COMPLEX COACERVATED MICROCAPSULES IN CREAM FOR TOPICAL DELIVERY OF THE CURCUMINOIDS AND QUERCETIN

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COMPLEX COACERVATED MICROCAPSULES IN CREAM FOR TOPICAL DELIVERY OF THE CURCUMINOIDS AND QUERCETIN

by

ANG LEE FUNG

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Ang Lee Fung

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LIST OF ABBREVIATIONS

%T	transmittance percent
$\dot{\gamma}$	Shear rate
τ_0	Yield stress
<	Less than
>	More than
±	Plus minus
µg/ml	Microgram per millimeter
µl	Microliter
µm	Micrometer
ABTS	2,2'-azino-*bis* (3-ehylbenzothiazoline-6-sulfonate)
BDMC	Bisdemethoxycurcumin
BHA	Butylated hydroxyanisole
BHT	Butylated hydroxytoluene
CLM	Curcuminoid microcapsule (liquid core microencapsulation)
cm	Centimeter
$-COO^-$	Carboxylate
-COOH	Carboxyl group
CPM	Curcuminoid microcapsule (solid core microencapsulation)
CUR	Curcumin
D[4,3]	Volume mean diameter
DMC	Demethoxycurcumin
DPPH	2,2-diphenyl-1-picrylhydrazyl
DSC	Differential scanning calorimetry
FTIR	Fourier transform infrared spectroscopy
HCl	Hydrochloric acid
HLB	Hydrophilic-lipophilic balance
IP	Intraperitoneal injection
K	Release rate constant or consistency coefficient
k'	Capacity factor
LOD	Limit of detection
LOL	Limit of linearity
LOQ	Limit of quantitation
M	Molar
min	Minute
ml	Milliliter
ml/min	Milliliter per minute
mm	Millimeter
N	Theoretical plate
n	Flow behavior index or release exponent
Ŋ	Apparent viscosity
N_2	Gas nitrogen
NaCl	Sodium chloride
ng/ml	Nanogram per millimeter
$-NH_2$	Amino group
$-NH_3^+$	Ammonium
nm	Nanometer
O/W	Oil-in-water

pH_c	Critical pH
pH_ϕ	pH of macroscopic/global phase separation,
pI	Isoelectric point
QC	Quality control
QLM	Quercetin microcapsule (liquid core microencapsulation)
QPM	Quercetin microcapsule (solid core microencapsulation)
QUE	Quercetin
R	Resolution
R^2	Coefficient of determination
RH	Relative humidity
rHLB	Hydrophilic-lipophilic balance requirement
RP-HPLC	Reversed phase high performance liquid chromatography
rpm	Rotation per minute
RSD	Relative standard deviation
S.E.M	Standard error of mean
S/N	Signal to noise
SD	Standard deviation
SEM	Scanning electron microscope
Smix	Emulsifiers blend
$t_{1/2}$	Half-life of degradation
$t_{50\%}$	Half-life of release
t_{90}	Shelf life or time of 10% decomposition
T_f	Tailing factor
t_R	Retention time
UV	Ultraviolet
v/v	Volume per volume
W/O	Water-in-oil
w/w	Weight per weight
μM	Micro molar
τ	Shear stress

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MIKROKAPSUL KOASERVAT KOMPLEKS DALAM KRIM UNTUK PENGHANTARAN TOPIKAL KURKUMINOID DAN QUERCETIN

ABSTRAK

Kurkuminoid dan quercetin mempunyai aktiviti antioksidan, anti-radang dan anti-bakteria yang bermanfaat untuk penyembuhan luka. Walau bagaimanapun, sifat kedua-dua sebatian ini iaitu kelarutan dan bio-keperolehan yang rendah, fotosensitiviti dan pewarnaan menjadikan sebatian-sebation tersebut kurang sesuai untuk pemakaian topical. Oleh itu, objektif kajian ini adalah untuk membangunkan dan mencirikan mikrokapsul kurkuminoid dan quercetin, dan seterusnya menggabungkan sebatian-sebatian ini ke dalam krim. HPLC UV fasa terbalik isokratik dibangunkan dan disahkan untuk menyatakan kuantiti kurkuminoid (bisdemethoxycurcumin, demethoxycurcumin dan curcumin) dan quercetin secara serentak. Puncak quercetin, bisdemethoxycurcumin, demethoxycurcumin dan curcumin adalah terpisah dan simetri. Mikrokapsul telah disediakan dengan menggunakan kaedah koaservation kompleks menggunakan chitosan dan gelatin B. Mikrokapsul terbaik diperolehi dengan gelatin:chitosan pada nisbah 30:1 (2.55% w/w) dan pH 5.50. Kurkuminoid dikapsulkan sama ada dalam bentuk cecair (CLM) atau pepejal (CPM). Quercetin juga dikapsulkan sama ada dalam bentuk cecair (QLM) atau pepejal (QPM). Ciri-ciri fizikal bagi CPM dan QPM adalah lebih baik daripada CLM dan QLM. CPM dan QPM mempunyai saiz zarah dalam linkungan 40-44 μm, kecekapan pemerangkapan sebanyak 82% dan memuatkan ubat 16%. Selain itu, mikrokapsul ini tidak melekit, kurang kesan pewarnaan dan stabil pada suhu bilik (28 °C) selama 12 bulan. Aktiviti antioksidan kurkuminoid dan quercetin adalah lebih tinggi daripada hidroksianisol dibutilkan (BHA) dan hidroksitoluena

dibutilkan (BHT). Tiada perubahan ketara dalam aktiviti antioksidan kurkuminoid dan quercetin selepas pengkapsulan dalam mikrokapsul. Kurkuminoid dan quercetin kemudiannya masing-masing digabungkan ke dalam asas krim O/W. Kedua-dua sediaan ini mempunyai ciri-ciri pseudoplastik dan tiksotropik. Kajian pelepasan *in vitro* menunjukkan bahawa kurkuminoid dan quercetin dilepaskan dari mikrokapsul yang digabungkan di dalam krim mengikuti kinetic tertib sifar. Krim-krim CPM dan QPM stabil pada suhu bilik (28 °C) selama 6 bulan. Ujian kerengsaan kulit pada arnab menunjukkan bahawa kedua-dua sediaan tidak merengsa. Tambahan pula, kajian *in vivo* penyembuhan luka pada tikus menunjukkan bahawa krim CPM dan krim QPM mempunyai sifat penyembuhan luka. Kesimpulannya, mikrokapsul kurkuminoid dan quercetin yang digabungkan dalam krim telah berjaya disediakan. CPM mempunyai ciri-ciri penyembuhan luka yang lebih baik daripada QPM.

