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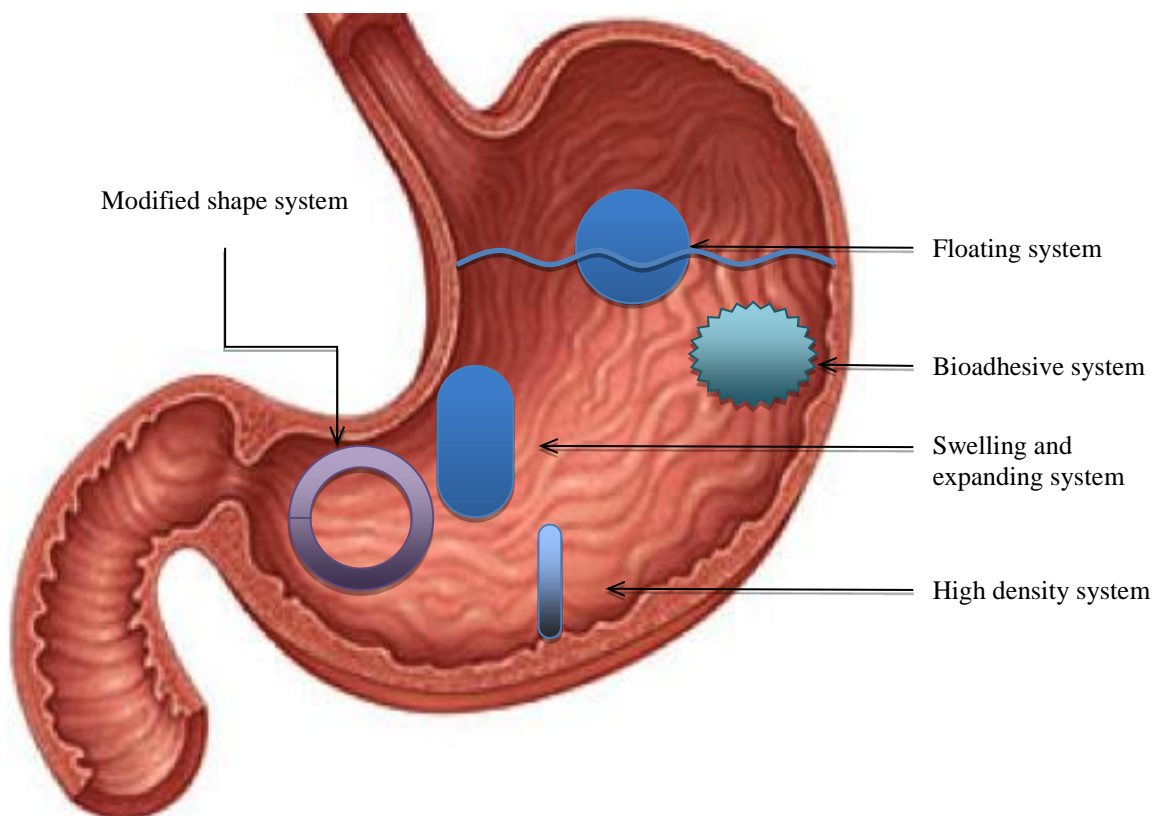
GRAPHICAL ABSTRACT

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

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*Figure required for graphical abstract.*



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29 Gastroretentive formulations for improving oral bioavailability of drugs- focus on  
30 microspheres and their production

