as not more than a few turns of a wire helix may be attached
598 to the dosage units that would otherwise float.” However, standard dissolution

599 methods are poor predictors of *in vitro* performance. In addition, *in vitro* results
600 correlate poorly with *in vivo* results. Various ways to overcome these limitations have
601 been suggested. Burnes et al (1995) [44] modified the standard method so that the
602 paddle rotates at the surface. The results were reproducible and dissolution profiles
603 were unaltered with rotation speed change, pH change and bile acid concentration
604 increase. In this regard, this validated method is superior to the BP method. Pillay
605 and Fasihi (1998) [45] proposed submerging the floating system under a mesh. The
606 results showed increased drug release and consistent release profiles.

607 The specific gravity can be measured by the displacement method using benzene as
608 a displacing medium [46]. Microspheres for gastroretentive purposes are designed to
609 float. *In vitro* floatability studies can be done using a USP II dissolution apparatus.
610 The medium is 900 ml of simulated gastric fluid and contains 0.1N hydrochloric acid,
611 sodium chloride and 0.02% tween 80. This makes the medium pH 1.2 and gives it a
612 surface tension resembling human gastric juice, which is between 35 to 50 mN/m² [8].
613 The temperature is maintained at 37°C ± 0.5°C and stirred at 100rpm. The floatability
614 is measured as percent buoyancy by noting the proportions of floating and settled
615 microspheres [8]. The formula is given below:

616 Buoyancy percent = mass of floating spheres / (mass of floating spheres + mass of
617 settled spheres) x100

618 A microsphere floats when the total force is positive and in the upward direction
619 (9Arora et al., 2005). The forces acting on a sphere are the buoyancy (F_b) and the
620 gravitational force (F_g). The sum of these forces gives the net force and this can be
621 written as given by Timmermans and Andre:

$$622 \quad F = F_b - F_g \quad (1)$$

623 Fluid density, solid object density, weight and volume of the test object also affect
624 the net force and the relationship is given by equation 2, as described by
625 Timmermans and Andre and further developed by Li et al, 2008 [38].

$$626 \quad F = (\text{fluid density} - \text{solid density}) \times g \times \text{solid volume} \quad (2)$$

627 These equations are useful in microsphere characterisation and in successful design
628 of floating gastroretentive formulations. It can be seen for example, that the solid
629 density and volume of the object are very important parameters for overall floating
630 force. During buoyancy measurement, the spheres swell and increase in volume and
631 the density increases due to water uptake. The solid density and solid volume

632 parameters therefore increase in equation 2, leading to a net upward force that
633 keeps the formulation afloat [9]. Although the USP and BP methods give important
634 information on floatability, the results do not correlate well with *in vivo* performance.

635 Floating studies may also be conducted *in vivo* in animals and humans. They are
636 carried out under fed and fasted conditions using floating and non-floating forms to
637 act as test and control. The T_{max} , C_{max} and AUC are obtained from graphical data of
638 drug blood levels after administration of dosage form.

639 Visualisation of floating dosage forms is important for evaluating gastrointestinal
640 retention because the pharmacokinetic data is an indirect assessment of gastric
641 retention. This can be done by X-ray or gamma scintigraphy. Microparticles loaded
642 with radio-opaque materials, such as barium sulphate, can be followed through by X-
643 ray photographs. Gamma scintigraphy can also be used to monitor transit of labelled
644 floating microspheres. This is done by including a gamma-emitting radionuclide in
645 the formulation and visualisation is external with a gamma-camera or scintiscanner
646 that capture emitted gamma waves to observe the location of the formulation in the
647 gastrointestinal tract [3].

648

649

650 **Application and case studies of floating microsphere**

651 Floating drug delivery systems have important applications for drugs with poor
652 bioavailability due to a narrow absorption window. They are particularly
653 advantageous for drugs mostly absorbed from the stomach or upper intestine and for
654 drugs that have poor solubility and limited absorption due to short gastric residence
655 [9].

656 Site specific drug delivery is an advantage in floating drug delivery because most of
657 the drug is released in the stomach and duodenum. Conditions such as stomach
658 ulcers infected with *Helicobacter Pylori* are more successfully eradicated with
659 targeted delivery than regular therapy. *H. Pylori* infections have been associated with
660 short and long term morbidity including reduced gastric motility, reduced acid
661 secretion, increased stomach membrane permeability, dyspepsia, gastritis, gastric
662 cancer and mucosa-associated lymphoid tissue (MALT) lymphomas [10]. Standard
663 and best practice therapy for *H. Pylori* eradication is 1g amoxicillin twice daily for one
664 week along with 500 mg clarithromycin and 20 mg omeprazole, also taken twice
665 daily (NZGG, 2004). This triple treatment requires good patient compliance for

666 success and missed doses lead to treatment failure. Many studies have been
667 conducted to assess the success of gastro-retentive strategies in improving *H. Pylori*
668 eradication. Liu et al (2004) [25] formulated bioadhesive microspheres as a floating
669 gastroretentive dosage form for the delivery of amoxicillin. *In vitro* studies showed
670 that amoxicillin release was faster in acidic pH than in slightly basic pH. Amoxicillin is
671 known to be unstable in acidic pH and given that the dosage form increase gastric
672 residence time, this factor had significant importance. It was found that microspheres
673 entrapment was useful to keep it stable.

