

**STATISTICAL OPTIMIZATION OF A CONTROLLED RELEASE
FORMULATION OBTAINED BY A DOUBLE COMPRESSION
PROCESS: APPLICATION OF AN HADAMARD MATRIX
AND A FACTORIAL DESIGN**

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ABSTRACT

A formulation containing an antiinflammatory agent (diclofenac sodium), two inert matrices (ethylcellulose and polyvinyl chloride) and two lubricants (magnesium stearate and talc) was optimized by a double compression process.

In a first stage, preliminary trials were performed in order to study the effect of lubricants added before and after precompression.

An Hadamard matrix H(8) was applied to estimate the main effects of four parameters: applied force at the upper punch (UPF) during precompression, particle size range after grinding, UPF during the final

compression and concentration of ethylcellulose added before the final compression.

Following the Hadamard matrix, a factorial design 2^2 was built. The complete linear models were fitted by regression for each response reflecting the compression behaviour and dissolution kinetics.

In an optimal point, the validation was carried out with the area under the dissolution curve, being the major response to be optimized.

The dissolution curves were well fitted by the Weibull distribution.

INTRODUCTION

Dry granulation is a process which consists of granulating a powder by compression, avoiding the wetting and drying steps.

The advantages and inconveniences of this process were described by Sheth (1).

The two methods used for dry granulation are compaction and double compression. Compaction being the subject of other papers (2, 3), the main goal of this study was to optimize a sustained release formulation obtained by double compression.

Two polymers were incorporated in the inert matrix system: ethylcellulose and polyvinyl chloride. The process used to prepare tablets containing such polymers often includes direct compression (4, 5, 6), wet granulation (7, 8), coating (9-11) and rarely, dry granulation (12).

In a previous work, the formula used in this study, was optimized by direct compression (13). Three parameters were implied: tablet weight, ethylcellulose/Pevikon ratio and talc concentration.

The area under the dissolution curve was optimized and validated thanks to the application of a composite design. However, the formulation presented a poor powder flow as well as an important variability between tablets regarding the dissolution parameters.

The double compression process was investigated in order to change the powder into solid aggregates and therefore to enhance homogeneity, density, and powder flow; in addition it was expected that this process reduce the variability between tablets.

Statistical optimization was conducted in three steps:

- An Hadamard matrix $H(8)$ was first applied to study the main effects of four parameters.
- A factorial design 2^2 was built to obtain a complete linear model including only 2 parameters.
- Validations of the mathematical model and the optimum formulation were then performed.

MATERIALS

The formula contained the drug, two inert matrices and two lubricants :

Diclofenac sodium	(Secifarma).....	25.0 %
Ethylcellulose N-7	(Hercules).....	26.1 %
Pevikon PE 737 P	(SEPPIC).....	45.9 %
Magnesium stearate	(Prophac).....	1.0 %
Talc USP	(Prophac).....	2.0 %

METHODS

The Manufacturing Process

When using a dry granulation process, it is highly recommended to add a dried binder to the mixture in

order to ensure an acceptable cohesion between particules.

Therefore, in this present study, ethylcellulose was incorporated in 2 parts :

- before precompression as a binder,
- before the final compression as an independent variable in the experimental design.

The manufacturing process was followed as described below :

- POWDERS MIXING during 5 min in a Turbula WAB (T2C, Willy A. Bachofen AG),
- PRECOMPRESSION using a Frogerais 0A single punch instrumented press (Ets. Ed. Frogerais), equipped with flat punches 11.28 mm in diameter (surface 1 cm²). The speed of the machine was adjusted to one tablet/second.
- MILLING carried out in an Erweka oscillating granulator equipped with two screens with 3.15 mm perforation for premilling and 0.8 mm perforation for the final milling.
- GRINDING and separation of the particle size range desired in a Russell vibratory motion machine (Russell Finex, London & New York),
- MIXING and lubrication during 3 min.
- FINAL COMPRESSION in the same instrumented tablet machine. The depth of the die was adjusted for each formulation in order to obtain a 400 mg tablet.

TESTS PERFORMED

Powder test

The powder flow rate test was performed using a standardized glass funnel. The volume before and after tapping ($\Delta V = V_{10} - V_{500}$) was measured in the Eberhard

Bauer (J. Engelsmann AG) tapping volume meter (14, 15, 16).

Physics of compression

The method of the physics of compression used in this study was described in a previous paper (14).

In a sampling of 10 tablets, the following parameters were studied : the lubrication index (R), the ejection force (F_e), the residual force (F_r) and the cohesion index (CI=ratio of the pressure applied to the upper punch and the tensile strength) proposed by Guyot (17).

