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A comparative study between melt granulation/compression and hot melt extrusion/injection molding for the manufacturing of oral sustained release thermoplastic polyurethane matrices. International Journal of Pharmaceutics 513 602-611 DOI: 10.1016/j.ijpharm.2016.09.072

1 **A COMPARATIVE STUDY BETWEEN MELT GRANULATION/COMPRESSION AND HOT MELT**
2 **EXTRUSION/INJECTION MOLDING FOR THE MANUFACTURING OF ORAL SUSTAINED**
3 **RELEASE THERMOPLASTIC POLYURETHANE MATRICES**

4
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38 **Abstract**

39
40 During this project 3 techniques (twin screw melt granulation/compression (TSMG), hot melt
41 extrusion (HME) and injection molding (IM)) were evaluated for the manufacturing of
42 thermoplastic polyurethane (TPU)-based oral sustained release matrices, containing a high
43 dose of the highly soluble metformin hydrochloride.

44 Whereas formulations with a drug load between 0-70% (w/w) could be processed via
45 HME/(IM), the drug content of granules prepared via melt granulation could only be varied
46 between 85-90% (w/w) as these formulations contained the proper concentration of binder
47 (i.e. TPU) to obtain a good size distribution of the granules. While release from HME matrices
48 and IM tablets could be sustained over 24h, release from the TPU-based TSMG tablets was
49 too fast (complete release within about 6h) linked to their higher drug load and porosity. By
50 mixing hydrophilic and hydrophobic TPUs the in vitro release kinetics of both formulations
51 could be adjusted: a higher content of hydrophobic TPU was correlated with a slower release
52 rate. Although mini-matrices showed faster release kinetics than IM tablets, this observation
53 was successfully countered by changing the hydrophobic/hydrophilic TPU ratio. In vivo
54 experiments via oral administration to dogs confirmed the versatile potential of the TPU
55 platform as intermediate-strong and low-intermediate sustained characteristics were
56 obtained for the IM tablets and HME mini-matrices, respectively.

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68 **Keywords:** hot melt extrusion, twin screw melt granulation, matrices, high drug load,
69 sustained release, thermoplastic polyurethanes, metformin hydrochloride

70

71 1 INTRODUCTION

72
73 Conventional polymers used for hot melt extrusion (HME) of sustained release matrix
74 formulations often deal with processing (i.e. high torque values) and burst-release issues
75 when using high drug loads. [1][2] *Claeys et al.* already showed the suitability of hydrophobic
76 thermoplastic polyurethanes (TPUs) for the production of sustained release tablets using HME
77 in combination with injection molding (IM). [3] Those TPU-based dosage forms allowed to
78 sustain drug release even at high drug loads (up to 70%, w/w) and release kinetics could be
79 modified by adding release modifiers. [4][5] Recently, hydrophilic TPUs were investigated by
80 *Verstraete et al.* to ensure a complete drug release of drugs with different physicochemical
81 properties, without using release modifiers. The *in vitro* drug release from the TPU matrices
82 depended on the chemical composition of the hydrophilic polyurethane grades, providing a
83 versatile system to adjust the drug release of different types of drugs. [6]

84 Metformin.HCl is recommended by the International Diabetes Federation in the first-line
85 treatment of diabetes mellitus (type II) as it decreases the basal hepatic glucose production
86 and enhances the sensitivity for insulin in the body, resulting in lower blood glucose levels
87 without risk for hypoglycaemia. [7][8][9] The aim of this study was to compare different
88 techniques for the manufacturing of high drug loaded TPU-based oral sustained release
89 matrices. The oral antihyperglycemic drug is known for its high and frequently dosage, high
90 water solubility and narrow absorption range (i.e. mainly upper part of gastro-intestinal tract).
91 Therefore, this API should put the versatility of the TPU polymer platform to the test for both
92 processing techniques. [10][11] The development of a sustained release formulation that
93 maintains drug plasma levels for 10-16h will limit plasma concentration fluctuations and thus
94 reduce side-effects. Furthermore, once-daily intake should improve patient compliance.
95 [12][13][14]

96 IM tablets, TSMG tablets and HME mini-matrices having different polymer compositions were
97 manufactured and characterized. The influence of formulation strategy/geometry and
98 polymer composition on the *in vitro* release kinetics was evaluated. As co-ingestion of
99 alcoholic beverages with sustained release matrices can result in dose dumping, the influence
100 of ethanol was evaluated on the *in vitro* drug release. Finally, *in vivo* performance of the most
101 promising oral sustained release dosage forms was investigated and compared to a
102 commercially available reference formulation.

103 2 EXPERIMENTAL SECTION

104

105 2.1 Materials

106 The hydrophobic TPU grade Tecoflex™ EG72D and the hydrophilic TPU grades Tecophilic™
107 SP60D60, SP93A100 and TG2000 were obtained from Merquinsa (a Lubrizol Company, Ohio,
108 USA). As shown in **Fig. 1**, the hard segment (HS) of the hydrophobic and hydrophilic TPUs is a
109 combination of hexamethylene diisocyanate (HMDI) and 1,4-butanediol (i.e. chain extender).
110 Although the hydrophobic and hydrophilic TPUs have a similar hard segment, the chemical
111 composition of the soft segment (SS) is different. The soft segment of Tecophilic™ is PEO
112 (polyethylene oxide), while the soft segment of Tecoflex™ is polytetrahydrofuran (pTHF).
113 [4][6][15] Metformin.HCl was purchased from Fagron (Waregem, Belgium).

114

115 2.2 Preparation of formulations

116 2.2.1 Hot-melt extruded mini-matrices

117 Hot melt extrusion (HME) was performed on a mixture of TPUs and metformin hydrochloride
118 (60% drug load, w/w, in all cases). Physical mixtures were extruded using a co-rotating twin-
119 screw extruder (Haake MiniLab II Micro Compounder, Thermo Electron, Karlsruhe, Germany),
120 operating at a screw speed of 100rpm. Extrusion temperature was set at 100°C for
121 formulations containing TG2000. For formulations based on (a mixture of) Tecoflex™ EG72D,
122 Tecophilic™ SP60D60 and Tecophilic™ SP93A100, the extrusion temperature was set at
123 160°C. After HME, the extrudates were immediately processed into mini-matrices (± 3.5 mm
124 height; ± 3 mm diameter) via manual cutting (using a surgical blade).

125

126 2.2.2 Injection molded tablets

127 After hot melt extrusion (using the same settings as described above), the extrudates were
128 also processed via injection molding into tablets with a diameter and height of approximately
129 9 and 4mm, respectively. IM experiments were performed using a Haake MiniJet System
130 (Thermo Electron, Karlsruhe, Germany) at a temperature equal to the extrusion temperature.
131 During the IM process an injection pressure of 800bar (10s) forced the material into the
132 mould. A post-pressure of 400bar (5s) avoided expansion by relaxation of the polymer.

133 2.2.3 Twin screw melt granulation tablets

134 Twin screw melt granulation (TSMG) experiments were performed using a co-rotating
135 intermeshing twin-screw granulator (Prism Eurolab 16) (Thermo Fisher Scientific, Karlsruhe,
136 Germany) with a barrel length of $25 L/D$, where L is the axial screw length of the machine and
137 D is the inner bore diameter corresponding to one of the screws. The screw design was
138 identical for all experiments with two kneading zones in the third and fifth segment which
139 consisted of 6 kneading discs at a 60° stagger angle in forward direction. To evaluate the effect
140 of drug load, physical mixtures of metformin hydrochloride and Tecoflex™ EG72D (API
141 concentration was varied from 60 to 85% (w/w)) were fed into the screws of the granulator
142 using a DD Flex wall 18 gravimetric feeder (Brabender Technologie, Germany), which was set
143 in the gravimetric feeding mode. Throughput and screw speed were kept constant at 0.7kg/h
144 and 200rpm, respectively. The barrel was divided into 6 zones. Segment 6, which is located at
145 the end of the barrel, had a lower temperature of 40°C during all runs in order to cool down
146 the granules and avoid sticking of the granules when leaving the granulator. In all other zones
147 the temperature was constant at 140°C . Granule samples were collected after melt
148 granulation of each metformin hydrochloride/TPU mixture. Each sample collection was
149 started after 15min of equilibration time, which is the time needed to reach a steady state
150 process (i.e. stable torque and barrel wall temperature which were initially unstable due to
151 layering of the screws and the screw chamber walls with material). Sample collection was
152 executed until 500g of sample was collected.

153 After TSMG, granules were sieved for 10min at an amplitude of 2mm using a vibrating sieve
154 tower (Retsch VE 1000, Haan, Germany). Granules with a particle size between 250 and
155 $1000\mu\text{m}$ were used for tableting. Before every compression experiment, granules with a mass
156 corresponding to 250mg metformin.HCl were weighed and manually poured into the die. All
157 samples were tableted using a manual single punch eccentric tablet machine (Korsch EKO,
158 Erweka, Heusenstamm, Germany) with 10mm diameter circular punches (flat faced). For all
159 tableting experiments, a constant compaction pressure of 130MPa was used.

