

1
2
3
4
5
6
7
8
9
10
11
12
13
14
15
16
17
18
19
20
21
22
23

A quality by design (QbD) twin – screw extrusion wet granulation approach for processing water insoluble drugs

Mohammed Maniruzzaman¹, Steven A. Ross¹, Tumpa Dey¹, Arun
Nair², Martin J. Snowden¹, Dennis Douroumis^{1*}

¹Faculty of Engineering and Science, School of Science, University of Greenwich, Chatham
Maritime, Chatham, Kent ME4 4TB, UK

²Fuji Chemical Industry Co., Ltd., 12F, The Front Tower Shiba Koen, 2-6-3 Shibakoen,
Minato-Ward, Tokyo, 105-0011 JAPAN

* To whom correspondence should be addressed: Dennis Douroumis, University of Greenwich, Faculty of Engineering and Science, Chatham Maritime, ME4 4TB, Kent, UK, email: D.Douroumis@gre.ac.uk, Phone: +44 208 331 8440, Fax: 0044 (0) 208 331 9805.

24 **ABSTRACT**

25 In this study, a Quality by Design (QbD) approach was used to identify the effect of formulation
26 parameters in a twin screw wet extrusion granulation process for the manufacturing of
27 **ibuprofen (IBU)** granules with increased dissolution rates. **A fractional factorial Design of**
28 **Experiment (DoE) was used to investigate the effect of the excipient composition, binder**
29 **amount and liquid to solid (L/S) ratio (independent variables)** on drug dissolution rates, median
30 particle size diameter and specific surface area (dependent variables). The intra-granular
31 addition of the binder in inorganic/polymer blends processed with ethanol **as** granulating
32 liquids facilitated the formation of granules at various particle sizes. DoE regression analysis
33 showed that all formulation parameters affect the dependent variables **significantly**. The
34 enhanced dissolution rates were attributed not only to the IBU particle size reduction and
35 adsorption in the porous inorganic network but **also to the high specific** surface area of the
36 produced granules. Dynamic vapour sorption **showed increased** water absorption for **granules**
37 with small particle size distribution and high specific surface area.

38

39 **Key words:** wet granulation, DoE, QbD, dissolution rate, specific surface area, water
40 sorption

41

42

43

44

45

46

47

48

49

50

51

52

53

54

55

56

57 **1. Introduction**

58 In the recent years twin–screw extrusion granulation (TSG) has attracted significant interest
59 for the development of a variety of oral solid dosage forms such as granules, tablets or capsules
60 in a continuous manufacturing manner. TSG approaches have been introduced as an alternative
61 approach for the passage from batch processing to continuous manufacturing in the
62 pharmaceutical industry. Although there are several reported studies, extrusion granulation is
63 still in its infancy and further work is required to fully understand the technology ([Schmidt et](#)
64 [al., 2016](#)). In a recent study, Thompson et al highlighted the influence of various processing
65 and formulation parameters on the granulation process. According to Thompson et al., and
66 Djuric et al., scaling up of extrusion granulation is not a straightforward exercise and the
67 mechanisms within the process need to be better understood ([Thompson, 2015](#); [Djuric et al.,](#)
68 [2009](#)).

69 The two major extrusion granulation approaches are a) wet granulation where the
70 granulating liquid, with or without the addition of binders, is pumped into the screw zones and
71 b) hot melt granulation which uses a molten binder to effectively bind the drug and the
72 polymers ([Weatherley et al., 2013](#)). Both process can effectively manufacture high quality
73 granules for immediate or sustained drug release, however, both processes also present a
74 number of drawbacks. For example, wet granulation requires a drying step for water removal
75 that is time consuming while hot granulation uses relatively high barrel temperatures varying
76 from 60-100°C.

77 **An in-depth** study was presented by Vercruyse et al., using a six-segmented fluid bed dryer
78 of the ConsiGma™-25 system comprising of a continuous twin screw granulation and drying
79 system ([Vercruyse et al., 2015a](#)). By running the system for **1 h** the authors evaluated the
80 effect of process outcomes, granule properties and tablet quality attributes. The torque and
81 barrel wall temperatures were stabilized after 30 min performance while the tablet properties
82 were adequate when comparing two ConsiGma systems (-1 and -25). Other studies have
83 highlighted the impact of screw configuration on the particle size distribution, where conveying
84 elements produced wide multimodal size distributions, while kneading elements have found to
85 narrow the size of agglomerates ([Vercruyse et al., 2015b](#); [Meng et al., 2016](#)). The delivery of
86 the binder in the powder blend or in the granulating liquid has a tremendous effect on the
87 obtained granule quality ([Saleh et al., 2015](#); [Batra et al., 2016](#)). The incorporation of binders,
88 which are blended in the powder mix, resulted in longer residence times and higher torque, but
89 also produced narrower particle size distribution, spherical granules and better binder
90 distribution. In contrast, Fonteyne et al. demonstrated that excellent binder distribution can be

91 obtained by both when the binder is added in the dry blend or when it is added within the
92 granulation liquid (Fonteyne et al., 2014). In the case of melt granulation, low melting binders
93 create stronger granules and the binder molecular weight appeared to have no effect in the
94 process (Weatherley et al., 2013). More recently the use of a foamed binder solution led to the
95 formation of more uniform wetted mass and larger granule growth (Rocca et al., 2015;
96 Thompson et al., 2012).