COMPLEX COACERVATED MICROCAPSULES IN CREAM FOR TOPICAL DELIVERY OF THE CURCUMINOIDS AND QUERCETIN

ABSTRACT

The curcuminoids and quercetin possess antioxidant, anti-inflammatory and antibacterial activities which are beneficial for wound healing. However, poor solubility, poor bioavailability, photosensitivity and color staining properties of these two compounds make them not acceptable for topical administrations. Therefore, the objectives of the present study were to develop and characterize the curcuminoids/quercetin microcapsules and subsequently incorporate them in cream. Isocratic reversed phase UV HPLC was developed and validated to quantify the curcuminoids (bisdemethoxycurcumin, demethoxycurcumin and curcumin) and quercetin simultaneously. The peaks of quercetin, bisdemethoxycurcumin, demethoxycurcumin and curcumin were well separated and symmetrical. The microcapsules were prepared by complex coacervation method using chitosan and gelatin B. The best microcapsules were obtained at gelatin:chitosan ratio of 30:1 (2.55% w/w) and pH 5.50. The curcuminoids was encapsulated either in liquid (CLM) or solid (CPM) form. The quercetin was also encapsulated either in liquid (QLM) or solid (QPM) form. The physical characteristics of CPM and QPM were better than CLM and QLM. The CPM and QPM had particle size in the range of 40 – 44 μm, entrapment efficiency of 82% and drug loading of 16%. Moreover, the microcapsules had free flowing, reduce color staining effect and stable at room temperature (28 °C) for 12 months. The antioxidant activity of the curcuminoids and quercetin was higher than butylated hydroxyanisole (BHA) and butylated hydroxytoluene (BHT). There was no significant change in antioxidant activity of the

curcuminoids and quercetin after encapsulation in microcapsules. The curcuminoids and quercetin microcapsules were then incorporated in O/W cream base, respectively. The preparations had pseudoplastic and thixotropic properties. *In vitro* release study revealed that the curcuminoids and quercetin released from microcapsule incorporated in cream followed zero order kinetics. The CPM and QPM creams were stable at room temperature (28 °C) for 6 months. The skin irritation test in rabbit revealed that both preparations were nonirritant. Furthermore, the *in vivo* wound healing study in rats showed that CPM and QPM creams had wound healing properties. In conclusion, the curcuminoids and quercetin microcapsules incorporated in creams were successfully prepared. CPM had better wound healing property than QPM.

CHAPTER 1

INTRODUCTION

1.1 Active ingredients

1.1.1 Curcuminoids/curcumin

The turmeric plant is a herb belonging to *Curcuma longa* L. (Zingiberaceae family) and has been widely used for centuries as a dietary spice and coloring agent in Indian and Chinese cuisines. The dried ground rhizome of the plant has been used in Asian medicine since the second millennium BC. Extracts of the rhizome including turmerin (a water-soluble peptide), essential oil (e.g., turmerones, atlantones and zingiberene) and curcuminoids [consists of curcumin (~77%), demethoxycurcumin (~17%), bisdemethoxycurcumin (~3%) and cyclocurcumin] (Akbik et al., 2014; Maheshwari et al., 2006; Naksuriya et al., 2014; Prasad et al., 2014; Sharma et al., 2005).

The three major analogues of the curcuminoids namely, curcumin, demethoxycurcumin (DMC) and bisdemethoxycurcumin (BDMC) differ by a methoxy substitution on the aromatic ring (Figure 1.1). Curcumin has two symmetric *o*-methoxy phenols linked through the α,β-unsaturated β-diketone moiety, DMC has an asymmetric structure with one of the phenyl rings having *o*-methoxy substitution, and BDMC is similar to curcumin with its symmetric structure but is deficient in two *o*-methoxy substitutions. These analogues have different potential in terms of bioactivities (Anand et al., 2008).

Curcumin as the major component of curcuminoids is responsible for the yellow color that consists of 3-6% of turmeric preparations. Curcumin was discovered about two centuries ago by Vogel and Pelletier in the year 1815 (cited by Prasad et al., 2014). In year 1910, the chemical structure of curcumin [i.e., diferulyoylmethane or 1,7-bis (4-hydroxy-3-methoxy-phenyl) hepta-1,6-diene-3,5-dione), $C_{21}H_{20}O_6$] was reported by Milobedzka et al. (1910), as cited in Prasad et al. (2014). The first synthesis and chromatographic quantitation of curcumin were reported in years 1913 and 1953, respectively. Curcumin is practically insoluble in water at acidic and neutral pH but is soluble in methanol, ethanol, dimethylsulfoxide, and acetone. It has pKa value of 8.54 (Prasad et al., 2014). Curcumin exist in two molecular configurations that are, bis-keto and enolate. The keto form predominates in acidic and neutral conditions and in the solid phase, where curcumin acts as a potent donor of hydrogen atoms. The enol form consists of three ionizable protons corresponding to the enolic group and two phenolic groups, which predominate in alkaline conditions. However, curcumin is photosensitive and unstable in phosphate buffer systems of pH 7.2 (Goel et al., 2008; Strimpakos & Sharma, 2008; Wang et al., 1997).

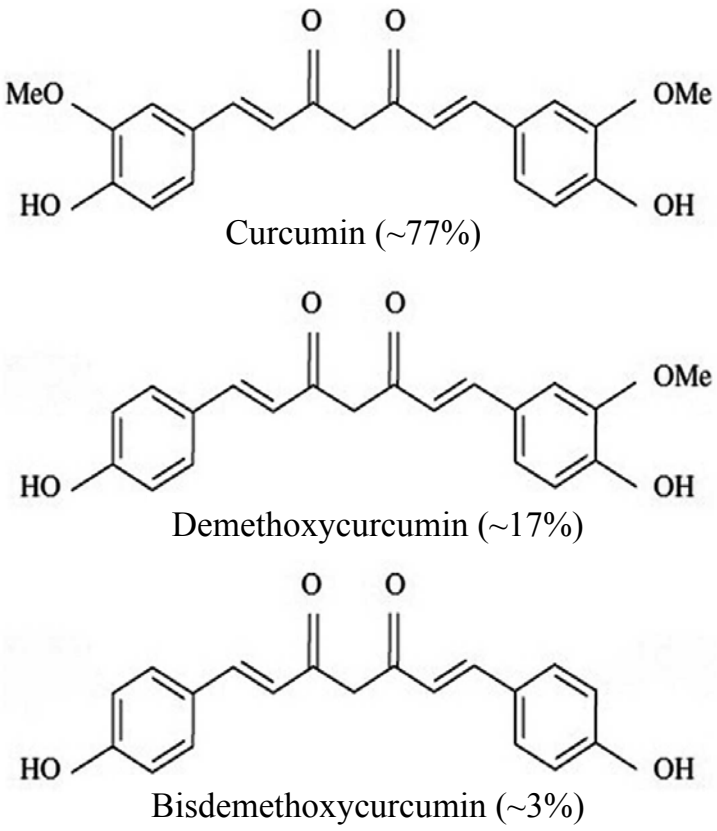

Figure 1.1. Chemical structures of curcumin, demethoxycurcumin and bisdemethoxycurcumin.