674 *In vitro* and *in vivo* mucoadhesive tests showed that the mucoadhesive microspheres
675 have certainly adhered more strongly to gastric mucosa and were retained for longer
676 periods in the stomach. Rats infected with *H. Pylori* and treated with plain amoxicillin
677 powder, amoxicillin microspheres and mucoadhesive amoxicillin microspheres
678 showed interesting results. Amoxicillin concentrations were directly measured from
679 gastric juice and mucoadhesive formulations showed greater concentrations
680 (Concentration ratios of 1.38, 1.74 and 1.15 at 1, 2 and 3 hours respectively). This
681 significantly greater antibiotic concentration at the target delivery site strongly
682 suggests that such formulations can have enhanced efficacy. The results also
683 showed that the increase in amoxicillin dose, which increases *H. Pylori* eradication,
684 was more pronounced in the mucoadhesive formulation. The authors concluded that
685 this preliminary study has significant finding and similar studies need to be
686 conducted in larger animals to confirm the results.

687 Floating drug delivery systems have controlled release applications. They remain in
688 the stomach for a prolonged period of time and the drug release rate can be
689 controlled. Regular controlled release formulations suffer from variable and short
690 gastric residence and cannot deliver drugs with narrow absorption windows
691 successfully. In a study by Dong et al (2010) [47] sustained release microspheres
692 were formulated for rosiglitazone, a drug which is used to increase sensitivity to
693 insulin in patients with type 2 diabetes and important in its treatment. Currently, it is
694 used as adjuvant therapy in patient that cannot get sufficient insulin sensitivity from
695 first line treatment [48]. Rosiglitazone has a narrow absorption window in the
696 stomach and duodenum benefits from gastroretentive sustained delivery.
697 Ethylcellulose and octadecyl alcohol were used as carriers and over 90% of the
698 microspheres floated *in vitro* for 12 hours. The pharmacokinetic studies conducted
699 on human volunteers showed that the formulation had a superior profile to

700 commercial tablets because peak plasma concentration was decreased and
701 rosiglitazone concentration remained in the plasma for a longer time ($T_{1/2}$ increased
702 from 4 to 7 hours). At the same time, the area under the curve was comparable in
703 the commercial and developed formulations, indicating that the bioavailability was
704 not reduced. The study concluded that the developed once daily rosiglitazone
705 sustained release microspheres formulation is good alternative to conventional
706 tablets.

707 **Marketed systems**

708 The last thirty years of intensive gastroretentive formulation research has led to the
709 marketing of a large number of products. In 1999, literature cites the marketing of
710 five products, in 2007 eight products are cited (Kumar and Philip, 2007)[3] and in
711 2011, 24 gastroretentive products are in the market [5]. The popularity of
712 gastroretentive strategies is rapidly growing day by day and some formulations are
713 described below.

714 Madopar LP® is a marketed formulation using a hydrodynamically balanced system
715 to deliver 100mg of levodopa and 25mg benserazide. It was marketed by Roche in
716 the 1980s [10] and is commercially available in Europe but not the US [46]. This is a
717 controlled release formulation that is made up of a gelatin capsule that floats on
718 gastric fluid. This capsule shell dissolves and the mucus body is formed. The drug
719 diffuses through the hydrated outer layers of the matrix as it slowly dissipates [46].

720 Valrelease® is another marketed gastroretentive formulation that contains 15mg
721 diazepam. The system is a hydrodynamically balanced system made of a floating
722 capsule and is marketed by Hoffmann-La Roche [3]. Diazepam is a good drug
723 candidate for gastroretentive strategies because its pKa of 3.4 makes its absorption
724 favourable in the stomach and not the small intestine. The HBS allows maximal
725 dissolution of diazepam in an environment where it has maximal solubility and
726 absorption. The pharmacokinetic data illustrates the benefit of this gastroretentive
727 formulation, with once daily dosing of Valrelease being equivalent to 3 times daily
728 dosing of regular 5mg Valium® tablets [46].

729 Topalkan® and Almagate Flot-Coat® are two other gastroretentive formulations that
730 deliver antacids locally to the stomach by forming a floating raft on the stomach
731 contents [3]. Toplakan® is a third generation aluminium-magnesium antacid that has
732 greater availability of alginic acid in the formula. This property, in addition to its

733 antacid property, sets it apart from other formulations. Almagate Flot-Coat® is also a
734 novel formulation because it has a higher antacid potency than regular formulations
735 and provides relief over a prolonged period of time owing to its gastroretentive
736 properties. Unlike regular antacid formulations that are rapidly neutralised in the
737 stomach or sediment to the fundus and are eliminated, these formulations provide
738 greater antipeptic and stomach membrane protective benefits.
739 Conviron® is a ferrous sulphate formulation based on a gel forming floating drug
740 delivery system marketed by Ranbaxy [3]. Iron suffers from poor oral bioavailability
741 and need for prolonged treatment to increase iron stores to clinically acceptable
742 levels. In addition, this has necessitated the use of high doses, which lead to side
743 effects such as constipation, gastric upset and diarrhoea. A summary of the
744 marketed gastroretentive formulations is presented in table 7.

745

746 **Conclusion**

747 The oral route is a very important and widely used in drug delivery. Gastroretentive
748 strategies inherently have several advantages in overcoming the variable gastric
749 residence and targeting to absorptive windows. In effect, gastroretentive strategies
750 improve oral bioavailability and optimise drug plasma levels leading to enhanced and
751 predictable therapeutic outcomes. Microspheres are widely used for gastroretention
752 and have the advantage of being multi-unit. They may be successfully manufactured
753 via solvent evaporation, spray drying or coacervation. Floating drug delivery has
754 important applications such as sustained release and drug targeting. The success of
755 gastroretentive strategies can be seen in the increasing numbers of marketed
756 products.