97 Meier et al., (2016) showed that the feeder performance in conjunction to the screw design
98 influences the granule quality for highly drug loaded formulations and the obtained granule
99 particle size requires detailed knowledge of the feeding systems (Meier et al., 2016). The
100 formulation composition is an aspect that clearly should be taken in account (Meier et al., 2015;
101 Keen et al., 2015; Vanhoorne et al., 2016) where binary or ternary premix blends affect the
102 granule quality as well as the drug dissolution rates.

103 In order to understand the granulation process and the mechanisms involved during
104 material processing, in – line and off – line process analytical tools (PAT) have been
105 implemented to provide valuable insights (Fonteyne et al., 2016; Monteyne et al., 2016a,
106 2016b; Kumar et al., 2014; Vercruyssen et al., 2014; Chablani et al., 2011; Maniruzzaman et al.,
107 2015; Kumar et al., 2014). Near infrared (NIR) probes were used to measure the granules
108 moisture content in comparison to Karl Fisher and loss of drying moisture measurements. In
109 addition, NIR was used to understand the mixing and distribution of granulating liquid. The
110 coupling of Raman mapping with twin – screw granulation provides information of the
111 polymorph transitions and allows mapping of the drug distribution in the granular
112 agglomerates. Similarly, the binder mixing efficiency and distribution was identified through
113 hyperspectral coherent anti-Stokes Raman scattering (CARS) microscopy. The use of high-
114 speed camera enabled also the visualization of the particle size distribution and shape in real
115 time.

116 The purpose of the current study was to investigate the effect of formulation parameters
117 such as excipient composition ratio, binder amount and L/S ratio on the granule formation of a
118 water insoluble drug when processed with organic granulating liquids. Dry blends of inorganic
119 excipients such as anhydrous dicalcium phosphate with a low molecular weight
120 hydroxypropylmethyl cellulose (HPMC) grade were processed for first time with ethanolic
121 granulating liquid.

122

123

124 **2. Materials and methods**

125 *2.1 Materials*

126 Ibuprofen (IBU) was purchased from FarmaShino Pharmaceuticals Co. Ltd., (Nanjing,
127 China) and dibasic calcium phosphate anhydrous (DCPA, Fujicalin®, DCPA) was kindly
128 donated by Fuji Chemical Industries Co., Ltd. (Japan). Hydroxypropyl methylcellulose based
129 polymer Pharmacoat 603 (HPMC) was kindly donated by Shin Etsu, Japan. Polyethylene
130 glycole 2000 (PEG) and ethanol (95%, 190 proof) were purchased from Sigma Aldrich
131 (Gillingham, UK). All solvents used were of analytical grade and used as received.

132 *2.2 Twin screw granulation and DOE analysis*

133 Extrusion granulation studies were conducted using a twin-screw extruder (EuroLab
134 16, Thermo Fisher, Duisburg, Germany) with a length/diameter (L/D) ratio of 40). A
135 configuration with three kneading zones at 30°/40° /60°, 60° and 90° angles respectively was
136 used for all the granulation trials. The IBU formulations were thoroughly mixed in a Turbula
137 (TF2, Basel, Switzerland) mixer of 1 Kg batches for 10 min each, prior to the extrusion process.
138 During granulation, dry blends of the drug, polymer, inorganic carrier and the binder PEG were
139 fed into the extruder with a volumetric feeder (Brabender, Duisburg, Germany) at 1 kg/h feed
140 rate while the screw rate was set at 100 rpm under ambient temperature. A peristaltic pump,
141 plunged in close proximity to the extruder's feeding opening, supplied the granulating liquid
142 (ethanol) at a constant rate. The "as made" extruded granules were dried in an oven (Memmert
143 UF30, UK) at 30°C for 2h then further micronized through a cutter mill (Retsch, Germany)
144 with a 250 µm fitted mesh.

145 For the QbD approach a Design of Experiment (DoE) was introduced by using Fusion
146 One software (DoE Fusion One™, California, USA). A response surface fractional factorial
147 design ($2^3+3=11$) in randomized order with three centre points was designed with three
148 independent and three dependant variables. The drug loading was kept constant (40%) where
149 the DCPA/Polymer ratio (0.33 – 2.0), binder amount (5 – 12%) and L/S ratio (0.25 – 4.0) were
150 set as independent variable. The drug release rate, the median particle size distribution (D50)
151 and specific surface area (SSA) were defined as the dependant variables.

152

153 *2.3 Particle size analysis*

154 The particle size distribution of the extruded granules was determined using a
155 Mastersizer 2000 laser diffraction analyser (Malvern Instruments, UK) with a dry powder
156 sample dispersion accessory (Scirocco 2000). Samples were processed with a pressure at 0.5

157 bars and a vibration feed rate of 50% in triplicate. The software analysis provided the **d(10)**
158 d(50) and d(90) granular particle size values which are the geometric median particle size
159 particle diameters at 10 and 90% of the cumulative volume distribution, respectively.

160

161 *2.4 Scanning electron microscopy (SEM)*

162 SEM images of the extruded IBU granules were captured using a cold-cathode field-
163 emission gun scanning electron microscope (Hitachi SU8030 FEG-SEM, Tokyo, Japan) with
164 30 mm² Ultra-Dry window and Noran 7 software. The samples were glued using adhesive
165 carbon tape on sample tabs and coated with carbon (Edwards 306 high vacuum carbon
166 evaporation) prior to the analysis. The accelerating voltage was set at 8 kV.