The biological characteristics of curcumin derivatives (demethoxycurcumin and bisdemethoxycurcumin) and curcumin were scientifically investigated in the mid-twentieth century (Prasad et al., 2014). Curcumin and derivatives of curcumin are typical flavonoid compounds, exhibit a wide range of pharmacological activities, such as anti-cancer (Anto et al., 1996; Ruby et al., 1995; Panahi et al., 2014), antioxidant (Jayaprakasha et al., 2006), anti-angiogenic (Gururaj et al, 2002; Kant et al., 2015), antibacterial (Sivasothy et al., 2013), anti-inflammatory (Kant et al., 2014), antiviral and antifungal (Anand et al., 2008). Curcumin is also a multidrug resistance modulator (Xue et al., 2013). Additionally, the curcuminoids have been shown to

have medicinal properties against several acute and chronic diseases including type II diabetes, rheumatoid arthritis, multiple sclerosis, Alzheimer's disease, Parkinson's disease, cardiovascular diseases, allergies, atherosclerosis and certain types of cancer (Li & Zhang, 2014; Maheshwari et al., 2006; Srivastava et al., 2011; Villaflores et al., 2012). Curcuminoids have been explored in enhancement of wound healing, hepatoprotection, treatment of inflammatory disease, neoplastic disease, neurodegenerative disease, cystic fibrosis and cholesterol-lowering (Akbik et al., 2014; Cao et al., 2015; Castangia et al., 2014; Kant et al., 2014).

In vivo studies show the safety of curcumin following acute and subchronic administration to rats and mice. High doses of dietary curcumin show no adverse effects in humans and animals (Sharma et al., 2005).

1.1.2 Quercetin

Quercetin is a flavonol compound belonging to a broad group of polyphenolic flavonoids. Quercetin is present in food as quercetin glycosides which represent 60-75% of the total dietary flavonols plus flavones intake (Perez-Vizcaino et al., 2009). It is naturally-occurring in fruits and vegetables, such as apples, cranberries and onions. It is also found in black tea, red wine and various fruit juices. In the United States, the consumption of flavonol glycosides which are expressed as quercetin equivalents are at levels of up to ~100 mg/day, the total flavonoids (including flavanones, flavones, flavonols, anthocyanins, catechins and biflavans) intake from a normal mixed diet is estimated as ~1g/day flavonoids (expressed as quercitrin equivalents, where one biflavan molecule is equal to 2 molecules of quercitrin) (Harwood et al., 2007).

Quercetin has the chemical structure of two benzene rings linked by a heterocyclic pyran or pyrone ring, and its chemical formula is 3,3',4'5,7-pentahydroxyflavone (Figure 1.2) (Harwood et al., 2007). The free hydroxyl groups and their mutual location determine the antioxidant activity of quercetin (Materska, 2008). The B-ring hydroxyl configuration shows highest scavenging capacity in scavenging of reactive oxygen species and reactive nitrogen species. A 3'4'-catechol structure in the B-ring is the most potent scavenger of lipid peroxidation (Heim et al., 2002).

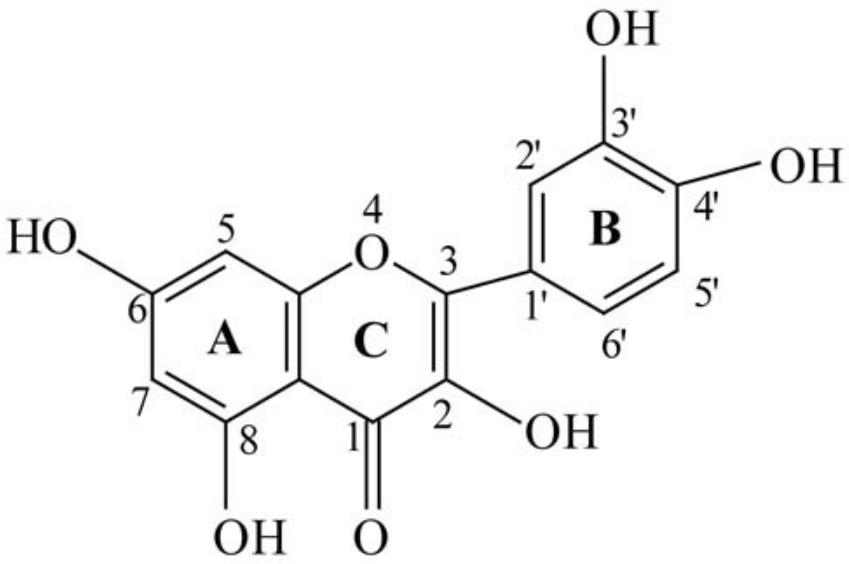

Figure 1.2. Chemical structure of quercetin.

Quercetin is among the most potent antioxidant of the polyphenols. It shows scancenging activity to hydrogen peroxide (H_2O_2), oxygen (O_2), as well as reactive nitrogen species (RNS) such as nitric oxide (NO) and peroxynitrite (cited in

Zimmerman et al., 2014). Additionally, quercetin exhibits numerous biological and pharmacological activities, such as cardioprotective, anti-mutagenic, antioxidant, anti-inflammatory, chelation, antilipoperoxidative, antiproliferative, anti-carcinogenic and anti-angiogenic (Harwood et al., 2007; Russo et al., 2012). Quercetin is therapeutically effective for hypertension (Perez-Vizcaino et al., 2009), skin oxidative stress (Inal & Kahraman, 2000; Joshan & Singh, 2013; Kimura et al., 2009; Manca et al., 2014), rheumatoid arthritis (Natarajan et al., 2010) and wound healing (Gomathi et al., 2003). In cancer treatment, quercetin also reacts as a multidrug resistance modulator and thus a potential chemosensitizer (Chen et al., 2010). In addition, quercetin has been shown to be chemopreventive and a possible solution for anthracycline-induced cardiotoxicity and multidrug resistance (Czepas & Gwoździński, 2014).

Long-term oral animal toxicity studies demonstrated the safety of dietary quercetin (Harwood et al., 2007).

1.2 Microencapsulation

1.2.1 Introduction of microencapsulation

Microencapsulation which has been developed since the 1950s is defined as a process of surrounding or enveloping the substance of either solids, liquids, or gaseous materials in a coating or capsule, yielding capsules ranging from sub-micron to several millimeters in size (Fang & Bhandari, 2010). The microencapsulation methods distinguishes the capsules in term of particle size ranges or denomination of either nanocapsules (size range smaller than 0.2 μm), microcapsules (size range between 0.2 and 5000 μm) or macrocapsules (size range larger than 5000 μm)

(Barbosa-Cánovas et al., 2005). The encapsulated substance is called core material, active ingredient or agent, fill, payload, internal phase or nucleus. On the other hand, the material encapsulating the core is called coating, membrane, shell, carrier or wall material. The coating materials can be sugars, gums, proteins, polysaccharides, lipids and synthetic polymers (Barbosa-Cánovas et al., 2005; Fang & Bhandari, 2010).

Several conformations of microcapsules can be produced for encapsulation. The three main conformations are: single particle structure (regular or irregular), aggregate structure and multi-walled structure. Single structure microcapsule is a sphere of the active ingredient surrounded by a thick uniform wall. An aggregate structure is asymmetrically and variably shaped, with several distinct core particles embedded throughout the microcapsule. This type of microcapsules may have multiple core structure. The multi-walled microcapsules have different concentric layers which either have the same, or quite different compositions (Gibbs et al., 1999; Sachan et al., 2006). Microcapsules also present in multi-core structure and matrix. Multi-core microcapsules have a number of different sized chambers within the shell (Kumar et al., 2011). Figure 1.3 shows various morphologies of microcapsules. The morphology of the internal structure of microcapsules is influenced by the encapsulation techniques, the types of core materials and coating materials used. Liquid or dispersion of core material to be encapsulated will result in perfect microcapsules rather than solid core (Sachan et al., 2006).

