

1     **Optics-based compressibility parameter for pharmaceutical tablets obtained with the**  
2                                   **aid of the terahertz refractive index**

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14    **Abstract**

15    The objective of this study is to propose a novel optical compressibility parameter for porous  
16    pharmaceutical tablets. This parameter is defined with the aid of the effective refractive index  
17    of a tablet that is obtained from non-destructive and contactless terahertz (THz) time-delay  
18    transmission measurement. The optical compressibility parameter of two training sets of  
19    pharmaceutical tablets with a *priori* known porosity and mass fraction of a drug was  
20    investigated. Both pharmaceutical sets were compressed with one of the most commonly used  
21    excipients, namely microcrystalline cellulose (MCC) and drug Indomethacin. The optical  
22    compressibility clearly correlates with the skeletal bulk modulus determined by mercury  
23    porosimetry and the recently proposed terahertz lumped structural parameter calculated from  
24    terahertz measurements. This lumped structural parameter can be used to analyse the pattern  
25    of arrangement of excipient and drug particles in porous pharmaceutical tablets. Therefore, we  
26    propose that the optical compressibility can serve as a quality parameter of a pharmaceutical  
27    tablet corresponding with the skeletal bulk modulus of the porous tablet, which is related to  
28    structural arrangement of the powder particles in the tablet.

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## 37 **Introduction**

38 For pharmaceutical applications tablets are the accepted and most widely used dosage form  
39 due to their being cost effective to manufacture, having relative ease of large scale of  
40 production, resulting product stability, related to the availability of reliable manufacture  
41 processes, and ability to provide correct reproducible dosage of drug from tablet to tablet and  
42 the convenience for patients [1, 2]. Critical quality attributes, such as disintegration time or  
43 amount of drug dissolved after a certain time, are linked to their physical, mechanical,  
44 chemical, biological and also optical properties. During formation of a tablet, the mixture of  
45 drug and excipient particles is compacted, usually directly or following a granulation step, into  
46 a stable porous solid.

47 Historically, mechanical properties have played an important role in order to assess the  
48 functionality of a pharmaceutical tablet following the compaction step. Indentation, elasticity,  
49 tensile strength, brittle fracture index, bonding index, strain index, viscoelasticity,  
50 compressibility, compatibility, and tabletability are among the various mechanical properties  
51 of a tablet that have been explored in depth [3 - 8]. The mechanical properties of pharmaceutical  
52 tablets can be described by the relationship between the applied force during the compression  
53 and the resulting plastic deformation, and inter-particle bonding within the tablet [9]. These  
54 dictate the behaviour of pharmaceutical powder mixtures both during and after compaction.  
55 Stress and strain are the basic mechanical properties to describe the relationship between  
56 compressive pressure and the resulting deformation [8]. Compressibility (solid fraction as a  
57 function of compaction pressure) and compactibility (tensile strength in relation to solid  
58 fraction) [10] are terms commonly used to describe the densification and reduction in volume  
59 of a powder bed by the application of pressure alone, and both properties are considered to be  
60 the major parameters contributing to tabletability, defined as the dependence of tensile strength  
61 on compaction pressure [11]. In this study, we propose to establish an optical parameter that is  
62 related to the mechanical properties, such as the bulk modulus of pharmaceutical tablets. This  
63 topic of high importance in pharmaceutical sciences (see, for example, reference to strain [4 -  
64 8, 10] and compressibility [12 – 18]). In this study, the emphasis is on the research of the  
65 development of non-contact sensing and data analysis methods to quantify structural and  
66 mechanical properties of pharmaceutical tablets using terahertz (THz) time-delay measurement  
67 techniques [19].

68 Recently, we have introduced a novel structural parameter ( $S$ ), which describes the pattern of  
69 arrangement of different constituents in porous pharmaceutical tablets [20]. By pattern  
70 arrangement we mean the arrangement of drug and excipient constituting the skeletal-pore  
71 elements (solid phase) in series, parallel or a mix of both patterns. This structural parameter is  
72 assumed to play an important role both in the compressibility of a tablet, and in the description  
73 of the ingress and permeation of liquids in pharmaceutical tablets. In addition to developing  
74 the optical compressibility parameter, we consider in more detail the structural parameter  $S$  in  
75 respect to the explicit dependence of  $S$  on a range of various tablet properties, and analyse the  
76 correlation of the optical compressibility parameter with  $S$ .