160 To investigate the influence of TPU binder concentration on the tablet properties (i.e. porosity
161 and disintegration time) and compaction behavior (i.e. elastic recovery), all TSMG batches
162 (sieve fraction $800\text{-}850\mu\text{m}$) were tableted using a rotary tablet press (MODUL P, GEA Pharma
163 Systems, Courtoy, Halle, Belgium) equipped with a round concave (radius: 24mm) Euro B
164 punch of 10mm diameter at a tableting speed of 5rpm. All tablets ($250 \pm 5\text{mg}$) were prepared

165 using a compaction pressure ranging from 65 to 260MPa, without pre-compression. All tablets
166 were characterized for tablet mass and dimensions (immediately, 24h and 7days post-
167 ejection). After 7days, all tablets were subjected to USP disintegration testing.

168

169 2.3 Characterization of TSMG granules

170 2.3.1 Particle size distribution

171 Sieve analysis was performed using a Retsch VE 1000 sieve shaker (Haan, Germany). Granules
172 were placed on the shaker during 5min at an amplitude of 2mm using a series of sieves (75,
173 150, 250, 500, 800, 1000 and 2000 μ m). The amount of granules retained on each sieve was
174 determined. The amount of fines and oversized granules were defined as the fractions
175 <250 μ m and >1000 μ m. The yield of the granulation process was defined as the fraction
176 between 250 and 1000 μ m.

177

178 2.3.2 Friability

179 A friabilator (PTF E Pharma Test, Hainburg, Germany) was used to determine the TSMG
180 granule friability (n=3) at a speed of 25rpm for 10min, by subjecting 10g (*Iwt*) of granules
181 together with 200 glass beads (4mm mean diameter) to falling shocks. Prior to determination,
182 the granule fractions <250 μ m and >1000 μ m were removed to assure the same starting
183 conditions. Afterwards, the glass beads were removed and the weight retained on a 250 μ m
184 sieve (*Fwt*) was determined. The friability was calculated as described by equation 1:

$$185 \quad \text{Friability (\%)} = \left(\frac{Iwt - Fwt}{Iwt} \right) \times 100 \quad (1)$$

186

187 2.4 Characterization of HME mini-matrices, IM tablets and TSMG tablets

188 2.4.1 Thermal analysis

189 Metformin crystallinity was evaluated using differential scanning calorimetry. A DSC Q2000
190 (TA Instruments, Leatherhead, UK) with a refrigerated cooling system (RCS) was used to
191 determine melting point (T_m) and melting enthalpy (ΔH) of pure components, physical
192 mixtures, mini-matrices, IM tablets and TSMG tablets. All physical mixtures and TPU-based
193 formulations (sample mass 7-15mg) were analysed using Tzero pans (TA instruments, Zellik,
194 Belgium) at a heating rate of 10 $^{\circ}$ C/min. The DSC cell was purged using dry nitrogen at a flow
195 rate of 50mL/min. One single heating run from 20 to 250 $^{\circ}$ C was performed to analyse the

196 thermal characteristics (T_m and melting enthalpy) of pure components, physical mixtures,
197 mini-matrices and IM tablets.

198

199 2.4.2 Fourier-transform infrared spectroscopy

200 Attenuated total reflection Fourier-transform infrared (ATR FT-IR) measurements were
201 performed to detect possible hydrogen bonds between API and polymer. Spectra (n=5) were
202 collected of pure substances, physical mixtures and final formulations using a Nicolet iS5 ATR
203 FT-IR spectrometer (Thermo Fisher Scientific). Each spectrum was collected in the 4000 to
204 550cm^{-1} range with a resolution of 4cm^{-1} and averaged over 64 scans. FT-IR spectral data
205 analysis was done using SIMCA P+ v.12.0.1 (Umetrics, Umeå, Sweden). Different spectral
206 ranges were evaluated via principal component analysis. All collected FT-IR spectra were
207 preprocessed using standard normal variation (SNV).

208

209 2.4.3 Raman spectroscopy

210 The distribution of the drugs in the different formulations was evaluated by Raman
211 microscopic mapping using a Raman Rxn1 Microprobe (Kaiser Optical System, Ann Arbor, MI,
212 USA) equipped with an Invictus NIR diode (wavelength 785nm; laser power 400mW). Two
213 areas (one surface and one cross section) were scanned by a 10x long working distance
214 objective lens (spot size $50\mu\text{m}$) in mapping mode using an exposure time of 4s and a step size
215 of $50\mu\text{m}$ in both the x (18points) and y (13points) direction (=234 spectra or $850 \times 600\mu\text{m}$ per
216 mapping segment). Data collection and data transfer were automated using HoloGRAMS™
217 data collection software (version 2.3.5, Kaiser Optical Systems), HoloMAP™ data analysis
218 software (version 2.3.5, Kaiser Optical Systems) and Matlab software (MATLAB 8.6, The
219 MathWorks, Natick, USA). Each map was analysed using multivariate curve resolution (MCR)
220 to evaluate the homogeneous drug distribution in the matrices. Therefore, for each map all
221 234 spectra were introduced in a data matrix. Since each sample consisted of two
222 components, 2-factor MCR was applied. Additionally, both a spectrum of pure drug and TPU
223 were added to this data matrix. The spectral range was narrowed to $800\text{-}1500\text{ cm}^{-1}$ since clear
224 spectral differences between drug and polymer could be observed in this spectral range. Prior
225 to MCR, all spectra were baseline corrected using Pearson's method and normalized,
226 obtaining data matrix D containing the pre-processed spectra. MCR aims to obtain a clear
227 description of the individual contribution of each pure component in the area from the overall

228 measured variation in D . Hence, all collected spectra in the area are considered as the result
229 of the additive contribution of all pure components involved in the area. Therefore, MCR
230 decomposes D into the contributions linked to each of the pure components in the system,
231 described by the equation 2:

$$232 \quad D = CS + E \quad (2)$$

233 where C and S represent the concentration profiles and spectra, respectively. E is the error
234 matrix, which is the residual variation of the dataset that is not related to any chemical
235 contribution. Next, the working procedure of the resolution method started with the initial
236 estimation of C and S and continued by optimizing iteratively the concentration and response
237 profiles using the available information about the system. The introduction of this information
238 was carried out through the implementation of constraints. Constraints are mathematical or
239 chemical properties systematically fulfilled by the whole system or by some of its pure
240 contributions. The constraint used for this study was the default assumption of non-negativity;
241 that is, the data were decomposed as non-negative concentration time non-negative spectra.

242

243 2.4.4 Axial recovery

244 Axial recovery of the TSMG tablets was calculated immediately, 1 day and 7 days after ejection
245 via the Armstrong and Haines-Nutt equation (equation 3):

$$246 \quad \text{Axial elastic recovery (\%)} = \left(\frac{Ta - Tid}{Tid} \right) \times 100 \quad (3)$$

247 where Ta denotes the tablet height after ejection (immediate, after 1 day or after 7 days in
248 mm) and Tid the tablet height under maximum compression force (mm). [16] [17] The
249 dimensions of 3 tablets, manufactured at equal conditions, were used to calculate the axial
250 elastic recovery of each formulation at 3 compaction pressures.

251

252 2.4.5 Tablet porosity

253 2.4.5.1 Helium pycnometry

254 The porosity of the tablets ($n=3$) was calculated using equation 4:

$$255 \quad \text{Tablet porosity (\%)} = \left(1 - \frac{\rho_{app}}{\rho_{true}} \right) \times 100 \quad (4)$$

256 where ρ_{app} and ρ_{true} denote the apparent and true density (g/mL), respectively. Apparent
257 density was calculated by dividing the tablet mass by the volume of the tablet, while the true
258 density of all powders was measured using helium pycnometry (AccuPyc 1330, Micrometrics,

259 Norcross, USA) at an equilibration rate of 0.0050 psig/min with the number of purges set to
260 10. [17]

261

262 2.4.5.2 X-ray tomography

263 The porosity of one IM tablet and one TSMG tablet was investigated using high-resolution X-
264 ray computed tomography (custom-designed μ CT setup HECTOR of the Ghent University
265 Centre for X-ray Tomography (UGCT)). [18] A voxel size of $5.5 \times 5.5 \times 5.5 \mu\text{m}^3$ was used, which
266 is well within the specification of the focal spot size. At this magnification, the tablets were
267 completely inside the field-of-view using a 2048x2048 pixels detector.