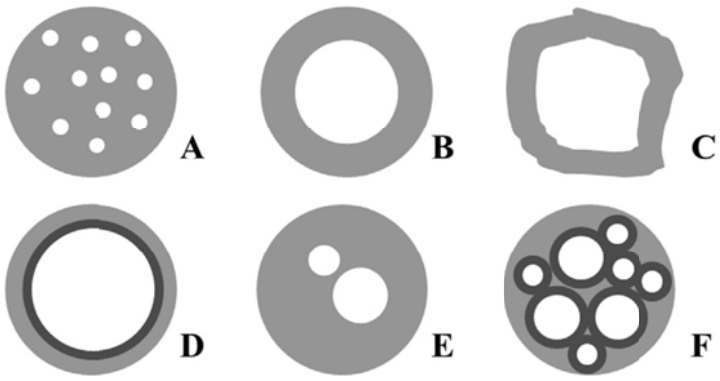

Figure 1.3. Schematic morphologies of different types of microcapsules: (A) matrix, (B) single structure microcapsule (regular), (C) irregular single structure microcapsule, (D) multiwall microcapsule, (E) multi-core microcapsule and (F) aggregate structure microcapsule. Adapted from de Azeredo (2005).

There are a wide variety of microencapsulation techniques or processes used in variety of industries. Briefly, these technologies can be classified into physical methods, physicochemical methods and chemical methods (Munin & Edwards-Lévy, 2011). The examples of each method are given as follows:

(i) Physical methods: spray drying, fluid bed coating, pan coating, extrusion, centrifugal extrusion;

(ii) Physicochemical methods: spray chilling and spray cooling, ionic gelation, solvent evaporation-extraction, hot melt coating, coacervation; and

(iii) Chemical methods: interfacial polycondensation, *in situ* polymerization, interfacial polymerization, interfacial crosslinking.

1.2.2 Core material

The core material which is the material to be coated to serve the specific purpose can be liquid or solid in nature. The composition of core material can be varied, such as liquids and dispersion forms for liquid core materials, while active constituents, stabilizers, diluents, excipients and release-rate retardants or accelerators are examples of solid core materials. The composition of core material is selected depending on the final microcapsules properties (Bansode et al., 2010; Sachan et al., 2006).

1.2.3 Coating material

A wide variety of coating materials are available for microencapsulation, depending on the material to be coated and the characteristics desired in the final microcapsules (Barbosa-Cánovas et al., 2005). Effective coating materials should meet the properties such as film forming, strength, pliable, tasteless, stable, non-hygroscopic, soluble in aqueous media, good rheological at high concentration and ease of manipulation during the process of encapsulation and optical properties. Furthermore, the selected coating material should be chemically compatible and nonreactive with the core material during processing and storage. Additionally, it should meet the requirement of the system such as microcapsules solubility properties and core material release properties (Bansode et al., 2010; Barbosa-Cánovas et al., 2005; Sachan et al., 2006). Examples of coating materials are as follows (Bansode et al., 2010):

(i) Water soluble resins: gelatin, gum arabic, starch, polyvinylpyrrolidone, carboxymethylenecellulose, hydroxyethylcellulose, methylcellulose, arabinogalactan, polyvinyl alcohol, polyacrylic acid;

(ii) Water insoluble resins: ethylcellulose, polyethylene, polymethacrylate, polyamide (nylon), poly (ethylenevinyl acetate), cellulose nitrate, silicones, poly(lactide-co-glycolide);

(iii) Waxes and lipids: paraffin, carnauba, spermaceti, beeswax, stearic acid, stearyl alcohol. Glyceryl stearates; and

(iv) Enteric resins: shellac, cellulose, acetate phthalate, zein.

1.2.3 (a) Gelatin

Gelatin is derived from the fibrous protein collagen by the process of partial hydrolysis; collagen which is broadly found as the major component of animal skin, bones and connective tissue (Karim & Bhat, 2009; Mukherjee & Rosolen, 2013). Depending on the hydrolysis process which is the method by which collagen is pretreated, two types of gelatin are available, namely, type A and type B gelatins (Karim & Bhat, 2009; Singh et al., 2002). Type A gelatin is derived from acid processed collagen (isoelectric point at pH 6-9), while type B gelatin is derived from alkaline processed collagen (isoelectric point at approximately pH 5) (Karim & Bhat, 2009). The acid or base precursor results in different characteristic features of gelatin due to different number of NH_2 and COOH groups on the gelatin molecules (Siow & Ong, 2013).

Collagen molecules are composed of three α-chains which consist of continuous repetitions of Gly-X-Y amino acid sequences where X is mostly proline and Y is mostly hydroxyproline (Eastoe & Leach, 1977), forming a triple-helix structure. The intertwined triple-helix adopts a 3D structure that provides an ideal geometry for inter-chain hydrogen bonds. The triple-helices are stabilized by the inter-chain hydrogen bonds (Duconseille et al., 2015; Karim & Bhat, 2009). Denaturation of collagen by thermal or physical and chemical means causes the destruction of hydrogen bonds, which results in breaking of the triple-helix structure into random coils to produce gelatin (Bigi et al., 2004; Karim & Bhat, 2009). Gelatin contains amino acids in varying composition as reported by Eastoe (1955). The amino acid composition of gelatin is very close to that of its parent collagen (Karim & Bhat, 2009).

Gelatin is biodegradable, non-toxic, and easy to crosslink and to modify chemically. It is frequently used in food, pharmaceutical, biomedical and photographic industries. It is commonly used as the main ingredient of hard and soft capsules, microspheres, sealants for vascular prostheses, wound dressing and adsorbent pad for surgical use and tissue regeneration. Gelatin is soluble in aqueous solution at temperature of about 40 °C and present in the sol state (Bigi et al., 2004). When gelatin is cooled below 30-35 °C the random coil polypeptide chains will undergo a conformational disorder-order transition and partly regenerate the collagen triple-helix structure and form thermoreversible gels by associating helices in junction zones stabilized by hydrogen bonds (Bigi et al., 2004; Strauss & Gibson, 2004). Because gelatin is soluble in aqueous solution, gelatin used as coating material or matrix of microcapsule products must be submitted to crosslinking, which improves both thermal and mechanical stability of the biopolymer (Bigi et al.,

2004). Crosslinking is important for the gelatin capsules to be insoluble at high temperatures, to reduce swelling in water and decrease permeability across cell membranes. Formaldehyde and glutaraldehyde are the most common agents used in gelatin crosslinking.