167

168 *2.5 X-ray powder diffraction (XRPD)*

169 XRPD was used to determine the solid state of bulk materials, physical mixtures and
170 extruded granules using a Bruker D8 Advance (Karlsruhe, Germany) in theta-theta mode. For
171 the study purposes a Cu anode at 40kV and 40Ma, parallel beam Goebel mirror, 0.2 mm exit
172 slit, LynxEye Position Sensitive Detector with 3° opening (LynxIris at 6.5 mm) and sample
173 rotation at 15 rpm were used. Each sample was scanned from 2 to 60° 2θ with a step size of
174 0.02° 2θ and a counting time of 0.1 seconds per step; 176 channels active on the PSD making
175 a total counting time of 35.2 seconds per step. The positions of the diffraction peaks for both
176 the bulk, physical mixture and granulated products were identified using EVA phase analysis
177 software (Bruker, Karlsruhe, Germany). TOPAS V4.2 structural analysis software (Bruker,
178 Karlsruhe, Germany), was utilized to estimate the amount of amorphous content present in the
179 granules. Crystal structural data of for Ibuprofen was taken from the Cambridge structural
180 database (CSD) (REFCODE: JEKNOC10) and used as a standard alongside our granules.
181 TOPAS scales the peaks to the standard and redistributes the rest which allows us to estimate
182 the percentage amount of amorphous material present in the sample (Freer et al., 1993).

183

184 *2.6 Differential scanning calorimetry (DSC) study*

185 A Mettler-Toledo 823e (Greifensee, Switzerland) differential scanning calorimeter
186 (DSC) was used to conduct thermal analysis of the bulk materials, physical mixtures and
187 extruded granules. Typical samples of 3-5 mg were placed in sealed aluminium pans with
188 pierced lids. The samples were heated at 10°C/min from 0°C to 220°C under dry nitrogen
189 atmosphere and reheated at the same heating rate.

190 *2.7 Dynamic vapour sorption (DVS) analysis*

191 Moisture sorption and desorption of the IBU loaded granules were determined via an automated
192 gravimetric dynamic vapour sorption (DVS) analyser, Advantage-1 (Surface Measurements
193 Systems Ltd, UK). All samples were equilibrated at 0% RH for 5 min to record the dry and
194 reference mass prior to the exposition of the samples to the following relative humidity (% RH)
195 profile: 0 to 100% in 20% steps and the reverse for desorption at $25.0\pm 0.1^{\circ}\text{C}$ and $40\pm 0.1^{\circ}\text{C}$. At
196 each stage, prior to the change of the humidity, the sample mass allowed to reach equilibrium
197 defined as $dm/dt=0.002$ mg/min over 10 min, before the RH was changed. A total gas flow 200
198 sccm was maintained throughout the study. The amount of water uptake was calculated as
199 percentage of weight change compared to the dry initial mass.

200

201 *2.8 In vitro dissolution study*

202 *In vitro* drug dissolution studies were carried out in 900 ml of both 0.1 M HCl (pH 1.2)
203 and 0.2 M dihydrogen-sodium-orthophosphate (pH adjusted with NaOH to 6.8) for 2 hr using
204 a Varian 705 DS dissolution paddle apparatus (Varian Inc. North Carolina, US) at 100 rpm.
205 The dissolution bath and the vessels were equilibrated at $37 \pm 0.5^{\circ}\text{C}$. Samples (5ml) were
206 withdrawn at predetermined time intervals for HPLC assay. All dissolution studies were
207 performed in triplicate.

208

209 *2.9 HPLC analysis*

210 The drug release was determined by HPLC analysis using an Agilent Technologies
211 system 1200 series with a HYCHROME S50DS2-4889 ($5\ \mu\text{m} \times 150\ \text{mm} \times 4\ \text{mm}$) column. The
212 mobile phase consisted of acetonitrile/water/phosphoric acid (65/35/0.2 v/v) while the flow
213 rate and the wavelength were set at 1.5 ml/min and 214 nm. The calibration curve plotted with
214 concentrations varying from $10\ \mu\text{g}/\text{ml}$ to $50\ \mu\text{g}/\text{ml}$ and $20\ \mu\text{l}$ injection volumes. The IBU
215 retention times varied from 2.5 – 3.0 min.

216

217 **3. Results and discussion**

218 *3.1 Evaluation of extrusion granulation process*

219 The QbD is well defined by regulatory authorities and involves “A systematic approach
220 to development that begins with predefined objectives and emphasizes product and process
221 understanding and process control, based on sound science and quality risk management”.
222 However, we need to clarify that the current QbD approach is limited to the process

223 understanding and mainly to the effect of the formulation parameters on the extrusion
224 granulation. The objectives included the formation of IBU granules with increase dissolution
225 rates, uniform particle size distribution and excellent granule flowability.