77 This study continues our work to retrieve physical parameters, which directly affect critical  
78 quality attributes of a tablet, from non-destructive and contactless terahertz measurements. So

79 far, we have established correlation between the effective THz refractive index and porosity  
 80 [21], surface roughness [21], lumped structural parameter [20], and Young's modulus [8].  
 81 Here, we suggest a new optical compressibility parameter and compare it with the measured  
 82 bulk modulus of tablets.

### 83 **Theory**

84 The data analysis in this study is based on the measurement of time delay ( $\Delta t$ ) of a terahertz  
 85 pulse. The time delay is caused by the more optically dense tablet compared to the undisturbed  
 86 propagation of the pulse through nitrogen gas, which is typically used as a reference medium  
 87 in laboratory terahertz measurements. Hence, we assume the validity of the following equation

$$88 \quad (n_{\text{eff}} - 1)H = c\Delta t \quad (1)$$

89 where  $n_{\text{eff}}$  is the effective refractive index of the tablet,  $H$  is the height of the round flat-faced  
 90 tablet, corresponding in direction to the normal of incidence, and  $c$  is the velocity of light in  
 91 vacuum. The refractive index of nitrogen is assumed to be equal to unity.

92 In the derivation of the structural parameter  $S$  of a porous pharmaceutical tablet we exploited  
 93 the concept of effective permittivity of the tablet and Wiener bounds that define the boundary  
 94 range for the effective permittivity in the absence of scattering of the terahertz waves. Aspnes  
 95 [22] provides a nice description of Wiener bounds for composite materials by considering two  
 96 limiting cases, namely no screening and maximum screening of microstructures in the direction  
 97 of the external electric field. This means that, for example, a needle-shaped particle orientated  
 98 parallel to the external electric field (in our case direction of propagation of the THz pulse)  
 99 would develop little screening, whereas a disc-shaped particle of the same volume would yield  
 100 strong screening. The effective permittivity of a porous pharmaceutical tablet can be assumed  
 101 to be constructed from parallel and series connections of the internal solid structures as follows  
 102 [20]:

$$103 \quad \epsilon_{\text{eff}} = \frac{1}{\frac{1-S}{\epsilon_U} + \frac{S}{\epsilon_L}} \quad (2)$$

104 where  $\epsilon_U$  and  $\epsilon_L$  are the upper and lower Wiener bounds of the permittivity, respectively, and  
 105  $S$  is the structural parameter.  $S$  is a measure of that fractional part of the randomly distributed  
 106 structures in a porous medium that can be lumped together in parallel and in series coordination,  
 107 respectively. Since the true value of the effective permittivity of the tablet is always confined  
 108 between the upper and lower values of the effective permittivity, the structural parameter  $S$  is  
 109 a number that ranges from zero (all constituents in parallel) to one (all constituents in series).  
 110 The definition of  $S$  holds equally for multiphase systems. In our study, we will only deal with  
 111 a three-phase system, air and two solid phases, respectively. Eq. (2) was originally defined for  
 112 effective heat conductivity [23] of porous media, such as coated paper products, but for the  
 113 sake of analogy we have modified the concept for this analogous case, namely to represent the  
 114 effective permittivity of porous media.

115 In the case of a three-phase system, such as air (or nitrogen gas), micro-crystalline cellulose  
 116 (MCC) and the drug in this study, the equations for the upper and lower Wiener bounds of the  
 117 effective refractive index are as follows:

$$118 \quad n_U^2 = f_{\text{air}} + f_{\text{MCC}}n_{\text{MCC}}^2 + f_{\text{drug}}n_{\text{drug}}^2 \quad (3)$$

119

120 and

$$121 \quad \frac{1}{n_L^2} = f_{\text{air}} + \frac{f_{\text{MCC}}}{n_{\text{MCC}}^2} + \frac{f_{\text{drug}}}{n_{\text{drug}}^2} \quad (4)$$