In one of the 10 tablets, the mechanical work was calculated using the parameter of the total energy liberated during the compression (E_t).

In a sampling of 120 tablets, the friability, the variability of the tablet weight and the variability of the upper punch force were determined.

Tablet tests

Friability was determined on 20 tablet samples in a friabilaty tester Erweka TA3R (15 min, 25 rpm).

The weight variation was evaluated on 20 tablets in an electronic balance Mettler AK 260 (Sofranie).

Tablet hardness was measured on 10 tablets using a Schleuniger hardness tester (Soteco).

Dissolution studies

Six tablets were subjected to dissolution using USP dissolution apparatus (Vanderkamp 600, Van-Kel Ind., New Jersey, USA) in 500 ml buffer pH 1.2 (the first hour) and 650 ml buffer pH 6.8 (1-14 h), maintained at 37°C and rotated with paddles at 50 rpm (first hour) and 130 rpm (1-14 h). The dissolution apparatus was connected to a UV-Vis spectrophotometer

(Uvikon 810, Roche bioélectronique Kontron, Marseille) and a computer VAX 780 (Digital). Absorbance of the dissolution medium at 275 nm was recorded automatically at the intervals: 1, 2, 4, 5, 8, 10, 12 and 14 hours. Percentage of the drug released was calculated and the corresponding release profiles were obtained.

PRELIMINARY TRIALS

The objective of the preliminary trials was to define the best way to incorporate the lubricants, before or after the precompression operation. Three experiments were carried out :

Exp. A : Talc was added before precompression and magnesium stearate before the final compression.

Exp. B : 50% of each lubricant was incorporated before and after precompression.

Exp. C : Magnesium stearate was mixed before precompression and Talc before the final compression.

In these three experiments, 50% of EC was added before precompression and the other 50% before the final compression.

Precompression was conducted at 10 kN (UPF) and 10 mm depth of the die. After milling and grinding, the 100-800 μm particle size range was collected and lubricated. For final compression, the powder was compressed at 10 kN .

Results and discussion

Results obtained from the preliminary trials described above are indicated in Table 1. The mean values of three trials performed for validation of the optimized formulation by direct compression (13) are given for comparison. The release profiles are illustrated in Figure 1.

TABLE 1

EXPERIMENT PARAMETER	A	B	C	DIRECT COMPRESSION
Powder Flow Rate (g/sec)	16.7	16.7	9.0	0.0
ΔV (mL)	21.0	18.0	17.0	52.0
R (pc) (fc)	0.73	0.76	0.84	0.82
	0.88	0.87	0.79	
F_e (kN) (pc) (fc)	0.50	0.32	0.16	0.21
	0.17	0.18	0.33	
F_r (kN) (pc) (fc)	0.56	0.34	0.13	0.17
	0.05	0.06	0.23	
Cohesion Index (pc) (fc)	84	84	78	71
	91	130	385	
E_t N·m (pc) (fc)	37.1	34.8	34.6	33.5
	21.6	19.7	19.2	
UPF Variation (C.V. %)	2.5	1.9	2.2	4.0
Weight Variation (C.V. %)	1.1	0.4	0.8	1.8
Friability (%)	0.83	1.14	1.65	0.09
% Dissolved at 8 h C.V. (%)	63.7 5.3	88.4 1.1	109.8 1.1	56.5 12.4
AUC (% h) C.V. (%)	657 7.6	975 1.7	1226 1.6	667 9.0

pc = precompression ; fc = final compression

As expected, the flow rate, ΔV , R , F_e , F_r , E_t , UPF variation and Weight variation were better than direct compression results. CI and friability were affected due to the poor crushing strength (hardness) of the tablets obtained after the final compression.

Double compression largely decreases the coefficients of variation of the percentage dissolved at 8 hours and AUC.

Adding lubricants before or after precompression shows an effect on the different studied properties. Experiments A and B give better values than experiment