226 One of the most important aspects in extrusion granulation is the appropriate selection
227 of the drug carriers as different polymer grades (viscosity and substitution degree) are directly
228 related to the quality of granules and the drug dissolution rates (Vanhoorne et al., 2016).
229 Although HPMC grades with a higher molecular weight have been utilized for sustained release
230 formulations before, in this study we used HPMC substitution type 2910 with a higher degree
231 of hydroxypropyl substituents, which has a low molecular weight and low viscosity. Because
232 HPMC is insoluble in primary alcohols, no swelling occurred and hence low torque values
233 were observed. There is only one study by Djuric and Kleinebudde where inorganic excipients
234 such as DCPA are used to study the scale up of wet granulation processing (Djuric and
235 Kleinebudde, 2010). However, the authors used a low-quality grade of DCPA (Di-CaFos) with
236 high cohesiveness and poor flowability. In this study, we introduced a spray-dried DCPA grade
237 with excellent flowing properties, spherical shape, high surface area and porosity. As described
238 above, for the purposes of the study the screw configuration consisted of three kneading blocks
239 where disks offset at different angles varying at 30°, 60° and 90° (Fig.1). Previous work has
240 shown that kneading elements narrow the particle size of the granules (Vercruysse et al., 2015b;
241 Meng et al., 2016) and particularly the 90° configurations increase agglomeration resulting in
242 fewer fines and small particles (Thompson and Sun, 2010).

243 The various PEG binder amounts were blended intra-granularly with the dry premix
244 without being dissolved in the ethanolic granulating liquid to facilitate narrower granule size
245 distribution with spherical shape and thus better flowability. In addition, DCPA has shown
246 better granulating performance when processed with organic solvents. PEG was chosen as the
247 binder due to its low molecular weight. PEG is extremely hydrophilic and hydrophilic binders
248 have been shown to affect binder – polymer interactions (e.g. HPMC) and allow for faster
249 dissolution rates (Tan et al., 2014). Finally, the screw speed and feed rate were kept constant
250 at 100 rpm and 1Kg/h respectively, hence the process throughput, in order to reduce the number
251 of granulation variables. There are contradictory reports related to the screw speed and
252 throughput increase (Kumar et al., 2014; Vercruysse et al., 2012; Tan et al., 2011) on the
253 obtained particle size distribution and the formation of large agglomerates. Thus, the effect of
254 processing parameters would require a completely separate study and further experimentation.
255 For the same reasons the IBU amount was kept at 40% for all formulations throughout the
256 granulation process.

257 As shown in Table 1 the DoE the independent variables included the DCPA/Polymer
258 ratio (A), the binder amount (B) and the liquid/solid (C) ratio on the granulation process while
259 the drug dissolution rate, the median particle size (D50) and the specific surface area (SSA)
260 were identified as the dependent variables. The software regression analysis (Table S1, Suppl.
261 Material) showed that all independent variables have a significant effect on IBU dissolution
262 rates (<0.05). A two – way interaction between A/B, A/C and B/C showed also significant
263 effect on dissolution suggesting a complex granulation process. These results are quite different
264 to a similar study conducted by Maniruzzaman et al., where deionized water was used as
265 granulating liquid and only the excipients ratio influenced the drug dissolution rates. Similarly,
266 DCPA/HPMC, PEG amount and L/S have a significant effect on the granule particle size
267 distribution ($p<0.05$). The latter is in good agreement with other extrusion granulation studies
268 (Maniruzzaman et al., 2015; Dhenge et al., 2012). Finally, the granule specific surface area was
269 affected significantly by the DCPA/Polymer ratio and the binder (PEG %) amounts.

270 The contour plots in Fig. 2 show the response surface plots for the three dependent
271 variables. The implementation and analysis of a response surface fractional factorial DoE with
272 a reduced number of runs helped to identify the effects of the selected independent variables
273 and identify those settings for granules of optimized quality.

274

275 *3.2 Particle morphology and distribution*

276 SEM analysis investigated the size and the morphology of the bulk materials and
277 obtained granules. Fig. 3 shows needle shaped crystal morphology for bulk unprocessed IBU
278 while all extruded formulations appear as granular agglomerates with almost spherical shape.
279 For some extruded formulations, SEM images show the presence of minuscule particles
280 varying for 10 – 50 μm . Furthermore, no drug crystals can be seen in the granules suggesting
281 adsorption in the porous DCPA network ($104 \text{ m}^2/\text{g}$) and consequently particle size reduction
282 of the drug substance through the granulation process. The average particle size of all extruded
283 formulations (except F6) is much smaller compared to bulk IBU which supports this
284 assumption. It is likely that IBU was partly dissolved by ethanol which facilitated its particle
285 size reduction.

286 Additional investigations were conducted by using laser diffraction analysis to identify
287 the particle size distribution of the various granules. As shown in Fig. 4 several of the
288 granulated batches presented monomodal distribution while for most formulations the size
289 distribution is bimodal. A careful observation of the laser diffraction analysis shows that

290 bimodal distributions are related to either an increased amount of fine or large agglomerates.
291 Table 1 shows a wide variation for the d(50) particle size diameter of all DOE experiments
292 ranging from 188.0 – 1033 μ m. The smaller particle size distributions correspond to higher SSA
293 values, which can affect the granule hydration and consequently the IBU dissolution profiles.
294 Furthermore, from Table 1 it can be observed that monomodal particle size distributions are
295 affected by the DCPA/polymer (1:1) and binder amounts (8-12%). As shown in Table S2
296 (Suppl. Material) most of the granulated formulations presented excellent flowability which
297 was attributed to the presence of DCPA and the obtained quality of the granules (Dhenge et al.,
298 2012).