31

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35

36 **Abstract**

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

51

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

54

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## 64 1.0 Introduction

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

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

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

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

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

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

## 134 **2.0 Gastric physiology**

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

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

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

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

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

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

212

### 213 **3.0 Gastroretentive strategies**

214 Gastroretentive strategies are suitable for compounds that are:

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

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



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

### 234 **3.1 Floating drug delivery systems**

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

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

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

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

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

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

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

292

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

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

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

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

### 317 **3.1.3 Raft forming systems**

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

330

### 331 **3.1.4 Low Density Systems**

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

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

### 359 **3.2 Modified Shape Systems**

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

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

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

376

### 377 **3.3 Bioadhesive systems**

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

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

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

### 408 **3.4 Swelling and Expanding Systems**

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

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

### 434 **3.5 Magnetic systems**

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

### 441 **High density system**

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

450

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

461

### 462 **4.0 Microspheres production methods**

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

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

#### 469 **4.1 Solvent evaporation**

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

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



## 500 **4.2 Spray drying**

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

### 514 4.2.1 Atomization:

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

### 522 2.3 Solvent evaporation

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

### 531 2.3.3 Particle collection

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

539

#### 540 **4.3 Phase separation or coacervation**

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

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

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

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

580

### 581 **Microsphere Characterisation**

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

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

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

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

607 The specific gravity can be measured by the displacement method using benzene as  
608 a displacing medium [46]. Microspheres for gastroretentive purposes are designed to  
609 float. *In vitro* floatability studies can be done using a USP II dissolution apparatus.  
610 The medium is 900 ml of simulated gastric fluid and contains 0.1N hydrochloric acid,  
611 sodium chloride and 0.02% tween 80. This makes the medium pH 1.2 and gives it a  
612 surface tension resembling human gastric juice, which is between 35 to 50 mN/m<sup>2</sup> [8].  
613 The temperature is maintained at 37°C ± 0.5°C and stirred at 100rpm. The floatability  
614 is measured as percent buoyancy by noting the proportions of floating and settled  
615 microspheres [8]. The formula is given below:

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

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

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

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

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

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

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

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

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

648

649

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

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

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

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

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

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

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

### 707 **Marketed systems**

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

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

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

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

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

745

## 746 **Conclusion**

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

757

## 758 **Declaration of interest**

759 The authors report no conflicts of interest.

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765 **References**

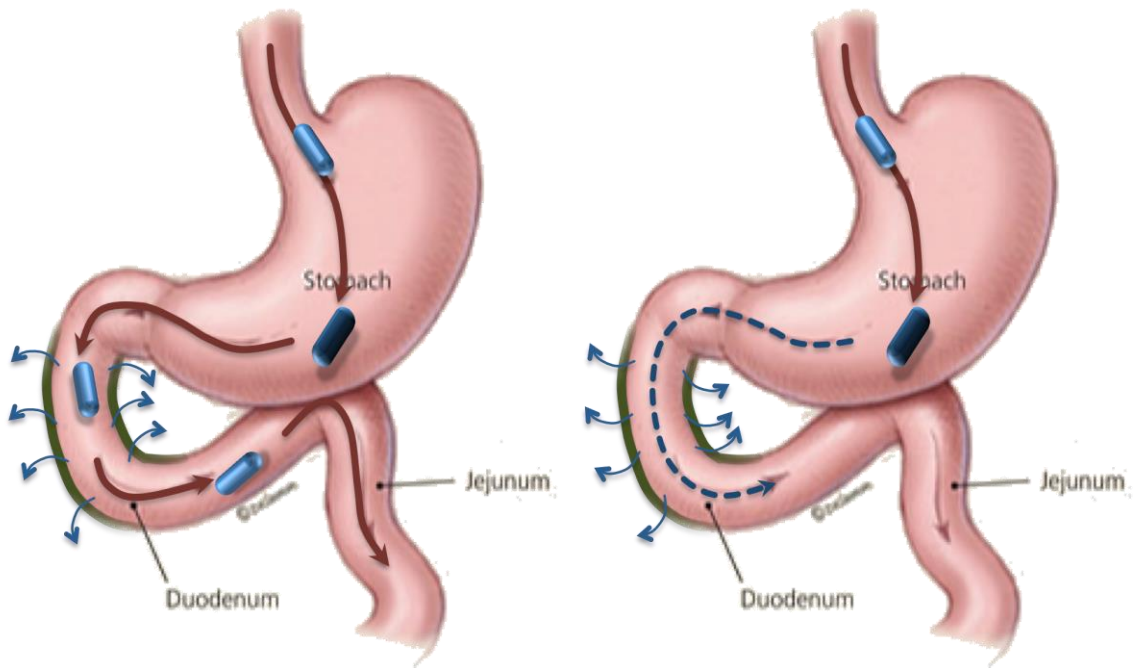
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935 Figure 1: Drug absorption through the absorption window. In (a) a regular dosage form.  
936 There is little absorption beyond the absorption window (b) a gastroretentive formulation,  
937 where there is continued release above the absorption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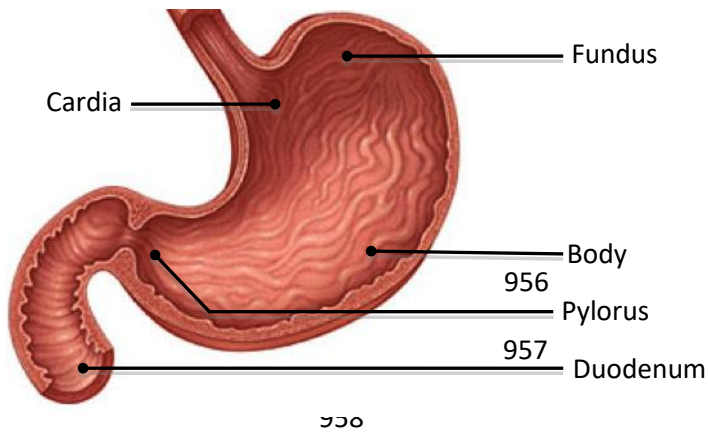