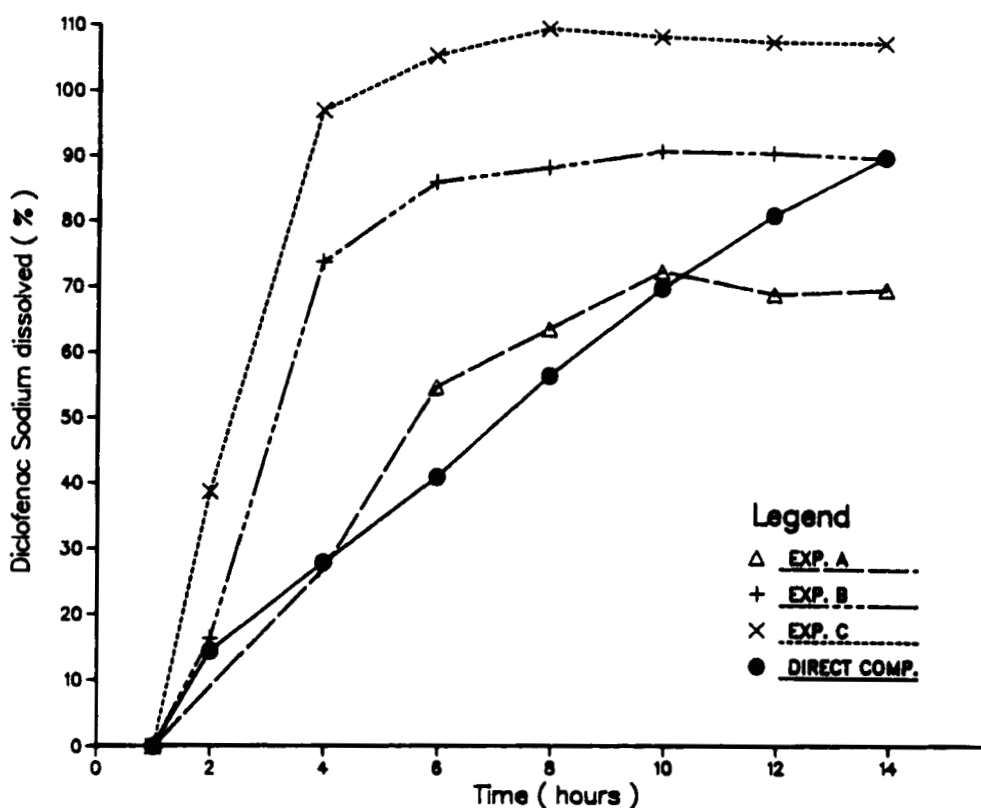


FIGURE 1
Release profiles of Preliminary Trials

C. In addition, R, Fe, Fr and CI parameters are affected when talc is added alone before the final compression.

In conclusion, the incorporation of 50% of magnesium stearate and talc before precompression and the other 50% before the final compression, improves the compression behaviour. At the same time, it decreases the coefficients of variation of UPF, weight tablet and dissolution parameters.

Regarding these results, the process from experiment B was chosen for the experimental designs.

TABLE 2
Independent Variable Levels

P_i	X_i level:	-1	+1
P_1 : UPF during precompression (kN)		8	12
P_2 : Particle size range (μm)		100-400	400-800
P_3 : UPF at the final compression (kN)		8	12
P_4 : EC before the final compression (%)		20	30

APPLICATION OF AN HADAMARD MATRIX H(8)

Experimental Design

The theory and application of an Hadamard matrix were shown by Ozil and Rochat (18). This design is an optimum strategy leading to a good accuracy of the main effects from a minimal experiments number (N parameters + 1 = number which is a power of 2). With the coefficients (b_i) a linear model can be found for a given response Y :

$$Y = b_0 + b_1X_1 + b_2X_2 + b_3X_3 + \dots + b_nX_n + \text{Residue}$$

X_i is a reduced variable associated with each parameter P_i :

$$X_i = [2(P_i - P_{\text{mean}}) / (P_{\text{maxima}} - P_{\text{minima}})]$$

TABLE 3

Y_i	Responses	Optima values
Y_1	$\Delta V = V_{10} - V_{500}$ (ml)	< 20
Y_2	Cohesion Index	< 100
Y_3	Weight variation (C.V., %)	< 1
Y_4	Friability of tablets (%)	< 1
Y_5	Drug dissolved at 8 h (%)	~ 60
Y_6	AUC (% dissolved·hour)	~ 713
Y_7	Coefficient of variation of Y_5 (%)	< 5
Y_8	Coefficient of variation of Y_6 (%)	< 5

Four independent variables were chosen for optimizing the rheology, the compression behaviour and the dissolution kinetics. Table 2 lists these four variables and their experimental ranges (levels). In order to decrease friability and CI, the percentage of EC before the final compression was decreased.

Table 3 shows the responses to be optimized among which AUC was considered as the major one. A constant release between one and twelve hours (passing by 60% dissolved at 8 h) and a complete dissolution after 14 h was chosen as an optimum profile (AUC=713 %·h).