122 where  $f_{\text{air}}$ ,  $f_{\text{MCC}}$  and  $f_{\text{drug}}$  are the volume fractions of air (i.e. the pores constituting the tablet  
 123 porosity), MCC and drug, respectively. The symbols  $n_{\text{MCC}}$  and  $n_{\text{drug}}$  denote the intrinsic  
 124 refractive indices of MCC and drug. If we apply the well-known relation from optics for the  
 125 real relative permittivity and the refractive index of a non-absorbing insulating medium,  
 126 namely,  $n = \sqrt{\epsilon}$ , we get from Eqs. (2)-(4) the expression

$$127 \quad S = \frac{1}{n_U^2 - n_L^2} \left[ \frac{n_U^2 n_L^2}{n_{\text{eff}}^2} - n_L^2 \right] \quad (5)$$

128 In the pharmaceutical industry, the compressibility of pharmaceutical tablet formulations is an  
 129 important factor which determines the required applied force on the composition of powder  
 130 mixture to turn it into a structurally stable porous tablet. It greatly affects a range of tablet  
 131 properties such as disintegration, dissolution, structural integrity, bioavailability and  
 132 absorption as well as the mechanical properties, such as hardness and friability. The  
 133 compressibility is defined as a mechanical property, which describes the relationship between  
 134 the resulting compact density or strength (hardness / friability) and the compaction pressure  
 135 [24].

136 We propose an “optical compressibility” parameter to estimate the mechanical compressibility  
 137 of an excipient or complex formulation based on a simple analysis of the transmitted terahertz  
 138 pulse. This “optical compressibility” is defined by using Eq. (1) as an optical state equation in  
 139 analogy to the equation of state of a medium in thermodynamics. For the sake of clarity, we  
 140 first consider the simple thermodynamic equation of state of an ideal gas, which is defined with  
 141 the aid of the pressure ( $p$ ), volume ( $V$ ), absolute temperature ( $T$ ), the number of gas molecules  
 142 ( $\nu$ ) and the gas constant ( $R$ ) as  $pV = \nu RT$ . The optical state equation, namely Eq. (1), resembles  
 143 the mathematical form of the thermodynamic state equation of an ideal gas, but obviously has  
 144 different variables. The compressibility  $\beta$ , of an ideal gas is defined using the concept of a  
 145 partial derivative as follows:

$$146 \quad \beta = -\frac{1}{V} \left( \frac{\partial V}{\partial p} \right)_T = \frac{1}{p} \quad (6)$$

147 The unit of this compressibility is  $\text{Pa}^{-1}$ . A definition similar to Eq. (6) can be exploited also for  
 148 the compressibility of liquids and solids in the field of thermodynamics, but usually the state  
 149 equation is more complicated than that of an ideal gas. The interpretation of Eq. (6) states that

150 the higher the pressure, the lower is the value of the compressibility. In an analogous manner  
 151 to Eq. (6), we define with the aid of Eq. (1) the optical compressibility parameter as

$$152 \quad \beta_{THz} = -\frac{1}{H} \left( \frac{\partial H}{\partial n_{\text{eff}}} \right)_{\Delta t} = \frac{1}{n_{\text{eff}}-1} \quad (7)$$

153 The dimensionless optical compressibility defined in this way shows inverse dependence of  
 154 the compressibility on the effective refractive index, which in turn is linearly correlated to the  
 155 density/porosity of the tablet. The interpretation of Eq. (7) is that the denser the medium (i.e.  
 156 higher compaction pressure) the higher the effective refractive index, since the density of a  
 157 medium is correlating with the refractive index of the medium, and, hence, the lower the optical  
 158 compressibility parameter.

159 Next, we wish to have a more detailed picture regarding the behaviour of the optical  
 160 compressibility parameter defined in Eq. (7). For this purpose, we consider an estimate for the  
 161 explicit dependence of the optical compressibility on porosity, intrinsic refractive index of the  
 162 excipient and the drug, and also drug mass fraction. An expression for the linear two-variable  
 163 ( $f_{\text{air}}, x$ ) approximate effective refractive index of the tablet training sets of this study was given  
 164 in [25] as follows:

$$165 \quad n_{\text{eff}} = n_{\text{MCC}} - (n_{\text{MCC}} - 1)f_{\text{air}} - (n_{\text{MCC}} - n_{\text{drug}})x \quad , \quad (8)$$