299

300 3.3 X-ray powder diffraction (XRPD)

301 X-ray analysis of the bulk materials and extruded granules was carried out to investigate
302 the physical state of IBU during processing. Fig. 5 (inset) shows distinct intensity peaks
303 corresponding to IBU at 6.03°, 12.09°, 16.48°, 17.55°, 18.75°, 20.02°, 22.13°, 24.47°, 24.99° 2 θ
304 position and PEG at 19.01° and 23.49° 2 θ position, respectively (data not shown). The
305 comparison of the physical mixtures and extruded granules diffractograms in Fig. 5 showed a
306 decrease on the intensity of the diffractograms for all formulations. This indicates that a small
307 fraction of IBU transformed from crystalline to amorphous during the granulation process. In
308 order to obtain and identify the amount of amorphous content present, our data was fitted to a
309 standard diffractogram taken from the Cambridge Structural Database (CSD). The amorphous
310 content was then calculated from the redistributed amount which are not attributed to the
311 crystalline material. This amorphous amount was found to be <5%. The usage of ethanol as
312 granulating liquid and the application of high shear mixing due to the three zones of kneading
313 elements facilitated the formation of a small amorphous IBU fraction. This is not uncommon
314 and was also observed when aqueous granulating liquid or melt granulation were used for
315 processing of IBU (Thompson, 2015). Extruded granules were further placed under accelerated
316 stability conditions for six months and as expected, changes on IBU physical state were
317 observed. As shown in Fig. S1 (Suppl. Material) a slight recrystallization of the amorphous
318 fraction occurred at the end of the stability period. It has also been previously reported that
319 IBU's mobility in the presence of PEG (Zhu et al., 2010) affects the drug physical state.

320

321

322

323 *3.4 DSC analysis*

324 DSC thermal analysis was conducted to further investigate the IBU physical state in the
325 extruded granules in comparison to the bulk substance. DSC **scans were carried out** for the
326 bulk materials as well. Fig. 6a illustrates the thermal melting transitions of bulk PEG and IBU
327 with endothermic peaks at 62.05°C ($\Delta H = 168.99$ J/g) and 77.79°C ($\Delta H = 92.42$ J/g)
328 respectively. Due to its amorphous nature HPMC presented a glass transition peak at 152.69°C
329 while no thermal event was detected for DCPA. Fig. 6b shows the thermal events for the
330 physical mixtures where PEG presented decreased melting endotherms varying from 59.3 –
331 63.8°C while for IBU only negligible shifts at 77.5 – 78.5°C could be observed with melting
332 **peaks appeared broad**. Further melting endotherm depression can be seen for the granulated
333 formulations with PEG melting endotherms varying from 40.0 – 63.5°C and IBU from 69.5 –
334 75.3°C, respectively.

335 In both cases **the thermal** shifts are attributed to the PEG solubilizing capacity on IBU,
336 which has been demonstrated in hot melt granulation studies. Weatherley et al., observed
337 stronger depression of both PEG and IBU melting endotherms in melted granules due to the
338 solubilisation of IBU in the melted polymer (Weatherley et al., 2013). As we didn't apply any
339 thermal processing for the current extrusion granulation the depression of the melting
340 endotherms is also attributed to a combination of factors such as a) the particle size reduction
341 caused by the kneading elements (Niazi, 2007) and b) PEG reach domains in the granules due
342 to the excellent mixing of the extrusion processing.

343

344 *3.5 DVS analysis*

345 The effect of controlled moisture on the physical solid state stability of the IBU granules
346 manufactured via twin screw granulation process was studied using a DVS machine. The
347 moisture absorption and desorption profiles of the manufactured granules assessed and
348 monitored are depicted in Fig. 7. **For this study**, it is assumed that the amount of water up-
349 taken by various granules can be correlated to its **solid-state** stability via the dynamic vapour
350 sorption analysis. The presence of hydrophilic components such as HPMC and PEG along
351 with the inorganic DCPA, which promotes disintegration when used in oral solid dosage forms,
352 may lead to an increased amount of water absorbed. As can be seen in Fig. 7, the vapour
353 sorption isotherms indicates increased amount of water uptake upon increasing the relative
354 humidity (RH) at two different conditions (ambient and 40°C). All formulations presented a
355 mass increase from 1.1 – 3.0% at 60% RH at both 25°C and 40°C temperature settings. After

356 60% RH the water sorption accelerated and the mass of the granules was further increased up
357 to 6 – 7.0% at 100% RH for all three granules batches. As expected the desorption segments
358 of F2, F8 and F9 exhibited a reversible process projected by the event of a steady water loss.
359 All three batches showed similar DVS profiles regardless the difference in formulation
360 compositions and the changes in mass at any relative humidity values higher than 80% RH,
361 dropped significantly.

362 The increase water sorption for the three granule batches was initially attributed to the
363 composition of the formulations, which contain high amounts of hydrophilic carriers such as
364 HPMC and PEG. However, as it can be seen in Fig. 7(d), unlike other two formulations (F8
365 and F9), F2 showed temperature independent mass gain as a function of water uptake. In both
366 ambient and 40°C, F2 presented a significant mass gain when the relative humidity reached
367 100% RH. By examining the values of the dependent variables in Table 1 for the three batches
368 **carefully**, it is noticed that F2 has a significant smaller particle size and higher SSA compared
369 to the other two. Thus, the increased water sorption for F2 can be attributed to the impact of
370 the physical properties such as particle size and SSA.