As 4 parameters were studied, 3 dummy variables X_5 , X_6 , X_7 were included to build an Hadamard matrix $H(8)$ composed of 7 parameters :

$$H(8) = \begin{matrix} X_i \rightarrow & \begin{bmatrix} 1 & 1 & 2 & 3 & 4 & 5 & 6 & 7 \\ 1 & 1 & 1 & 1 & 1 & 1 & 1 & 1 \\ 1 & -1 & 1 & -1 & 1 & -1 & 1 & -1 \\ 1 & 1 & -1 & -1 & 1 & 1 & -1 & -1 \\ 1 & -1 & -1 & 1 & 1 & -1 & -1 & 1 \\ 1 & 1 & 1 & 1 & -1 & -1 & -1 & -1 \\ 1 & -1 & 1 & -1 & -1 & 1 & -1 & 1 \\ 1 & 1 & -1 & -1 & -1 & -1 & 1 & 1 \\ 1 & -1 & -1 & 1 & -1 & 1 & 1 & -1 \end{bmatrix} \end{matrix}$$

TABLE 4
Experimental Design

Experiment	P_1 (kN)	P_2 (μm)	P_3 (kN)	P_4 (%)
1	12	400-800	12	30
2	8	400-800	8	30
3	12	100-400	8	30
4	8	100-400	12	30
5	12	400-800	12	20
6	8	400-800	8	20
7	12	100-400	8	20
8	8	100-400	12	20

The columns 1 to 4 lead to the matrix of experiments. According to the original units (Table 2), 8 trials were carried out (Table 4). To avoid systemic errors, the trials were performed in randomised order.

The analysis of variance (ANOVA) gives information on significant main effects. Data were analyzed using the GLM procedure (General Linear Model) from SAS (Statistical Analysis System, SAS Institute, Cary NC). A discussion and explanation of the statistics involved are described in Davies (19).

Responses Y_2 , Y_5 and Y_6 were transformed in the natural logarithm to homogenize the distribution of the residues. Then, the F-test was used to determine the statistical significance of the effects. As an indication, an effect was considered as significant when $F > 4 [4 = F_{0.95}(1, 60)]$.

TABLE 5
Hadamard Matrix H(8) results

EXP	Y_1	Y_2	Y_3	Y_4	Y_5	Y_6	Y_7	Y_8
1	12	126	0.55	0.78	85.7	869	3.2	4.6
2	17	332	1.68	2.73	84.1	892	4.9	6.9
3	18	123	0.44	1.80	98.5	1159	0.7	2.6
4	20	132	1.71	0.91	94.2	1041	0.9	0.9
5	16	169	0.83	0.93	87.0	910	3.8	5.4
6	14	126	0.30	1.30	91.4	997	0.9	1.2
7	33	169	0.52	2.63	99.3	1197	1.2	0.7
8	26	84	0.50	0.75	100.0	1135	0.7	2.2