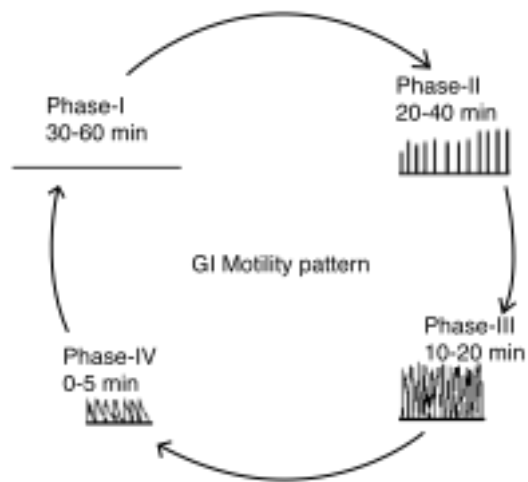
Figure 2: Stomach anatomy

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

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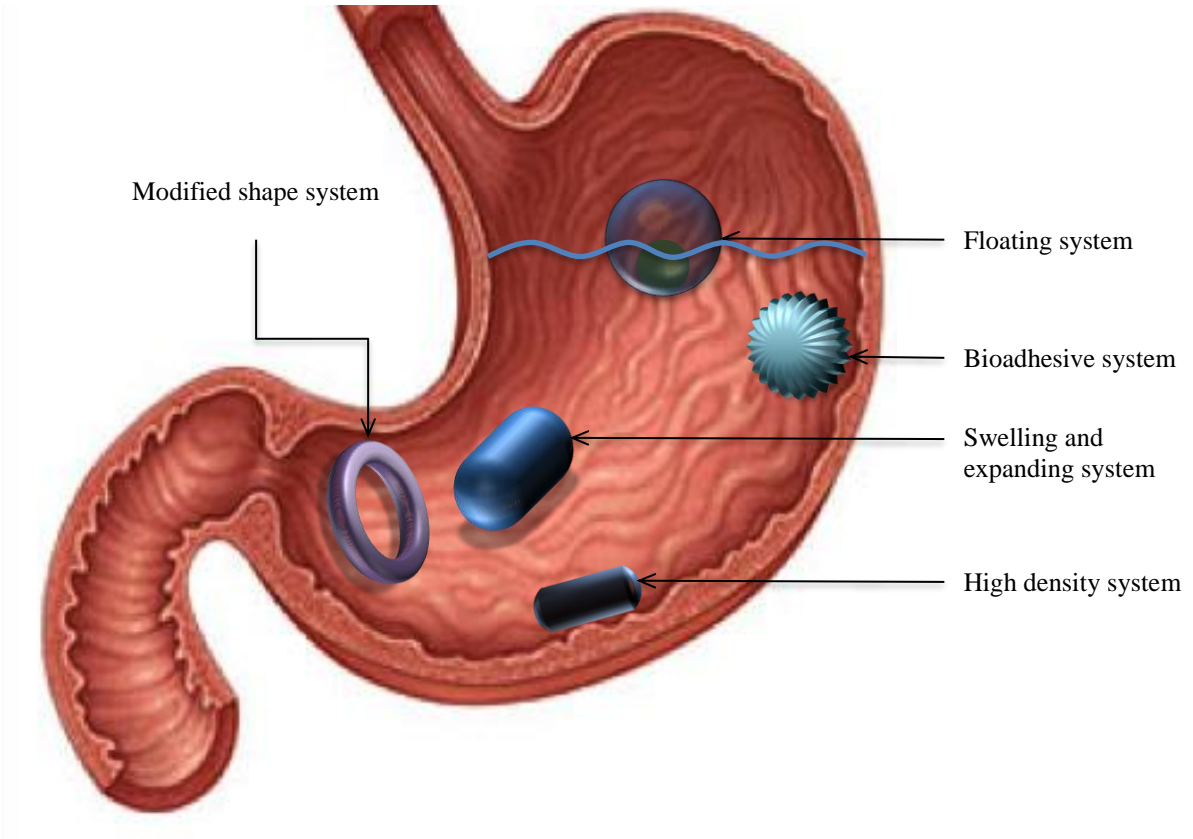
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Figure 4: Positions of various gastroretentive drug delivery systems