166  
 167 where  $x$  is the dimensionless mass fraction (different from  $f_{\text{drug}}$ ) of the drug. By substituting  
 168 Eq. (8) into Eq. (7), the optical compressibility can be re-expressed as,

$$169 \quad \beta_{THz} = \frac{1}{(n_{\text{MCC}}-1)(1-f_{\text{air}})-(n_{\text{MCC}}-n_{\text{drug}})x} \quad (9)$$

170 Since  $n_{\text{MCC}}$  and  $n_{\text{drug}}$  are constants, it is evident from Eq. (9) that  $\beta_{THz}$  is inversely dependent  
 171 (hyperbolic dependence) on the porosity  $f_{\text{air}}$  or mass fraction  $x$  only when one of them is  
 172 constant. In a general case, both porosity and the dimensionless mass fraction are considered  
 173 to vary.

174 The optical compressibility  $\beta_{THz}$  depends on  $S$  via Eq. (5). If we compare Eqs. (6) and (7), the  
 175 message is pretty much similar. The thermodynamic compressibility  $\beta$  becomes less as the  
 176 pressure increases. In the case of increasing compression pressure in the tableting process the  
 177 porosity of the tablet is decreasing and the effective refractive index is increasing, thus resulting  
 178 in the decrease of  $\beta_{THz}$ . The optical compressibility parameter  $\beta_{THz}$  and its connection to the  $S$   
 179 structure parameter was studied for the training set of pharmaceutical tablets, and the results  
 180 obtained will be shown below.

## 181 **Materials and methods**

182 Two sets of round flat-faced pharmaceutical tablets were compressed from the defined  
 183 mixtures of pharmaceutical excipient MCC (Avicel PH101, FMC BioPolymer, Philadelphia,  
 184 USA) and drug Indomethacin (Hangzhou Dayangchem Co. Ltd., Hangzhou, China). The  
 185 widely used MCC is a typical hydrophilic excipient [21], the nominal particle size and true  
 186 density of the particulate Avicel PH101 are 50  $\mu\text{m}$  and 1.55  $\text{g cm}^{-3}$ , respectively. The true

187 density of the crystalline gamma polymorph of Indomethacin used in this study is  $1.37 \text{ g cm}^{-3}$ .  
 188 Two training sets of flat-faced tablets of constant diameter 13 mm were compacted using a  
 189 compaction simulator (PuuMan, Kuopio, Finland). More details on the sample preparation of  
 190 the tablets were described previously [26-28]. In Tables 1 and 2, various properties of the  
 191 training tablet sets are presented. In tablet Set 1, porosity and drug mass fractions were kept  
 192 constant at ca. 36 % and 10 wt%, respectively, whereas both were varied for the case of the  
 193 tablet Set 2. For both tablet sets, five tablets were compressed for each sample number and the  
 194 given values in Tables 1 and 2 are the average values of 5 tablets belonging to a given tablet  
 195 number. For each sample, statistical errors in the calculations made for the nominal porosities  
 196 are as follows: diameter  $\pm 0.008 \text{ mm}$ , height  $\pm 0.005 \text{ mm}$  (standard deviation of the sample  
 197 mean), weight  $\pm 0.01 \text{ mg}$  (readability and sensitivity of the scale), effective refractive index  
 198  $\pm 0.002$  (by assuming a temporal resolution of 0.02 ps) and porosity  $\pm 0.2 \%$  (calculated using  
 199 the error propagation law).

200 Here we report on two case studies related to the lumped structural  $S$  parameter and the optical  
 201 compressibility as follows: Case 1; fixed porosity and fixed drug mass fraction but variable  
 202 height, and Case 2; varied porosity, drug mass fraction and height. To calculate the  $S$  parameter,  
 203 presented in Tables 1 and 2, we have to utilise Eqs. (1) - (5). In order to solve Eqs. (3) and (4),  
 204 we have to know the zero porosity refractive indices of  $n_{\text{MCC}}$  and  $n_{\text{drug}}$ , namely,  $n_{\text{MCC}}=1.86$  and  
 205  $n_{\text{drug}}=1.73$ . The latter value of zero porosity estimate of the refractive index of  $n_{\text{drug}}$  is a better  
 206 estimate than the one given in [25]. The zero porosity estimates of the refractive index of MCC  
 207 and drug were obtained by the linear extrapolation technique method as used in [20, 25, 28].  
 208 The density of the samples was calculated from the average dimensions and the average  
 209 measured weight of the tablet. The tablet porosity was calculated by forming a ratio between  
 210 the tablet density and the true density of MCC and Indomethacin, and the  $S$  parameter was  
 211 calculated by using the equations given in the theory section. In Table 1, we have numbered  
 212 the samples according to the order of the increase of the tablet height, not the order of increase  
 213 of the effective refractive index.