757

758 **Declaration of interest**

759 The authors report no conflicts of interest.

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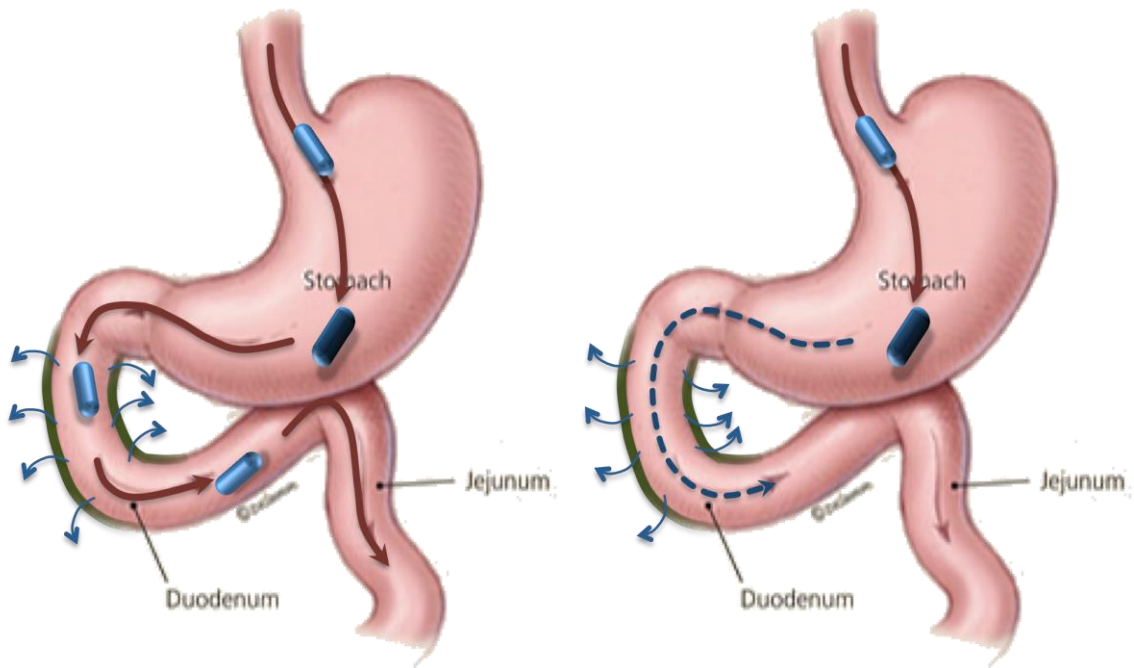
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935 Figure 1: Drug absorption through the absorption window. In (a) a regular dosage form.
936 There is little absorption beyond the absorption window (b) a gastroretentive formulation,
937 where there is continued release above the absorption window and constant absorption
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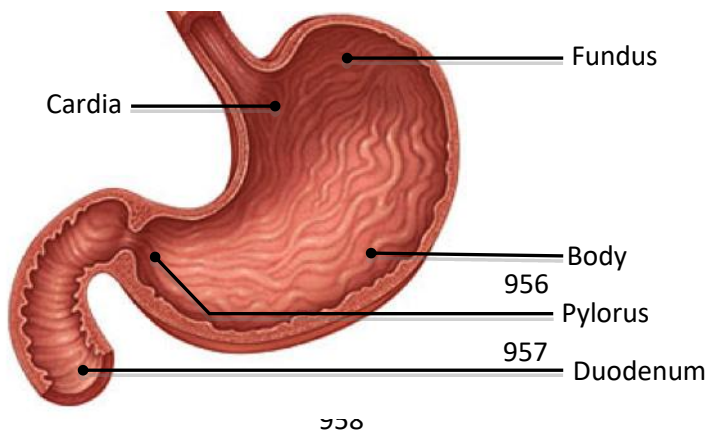


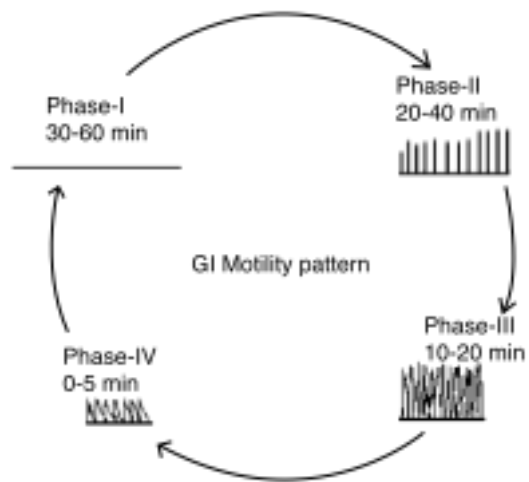
Figure 2: Stomach anatomy

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979 Figure 3: Simple representation of intergastric motility pattern, showing frequency, intensity
980 and pattern of contractions. (Talukder and Fassihi, 2004).