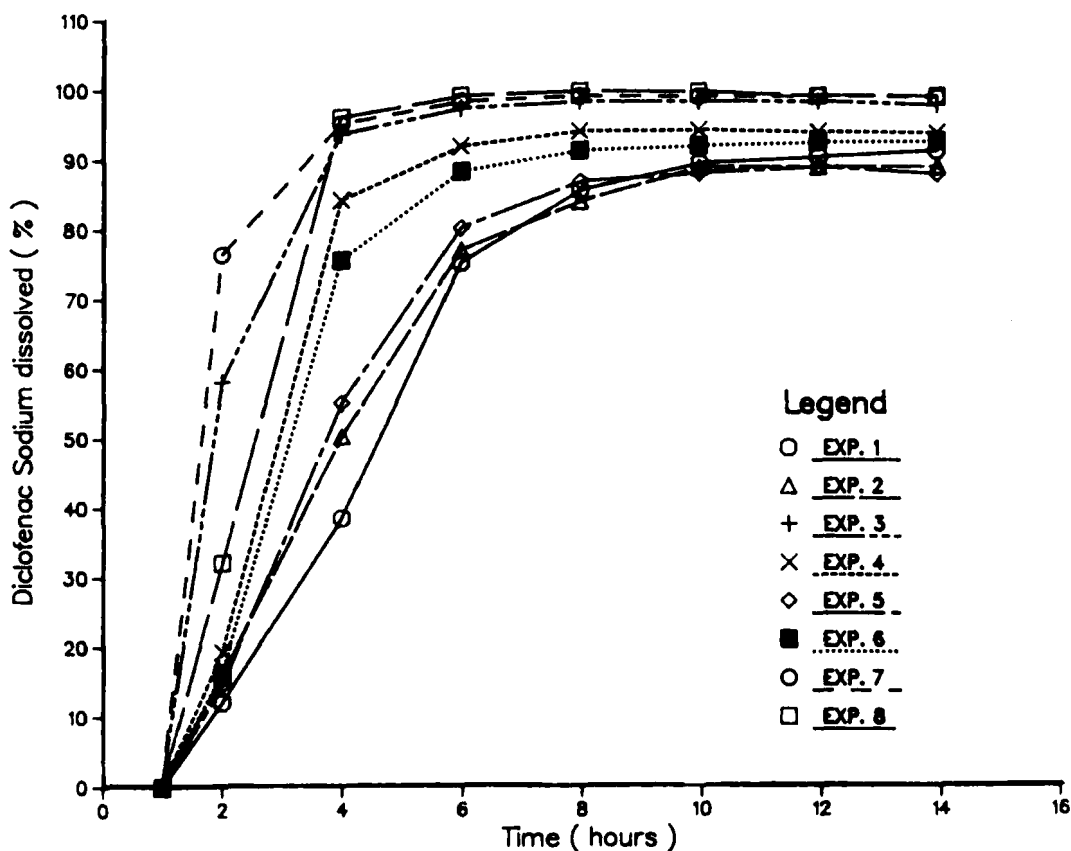


FIGURE 2
Release profiles from the study of main effects

TABLE 6

Results from the analysis of variance (F-values)

SOURCE OF VARIATION	Y_1	$\ln Y_2$	Y_3	Y_4	$\ln Y_5$	$\ln Y_6$	Y_7	Y_8
X_1	0.0	0	1.2	0.1	0	1	0.1	0.1
X_2	6.6	25	0.0	0.0	194	347	4.6	3.3
X_3	0.3	23	0.1	7.2	4	37	0.0	0.1
X_4	2.2	9	1.7	0.1	24	37	0.5	0.7

s	5.24	0.31	0.61	0.67	0.03	0.04	1.54	2.27
df	3	75	3	3	43	43	3	3

Results and discussion

Table 5 contains results for each dependent variable. The release profiles are illustrated in Figure 2.

ANOVA shows that X_2 is the most significant variable. It explains a great part of the variability of the main responses (Table 6).

In addition for Y_6 , the principal response to be optimized, X_2 , X_3 and X_4 are all significant.

The $\ln Y_6$ model estimated by regression, is:

$$\ln Y_6 = 6.93 - 0.11X_2 - 0.03X_3 - 0.03X_4$$

(Error: $s=0.04$, $df=44$;
 $R^2=0.91$, lack of fit test: $p=0.05$)

From the models, when X_2 , X_3 and X_4 decrease, the dissolution parameters increase. This can be explained by the hydrophobic effect of the EC (X_4); furthermore, an increased effective drug surface area occurs when the particle size range and the UPF at the final compression are in the minima levels. A consequent increase in dissolution rate is shown.

TABLE 7
Factorial Design 2^2

EXPERIMENT	EXPERIMENTAL UNITS		PHYSICAL UNITS	
	X_3	X_4	P_3 (kN)	P_4 (% EC)
9	1	1	18	40
10	-1	1	12	40
11	1	-1	18	35
12	-1	-1	12	35

Regarding results given in Table 5, the area under the dissolution curve is far over the optimum value (713 %·h); this suggests that another experimental design must be explored.

FACTORIAL DESIGN : SEARCHING FOR AN OPTIMUM

Design

In order to improve Y_6 and according to the linear model previously found for this response, it was first decided to fix X_1 and X_2 at -1 (8 kN) and +1 (400-800 μ m) levels respectively ; then, a 2^2 factorial design was built with the two other significant parameters X_3 and X_4 at upper levels.

Table 7 gives the experimental and physical units of this factorial design.

Results and discussion

As shown in Table 8, the AUC (Y_6) from experiment 12 is near the optimum value. Y_2 , Y_3 and Y_4 were also improved while Y_7 and Y_8 were affected. The release profiles are presented in Figure 3.

TABLE 8
Results from the Factorial Design 2^2

EXP	Y_i	Y_1	Y_2	Y_3	Y_4	Y_5	Y_6	Y_7	Y_8
9		13	101	0.47	0.40	49.5	603	13.2	5.8
10		13	101	0.81	0.39	65.0	667	9.7	4.5
11		13	91	0.99	0.31	55.6	622	12.1	6.6
12		13	96	0.36	0.45	72.3	721	8.3	4.3