214 Table 1: Data of tablet Set 1. The mean values of the diameter  $d$ , height  $H$ , weight  $W$ , porosity  
 215  $f_{\text{air}}$ , effective refractive index  $n_{\text{eff}}$ , drug mass fraction wt% ( $x$ ) and calculated  $S$  parameter for  
 216 four samples are shown. Since the porosity for all of the tablet samples is known, it is possible  
 217 to calculate the volume fractions of MCC and drug, as was discussed in [20].

Sample number (Set 1)	$d$ (mm)	$H$ (mm)	$W$ (mg)	$f_{\text{air}}$ (%)	$n_{\text{eff}}$	$x$ (wt%)	$S$
1	13.097	2.742	361.47	36	1.529	10	0.220
2	13.078	3.333	438.73	36	1.533	10	0.206
3	13.066	3.626	476.45	36	1.537	10	0.194
4	13.062	3.927	514.70	36	1.535	10	0.198

219 Table 2: Data of tablet Set 2. The values of the diameter  $d$ , height  $H$ , weight  $W$ , porosity  $f_{\text{air}}$ ,  
 220 effective refractive index  $n_{\text{eff}}$ , drug mass fraction wt% ( $x$ ) and calculated  $S$  parameter for five  
 221 pharmaceutical tablets are shown.

Sample number (Set 2)	$d$ (mm)	$H$ (mm)	$W$ (mg)	$f_{\text{air}}$ (%)	$n_{\text{eff}}$	$x$ (wt%)	$S$
1	13.076	3.955	404.02	50	1.405	11.00	0.271
2	13.075	3.642	403.64	46	1.441	10.50	0.253
3	13.094	3.273	405.67	40	1.498	10.00	0.219
4	13.093	2.971	404.23	34	1.551	9.50	0.201
5	13.081	2.734	406.20	28	1.602	9.00	0.194

222

### 223 Skeletal bulk modulus determination

224 Mercury intrusion measurements were conducted using an Autopore V mercury porosimeter  
 225 (Micromeritics Instrument Corporation, Norcross, GA, U.S.A.). The maximum applied  
 226 pressure of mercury is 414 MPa, equivalent to a Laplace throat diameter of 4 nm. The  
 227 equilibration time at each of the increasing applied pressures of mercury is set to 20 s. The  
 228 tablets are measured as supplied.

229 By observing the behaviour under intrusion and extrusion at the highest pressures it is possible  
 230 to ascertain whether the sample displays the typical pore retention hysteresis or whether  
 231 mercury is extruded initially at equal volume to that during intrusion as a function of pressure.  
 232 If the latter occurs, then it is possible to conclude that the skeletal material is being elastically  
 233 compressed, and the gradient of the elastic response to pressure provides a measure of the  
 234 elastic bulk modulus of the skeletal material, i.e. the material bulk modulus of the pore wall  
 235 when compressed equally from all directions. If the extrusion, however, exceeds the intrusion  
 236 then the skeletal material is partially undergoing strong plastic deformation. The plastic  
 237 deformation, however, is generally impossible to quantify as it is convoluted with the usual  
 238 mercury retention hysteresis due to necking and filament snapping, and ink bottle behaviour.  
 239 Thus, correcting for the elastic behaviour in the data can be included in the overall data  
 240 correction during the mercury intrusion comprising the more commonly known effects of  
 241 compression of mercury and expansion of the penetrometer [1]. This is performed conveniently  
 242 using the software Pore-Comp (a software program developed by and obtainable from the  
 243 Environmental and Fluids Modelling Group, University of Plymouth, U.K.), in which the  
 244 following equation is applied:

$$245 \quad V_{\text{int}} = V_{\text{obs}} - \delta V_{\text{blank}} + \left[ 0.175(V_{\text{bulk}}^1) \log_{10} \left( 1 + \frac{P}{1820} \right) \right] - V_{\text{bulk}}^1 (1 - \Phi^1) \left( 1 - \exp \left[ \frac{(P^1 - P)}{M_{\text{ss}}} \right] \right) \quad (10)$$