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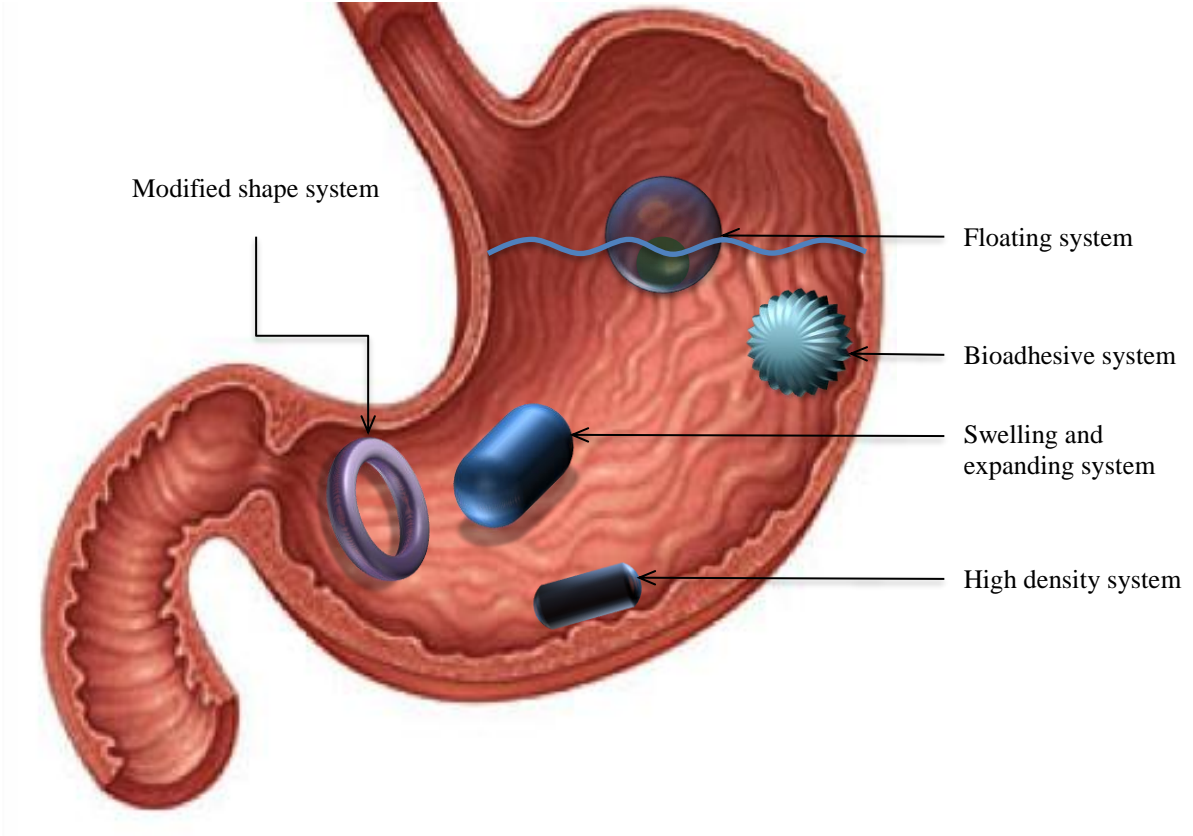
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Figure 4: Positions of various gastroretentive drug delivery systems

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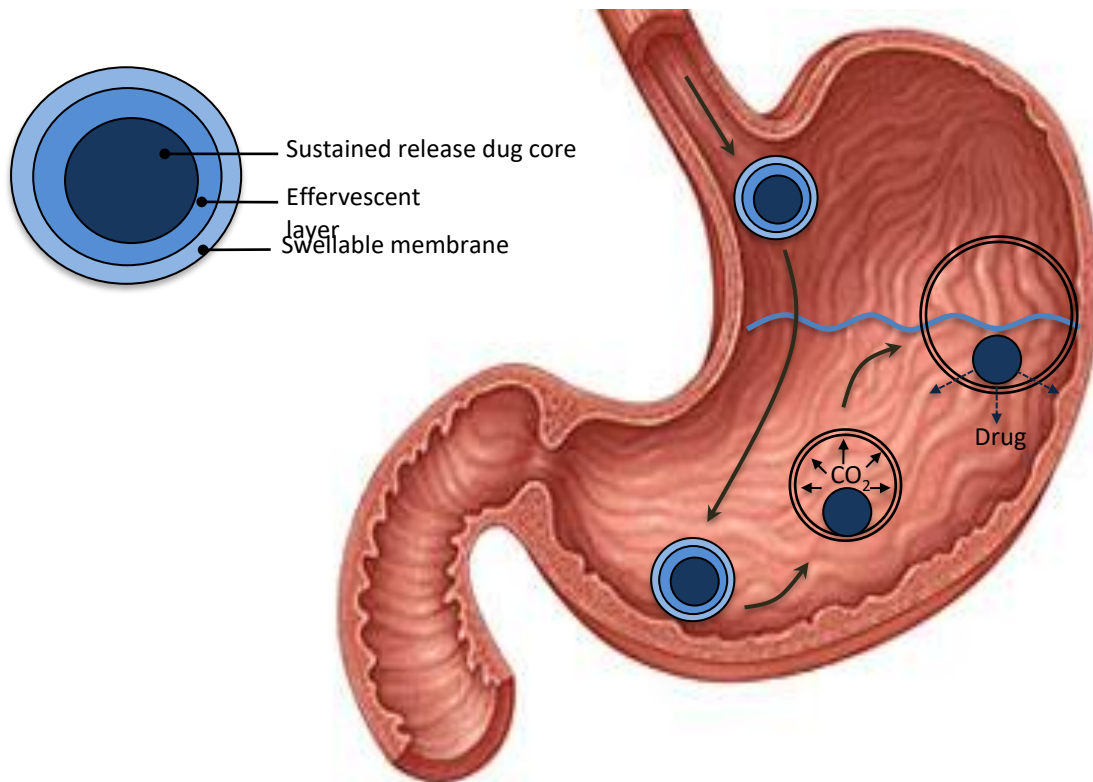
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Figure 5: Effervescent floating formulation in the stomach