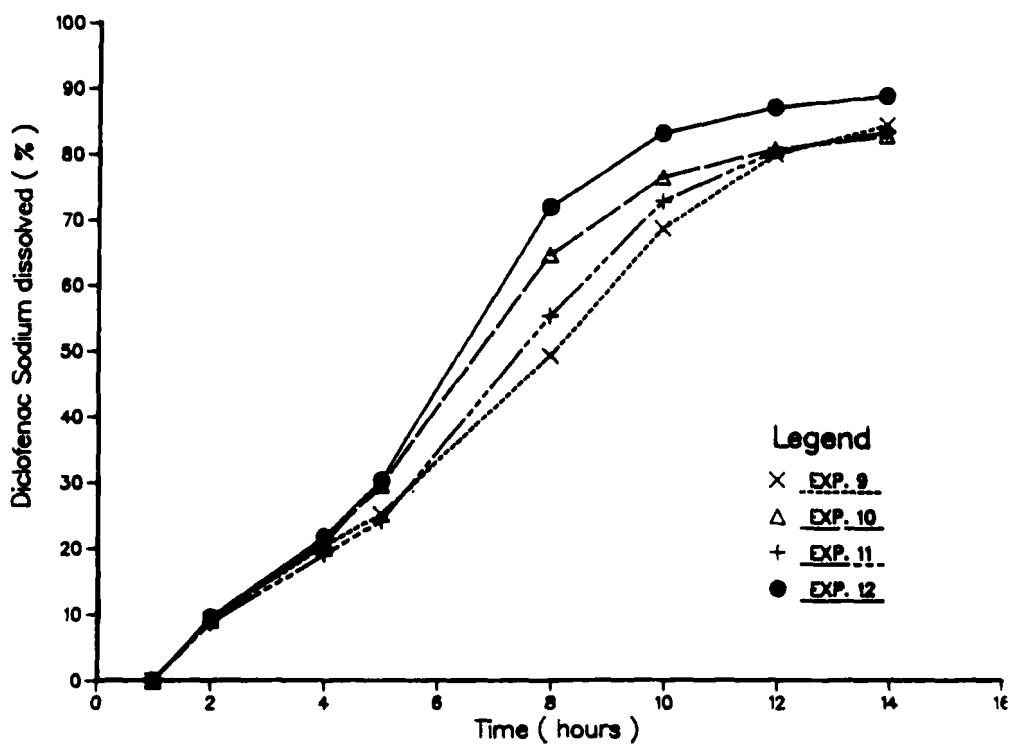


FIGURE 3
Release profiles from the Factorial Design

TABLE 9
Complete linear models

COEFFICIENT	$\ln Y_2$	Y_3	Y_4	$\ln Y_5$	$\ln Y_6$	Y_7	Y_8
b_0	4.57	0.66	0.39	4.09	6.48	10.83	5.30
b_3	-0.01	0.07	-0.03	-0.13	-0.06	1.83	0.90
b_4	0.04	-0.02	0.01	-0.06	-0.03	0.63	-0.15
b_3b_4	0.01	-	-	-0.0	0.01	-	-

RESIDUAL ERROR							
s	0.054	0.485	0.075	0.108	0.053	0.150	0.500
df	36	1	1	20	20	1	1
R^2	0.42	0.09	0.44	0.69	0.67	0.99	0.93

The complete linear models were directly carried out by regression (Table 9).

The R^2 -values for $\ln Y_2$, Y_4 , $\ln Y_5$, $\ln Y_6$ and mainly for Y_3 , are quite low, indicating that the linear model is inadequate to describe the situation for these variables and that a quadratic model could better fit the data. Nevertheless, Y_6 from experience 12 is a good value, as well as the other responses in this trial. Then, experiment 12 may accomplish the optimum.

Validity of the optimum formulation

Two trials were carried out in the same levels as experiment 12, that means: $P_1 = 8$ kN, $P_2 = 400$ – $800 \mu\text{m}$, $P_3 = 12$ kN and $P_4 = 35$ % EC. Table 10 gives the results of the three trials implied in this validation. As an indication, the predicted responses from the linear models and the relative errors are presented. If Y_3 , Y_4 and Y_8 present the worst variabilities, the results on the main responses are suitable.

TABLE 10
Validity of the optimum formulation

EXPERIMENT	Y_2	Y_3	Y_4	Y_5	Y_6	Y_7	Y_8
12	96	0.36	0.45	72.3	721	8.3	4.3
12b	91	0.82	0.52	69.0	690	10.3	6.9
12c	88	0.56	0.57	68.5	691	6.2	3.5

RELATIVE ERROR

PREDICTED RESPONSE	95	0.61	0.41	72.2	721	8.4	4.6
MEAN RESPONSE	92	0.58	0.51	69.9	701	8.3	4.9
C.V. (%)	4.4	39.8	11.7	3.0	2.5	24.8	36.3
RESIDUE	-3	-0.03	0.10	-2.3	-20	-0.1	0.3
RELATIVE ERROR (%)	3.3	5.2	19.6	3.3	2.9	1.2	6.1