371

372 3.6 *In vitro* dissolution studies

373 One of the main targets of the extrusion granulation process was to enhance the
374 dissolution rates of the water insoluble IBU. DCPA facilitates granule disintegration due to the
375 rapid water uptake and HPMC has been reported to increase dissolution rates due to its
376 hydrophilic nature. Fig. 8 shows the dissolution profiles of high IBU loaded granules (40%
377 **w/w**) for extruded formulations with the highest dissolution rates in comparison to bulk
378 substance in acidic medium (pH1.2). As it can be seen dissolution rates varied from 65 – 80%
379 after 120min for the extruded granules while only 10% of bulk IBU was dissolved at the same
380 time. As mentioned above all independent parameters have a significant effect on the granule
381 dissolution rates. However, for the formulations with the best dissolution performance
382 independent variables varied from 0.33 – 1.0 DCPA/HPMC ratios, 5 – 8% PEG amounts and
383 0.25 – 0.3 L/S ratios. Since X-ray analysis showed a small amorphous fraction of IBU in the
384 granules the increase dissolution rates were attributed to the drug adsorption in the inorganic
385 porous network and the subsequent particle size reduction mentioned above. In addition, faster
386 dissolution rates were observed for granulated formulations with high specific surface area
387 ($>0.100\text{m}^2/\text{g}$), which is directly related to granule porosity. The phenomenon is not uncommon
388 and dissolution properties have found to be significantly affected by porosity changes of the
389 prepared granules ([Weatherley et al., 2013](#); [Le et al., 2011](#)) which can result in faster hydration

390 rates and water sorption. This is in good agreement with the DVS analysis which showed higher
391 water sorption for granules with high surface area and small particle size. The accelerated
392 stability batches (Fig. S2, Suppl. Material) presented similar dissolution profiles after six
393 months without any significant changes irrespectively of the IBU recrystallization as
394 mentioned above.

395 **4. Conclusions**

396 A QbD study was designed to identify the effect of formulation independent variables
397 such as DCPA/Polymer ratio, binder concentration and L/S ratio on the dissolution rate, median
398 particle size and specific surface area (dependent variables) of wet extruded IBU granules. The
399 DoE integration revealed that each dependent variable was significantly affected by the
400 formulation parameters. Physicochemical characterizations showed that IBU crystallinity was
401 slightly affected and a small fraction turned to amorphous state, despite the use of ethanolic
402 granulating liquid. The extruded granules showed uniform particle size distribution, excellent
403 flowability and fast dissolution rates in acidic media due to IBU particles size reduction,
404 through the granulation process, the adsorption in the porous inorganic excipient and the high
405 specific surface area of the obtained granules.

407 **Acknowledgements**

408 The authors would like to thank Fuji Chemical Industry Co., Ltd., Japan for the
409 financial contribution.

411 **5. References**

- 412 1. Batra, A., Desai, D., Serajuddin, A. T., 2017. Investigating the Use of Polymeric Binders in
413 Twin Screw Melt Granulation Process for Improving Compactibility of Drugs. *J Pharm Sci.*
414 *106(1)*, 140-150.
- 415 2. Kumar, A., Vercruyssen, J., Bellandi, G., Gernaey, K.V., Vervaet, C., Remon, J.P., De Beer,
416 T., Nopens, I., 2014. Experimental investigation of granule size and shape dynamics in twin-
417 screw granulation. *Int J Pharm.* *475(1-2)*, 485-95
- 418 3. Kumar, A., Vercruyssen, J., Toiviainen, M., Panouillot, P.E., Muuti, J., Vanhoorne, V.,
419 Vervaet, C., Remon, J.P., Gernaey, K.V., De Beer, T., Nopens, I., 2014. Mixing and
420 transport during pharmaceutical twin-screw wet granulation: experimental analysis via
421 chemical imaging. *Eur J Pharm Biopharm.* *87(2)*, pp 279-89