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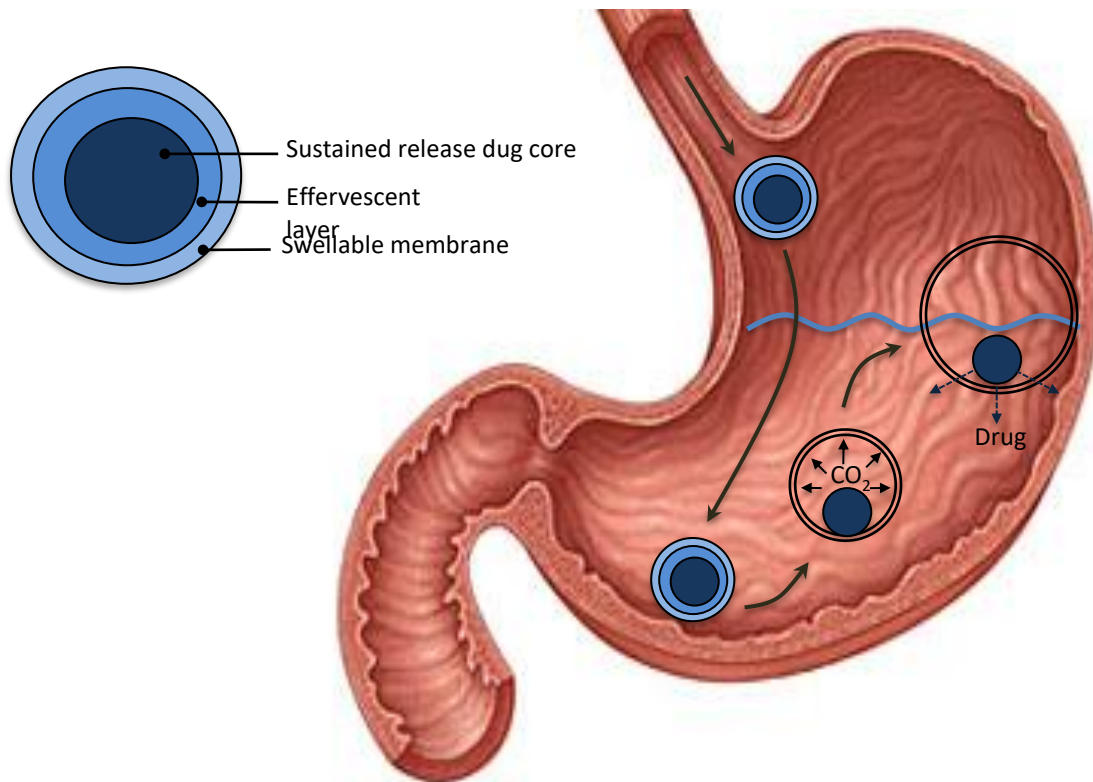
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Figure 5: Effervescent floating formulation in the stomach