268 The μ CT data was reconstructed using Octopus Reconstruction [19] and analysed using
269 Octopus Analysis (both Inside Matters, Ghent, Belgium). [20] To remove phase-contrast edge
270 enhancement artefacts and improve the contrast-to-noise ratio, a single-image phase
271 retrieval filter was applied. [21][22] The same workflow was used for all tablets, hence
272 resulting porosities can be compared (but it must be noted that absolute values depend
273 strongly on grey value threshold). Besides the contrast between sample and air, a clear
274 contrast between the polymer matrix and active product can be observed, as theoretically
275 predicted using the NIST XCOM database. [23]

276

277 2.5 Dissolution experiments

278 The in vitro release experiments were based on the USP guidelines for metformin
279 hydrochloride sustained release tablets. Drug release from the injection molded tablets, mini-
280 matrices and TSMG tablets was determined using the paddle method on a VK 7010 dissolution
281 system (VanKel Industries, New Jersey, USA) with a speed of 100rpm. Simulated intestinal fluid
282 (SIF, pH 6.8), simulated gastric fluid (SGF, pH 1.2) and SGF + ethanol (20%, V/V) were used as
283 dissolution media (900mL) at $37 \pm 0.5^\circ\text{C}$, without the addition of enzymes. [24] Samples were
284 withdrawn at predetermined time points (0.5; 1; 2; 4; 6; 8; 12; 16; 20 and 24h) and
285 spectrophotometrically (UV-1650PC, Shimadzu Benelux, Antwerp, Belgium) analysed at a
286 wavelength of 232nm.

287

288 After 12h dissolution experiments, all IM tablets were lyophilized in a Lyobeta 25TM laboratory
289 scale freeze-dryer (Telstar, Terrassa, Spain) to prepare them for X-ray tomography
290 experiments. The 60% (w/w) drug loaded TSMG tablets were not subjected to freeze-drying

291 as they completely disintegrated during dissolution. Immediately after in vitro dissolution
292 testing, the tablets were put in individual vials and placed on the shelves in the drying chamber
293 (cooled to -50°C). Primary and secondary drying were performed at -30°C and 20°C ,
294 respectively, both at a pressure of 10Pa. The vials were closed under a controlled nitrogen
295 atmosphere.

296

297 2.6 Disintegration experiments

298 A USP disintegration apparatus (Pharma Test, Hainburg, Germany, disk method) was used to
299 investigate the impact of mechanical stress on the geometry of the IM tablets, HME mini-
300 matrices and GlucophageTM SR reference formulations. All experiments were conducted over
301 a time period of 12h in SIF at a temperature of 37°C . The disintegration times of 3 individual
302 tablets were recorded and the average was reported. To visualize geometry changes, images
303 were taken with a digital C3030 Olympus camera (attached to an image analysis system
304 (analySIS[®])), before and after 12h disintegration testing.

305

306 2.7 *In vivo*

307 The in-vivo study (application ECD 2013/127) was approved by the Ethical Committee of the
308 Faculty of Veterinary Medicine (Ghent University) before starting the experiments.

309

310 2.7.1 Subjects and study design

311 *In vivo* experiments were performed using the most promising formulations: mini-matrices
312 (metformin.HCl/TecoflexTM EG72D, 60/40, w/w) and IM tablets (metformin.HCl/TecophilicTM
313 SP60D60/TecoflexTM EG72D, 60/20/20, w/w/w). Both formulations were compared with
314 GlucophageTM SR 500 mg ($\frac{1}{2}$ tablet) as a reference. Open label cross-over assays were
315 performed on 6 male beagle dogs (10-13kg) with a wash-out period of at least 8 days. The IM
316 tablets, mini-matrices and reference formulations were administered to fasted dogs with
317 20mL of water. During the experiment the dogs were only allowed to drink water. Plasma
318 samples were collected 1, 2, 3, 4, 5, 6, 8 and 12 hours post administration and were stored at
319 -25°C until analysis. All TPU-based formulations were recovered from faeces to determine the
320 residual metformin.HCl content. Moreover, the gastro-intestinal residence time of the
321 formulations was recorded.

322 2.7.2 Metformin hydrochloride assay

323 An extraction method developed by *Gabr et al.* was optimized. [25] After de-freezing, plasma
324 samples were centrifuged using a Centric 322A (Tehtnica, Slovenia) at 2300g for 10min. 280µL
325 of the supernatant was spiked with 20µL of 0.05mg/mL ranitidine solution. During a first
326 extraction step, 50µL of 10M sodium hydroxide solution and 3mL organic phase (1-
327 butanol/hexane, 50/50, V/V) were added. The tubes were mixed using a Turbula™ mixer
328 (Willy A. Bachofen Maschinenfabrik, Switzerland) during 30min at an intensity of 79rpm. The
329 upper organic layer was transferred to a clean test tube after centrifugation. Back extraction
330 was performed by adding 1mL of 2M HCl. Consecutively, tubes were mixed (79rpm,
331 10minutes) and centrifuged. After centrifugation (10min, 2300g) the organic layer was
332 removed, 400µL of sodium hydroxide (10M) and 2mL organic phase (1-butanol/hexane,
333 50/50, V/V) were added. After mixing (79rpm, 30min) and centrifugation (10min, 2300g), the
334 organic layer was transferred into a clean glass tube and evaporated to dryness under a
335 nitrogen stream.

336 The HPLC system (Merck-Hitachi, Darmstadt, Germany) consisted of an isocratic solvent pump
337 (L-7100) set at a constant flow rate of 0.7mL/min, an auto-sampler injection system (L-7200)
338 with a 100µL loop (Valco Instruments Corporation, Houston, Texas, USA), a reversed-phase
339 column and pre-column (LiChroCart® 250-4 and LiChrospher® 100RP-18 5µm, respectively) and
340 a variable wavelength UV-detector (L-7400) set at 236nm. The mobile phase consisted of
341 potassium dihydrogen phosphate buffer (adjusted to pH 6.5 with 2M NaOH)/acetonitrile
342 (66/34, V/V) and 3mM sodium dodecyl sulphate (SDS). Peak integration was performed using
343 the software package D-7000 HSM Chromatography Data Station.

344

345 2.7.3 Method validation

346 Based on the guidelines of the International Conference on Harmonization (ICH), the following
347 parameters were evaluated: linearity, specificity, accuracy, precision, recovery, lower limit of
348 detection (LOD) and lower limit of quantification (LOQ). [26]

349

350 2.7.4 Data analysis

351 Peak integration was performed using the software package D-7000 HSM Chromatography
352 Data Manager. The peak plasma concentration (C_{max}), time to reach C_{max} (T_{max}), half value
353 duration ($HVD_{t50\%C_{max}}$) and area under the curve (AUC_{0-12h}) were calculated using a commercial

354 software package (MATLAB 8.6, The MathWorks, Natick, USA, 2015). The sustained-release
355 characteristics of the tested formulation were evaluated by calculating the R_D ratio between
356 the $HVD_{t_{50\%C_{max}}}$ values of a test formulation and an immediate-release formulation. A ratio of
357 1.5, 2 and >3 indicates low, intermediate and strong sustained release characteristics,
358 respectively.

359

360 2.7.5 Statistical analysis

361 The effect of metformin.HCl formulation on the bioavailability was assessed by repeated-
362 measures ANOVA (univariate analysis). To further compare the effects of the different
363 treatments, a multiple comparison among pairs of means was performed using a Bonferroni
364 post-hoc test with $P < 0.05$ as significance level. The normality of the residuals was evaluated
365 with a Kolmogorov-Smirnov test. To test the assumption of variance homogeneity, a Levene's
366 test was used. The statistical analysis was performed using SPSS (IBM SPSS Statistics for
367 Windows, version 23.0, Armonk, New York, USA, 2015).

368

369 3 RESULTS AND DISCUSSION

370
371 The TPU polymer platform offers a versatile formulation strategy to adjust the release kinetics
372 of several high drug loaded drugs with different aqueous solubility. As metformin
373 hydrochloride is highly soluble and characterized by a narrow absorption range, various
374 hydrophilic/hydrophobic TPU (mixtures) were used to put the versatility of this polymer
375 platform to the test using three different manufacturing techniques: HME, IM and
376 TSMG/compression.