246 where  $V_{\text{int}}$  is the volume of intrusion into the sample,  $V_{\text{obs}}$  the intruded mercury volume reading,  
247  $\delta V_{\text{blank}}$  the change in the blank run volume reading,  $V_{\text{bulk}}^1$  the sample bulk volume at  
248 atmospheric pressure,  $P$  the applied pressure,  $\Phi^1$  the porosity at atmospheric pressure,  $P^1$  the  
249 atmospheric pressure and  $M_{\text{ss}}$  the bulk modulus of the solid sample [29].

## 250 **Results and discussion**

251 The values for the optical compressibility parameter,  $\beta_{\text{THz}}$ , for the case of Set 1 are shown in  
252 Fig. 1 as a function of  $S$ . The porosity and drug mass fraction were kept constant and only the  
253 height of the tablets was increased in this Set 1, which causes an increase in the volume of the  
254 tablet. The increase of the volume can be a probable reason for differences in arrangement of  
255 the particles in the direction of the THz pulse propagation, and hence different values of the  
256 lumped structural parameter  $S$ . From Table 1 it is evident that the refractive index of the tablets  
257 vary only slightly, whereas much stronger variations can be observed for their structural  
258 parameter  $S$ , sensitive to the series-parallel arrangement of constituents in the tablets.

259 Assuming that all the tablets of Set 1 have the same porosity and drug wt%, the conclusion can  
260 be drawn that a different share of series and parallel arrangement of the skeleton structure of  
261 the tablets contributes to slightly different values of the effective refractive index, and that this  
262 is manifested by a rather big change in the value of  $S$ . Therefore,  $S$  has a descriptor role  
263 regarding also the compressibility of a tablet. Actually, the different heights of the nominally  
264 similar tablets of Set 1 generate essentially different shares of series and parallel structures and,  
265 hence, different values of  $S$ . In other words, the packing of drug and MCC is different according  
266 to the different tablet heights, and thus, compression.

267 For the samples in the case of Set 2 we repeated the same analysis procedure as above. Note  
268 that in this case the samples follow a different numbering rule, to the extent that when the tablet  
269 height is decreasing (the volume of the tablet becomes smaller) the effective refractive index  
270 is increasing, as shown in Table 2. In Fig. 2 we plot the structural parameter as a function of  
271 the porosity for Set 2. Here, dependence of the structural parameter  $S$  on the porosity suggests  
272 a nonlinear relationship, which can be mathematically deduced from Eqs. (3) - (5). The range  
273 of variation of  $S$  in this case of Set 2 is ca. 0.194 - 0.271, which is much wider than for the case  
274 of Set 1, ca. 0.198 - 0.220. In the case of Set 2, porosity and drug are both subject to being  
275 varied. A wider range of porosity change suggests also a wider range of the magnitude of the  
276 structural parameter  $S$ .

277 The optical compressibility parameter  $\beta_{\text{THz}}$  as a function of  $S$  for tablet Set 2 is shown in Fig.  
278 3. The optical compressibility  $\beta_{\text{THz}}$  is increasing with increasing  $S$ . The optical compressibility  
279 range of Set 2 is ca 1.66 - 2.47, which is wider than that of Set 1 ca. 1.86 -1.89. Since both the  
280 porosity and the drug mass fraction have been changing in the situation of Set 2, it is necessarily  
281 more complex than in the case of Set 1.

282 Besides the correlation of  $\beta_{\text{THz}}$  with the parameter  $S$  we also studied the explicit dependence of  
283  $\beta_{\text{THz}}$  on  $f_{\text{air}}$  and  $x$  (shown in Figs. 4 and 5). Fig. 4 suggests a nonlinear, hyperbolic dependence  
284 of  $\beta_{\text{THz}}$  on  $f_{\text{air}}$ . This is consistent with the estimate given in Eq. (9), namely a hyperbolic  
285 dependence of  $\beta_{\text{THz}}$  on  $f_{\text{air}}$ . The data of Fig. 5 show apparently a weaker nonlinearity in respect



286 to the dependence on  $x$ . However, if the mass fraction  $x$  would have a wider scale of variation,  
287 hyperbolic dependence of  $\beta_{\text{THz}}$  on  $x$  would also be expected.