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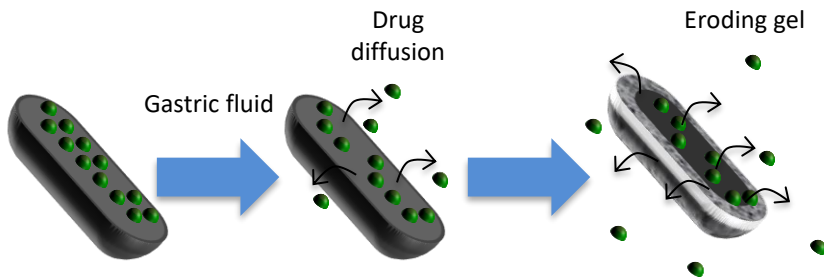
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Figure6: hydrodynamically balanced systems

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Figure 7: Raft forming systems (adapted from Bardonnnet et al., 2005)

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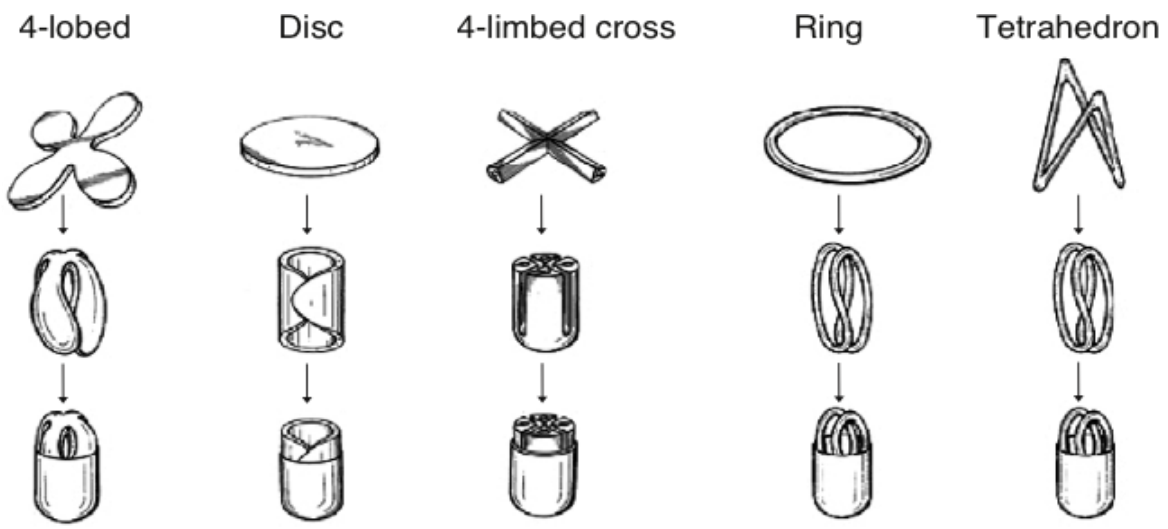


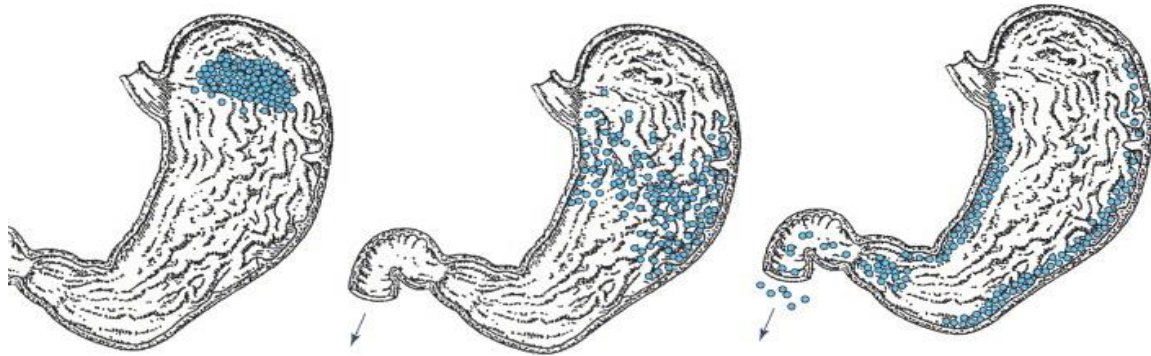
Figure 8: various examples of modified shape systems (Bardonnnet et al., 2005; Klausner et al., 2003)

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1100 Figure 9: Bioadhesive microspheres in the stomach have gastroretentive properties (Adebisi
1101 and Conway 2011)

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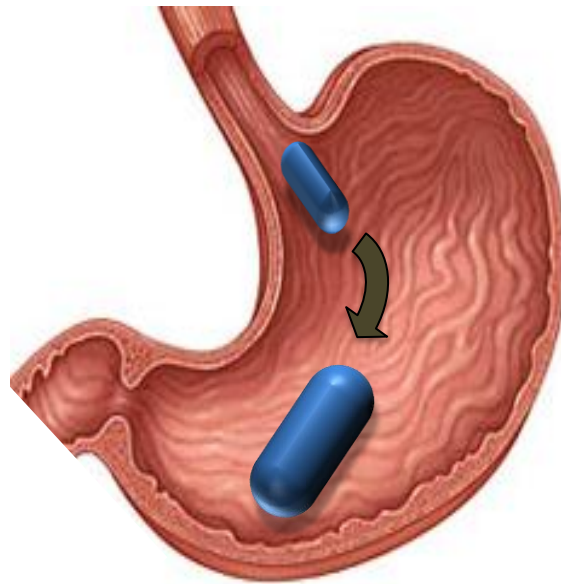
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Figure 10: Swelling and expanding systems