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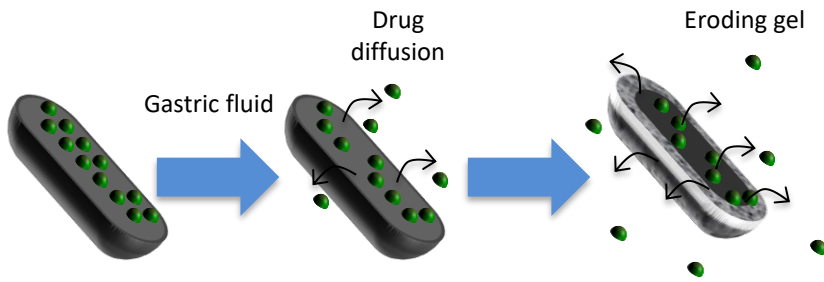
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Figure6: hydrodynamically balanced systems

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

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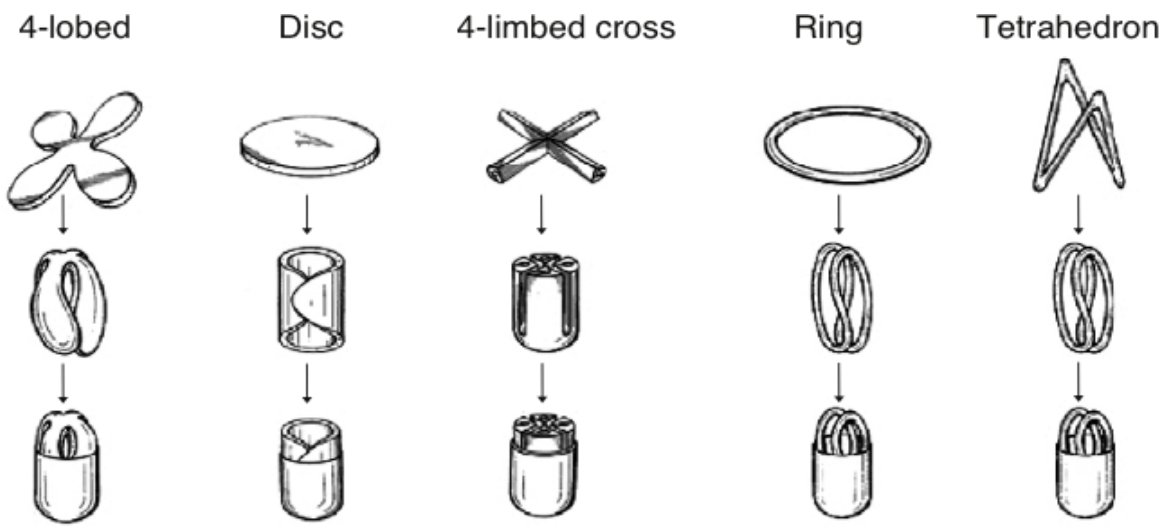


Figure 8: various examples of modified shape systems (Bardonnnet et al., 2005; Klausner et al., 2003)