377 During preliminary extrusion experiments, physical mixtures of metformin.HCl and various
378 ratios of hydrophilic/hydrophobic TPUs (Metformin.HCl/TPU ratio: 60/40, w/w) were
379 processed. Whereas processing of TPU formulations via HME was possible at 60% (w/w) drug
380 load using other drugs (acetaminophen, theophylline and diprophylline), high torque values
381 and shark skinning was observed for metformin.HCl formulations using the same processing
382 temperatures (i.e. 80°C and 110°C for Tecophilic™ TG2000 and all other TPU grades,
383 respectively). [6] This phenomenon was even more pronounced at higher drug loads (up to
384 70%, w/w) and is linked to the higher friction of the metformin.HCl particles in the extruder
385 barrel. [27][28][29] By increasing barrel temperature to 100°C and 160°C for formulations
386 based on Tecophilic™ TG2000 and other TPUs, respectively, less shark skinning and lower
387 torque values (i.e. 20% of maximum torque) were observed. This finding could be explained
388 by the lower complex viscosity of all polymers at higher temperatures. [6] In all cases, a white
389 extrudate strand was obtained after HME which was immediately processed into non-
390 crushable tablets (via IM) and mini-matrices (via manual cutting). During the IM process, no
391 sticking to the mould was seen. [4][6] Whereas formulations with a drug load between 0-70%
392 (w/w) could be processed via HME/(IM), the drug content of granules prepared via melt
393 granulation could only be varied between 85-90% (w/w) as these formulations contained the
394 proper concentration of binder (i.e. TPU) to obtain a good size distribution of the granules
395 (**Fig. 2**). At higher drug loads (i.e. 5% (w/w) TPU binder concentration) the metformin powder
396 particles were not sufficiently agglomerated (i.e. 36% of granules had a particle size below
397 250µm). In contrast, a large fraction of oversized granules was obtained (i.e. 39% of granules
398 had a particle size above 1000µm) when the drug load was below 85% (w/w). Although several
399 other process parameters (i.e. screw speed, screw configuration, barrel temperature, feed
400 rate) were varied during preliminary TSMG experiments, a yield fraction (i.e. 250-1000 µm)

401 higher than 70% (w/w) could only be obtained using 10-15% (w/w) TPU binder. The
402 implementation of an additional cryomilling step after TSMG was efficient to reduce the
403 fraction of oversized granules and thus increase the TSMG process yield (supplementary data).
404 Finally, a lower friability was found when a higher TPU binder concentration was used (**Table**
405 **1**).

406 The aim of this research was to evaluate the usefulness of the TPU polymer platform for the
407 manufacturing of different high drug loaded oral sustained release dosage forms using
408 HME/(IM) and TSMG/compression. Therefore, all formulations (i.e. HME mini-matrices,
409 HME/IM tablets and TSMG tablets) were evaluated for their release retarding potency *in vitro*.
410 Whereas hydrophilic TPUs were unable to prolong metformin release from HME/IM
411 formulations for more than 6h in SIF medium, hydrophobic TPU-based IM tablets only
412 released 12% metformin after 24h. By mixing hydrophilic and hydrophobic TPUs the *in vitro*
413 release kinetics could be adjusted: a higher content of hydrophobic TPU was correlated with
414 a slower release rate. In addition of the hydrophilic/hydrophobic TPU ratio, drug release
415 depended on the geometry of the formulation: mini-matrices showed faster release kinetics
416 than IM tablets. *Verhoeven et al.* already investigated the influence of mini-matrix dimensions
417 and diffusion coefficient on the release profile. As both the IM tablets and the mini-matrices
418 have the same drug load and polymer composition, the faster release kinetics of the mini-
419 matrices could be attributed to the larger surface area (1.6-fold increase) and shorter diffusion
420 pathways. [32] This observation was successfully countered by changing the
421 hydrophobic/hydrophilic TPU ratio: incorporating a higher fraction of hydrophobic TPU
422 reduced release kinetics (**Fig. 3**). Although the hydrophobic TPU (i.e. Tecoflex™ EG72D) was
423 an efficient release retarding excipient for HME/(IM) formulations, it was not able to sustain
424 metformin release from TSMG tablets (**Fig. 4**). The TPU concentration was too low to achieve
425 sustained release kinetics at high drug loads (i.e. 85%, w/w), even when the hydrophobic TPU
426 grade was incorporated in the formulation. In contrast to HME/IM experiments this
427 phenomenon could not be countered by increasing the amount of TPU, as a higher TPU binder
428 concentration yielded oversized granules. Besides problems related to granule particle size,
429 more elastic recovery occurred during tableting of formulations with a higher TPU
430 concentration, as shown in **Fig. 5**. As a result, the interparticular bonding area was lowered
431 (i.e. higher porosity of TSMG tablets containing a high TPU fraction) and the disintegration
432 time was reduced (**Fig. 6 and Table 2**), correlated with the faster release kinetics of TSMG

433 tablets that contain more than 15% (w/w) TPU (despite the hydrophobic nature of the
434 Tecoflex™ EG72D grade). During dissolution testing, a gel-like layer was formed around the
435 Glucophage™ SR tablet due to the hydration of hydroxypropylmethylcellulose and sodium
436 carboxymethylcellulose fraction which are incorporated in the matrix tablet as release
437 retarding agents. [31] In contrast to the reference formulation and TSMG tablets, no
438 disintegration or erosion was observed for all HME mini-matrices and IM tablets, as displayed
439 in **Fig. 7**. Based on their promising *in vitro* release kinetics in SIF media, IM tablets
440 (metformin.HCl/Tecophilic™ SP60D60/Tecoflex™ EG72D, 60/20/20, w/w/w) and HME mini-
441 matrices (metformin.HCl/Tecoflex™ EG72D, 60/40, w/w) were selected for further
442 investigation in SGF media. All formulations showed slower release kinetics when SGF media
443 was used, in comparison to dissolution tests performed in SIF media as shown in **Figs. 3 and**
444 **8**. *Desai et al.* linked this observation to the higher charge (i.e. diprotonation) of
445 metformin.HCl (pKa values 2.8 and 11.5) at pH 1.2, leading to a stronger solvation, larger
446 hydrodynamic radius and thus lower diffusion coefficient. [30] As patients may co-ingest
447 alcoholic beverages with their medication, this can potentially disrupt the sustained release
448 mechanism of formulations and result in dose dumping and safety issues, a SGF medium
449 containing 20% (V/V) ethanol was used for testing the mini-matrices, IM tablets and reference
450 formulation. [33] Both, the hydrophilic TPU based formulations and the reference formulation
451 showed faster metformin.HCl release kinetics in the presence of ethanol. As displayed in **Fig.**
452 **8**, this phenomenon was not observed when the hydrophobic TPU Tecoflex™ EG72D was used
453 as a matrix former, making these formulations resistant to dose-dumping in case of co-
454 ingestion with alcohol.

455 Based on the *in vitro* dissolution experiments in SIF media, the most promising IM tablets
456 (metformin.HCl /SP60D60/EG72D, 60/20/20, w/w/w) and mini-matrices (metformin.HCl/
457 EG72D, 60/40, w/w) were characterized using DSC, FT-IR and Raman mapping and were
458 subsequently evaluated *in vivo*. As shown in **Table 3**, DSC data confirmed the crystalline state
459 of metformin.HCl after processing. In addition, FT-IR results ensured the absence of hydrogen
460 bonds between the API and the polymers. Moreover, MCR contribution plots of the IM tablets
461 and mini-matrices ensured the homogenous distribution of metformin.HCl.

462 As displayed in **Fig. 9**, plasma concentrations of metformin hydrochloride were plotted as a
463 function of time. Maximum plasma level and time to reach this concentration (T_{max}) were
464 1857ng/mL (4.8h) and 1923ng/mL (3.0h) for the IM tablets and mini-matrices, respectively. In

465 case of Glucophage™ SR, a significant higher C_{max} value of 2425 ng/mL was observed 2.8 hours
466 (T_{max}) after oral intake. The $HVD_{T50\%C_{max}}$ values were 9.2, 5.5 and 5.6h for IM tablets, mini-
467 matrices and Glucophage™ SR, respectively. The $HVD_{T50\%C_{max}}$ value of 3.2h for immediate
468 release reference tablets administrated to beagle dogs was derived from literature and used
469 for R_D calculation. [36] The R_D values of 2.9, 1.7 and 1.7 indicated intermediate-strong, low-
470 intermediate and low-intermediate sustained release properties of IM tablets, mini-matrices
471 and Glucophage™ SR, respectively. Although the reference formulation and IM tablet showed
472 comparable dissolution rates *in vitro*, a faster *in vivo* drug release from the Glucophage™ SR
473 was observed. This is correlated with the higher sensitivity of the hydrated gel layer at the
474 surface of the Glucophage tablets which is more sensitive gastrointestinal shear forces.
475 [37][38][39] This effect of gastro-intestinal peristalsis on the reference formulation was also
476 evidenced from the tablet residues recovered in the faeces: whereas no residue of the
477 reference tablet was detected, intact TPU-based formulations were recovered without
478 changes of the geometric shape of the TPU matrices. Although hydrophobic TPU mini-matrices
479 had a similar *in vitro* performance as the IM tablets, the sustained release properties were not
480 reflected to the same extent during the *in vivo* study. This is linked to their shorter GI residence
481 time (i.e. faster gastric emptying) (12.8 and 17.5h for HME mini-matrices and IM tablets,
482 respectively), resulting less metformin absorption in the upper part of the GI tract and
483 significantly lower bioavailability (i.e. lower AUC_{0-12h} value), as listed in **Table 4**. [40] Despite
484 their shorter gastrointestinal residence time, mini-matrices still obtained a similar R_D value
485 and significant lower C_{max} value than the reference formulation, indicating an equal sustained
486 release potential without possible dose-dumping issues.
487

488 **4 CONCLUSION**

489
490 As a result of the limited TPU binder concentration range and the higher porosity of TSMG
491 tablets, HME/(IM) was found to be more effective for the production of TPU-based oral
492 sustained release metformin matrices. Although metformin hydrochloride was released too
493 fast from a pure hydrophilic TPU-based IM tablet, mixing of hydrophilic TPUs with
494 hydrophobic TPUs overcame this problem. As mini-matrices had a faster *in vitro* drug release,
495 this phenomenon was successfully countered by increasing the concentration of hydrophobic
496 TPU. The versatile potential of this TPU-based polymer platform was also confirmed *in vivo* as
497 sustained release properties for the IM tablets and mini-matrices, respectively, were
498 maintained after oral administration to dogs.