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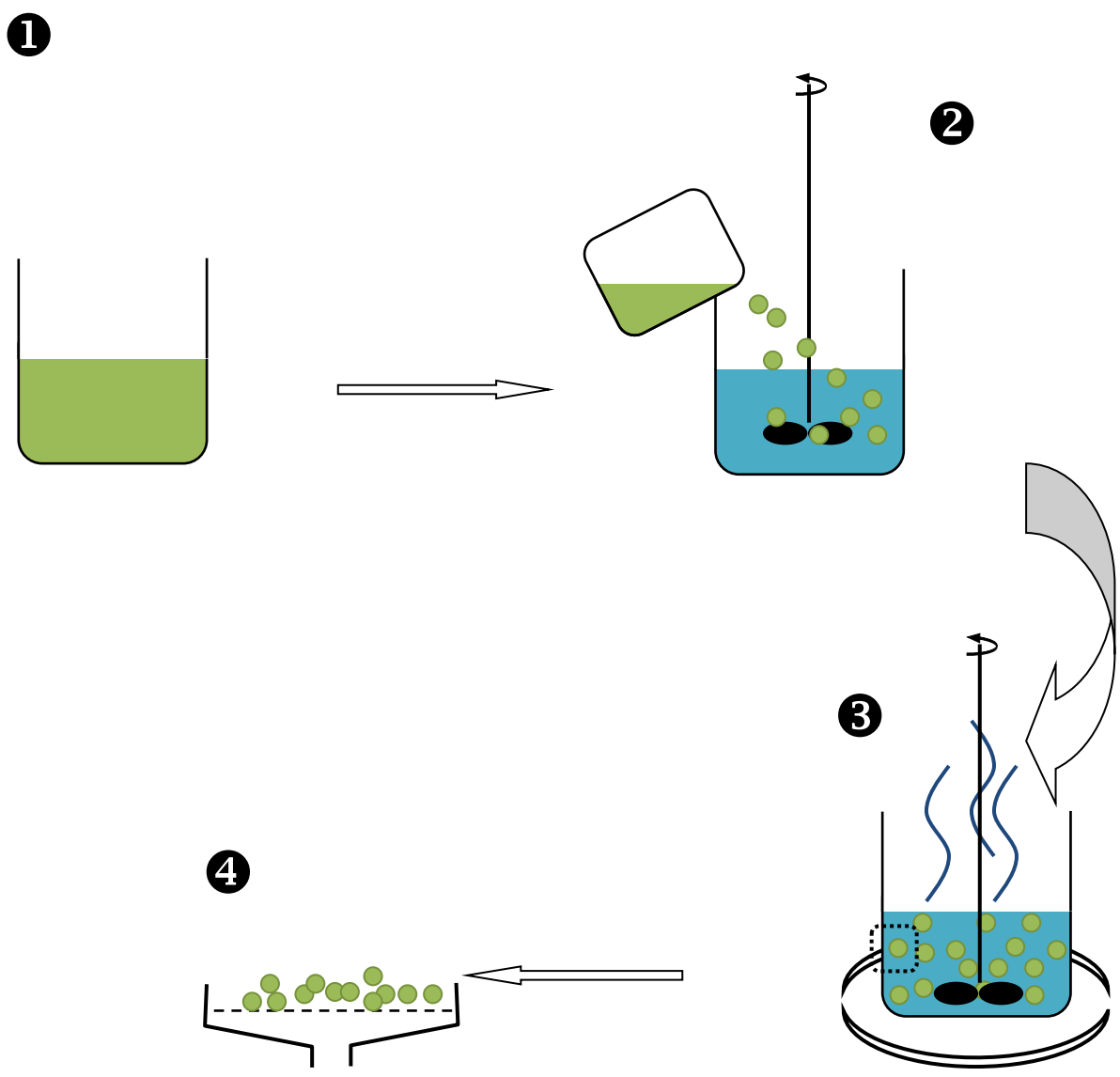
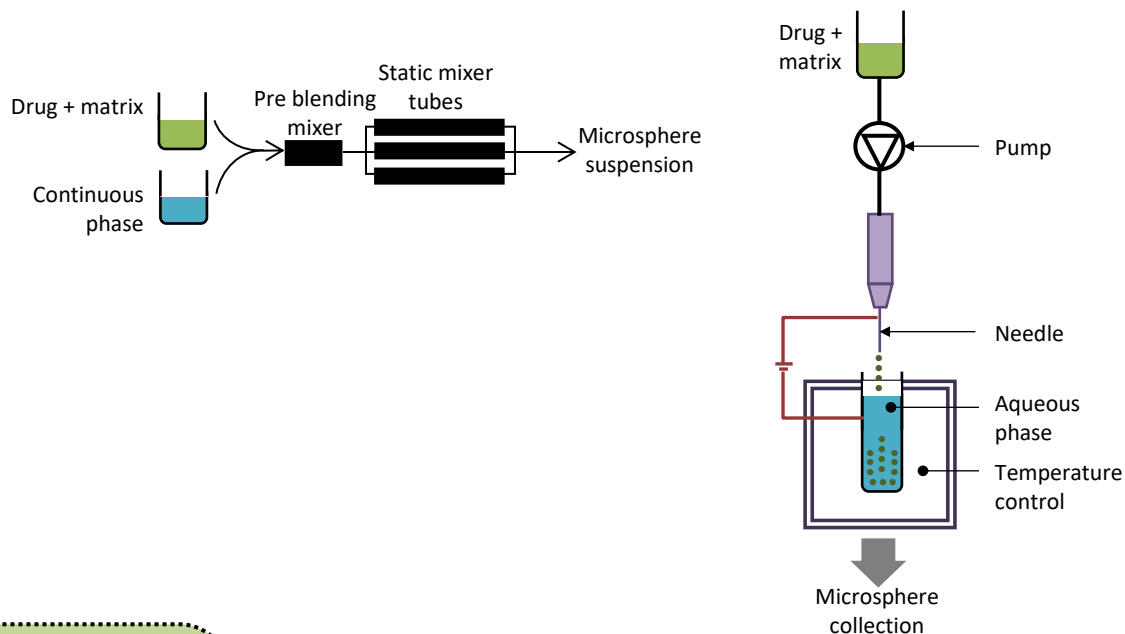
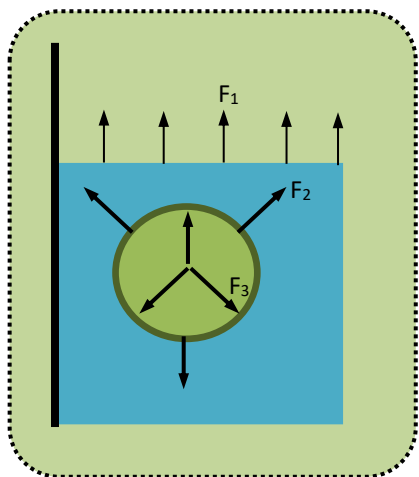