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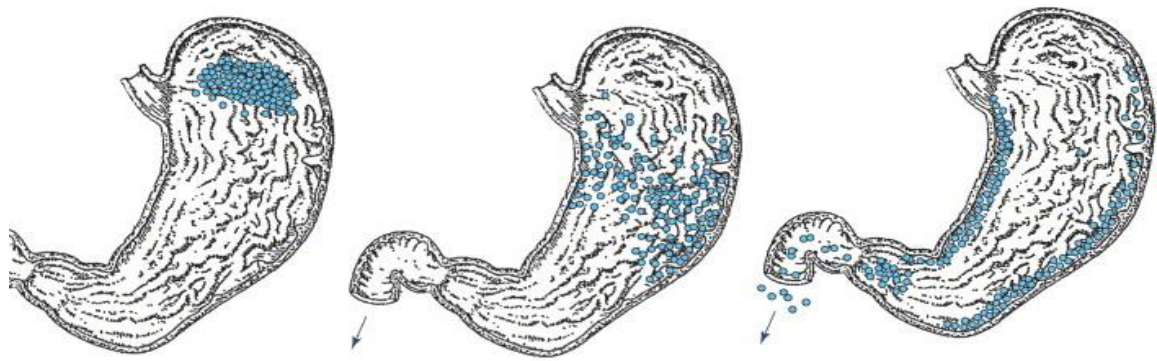
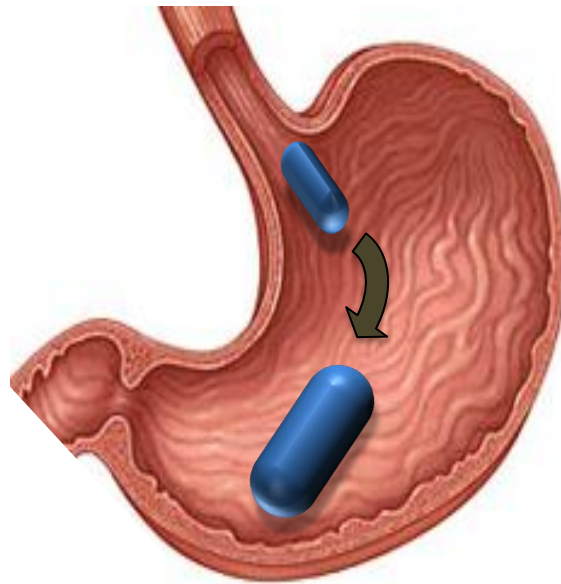


Figure 9: Bioadhesive microspheres in the stomach have gastroretentive properties (Adebisi and Conway 2011)

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Figure 10: Swelling and expanding systems