Gelatin is widely used as the main ingredient of the complex coacervation in the food and pharmaceutical industries (Comunian et al., 2013; Dong et al., 2011; Hanes et al., 2001; Jizomoto et al, 1993; Saravanan & Rao, 2010; Shinde Y Nagarsenker, 2011). The most important property of this protein is that gelatin is a polyampholyte with amine ($-NH_2$) and carboxyl (-COOH) functional groups along with hydrophobic groups (lurea Raţă et al., 2013). Gelatin is a random coil polymer carrying positively and negatively charged-sites in almost 1:1 ratio. Additionally, it is associated with a small persistence length of about 2 nm (Bohidar, 2008). In solution, gelatin can be ionized to either $–COO^-$ or - NH_3^+ depending on the pH of the solution. At pH above the isoelectric point, gelatin charged negatively; whereas at pH below the isoelectric point, gelatin charged positively. Hence, gelatin will react with oppositely charged biomolecules in the same medium via electrostatic interaction to form polyionic complexes (Young et al., 2005). For example, in a mixture containing gelatin (a protein) and an anionic polysaccharide, adjustment of the pH to below the isoelectric point (pI) or the electrical equivalence pH (IEP) of gelatin would result in maximum electrostatic attraction where the two biopolymers are carrying oppositely charge (Siow & Ong, 2013). For instance, complex coacervation occurred in a mixture of gum arabic (acacia) and type A gelatin at pH 4.5 (Bhattacharyya & Argillier, 2005; Siow & Ong, 2013), or occurred in a mixture of gum arabic (acacia) and type B gelatin at pH 3.5 (Siow & Ong, 2013). On the other hand, a gelatin-cationic polysaccharide system requires the adjustment of the mixture pH to above

the isoelectric point of gelatin for electrostatic attraction. For instance, complex coacervation occurred in a type B gelatin-chitosan system at pH 5.25-5.5 (Remuñán-López & Bodmeier, 1996). At pH 5.25-5.5, gelatin will be negatively charged (since the isoelectric point of gelatin B is 4.7-5.2) and it will electrostatically interact with positively charged chitosan to form an insoluble complex (complex coacervate). At such pH, gelatin-chitosan complex coacervation should be limited to type B gelatin. The isoelectric point of type A gelatin is typically 8-9, so its complex coacervation with chitosan should be limited to pH values above this (Thies, 2007). However, chitosan is precipitated at solution of pH higher than 6 since the pKa of chitosan is about pH 6.3 (Paños et al., 2008). Figure 1.4 shows the chemical structure of gelatin.

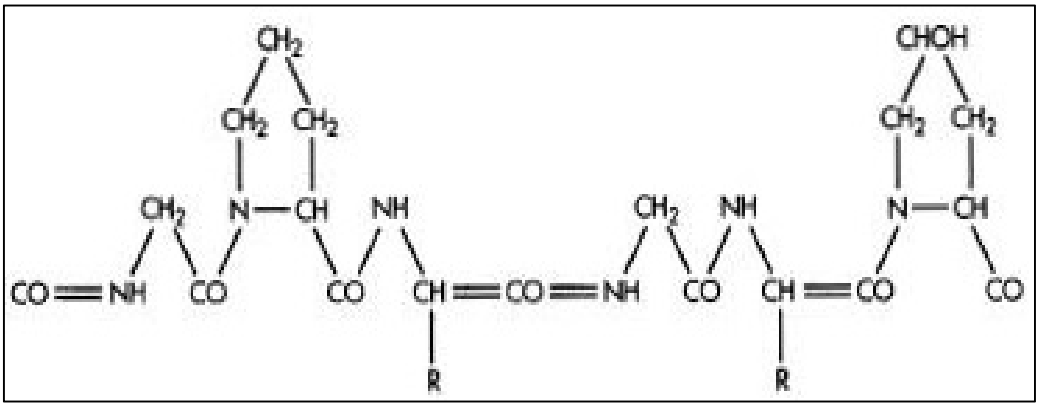

Figure 1.4. Chemical structure of gelatin.

1.2.3 (b) Chitosan

Chitosan is an amino-polysaccharide derived by alkaline deacetylation of chitin (an N-acetyl-glucosamine polymer). Chitin is the second most abundant polymer in nature after cellulose and is from crustaceans, exoskeleton of insects and fungi. Chitosan is a cationic polysaccharide, a copolymer of 2-acetamido-2-deoxy-β-D-glucose and 2-amino-2-deoxy-β-D-glucose units, and it differs in the degree of N-acetylation (40-98%) and molecular weight (50-2000 kDa) (Basu et al., 2010; Estevinho et al., 2013; Paños et al., 2008). The solubility of chitosan, which has a pKa value of 6.3 (Paños et al., 2008), depends closely on the degree of acetylation (Kumirska et al., 2011) where it is normally insoluble in aqueous solutions of pH value higher than pKa, however it is soluble in dilute acid solutions below pH 6.5 (Riva et al., 2011). The protonated free amino groups facilitate the solubility of the molecule and characterize chitosan as a cationic polyelectrolyte (Kumirska et al., 2011). The chemical structure of chitosan is shown in Figure 1.5.

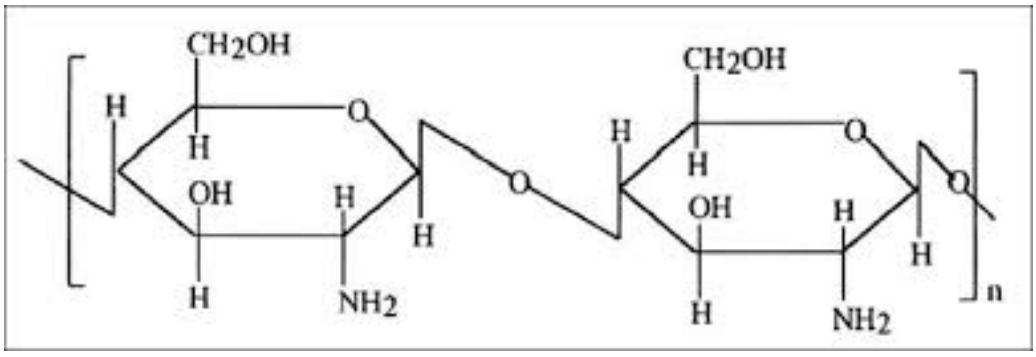

Figure 1.5. Chemical structure of chitosan.

Chitosan has been widely used in food, cosmetic and pharmaceutical industries as a carrier for drug delivery because it possesses excellent properties, such as non-toxicity, biodegradability, biocompatibility and absorption properties (Paños et al., 2008). Additionally, a large number of amine groups provide availability of chitosan interacting with other substances (Jaya et al., 2010). Since the 90's, chitosan microspheres have been used as controlled drug delivery systems for conventional drugs, protein drugs and bioactive compounds. Chitosan is particularly useful as coating material in microencapsulation for controlled release of bioactive compounds. Chitosan can establish covalent or ionic bonds with the crosslinking agents, for example, glutaraldehyde which form Schiff bases with amino groups building three dimensional network, thus increases the internal surface area for absorption and the encapsulated active substance stays retained, and consequently as controlled release carrier (Estevinho et al., 2013; Jaya et al., 2010). On the other hand, chitosan and its derivatives in microencapsulation of peptides and proteins have proven to enhance their permeation, since they have affinity for enzymes that usually degrade the peptide (e.g., insulin). Hence, the bioavailability of peptide drugs is increased due to permeation enhancement by chitosan, its enzyme inhibition and mucoadhesive properties (Paños et al., 2008).