- 422 4. Schmidt, A., de Waard, H., Moll, K.P., Krumme, M., Kleinebudde, P., 2016. Quantitative
423 Assessment of Mass Flow Boundaries in Continuous Twin-screw Granulation. *Chimia*
424 (Aarau). 70(9), 604-9
- 425 5. Freer, A.A., Bunyan, J.M., Shankland, N., Sheen, D.B., 1993. *Acta*
426 *Crystallographica*, Section C: Crys. Structure Comm. 49,1378.
- 427 6. Djuric, D., Van Melkebeke, B., Kleinebudde, P., Remon, J.P., Vervaet C., 2009.
428 Comparison of two twin-screw extruders for continuous granulation. *Eur J Pharm*
429 *Biopharm.* 71, 155–60.
- 430 7. Djuric, D., Kleinebudde, P., 2010. Continuous granulation with a twin-screw extruder:
431 impact of material throughput. *Pharm Dev Technol.* 15(5), 518-25.
- 432 8. Tan, D.C., Chin, W.W., Tan, E.H., Hong, S., Gu, W., Gokhale, R., 2014. Effect of binders
433 on the release rates of direct molded verapamil tablets using twin-screw extruder in melt
434 granulation. *Int J Pharm.* 463(1), 89-97
- 435 9. Vercruysse, J., Burggraeve, A., Fonteyne, M., Cappuyns, P., Delaet, U., Van Assche, I., De
436 Beer, T., Remon, J.P., Vervaet, C., 2015. Impact of screw configuration on the particle size
437 distribution of granules produced by twin screw granulation. *Int J Pharm.* 479(1), 171-80
- 438 10. Vercruysse, J., Córdoba Díaz, D., Peeters, E., Fonteyne, M., Delaet, U., Van Assche, I., De
439 Beer, T., Remon, J.P., Vervaet, C., 2012. Continuous twin screw granulation: influence of
440 process variables on granule and tablet quality. *Eur J Pharm Biopharm.* 82(1), 205-11.
- 441 11. Vercruysse, J., Peeters, E., Fonteyne, M., Cappuyns, P., Delaet, U., Van Assche, I., De Beer,
442 T., Remon, J.P., Vervaet, C., 2015. Use of a continuous twin screw granulation and drying
443 system during formulation development and process optimization. *Eur J Pharm Biopharm.*
444 89, 239-47.
- 445 12. Vercruysse, J., Toiviainen, M., Fonteyne, M., Helkimo, N., Ketolainen, J., Juuti, M., Delaet,
446 U., Van Assche, I., Remon, J.P., Vervaet, C., De Beer, T., 2014. Visualization and
447 understanding of the granulation liquid mixing and distribution during continuous twin
448 screw granulation using NIR chemical imaging. *Eur J Pharm Biopharm.* 86(3), 383-92
- 449 13. Keen, J.M., Foley, C.J., Hughey, J.R., Bennett, R.C., Jannin, V., Rosiaux, Y., Marchaud,
450 D., McGinity, J.W., 2015. Continuous twin screw melt granulation of glyceryl behenate:
451 Development of controlled release tramadol hydrochloride tablets for improved safety. *Int*
452 *J Pharm.* 487(1-2), 72-80
- 453 14. Rocca, K.E., Weatherley, S., Sheskey, P.J., Thompson, M.R., 2015. Influence of filler
454 selection on twin screw foam granulation. *Drug Dev Ind Pharm.* 241(1), 35-42.

- 455 15. Chablani, L., Taylor, M.K., Mehrotra, A., Rameas, P., Stagner, W.C., 2011. Inline real-
456 time near-infrared granule moisture measurements of a continuous granulation-drying-
457 milling process. *AAPS PharmSciTech.* 12(4), 1050-5.
- 458 16. Tan, J., Carella, A.J, Ren, Y.K., Lo, J.B., 2011. Process optimization for continuous
459 extrusion wet granulation. *Pharm Devel Techn.* 16, 302–315.
- 460 17. Fonteyne, M., Fussell, A.L., Vercruysee, J., Vervaet, C., Remon, J.P., Strachan, C., Rades,
461 T., De Beer, T., 2014. Distribution of binder in granules produced by means of twin screw
462 granulation. *Int J Pharm.* 462(1-2), 8-10
- 463 18. Fonteyne, M., Vercruysee, J., De Leersnyder, F., Besseling, R., Gerich, A., Oostra, W.,
464 Remon, J.P., Vervaet, C., De Beer, T., 2016. Blend uniformity evaluation during continuous
465 mixing in a twin screw granulator by in-line NIR using a moving F-test. *Anal Chim Acta.*
466 935, 213-23.
- 467 19. Maniruzzaman, M., Nair, A., Renault, M., Nandi, U., Scoutaris, N., Farnish, R., Bradley,
468 M.S., Snowden, M.J., Douroumis, D., 2015. Continuous twin-screw granulation for
469 enhancing the dissolution of poorly water soluble drug. *Int J Pharm.*, 496(1), 52-62.
- 470 20. Saleh, M.F., Dhenge, R.M., Cartwright, J.J., Hounslow, M.J., Salman, A.D., 2015. Twin
471 screw wet granulation: Binder delivery. *Int J Pharm.* 487(1-2), 124-34.
- 472 21. Thompson, M.R., Sun, J., 2010. Wet granulation in a twin-screw extruder: implications of
473 screw design. *J Pharm Sci.* 99(4), 2090-103
- 474 22. Thompson, M.R., Weatherley, S., Pukadyil, S.R., Sheskey, P.J., 2012. Foam granulation:
475 new developments in pharmaceutical solid oral dosage forms using twin screw extrusion
476 machinery. *Drug Dev Ind Pharm.* 38(7), 771-84.
- 477 23. Thompson, M.R., 2015. Twin screw granulation - review of current progress. *Drug Dev Ind*
478 *Pharm.* 41(8), 1223-31.
- 479 24. Le, P.K., Avontuur, P., Hounslow, M.J., Salman, A.D., 2011. A microscopic study of
480 granulation mechanisms and their effect on granule properties. *Powder Technol.* 206, 18–
481 24.
- 482 25. Zhu, Q., Harris, M.T., Taylor, L.S., 2010. Modification of crystallization behavior in
483 drug/polyethylene glycol solid dispersions. *Mol Pharm.* 9(3), 546–553.
- 484 26. Meier, R., Thommes, M., Rasenack, N., Moll, K.P., Krumme, M., Kleinebudde, P., 2016.
485 Granule size distributions after twin-screw granulation - Do not forget the feeding systems.
486 *Eur J Pharm Biopharm.* 106, 59-69.