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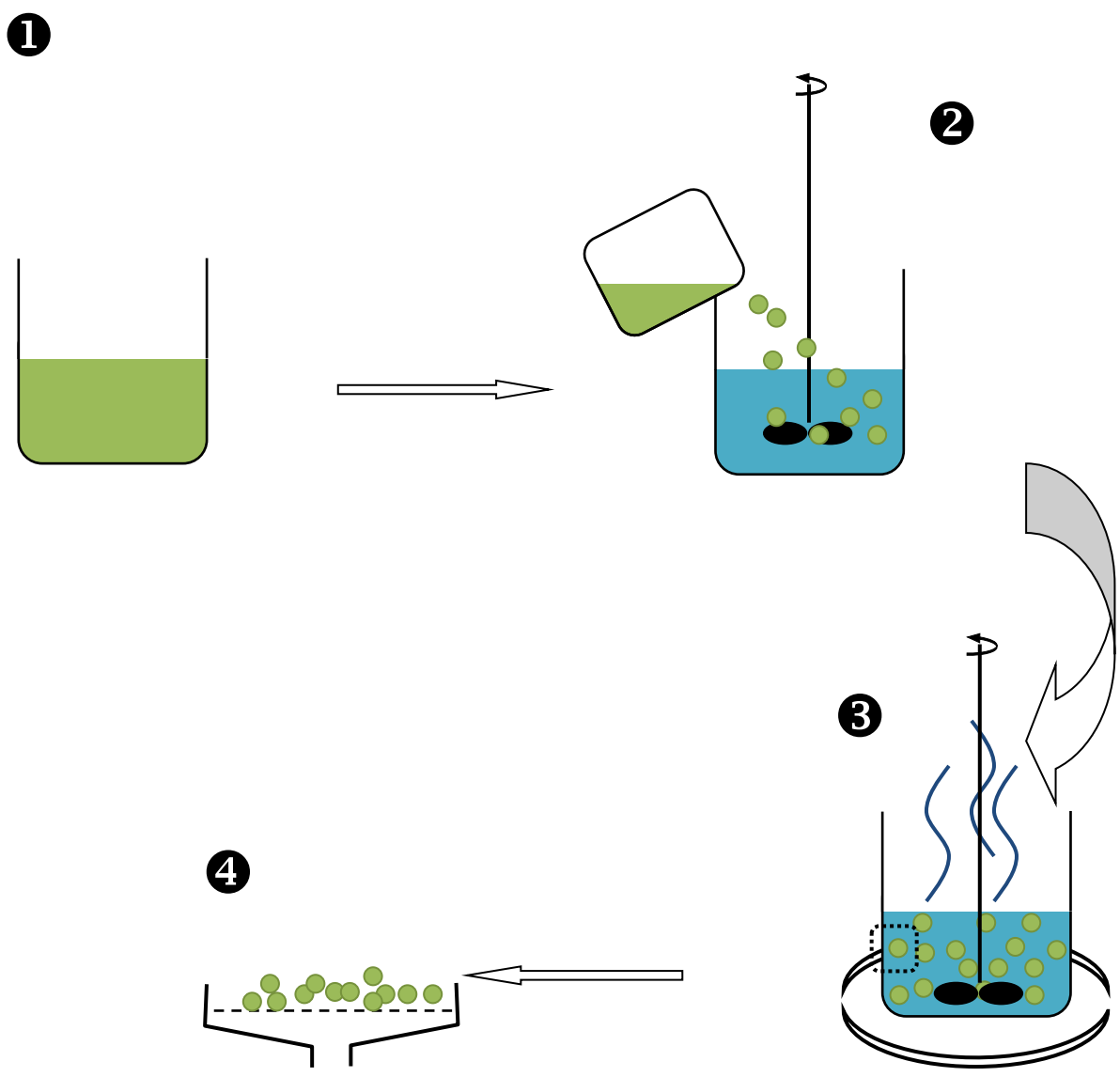
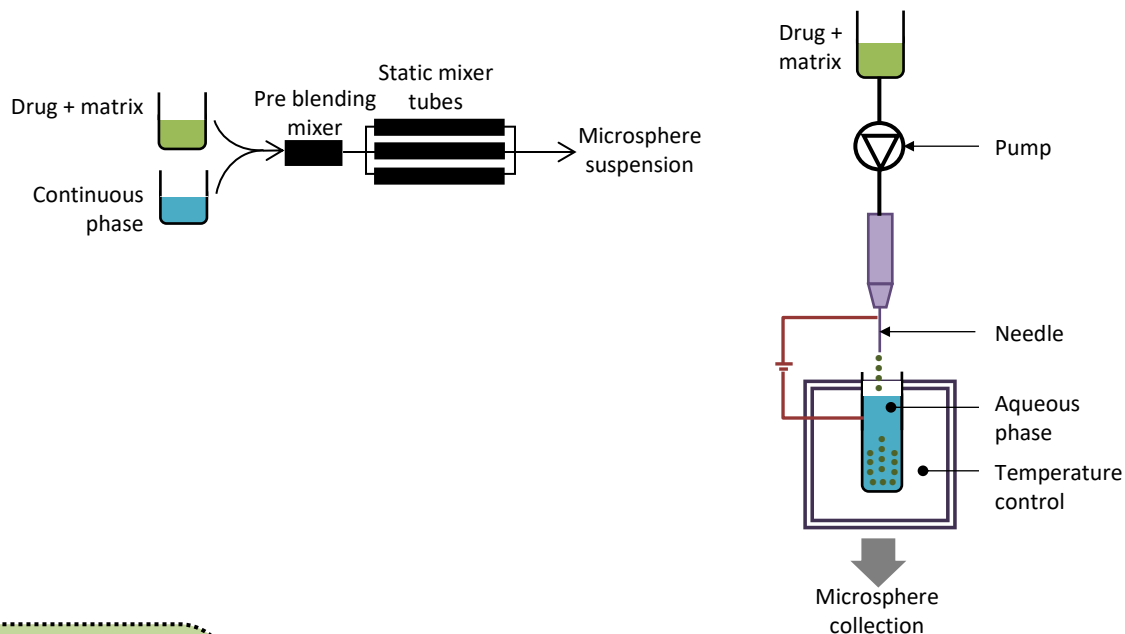
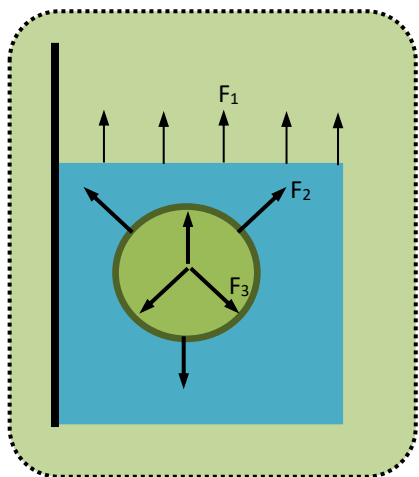