Chitosan is a good coating material candidate for different microencapsulation techniques because its cationic properties in acidic conditions make it able to electrostatically interact with negatively charged molecules or polymers (Riva et al., 2011). Chitosan can form nanoparticles by ionic gelation with polyphosphates and with nucleic (Riva et al., 2011). In addition, chitosan is used for simple coacervation together with incompatible material, such as sodium sulphate. Simple coacervation is a simple and mild method, however, results in low encapsulation efficiency (Paños et

al., 2008). Chitosan is also used for complex coacervation with type B gelatin since one behaves cationic and the other behaves anionic in solutions at pH value above the isoelectric point of gelatin. Besides, complex coacervation between chitosan and the negatively charged lipid, lecithin has produced nanoparticles. Sodium alginate-chitosan systems have been widely studied. The release of albumin microencapsulated in this system is influenced by the molecular weight of chitosan used (Paños et al., 2008).

1.2.4 Crosslinking agent

Crosslinking is a process of hardening of microcapsules which can improve microcapsule stability via formation of covalent bonds between molecule chains to form a three-dimensional network of connected molecules. The crosslinking agents can be chemical or enzymatic, and usually are molecules with at least two reactive functional groups that allow the formation of bridges between polymeric chains by covalent bonds (Estevinho et al., 2013). Covalent crosslinking of microcapsules allows drug release by diffusion due to absorption of water and/or bioactive compounds instead of dissolution (Estevinho et al., 2013). Aldehydes such as glutaraldehyde, formaldehyde and glyceraldehye are the most commonly used chemical crosslinkers in microencapsulation of polymers which contain amino groups (Hernández-Muñoz et al., 2004b). However, due to the possible toxicity of chemical crosslinkers, enzymatic crosslinkers such as transgutaminase is usually applied in microencapsulation of food ingredients (De Jong & Koppelman, 2002; Dong et al., 2008).

1.2.4 (a) Formaldehyde crosslinking mechanism

Formaldehyde is a gas with molecular structure of HCHO. Formaldehyde dissolves rapidly in water and forms methylene hydrate, HO-CH_2-OH (Figure 1.6a). Methylene hydrate molecules react with one another in aqueous solution to form polymers (Figure 1.6b). Formaldehyde obtained in liquid form is called formalin, with 2-8 polymers and contains of 37-40% formaldehyde and 60-63% of water (by weight) (Kiernan, 2000).

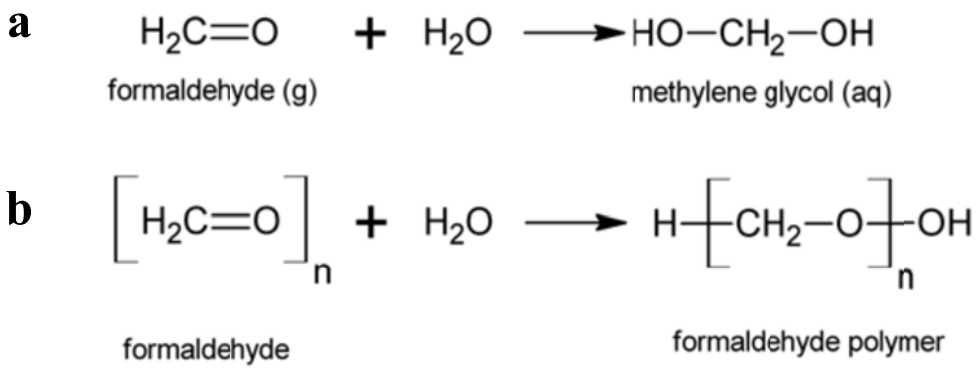

Figure 1.6. Formation of methylene glycol and formaldehyde polymer.

Gelatin and chitosan are both hydrophilic polymers, and are susceptible to aldehyde crosslinking to improve physical properties thus suitable for controlled release matrix. Free amino groups, such as ε-amine groups of lysine or hydroxylysine residues of gelatin and primary amine groups of chitosan, and also free carboxylic acid residues of aspartic and glutamic acid in the gelatin structure can react with aldehyde groups of aldehyde crosslinkers, for example, formaldehyde (Lai et al., 2010; Rose et al., 2014). The general formaldehyde crosslinking mechanism is: (1)

Aldehyde group of formaldehyde reacts with amine group of matrix leading to dehydration of the methylol intermediate to yield an active Schiff base. This is a fast process. (2) Following the polymerization of formaldehyde, the Schiff base reacts with another amine group to form cross-link $–CH_2-$ (methylene bridge) (Wu et al., 2011). The formation of methylene bridges proceeds much more slowly compared to the first step. In collagen crosslinking with formaldehyde, the crosslink most often occurs between the nitrogen atom at the end of the side-chain of lysine and the nitrogen atom of a peptide linkage (Figure 1.7) (Kiernan, 2000). Such number of crosslinks increases with time and can lead to an intermolecular and intramolecular crosslinking network (Kiernan, 2000). In addition, collagenous samples such as gelatin may form inter- and intramolecular crosslinks with cyclic structure within collagen fibers (Bigi et al., 2004).

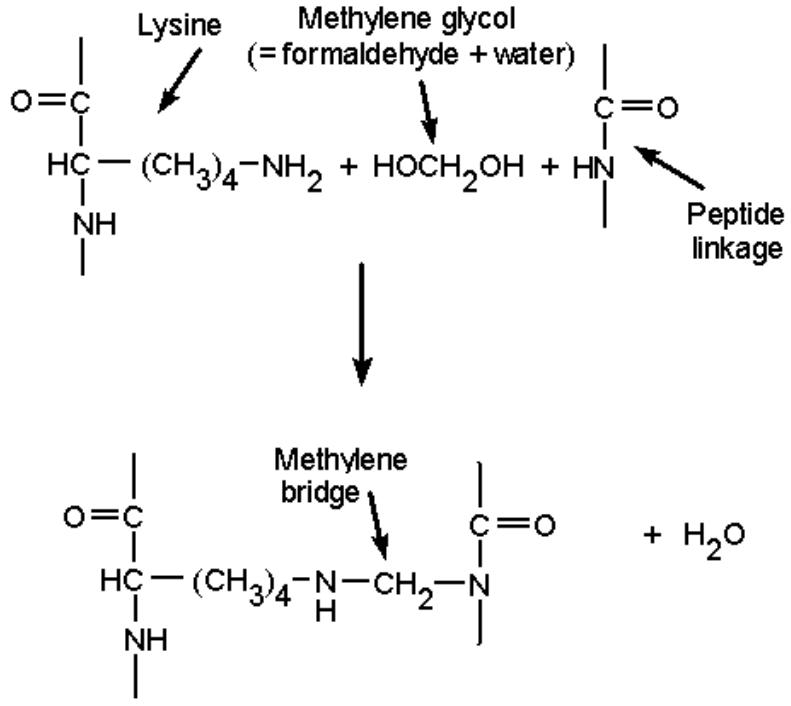

Figure 1.7. Formaldehyde crosslinking: formation of methylene glycol and methylene bridge. Adapted from Kiernan (2000).