499

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501

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506

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583 [1/Step4/Q2_R1__Guideline.pdf](http://www.ich.org/fileadmin/Public_Web_Site/ICH_Products/Guidelines/Quality/Q2_R1/Step4/Q2_R1__Guideline.pdf) (12-Apr-2016)
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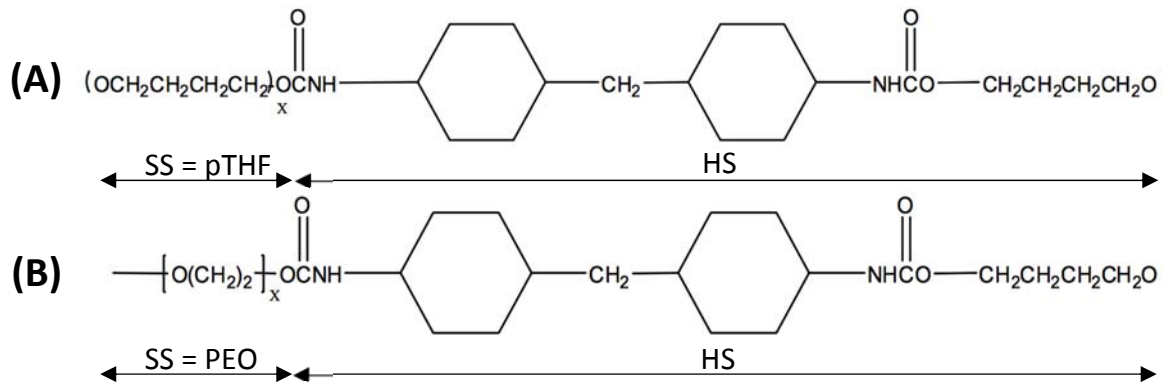
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625 **Figures**

626

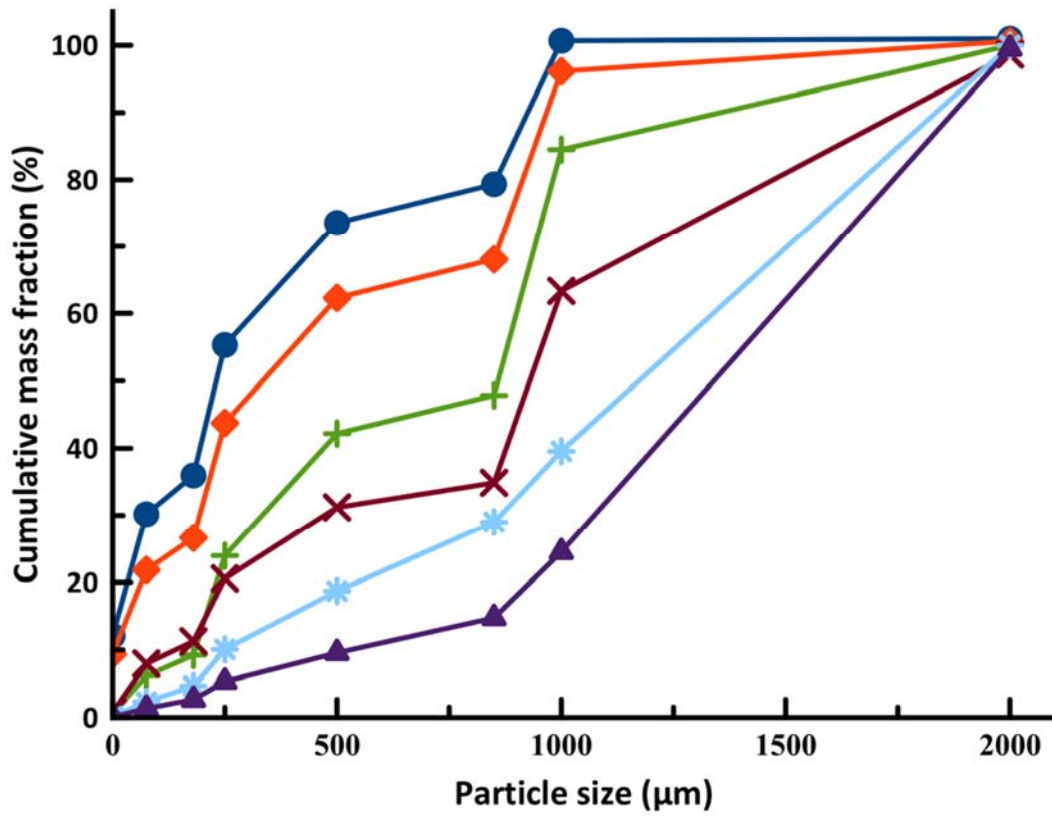
627 **Fig. 1.** Chemical structure of the aliphatic **(A)** hydrophobic TPU Tecoflex™ and **(B)** hydrophilic

628 TPU Tecophilic™.



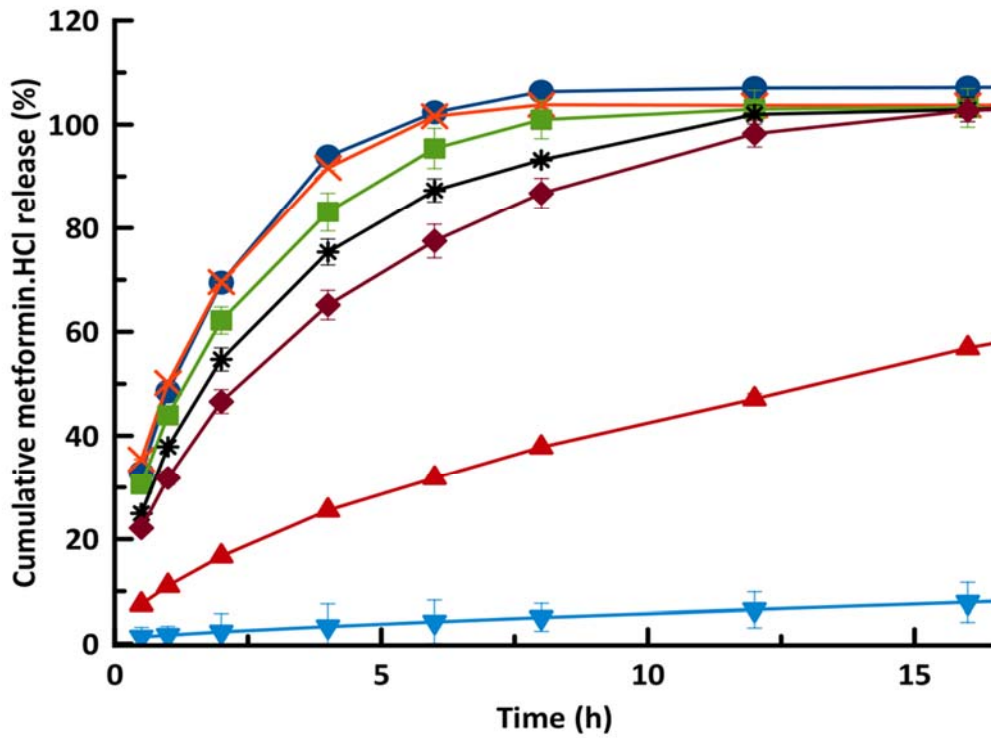
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630 **Fig. 2.** Impact of Metformin.HCl/TPU ratio (●95/5; ◆90/10; +85/15; ×80/20; *70/30; ▲60/40)
631 (w/w) on the cumulative particle size distribution of TSMG granules.
632