Figure 11a: steps of solvent evaporation technique.

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

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Figure 11b: solvent evaporation technique.



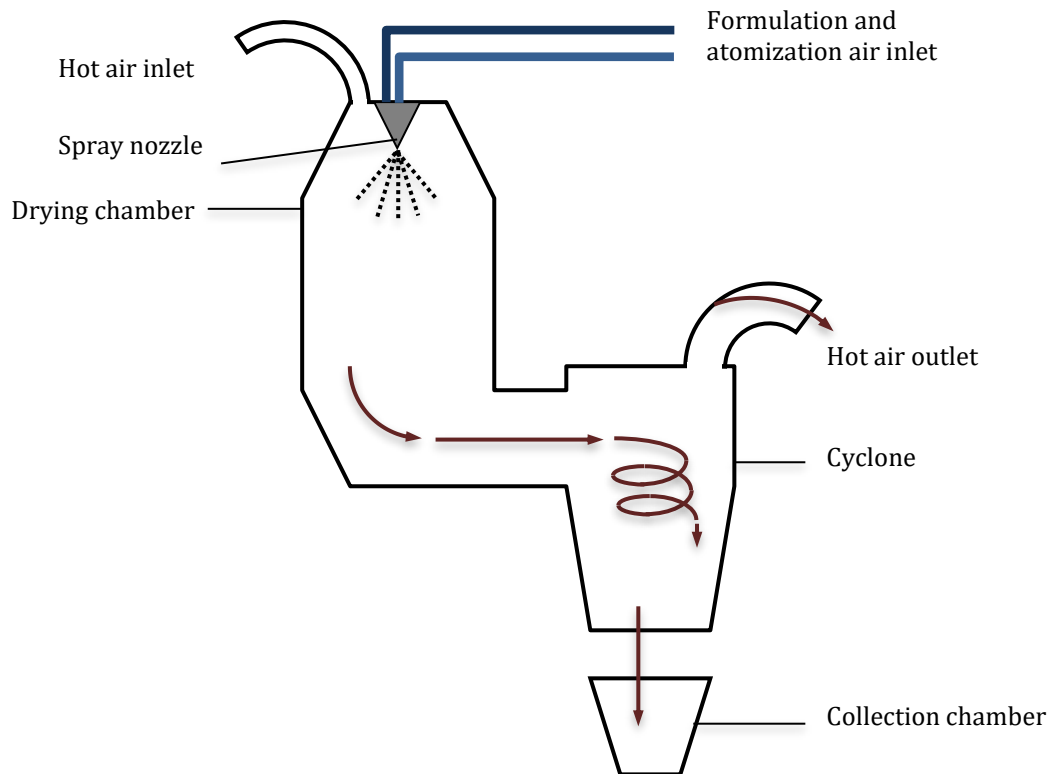


Figure 12: Spray dryer.

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1192 Table 1: Examples of drugs with narrow absorption window

Acyclovir
Captopril
Furosemide
Metformin
Gabapentin
Levodopa
Baclofen
Ciprofloxacin

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

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

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

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

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

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

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

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

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

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

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

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



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