1.2.5 Classification of microcapsules and microspheres

Microparticles can be classified according to their structure, namely, microcapsules and microspheres. Microcapsules consist of a polymeric shell (envelope or wall) and an encapsulated active product (core material) located within the shell. Thus, the core and the wall are well-defined in microcapsule systems. Microspheres are in strict sense, spherical empty particles because the drug substance is either homogeneously dissolved or dispersed in a polymeric matrix, thus no well-defined wall exists (Kumar et al., 2011; Kvitnitsky et al., 2005). In addition, for large size particles, microbeads, beads, spheres and spherical particles are also terms used alternatively for microcapsules and microspheres (Kvitnitsky et al., 2005). Figure 1.8 shows the morphologies of microcapsule and microspheres. Microspheres are essentially spherical in shape, whereas microcapsules may be spherical or irregular in shape.

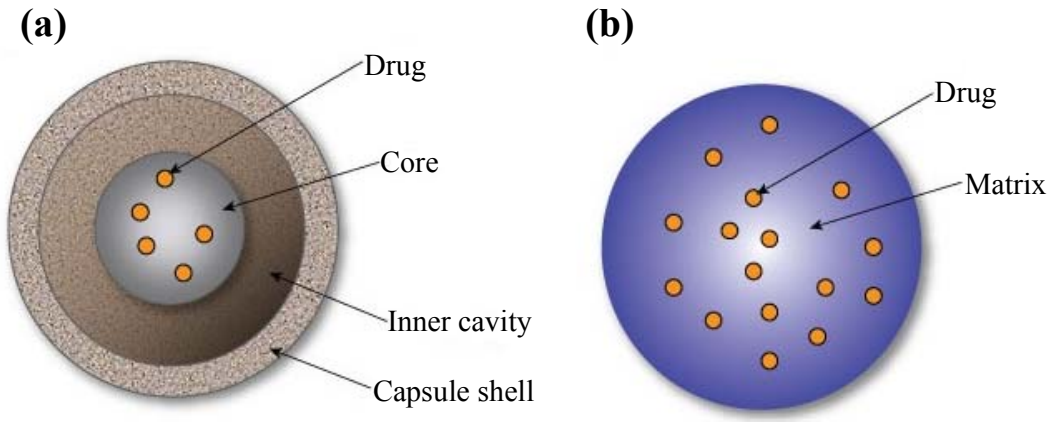

Figure 1.8. Schematic morphologies of (a) microcapsule and (b) microsphere. Adapted from Lembo and Cavalli (2010).

1.2.6 Coacervation microencapsulation

Coacervation encapsulation is a physiochemical process, and is classified as simple or complex. Simple coacervation systems only contain one colloidal solute (e.g., only gelatin), while in complex coacervation systems contain more than one solute (e.g., gelatin and gum acacia) (Barbosa-Cánovas et al., 2005). In general, this technology consists of three steps which are carried out under continuous agitation, that include: (1) formation of three immiscible chemical phases, (2) deposition of coating, and (3) rigidization of the coating. Briefly, the coacervation microencapsulation process is initiated by either changing the pH or temperature of the colloidal system, or adding a non-solvent or another complete chemical (e.g., sodium sulfate) to the colloidal system which contains the active ingredient (core material). Consequently, a two-phase system is created that consist of the colloid-rich phase (appearing as an amorphous cloud) and the colloid-poor phase/aqueous phase. Deposition of the newly formed coacervate phase around the active ingredient (core material) suspended or emulsified in the same reaction media forms small and still unstable microcapsules. Rigidization of the capsule wall can be done by crosslinking with chemical crosslinker (e.g., glutaraldehdye) or enzymatic crosslinker (e.g., transglutaminase), or by adjusting temperature or pH of the colloid system. The final steps of the process include collecting, washing and drying (Barbosa-Cánovas et al., 2005; Gouin, 2004; Sachan et al., 2006). This is a high payload microencapsulation technique, up to 99% with achievable yield (Gouin, 2004).

1.2.6 (a) Complex coacervation systems

Complex coacervation was first introduced by Bungenberg de Jong (1929) in their investigation for the system of gelatin-gum arabic. The name complex

coacervation is to distinguish from simple coacervation where the complex coacervation process involves the interaction of two oppositely charged polyelectrolytes as opposed to the simple coacervation that is based on single biopolymer. Complex coacervation is a liquid-liquid phase separation phenomenon that occurs as a consequence of electrostatic interaction between the two oppositely charged polyelectrolytes in a solution (Milanović et al., 2014). The neutralization of the opposite net charges of polyelectrolytes in the mixed solution separates the solution into a highly concentrated coacervate phase in the form of microdroplets and a dilute bulk phase (Bungenberg de Jong, 1949; Strauss & Gibson, 2004).

Complex coacervation may result in a mixture of oppositely charged polyelectrolytes (PE-PE) and polyelectrolytes with oppositely charged colloids (colloid-PE), such as micelles, proteins or dendrimers in aqueous media (Kizilay et al., 2011). Gelatin A-gelatin B and gelatin B-chitosan systems are examples of PE-PE and colloid-PE coacervations, respectively. Figure 1.9 illustrates the process of microencapsulation by complex coacervation.

1.2.6 (b) Complex coacervation microencapsulation process

The deposition of the coacervate onto the core droplets to form the microcapsule shell and maintain the integrity of shell and size depend on several processing parameters. These parameters include polymer type, molecular weight, charge density, concentration of polymers and their ratio, pH and temperature of the system, and cooling rate. Among these factors, pH of the coacervation system and polymers mixing ratio are the most studied factors in complex coacervation microencapsulation (Koh & Tucker, 2011; Liu et al., 2009; Shinde & Nagarsenker, 2009; Wang et al., 2014; Xiao et al., 2011). This is because improper mixing ratio of

oppositely charged polyelectrolyte can cause precipitation due to imbalance of charge density.

During the coacervation process, the temperature is above the melting point of colloid polymer (i.e., gelatin) under constant stirring, thus coacervate formed is initially a liquid. This allows the coacervate to engulf the dispersed core material droplets or particles, thereby coating them with a thin film of liquid coacervate. Thereafter, cooling of the coacervates below its gel temperature will settle the gel structure of the coacervate (Thies, 2007). For example, when gelatin gel is cooled below melt temperature results the random coil polypeptide chains link up to form collagen-like triple helices for part of their length (Strauss & Gibson, 2004). This transforms the thin liquid film that surrounds the small droplets of core material into a thin gel coating. The changes of temperature not only change the coacervate from liquid form to gel form, but also change the viscosity and rheology of the coacervate, thereby producing a major impact on the success of a complex coacervation encapsulation process (Thies, 2007). Crosslinking of microcapsules has improved its stability against mechanical force and modified drug release (Alvim & Grosso, 2010). Figure 1.10 illustrates the formation of microcapsules by coacervation.