- 487 27. Meier, R., Thommes, M., Rasenack, N., Krumme, M., Moll, K.P., Kleinebudde, P., 2015.
488 Simplified formulations with high drug loads for continuous twin-screw granulation. *Int J*
489 *Pharm.* 496(1), 12-23.
- 490 28. Dhenge, R.M., Cartwright, J.J., Houslow, M.J., Salman, A.D., 2012. Twin screw wet
491 granulation: effect of properties of granulation liquid. *Powder Technol.* 229,126–136.
- 492 29. Weatherley, S., Mu, B., Thompson, M.R., Sheskey, P.J., O'Donnell, K.P., 2013. Hot-melt
493 granulation in a twin screw extruder: effects of processing on formulations with caffeine
494 and Ibuprofen. *J Pharm Sci.* 102(12), 4330-6.
- 495 30. Niazi., 2007. Handbook of Preformulation: Chemical, Biological, and Botanical Drugs.
496 Taylor and Francis Group, LLC Boca Raton US, 219
- 497 31. Monteyne, T., Heeze, L., Oldörp, K., Vervaet, C., Remon, J.P., De Beer, T., 2016.
498 Vibrational spectroscopy to support the link between rheology and continuous twin-screw
499 melt granulation on molecular level: A case study. *Eur J Pharm Biopharm.* 103, 127-35.
- 500 32. Monteyne, T., Heeze, L., Mortier, S.T., Oldörp, K., Nopens, I., Remon, J.P., Vervaet, C.,
501 De Beer, T., 2016. The use of rheology to elucidate the granulation mechanisms of a
502 miscible and immiscible system during continuous twin-screw melt granulation. *Int J*
503 *Pharm.* 510(1), 271-84.
- 504 33. Vanhoorne, V., Janssens, L., Vercruyse, J., De Beer, T., Remon, J.P., Vervaet, C., 2016.
505 Continuous twin screw granulation of controlled release formulations with various HPMC
506 grades. *Int J Pharm.* 511(2),1048-57.
- 507 34. Meng, W., Kotamarthy, L., Panikar, S., Sen, M., Pradhan, S., Marc, M., Litster, J.D.,
508 Muzzio, F.J., Ramachandran, R., 2016. Statistical analysis and comparison of a continuous
509 high shear granulator with a twin screw granulator: Effect of process parameters on critical
510 granule attributes and granulation mechanisms. *Int J Pharm.* 513(1-2), 357-375.

511

512

513

514

515

516

517

518

519 **TABLE(S)**

520 **Table 1:** DoE of extrusion granulation with DCPA/Polymer ratio, binder amount (%) and L/S
521 ratio as independent variables and release (%), median particle size diameter **D(50)** and specific
522 surface area (m²/g) as dependent variables

	Process independent variables			Process dependent variables		
Run No.	DCPA/Polymer ratio	Binder (%)	L/S ratio	Release (T _{120min}) (%)	D(50) (µm)	SSA (m ² /g)
F1	2.0	8.0	0.25	72.86	245.1	0.085
F2	1.0	8.0	0.30	80.25	188.0	0.107
F3	0.33	8.0	0.30	75.17	403.9	0.047
F4	2.0	5.0	0.40	67.38	289.6	0.095
F5	2.0	12.0	0.30	67.12	262.7	0.068
F6	1.0	8.0	0.40	68.75	1033.1	0.024
F7	0.33	12.0	0.40	71.03	583.3	0.072
F8	0.33	5.0	0.25	76.66	287.2	0.062
F9	1.0	5.0	0.30	64.89	251.9	0.032
F10	1.0	8.0	0.30	79.90	200.5	0.101
F11	1.0	12.0	0.25	66.23	327.0	0.068

523

524

525

526

527

528

529

530

531

532

533

534

535

536

537

538

539

540

541

542 **Figures caption list**

543

- Fig. 1** Image of the twin – screw configuration used for the extrusion granulation process.
- Fig. 2** Response surface plots of IBU release, specific surface area and particle size distribution dependent variables
- Fig. 3** SEM images of a) bulk IBU, b) F2 granules (DCPA/Polymer 1.0, Binder 8.0%, L/S ratio 0.30) and c) F10 granules (DCPA/Polymer 1.0, Binder 8.0%, L/S ratio 0.30)
- Fig. 4** Laser diffraction particle size analysis of various extruded granules F2 (DCPA/Polymer 1.0, Binder 8.0%, L/S ratio 0.30), F9 (DCPA/Polymer 1.0, Binder 5.0%, L/S ratio 0.30) and F11 (DCPA/Polymer 1.0, Binder 12.0%, L/S ratio 0.25)
- Fig. 5** XRPD diffractograms of bulk IBU (inset), physical mixture (red) and extruded granules (purple).
- Fig. 6** DSC thermographs of a) bulk DCPA, HPMC, IBU and b) physical mixtures and extruded granules.
- Fig. 7** DVS analysis of water sorption and desorption of F2 (DCPA/Polymer 1.0, Binder 8.0%, L/S ratio 0.30), F8 (DCPA/Polymer 0.33, Binder 5.0%, L/S ratio 0.25) and F9 (DCPA/Polymer 1.0, Binder 5.0%, L/S ratio 0.30) extruded granules.
- Fig. 8** *In vitro* dissolution studies of bulk IBU and extruded granules (n=3, 37°C, 100 rpm).

544