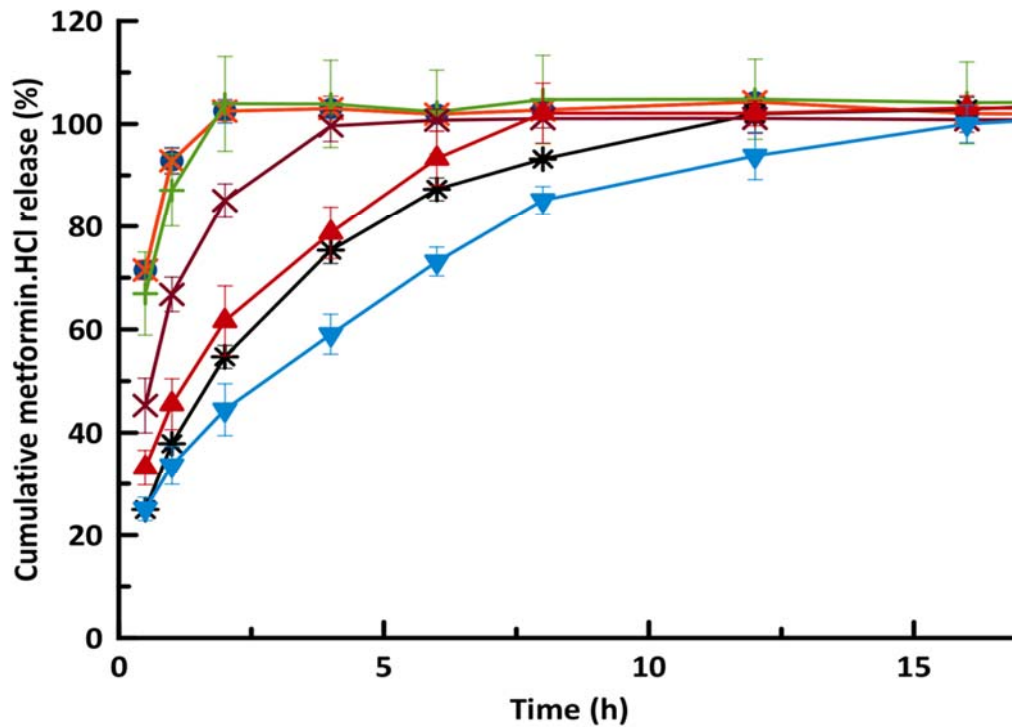


633 **Fig. 3.** Influence of TPU grade (●TG2000; ×SP93A100; ■SP60D60; ▼EG72D) and ratio (w/w) of
 634 hydrophilic/hydrophobic TPU (SP60D60/EG72D ratio: ◆50/50; ▲25/75; ▼0/100) on *in vitro*
 635 release kinetics (mean ±SD, n=3) in SIF medium of **(A)** IM tablets and **(B)** mini-matrices
 636 containing 60% (w/w) Metformin.HCl. The black curve (*) represents the mean release
 637 kinetics (±SD, n=3) of Glucophage™ SR 500 (1/2 tablet).

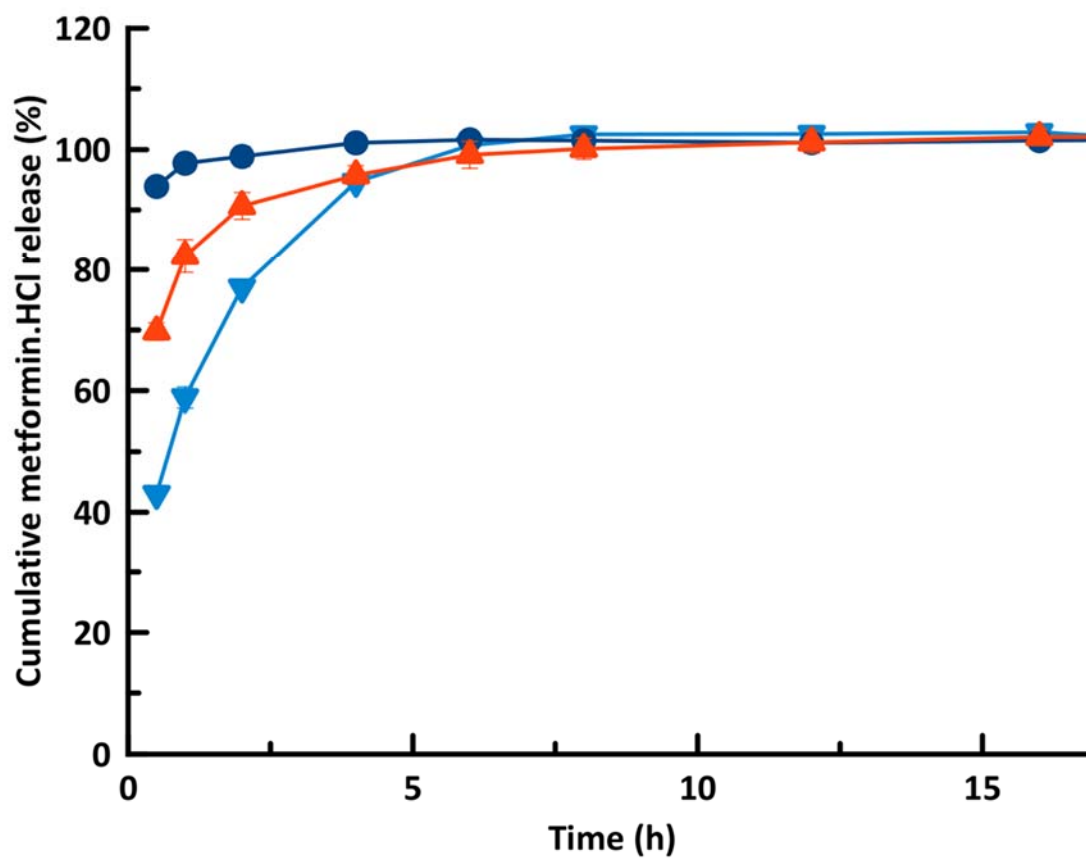
(A)