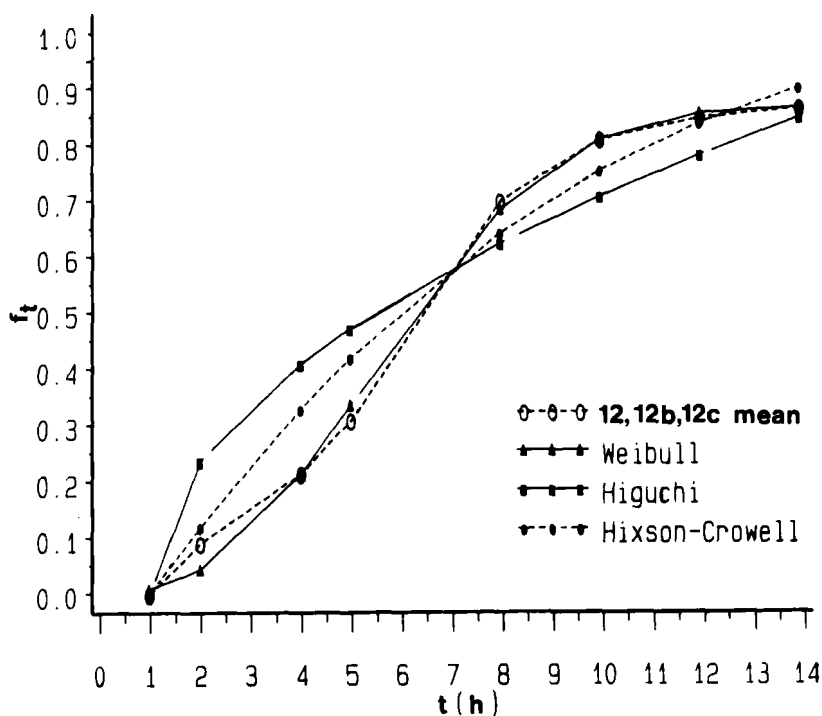


FIGURE 4
Mean data dissolution and theoretical release profiles

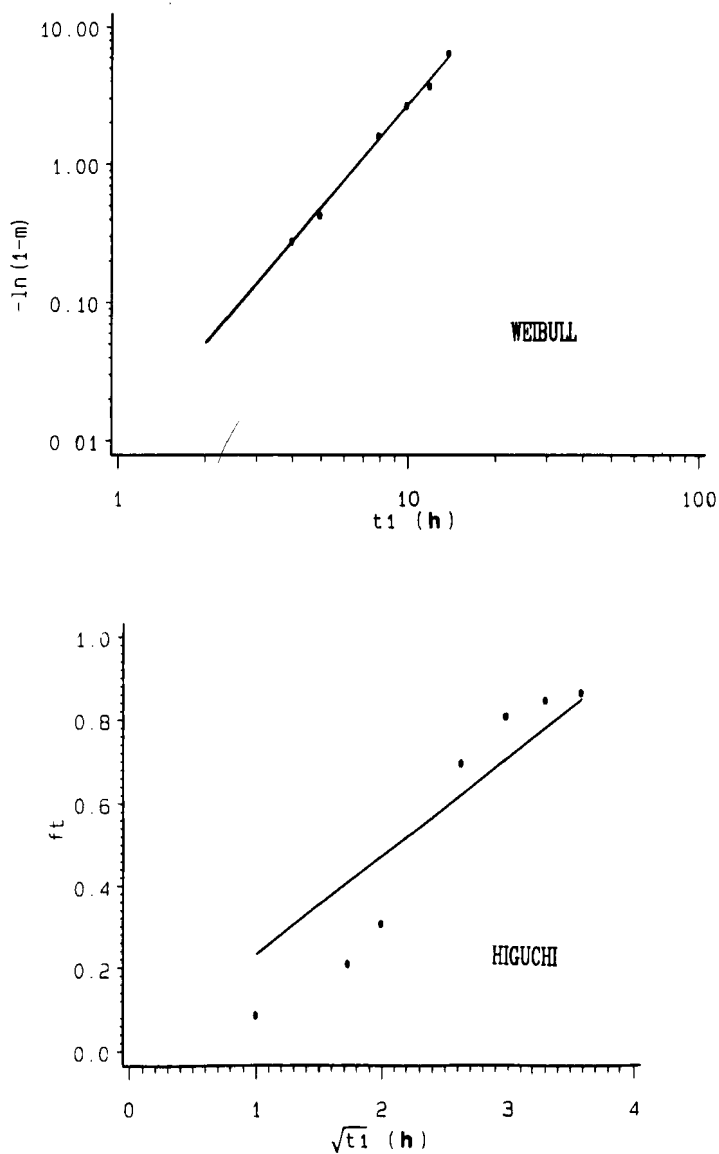


FIGURE 5
 Linearization of the release profiles
 Weibull and Higuchi models

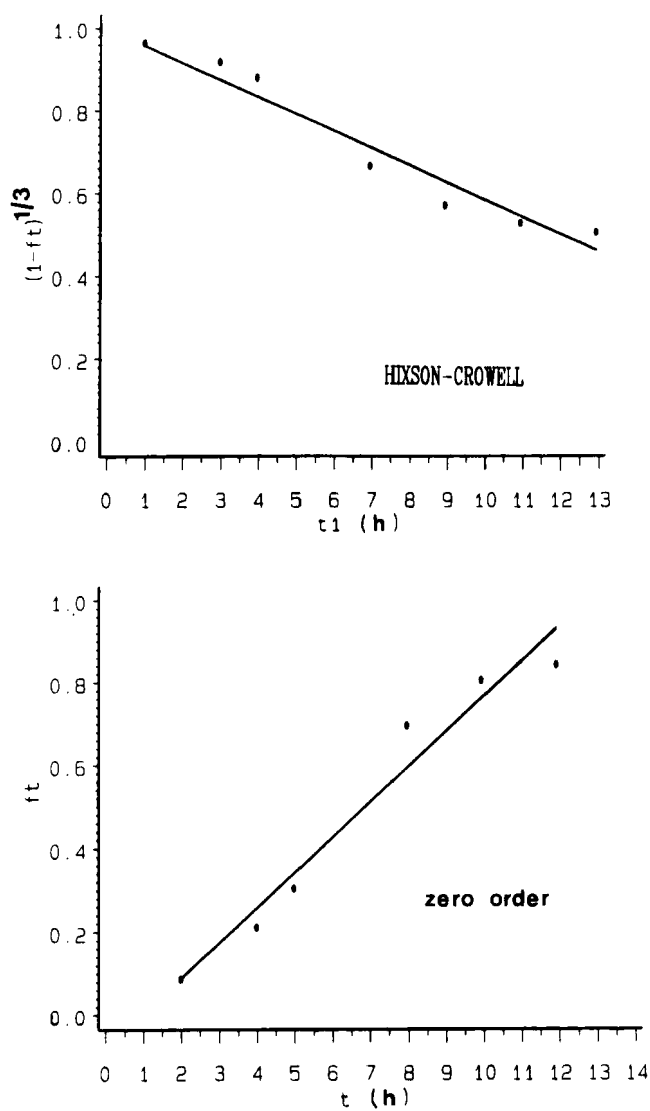


FIGURE 6
 Linearization of the release profiles
 Hixson-Crowell and zero-order models

TABLE 11

Results from the fits by theoretical dissolution models

MODEL	WEIBULL	HIGUCHI	HIKSON AND CROWELL	ZERO-ORDER $f_t = a + K_0 t$
PARAMETER ESTIMATES	$F_\infty = 0.87$ $t_0 = 0$ $t_d = 6.70$ $\beta = 2.46$	$K_H = 0.235$	$K_{HC} = 0.041$	$a = -0.081$ $K_0 = 0.084$
σ^2 ESTIMATE	0.0016	0.0163	0.0025	0.0051

 σ^2 is estimated by the MS Residual (Sum of Squares/df)Linearization of the dissolution data

Drug release from controlled release matrix tablets was described by many kinetic theories (20,21). Figure 4 illustrates the release profiles of the validated mean data dissolution (Exp 12, 12b, 12c), and the release profiles obtained from the fits by Weibull, Higuchi and Hixson-Crowell models. Figures 5 and 6 show the curves after linear transformation.

Table 11 contains the pertinent information about the parameter estimates and the residual error for each release model. From these results and from Figures 4, 5, and 6, it can be concluded that the release of diclofenac sodium is well fitted by the Weibull distribution. $\beta > 1$ (β being the shape parameter) is characteristic for a slower initial rate (diclofenac sodium is insoluble in pH 1.2) followed by an accelerated approach to the final plateau (a sigmoid appearance). As seen in the direct compression optimization, after "infinite" time, the fraction released (F_∞), is estimated to only 90% (13).

CONCLUSION

From a minimum number of experiments, Hadamard matrix gave the possibility to estimate the mean effects of four parameters. Among them, the particle size range showed the most important effect in the release of diclofenac sodium. By interpreting data, a factorial design including only two parameters was applied from which an optimum formulation was found.

As expected, when compared with the direct compression results (13), the double compression considerably enhanced the rheology of the powder and it largely decreased the variability between tablets of the studied dissolution parameters.

The release of the drug from precompressed tablets followed Weibull distribution.

The inert matrix formulation provided by ethylcellulose and Pevikon (polyvinyl chloride), was an effective vehicle for controlled release drug delivery systems.

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