Figure 11a: steps of solvent evaporation technique.

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There are three processes occurring during solvent evaporation, (i) solvent evaporation at the air liquid interface (F_1), (ii) solvent diffusion in to the continuous phase (F_2) and (iii) solvent diffusion inside the drop (F_3).

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Figure 11b: solvent evaporation technique.

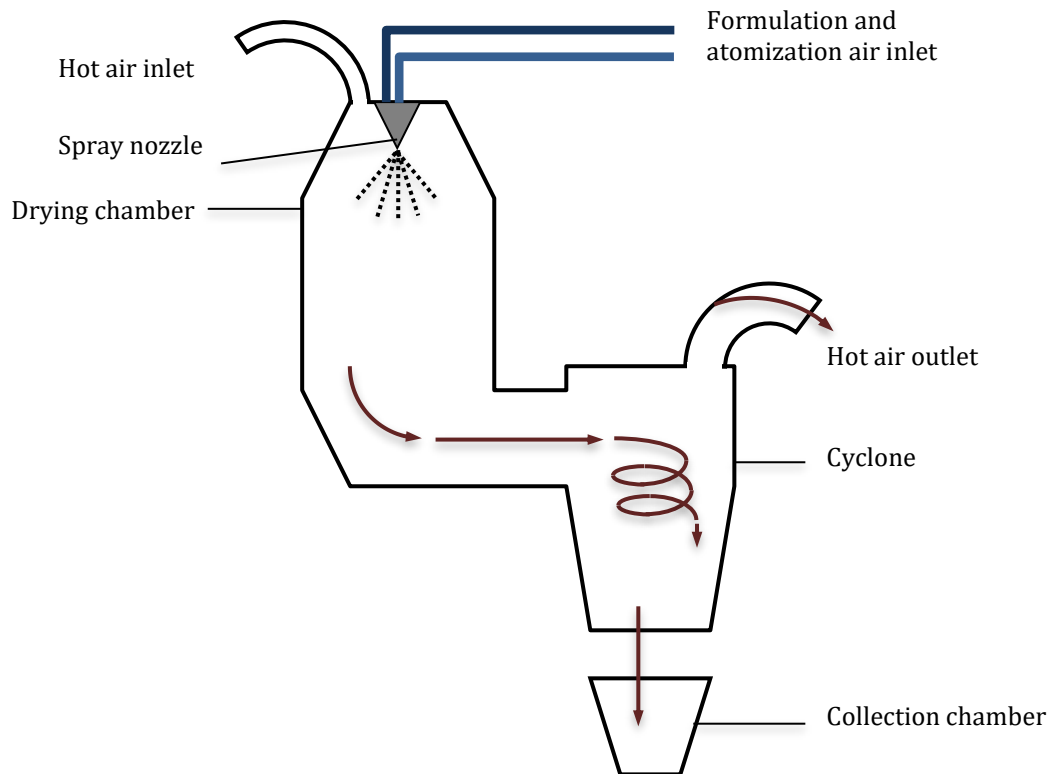


Figure 12: Spray dryer.

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1192 Table 1: Examples of drugs with narrow absorption window

Acyclovir
Captopril
Furosemide
Metformin
Gabapentin
Levodopa
Baclofen
Ciprofloxacin

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Table 2: Phases in migrating motor complex (fasting state) (Arora et al., 2005, Kumar and Philip 2007)

Phase	Description
I: basal phase	Lasts 40-60 minutes Rare contractions
II: preburst phase	Lasts 40-60 minutes Intermittent contractions that increase in intensity and frequency gradually
III: burst phase	Lasts 4-6 minutes Regular and intense contractions All undigested material is swept out of the stomach Also called the housekeeping wave
IV: transition phase	Lasts 0 to 5 minutes Separates phase III from phase I of the next cycle

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Table 3: Factors affecting gastric motility (Kumar and Philip 2007, Arora et al, 2005, Pawar et al., 2011)

Factor	Effect
Age	Elderly, over 70 years, have significantly slower gastric motility
Gender	Males have shorter gastric residence (3.4 ± 0.6h) than females (4.6 ± 1.2h) regardless of weight, height and body surface area
Posture	Upright position allows floating dosage forms to float Floating dosage forms have no advantage in the supine position
Fed state	Increased gastric residence time due to presence of food Frequent meal intake constantly delays MMC and increases gastric residence by over 6 hours
Meal type	Higher caloric content remains increases gastric residence by 4-10 hours Solids remain longer than liquids Starch, cellulose and other fatty acid salts delay the MMC and decrease gastric emptying rate
Disease state	Stress conditions increase gastric motility and depression slow it down
Concomitant drug administration	Anticholinergics, opiates, clonidine, lithium, metoclopramide and other drugs may slow down gastric motility. Erythromycin on the other hand increases gastric motility