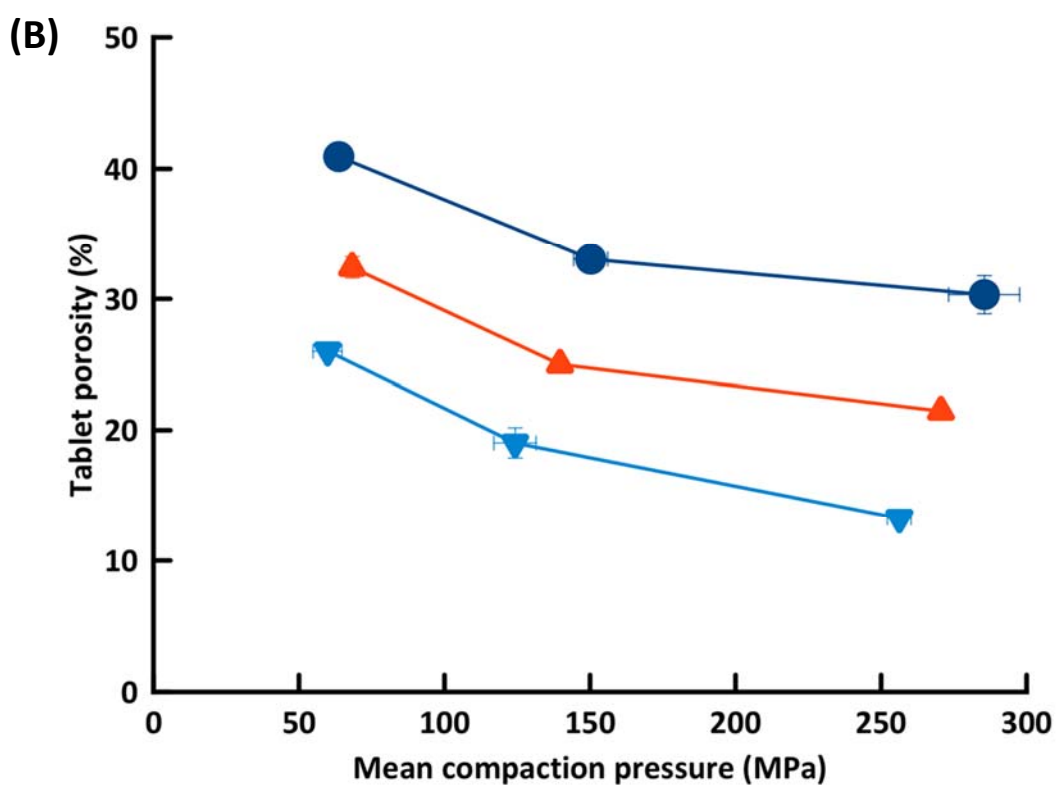
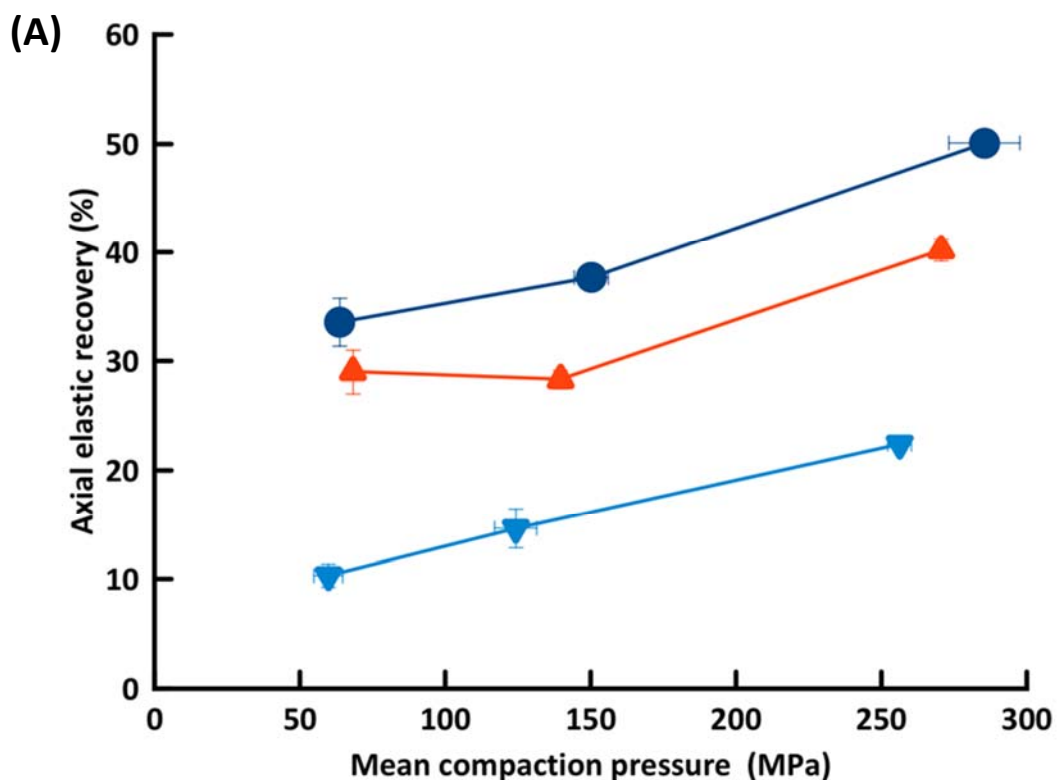
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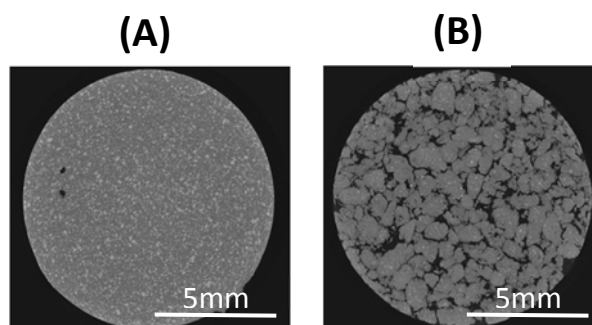
639 **Fig. 4.** Influence of metformin.HCl/Tecoflex™ EG72D ratio (w/w) (●60/40; ▲70/30; ▼85/15)
640 on the *in vitro* release kinetics (mean \pm SD, n=3) of TSMG tablets in SIF medium.



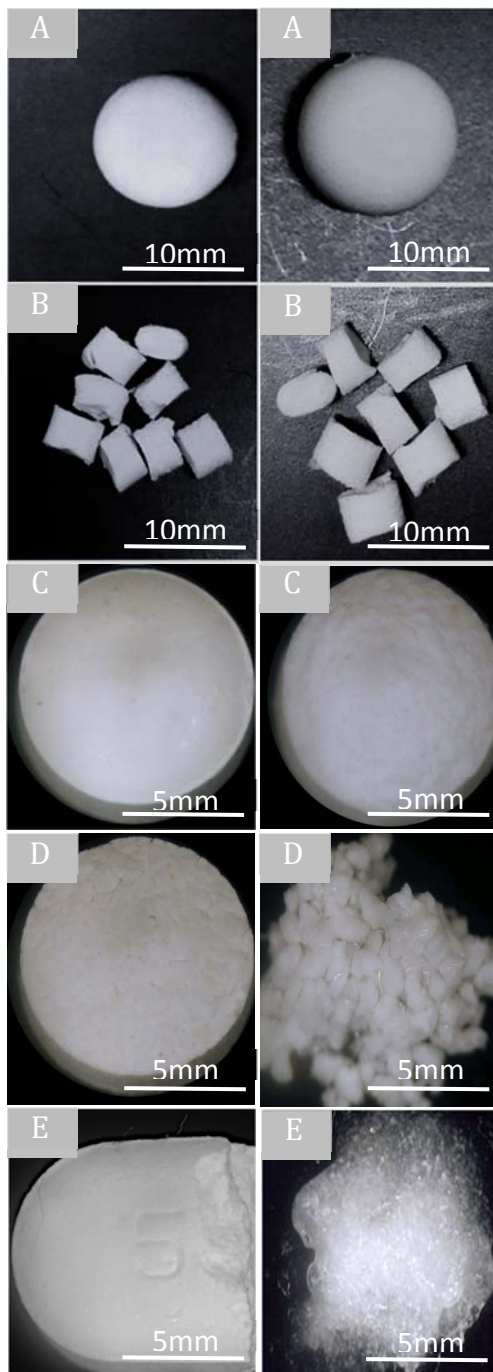
641 **Fig. 5.** Influence of metformin.HCl/Tecoflex™ EG72D ratio (w/w) (●60/40; ▲70/30; ▼85/15)
642 on (A) out of die axial elastic recovery and (B) tablet porosity. All experiments were performed
643 in triplicate and mean values (\pm SD) were plotted as a function of mean compaction pressure
644 (\pm SD).



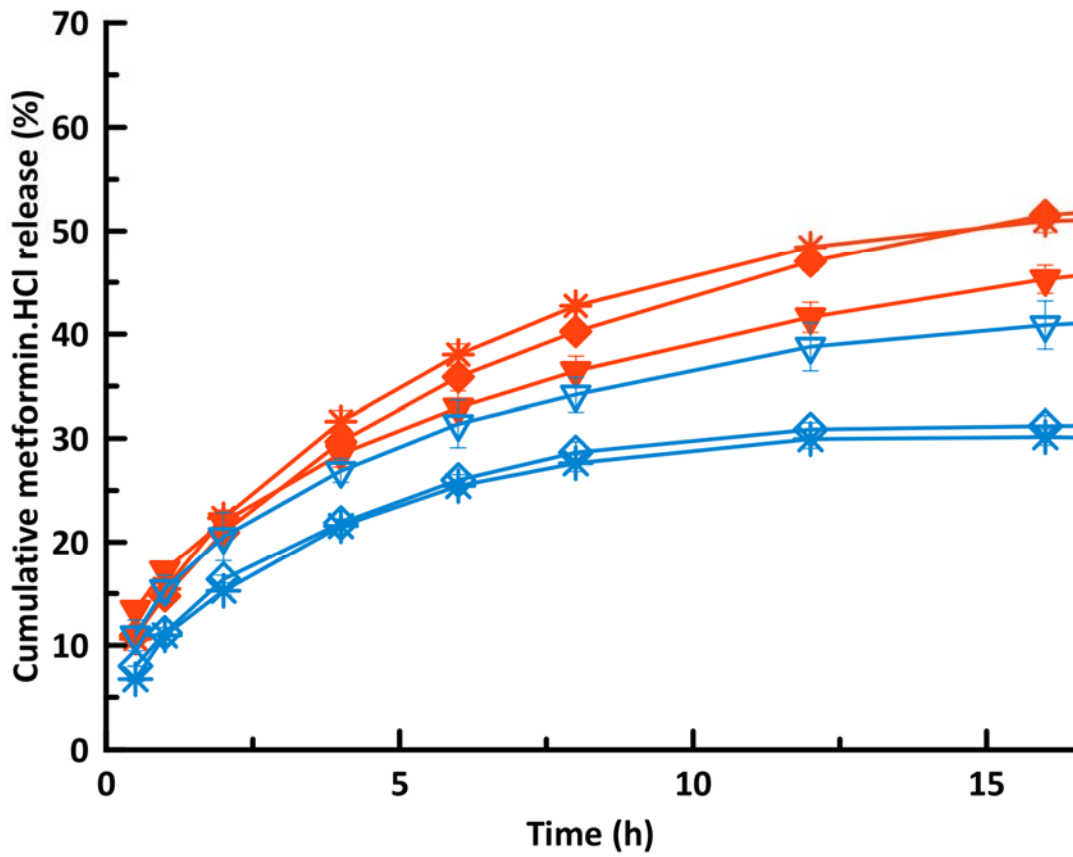
646 **Fig. 6.** X-ray tomography images of **(A)** IM tablet (60/20/20, w/w/w,
647 metformin.HCl/Tecoflex™ EG72D/Tecophilic™ SP60D60) and **(B)** TSMG tablet (60/40, w/w,
648 metformin.HCl/ Tecoflex™ EG72D) before dissolution experiments.
649