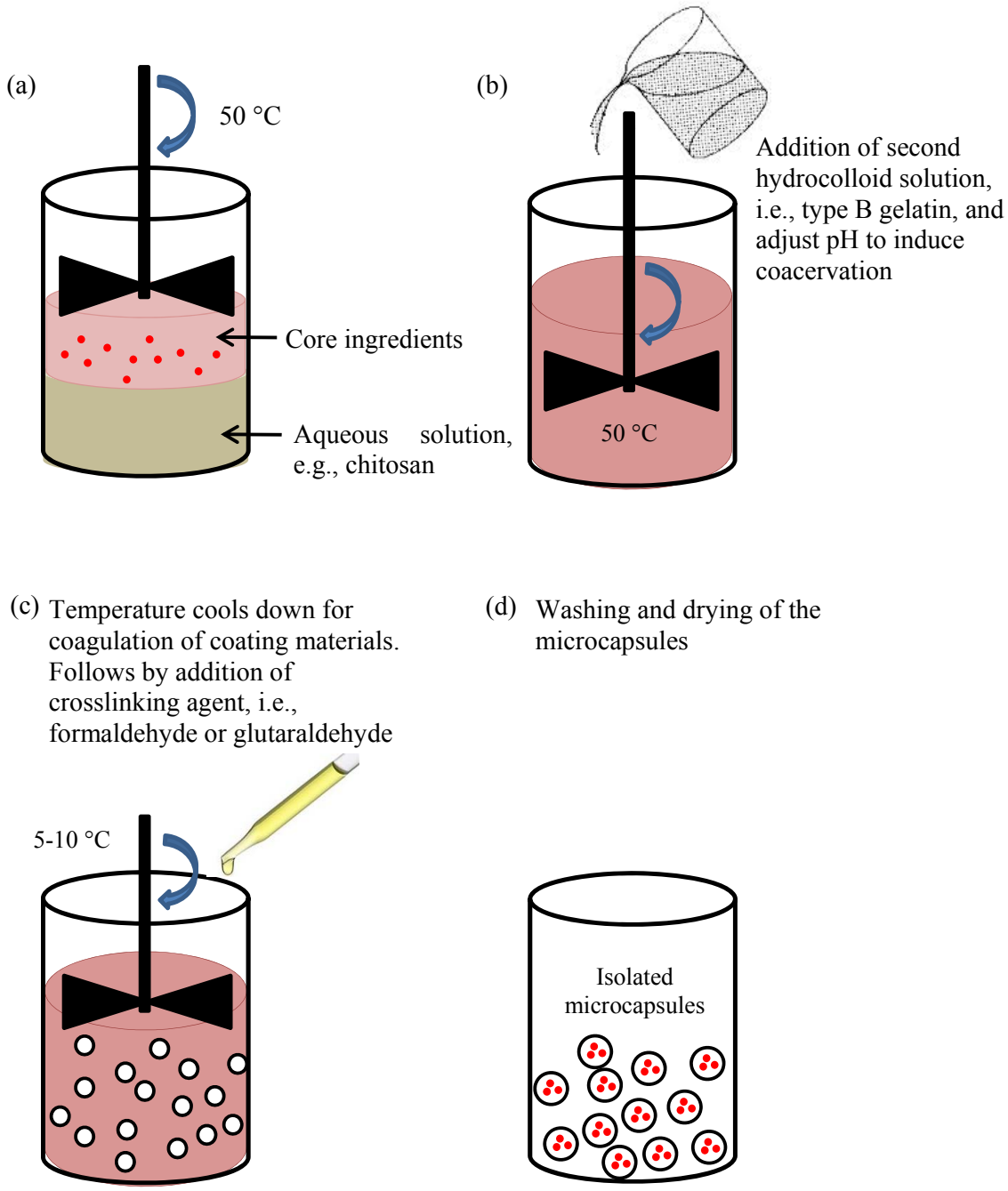

Figure 1.9. Process of microencapsulation by complex coacervation: (a) emulsification or suspension of core ingredients in the vehicle phase (typically aqueous solution); (b) induce complex coacervation by addition of a second complexing hydrocolloid; (c) solidification of wall materials and crosslink to stabilize the microcapsules; and (d) washing and drying.

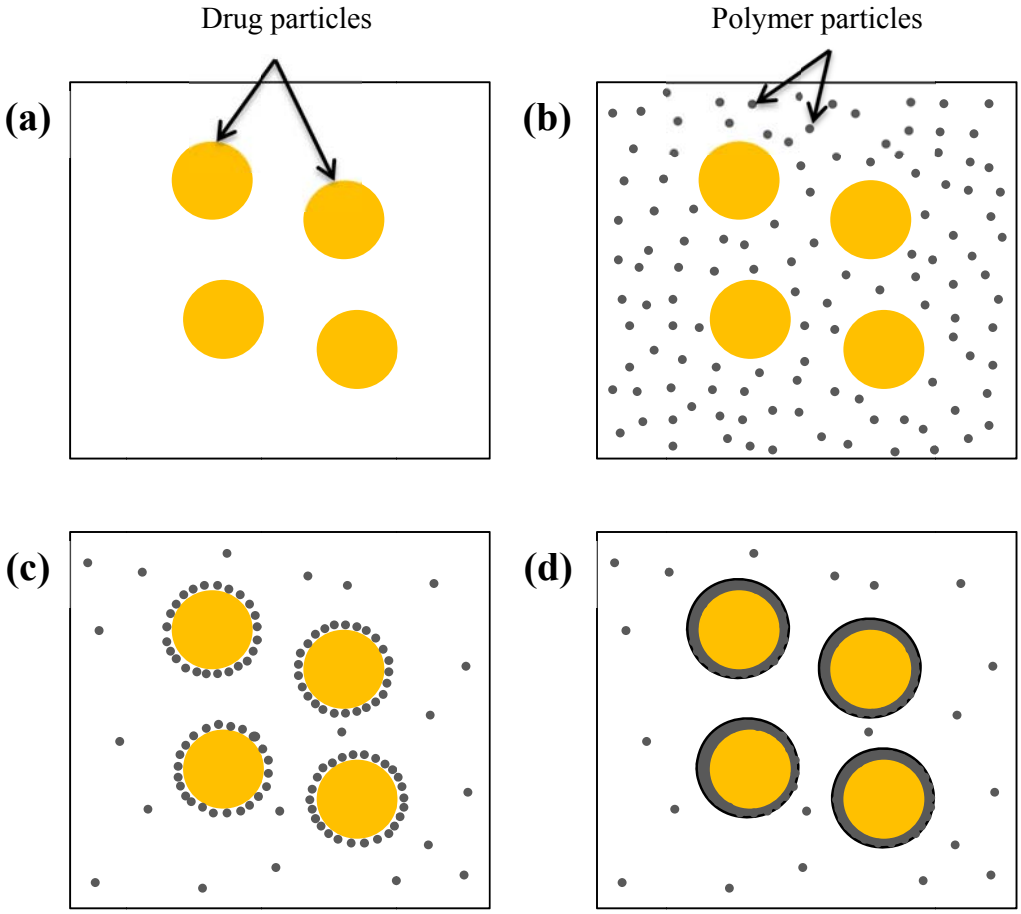

Figure 1.10. Schematic representation of microencapsulation by coacervation: (a) dispersed liquid or solid drug particles, (b) induction of phase separation, (c) deposition of microdroplets at the surface, and (d) fusion into a membrane.