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Table 4: Factors affecting drug gastric residence time (Arora et al., 2005, Pawar et al., 2011)

Factor	Effect
Density	Gastric residence is a function of buoyancy
Shape	Tetrahedron and ring shaped unfolding expandable systems have better retention compared to stick, planar disc or planar multilobe or string.
Size	Solids larger than 1-2mm are retained during postprandial period Solids larger than 13mm remain in the stomach in the postprandial period and not expelled until phase III of the MMC
Single or multiple unit	Multiple unit systems have more predictable residence
Gastric motility phase	Drug administration during the fasting state encounters strong MMC phase III waves that lead to its fast expulsion. Administration during the fed state has longer gastric residence.

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1263 Table 5: Polymers, solvents and stabilisers commonly used in solvent evaporation
 1264 for microsphere formation (Obeidat, 2009, Li et al., 2008, Tran et al., 2011, Freitas et
 1265 al., 2005)

Abbreviation	Name	Notes
Polymers		
PLG, PLGA	Poly(lactide-co-glycolide), Poly(lactic-co-glycolic acid)	Good biodegradability Good biocompatibility
PLA	Poly(lactic acid) or polylactide	Good biodegradability Good biocompatibility
PEG	Poly(ethylene glycol)	Used as co-polymer
EC	Ethyl cellulose	Biodegradable Biocompatible Low cost
PHB, PHB-HV	Poly-3-hydroxybutyrate Poly-3-hydroxybutyrate with hydroxyvalerate	Bacterial storage polyester Slower degradation than polylactic polymers
PMMA	Polymethyl methacrylate	Non-biodegradable Biocompatible
ploysaccharides	E.g. chitosan, alginate	Used at a lower frequency
proteins	E.g. albumin, collagen, gelatine	
Lipids	E.g. glyceryltripalmitate	
Solvents		
	Chloroform	High toxicity Low water solubility
	Dichloromethane	High toxicity (lower than chloroform) Almost immiscible in water
	Ethyl acetate	Low toxicity Partially water soluble
	Ethyl formate	Low toxicity Partially water soluble
Stabilisers		
PVA	Polyvinyl alcohol	Non ionic Most widely used Gives smallest microspheres
MC	Methyl cellulose	Non ionic
	Tween	Non ionic
	Span	Non ionic
SDS	Sodium dodecyl sulphate	Anionic
CTAB	Cetyltrimethyl ammonium bromide	Cationic

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1269 Table 6: Summary of factors affecting microspheres properties prepared via solvent
 1270 evaporation (Li et al., 2008)

Factor	Microsphere properties		
	Size	Surface morphology	Encapsulation efficiency
Higher dispersed phase viscosity	Larger	smoother	Increased efficiency
Higher dispersed phase to continuous phase volume ratio	Smaller		Increased
Larger amount of drug		More porous, irregular shape	Decreased at high drug concentrations
Increased surfactant concentration	Smaller		No effect
Increased agitation rate	Smaller	Smoother	
Increased temperature	Smaller	Coarser surface	Decreased
Reduced pressure	Smaller	Smoother	Increased

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1288 Table 7: A summary of the marketed gastroretentive formulations (Pawar et al.,
1289 2011, Kumar and Philip, 2007, Brahma and Kwon 1999)

Brand name	Drug	Formulation	Company
Zanocin OD	Ofloxacin	Effervescent floating system	Ranbaxy
Riomet OD	Metformin	Effervescent floating system	Ranbaxy
Cifran OD	Ciprofloxacin	Effervescent floating system	Ranbaxy
Inon Ace Tablets	Simethicone	Foam based floating system	Sato Pharma
Gabapentin GR	Gabapentin	Acuform technology: uses polymer based swelling	Depomed
ProQuin XR	Ciprofloxacin	Acuform technology: uses polymer based swelling	Depomed
Glumetza	Metformin	Acuform technology: uses polymer based swelling	Depomed
Metformin GR	Metformin	Acuform technology: uses polymer based swelling	Depomed
Kadium	Morphine sulphate		Sumitomo Pharma
Prazopress XL	Prazosin	Effervescent and swelling based system	Sun Pharma
Metformin Hcl LP	Metformin	Minextab floating®	Galenix
Cefaclor LP	Cefaclor	Minextab floating®	Galenix
Tramadol LP	Tramadol	Minextab floating®	Galenix
Cipro XR	Ciprofloxacin + betaine	Erodible matrix system	Bayer
Accordion Pill TM		Expandable film filled in capsule (modified shape system)	Intec Pharma
Baclofen GRS	Baclofen	Multilayer floating and swelling system	Sun Pharma
Coreg CR	Carvedilol	Osmotic system	Glaxosmithkline
Madopar	Levodopa, benserzide	Hydrodynamically balanced system, floating capsule	Roche
Gaviscon liquid	Alginic acid, sodium bicarbonate	Floating raft system	Reckitt Benckiser Healthcare
Valrelease	Diazepam	Hydrodynamically balanced system, floating capsule	Roche
Topalkan	Aluminium magnesium antacid	Floating raft system	Pierre Fabre Medicament
Conviron	Ferrous sulphate	Colloidal gel forming GDDS	Ranbaxy
Almagate Flat Coat	Antacid	Floating raft	
Oflin	Ofloxacin	Gas generating floating tablet	Ranbaxy
Cytotex	Misoprostol	Bilayer floating tablet	Pharmacia Limited

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