650 **Fig. 7.** Optical images of **(A)** IM tablet (60/20/20, w/w/w, metformin.HCl/Tecoflex™
651 EG72D/Tecophilic™ SP60D60), **(B)** mini-matrices (60/40, w/w, metformin.HCl/Tecoflex™
652 EG72D), **(C)** TSMG tablet (85/15, w/w, metformin.HCl/Tecoflex™ EG72D), **(D)** TSMG tablet
653 (60/40, w/w, metformin.HCl/Tecoflex™ EG72D) and **(E)** Glucophage™ SR 500 (1/2 tablet)
654 reference formulation before (left) and after (right) 12h disintegration testing in SIF.
655



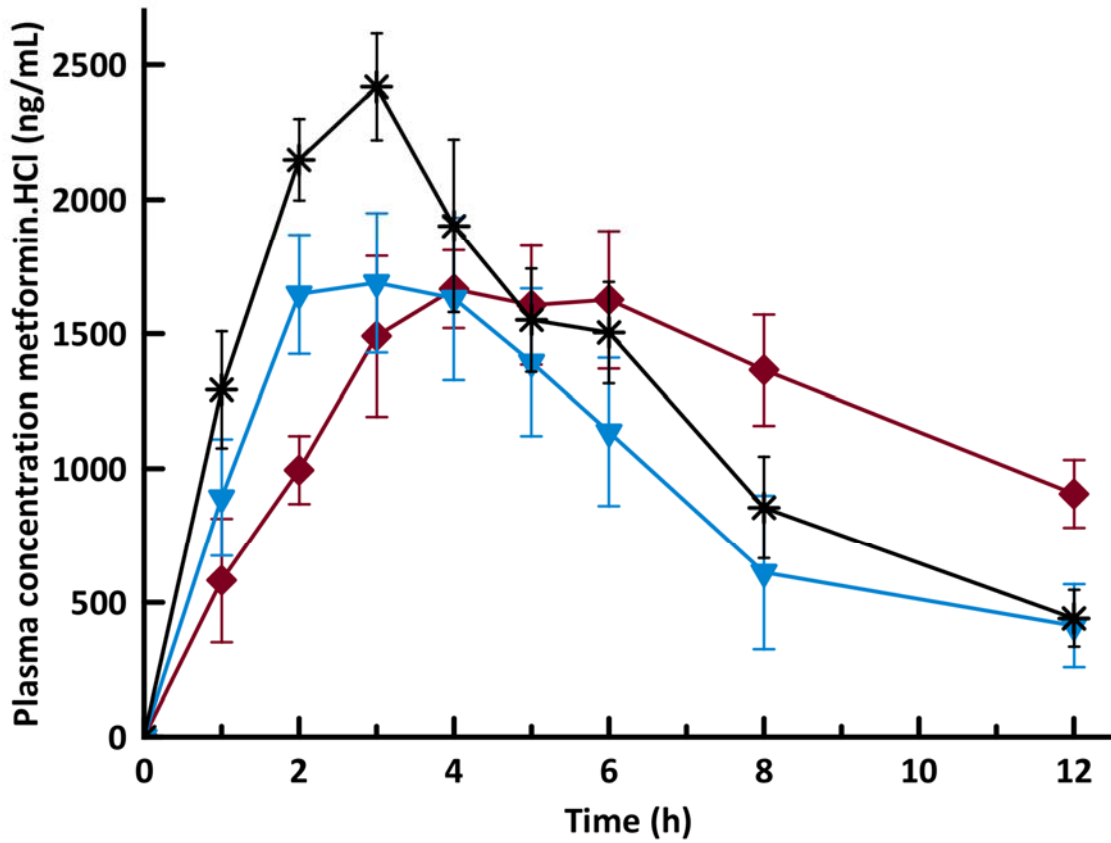
656 **Fig. 8.** In vitro release kinetics (mean \pm SD, n=3) of (\diamond) IM tablets (60/20/20, w/w/w,
657 metformin.HCl/TecoflexTM EG72D/TecophilicTM SP60D60), (∇) mini-matrices (60/40, w/w,
658 metformin.HCl/TecoflexTM EG72D) and (*) GlucophageTM SR 500 (1/2 tablet) formulations in
659 SGF (open symbols) and SGF containing 20% (V/V) ethanol (closed symbols).
660



661

662

663 **Fig. 9.** Mean plasma concentration-time profiles (\pm SD, n=6) after oral administration of 250mg
664 Metformin.HCl to dogs: (\blacklozenge) IM tablets (60/20/20, w/w/w, metformin.HCl/Tecoflex™
665 EG72D/Tecophilic™ SP60D60), (\blacktriangledown) mini-matrices (60/40, w/w, metformin.HCl/Tecoflex™
666 EG72D) and (*) Glucophage™ SR 500 (1/2 tablet) reference formulations.
667
668



669

670 **Tables**

671

672 **Table 1.** Impact of TPU binder concentration on mean friability of TSMG granules (\pm SD, n=3).

673

TSMG granule composition (w/w)	%Friability (\pm SD, minutes)
90/10 Metformin.HCl/EG72D	23.9 \pm 2.1
85/15 Metformin.HCl/EG72D	16.5 \pm 1.2
70/30 Metformin.HCl/EG72D	11.4 \pm 1.7
60/40 Metformin.HCl/EG72D	9.2 \pm 0.9

674

675 **Table 2.** Mean disintegration time (\pm SD, n=3) of different TSMG tablets.

676

TSMG tablet composition (w/w)	MCP(MPa)	Disintegration time (\pm SD, minutes)
85/15 Metformin.HCl/EG72D	\pm 65	- ^a
	\pm 130	- ^a
	\pm 260	- ^a
70/30 Metformin.HCl/EG72D	\pm 65	13.0 \pm 0.5
	\pm 130	26.3 \pm 1.5
	\pm 260	33.8 \pm 1.6
60/40 Metformin.HCl/EG72D	\pm 65	1.3 \pm 0.1
	\pm 130	2.6 \pm 0.1
	\pm 260	6.0 \pm 0.4

677 ^a Tablets did not disintegrate after 12h testing

678

679 **Table 3.** Melting enthalpy of metformin.HCl in physical mixtures (PM), IM tablets (60/20/20,680 w/w/w, metformin.HCl/TecoflexTM EG72D/TecophilicTM SP60D60), HME mini- matrices681 (60/40, w/w, metformin.HCl/TecoflexTM EG72D), and TSMG tablets (85/15, w/w,682 metformin.HCl/TecoflexTM EG72D.

683

Sample	Δ H (J/g)	%Crystallinity
Metformin.HCl	288.3	100.0
PM used for IM tablets	170.9	98.8
PM used for HME mini-matrices	155.1	89.7
PM used for TSMG tablets	240.4	98.1
IM tablets	158.5	91.6
HME mini-matrices	156.0	90.2
TSMG tablets	226.9	92.6

684

685 **Table 4.** Mean pharmacokinetic parameters (\pm SD, n=6) after oral administration of 250mg
 686 metformin.HCl to dogs as IM tablets (60/20/20, w/w/w, metformin.HCl/Tecoflex™
 687 EG72D/Tecophilic™ SP60D60), mini- matrices (60/40, w/w, metformin.HCl/Tecoflex™
 688 EG72D) and Glucophage™ SR 500 (1/2 tablet) reference formulations.
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Formulation	C _{max} (ng/mL)	T _{max} (h)	AUC _{0-12h} (ng.h/mL)	HVD _{t50%C_{max}} (h)	R _D
IM tablets	1857.1 \pm 111.7 ^a	4.8 \pm 1.2 ^a	14689.5 \pm 1019.5 ^a	9.2 \pm 1.8 ^a	2.9 \pm 0.6 ^a
mini-matrices	1923.3 \pm 182.3 ^a	3.0 \pm 0.9 ^b	11630.0 \pm 1785.1 ^b	5.5 \pm 0.6 ^b	1.7 \pm 0.2 ^b
Glucophage™ SR	2425.1 \pm 191.6 ^b	2.8 \pm 0.4 ^b	15011.7 \pm 912.2 ^a	5.6 \pm 0.6 ^b	1.7 \pm 0.2 ^b

^{a, b} Means in the same column with different superscript are different at the 0.05 level of significance

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693 **Supplementary data**

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695 **S. 1.** Cumulative particle size distribution of TSMG granules containing different
696 metformin.HCl/Tecoflex™ EG72D ratios (w/w) (■ 70/30 and ● 60/40) before (closed symbols)
697 and after (open symbols) 15 seconds cryomilling.

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