288 Fig 6 shows the calculated optical compressibility parameter as a function of the measured  
289 mechanical parameter, namely skeletal bulk modulus. It is obvious that there is a correlation  
290 between the optical compressibility and the skeletal bulk modulus. The change of the optical  
291 compressibility is relatively strong as a function of the skeletal bulk modulus if we compare  
292 the samples 3-5 of this set 2, which present low porosity tablets with the lowest drug loadings  
293 amongst the present samples.

294 The skeletal bulk modulus of the sample number 1 of Set 2 (Table 2) has the highest value and  
295 so the least compressible skeletal solid material of the five samples. This sample has the highest  
296 drug loading, and so the ratio of drug to compressible excipient is the highest. Sample number  
297 5 of Set 2 (Table 2) in turn has the most compressible skeletal material corresponding with the  
298 lowest drug loading. The drug, therefore, has a high material bulk modulus, and in ratio with  
299 the more compressible excipient determines the observed compressibility of the tablet  
300 structure.

301 In this study, we have introduced the concept of an optical compressibility parameter at the  
302 example of a specific formulation of MCC and drug. Our experiments were limited to this  
303 system due to the experimental constraint of having to prepare, measure and analyse the  
304 samples between a number of sites. However, the measurement principle is universally  
305 applicable and we are planning to continue similar investigations of the optical compressibility  
306 for a range of different excipients, such as functionalised calcium carbonate (FCC), which we  
307 have recently studied with the aid of terahertz techniques [30]. Before developing the concept  
308 further, it will be important to better understand the relationship between the mechanical  
309 properties of the powder compact, liquid mass transport in the tablet matrix and disintegration,  
310 which we are pursuing with the samples introduced in this paper by means of in situ terahertz  
311 imaging during disintegration as outlined in [31].

312

## 313 **Conclusions**

314 Compressibility of a pharmaceutical tablet is an important tablet property. The problem of  
315 measuring compressibility of a tablet is challenging because one needs to detect the change in  
316 volume of a tablet as a function of the compression pressure. This means, typically, that special  
317 measurement arrangements have to be realised under well-controlled laboratory conditions.  
318 Our idea outlined in this paper is to retrieve information on compressibility and, hence,  
319 mechanical properties of a tablet using a non-destructive method based on the THz pulse delay  
320 detection. In this article, we have introduced the concept of optical compressibility of  
321 pharmaceutical tablets.

322 The optical compressibility was studied for two training tablet sets. A theoretical model that  
323 gives explicit dependence of the optical compressibility of porosity and drug mass fraction was  
324 given. The tablets of two differently compressed sets consisted of one excipient, MCC, and one  
325 drug, Indomethacin. For the purpose of describing their compressibility, we derive the concept

326 of optical compressibility based on the effective refractive index of a tablet. The difference  
327 between the conventional and optical compressibility is that in the latter case there is, in  
328 principle, no longer a need to evaluate physical compressibility by detection of any pressure-  
329 induced volume change of the tablet. However, there is a valuable subtlety arising from the  
330 change in packing structure as a function of unidirectional compression. This is seen in a  
331 change of the parallel to series coordination of the skeletal material as monitored by the lumped  
332 parameter structure factor  $S$ . Thus, it is possible to derive a compressibility using the optical  
333 approach, and that this optical compressibility is unique to the excipient-drug formulation ratio  
334 in that the compression of the tablet leads to a change in effective refractive index together  
335 with a unique packing change. Thus, the combination of  $n_{\text{eff}}$  and  $S$  as a function of compressive  
336 force provides a quality control tool for both tablet compression and formulation consistency.  
337 The transmitted terahertz signal, therefore, gives volumetric and structural information on the  
338 tablet as it stands without using any external disturbance. In other words, the optical  
339 compressibility is an intrinsic property of each tablet and its formulation.

340 Relatively regular behaviour of the optical compressibility as a function of the structural  
341 parameter,  $S$ , porosity  $f_{\text{air}}$ , and drug mass fraction  $x$ , was obtained for both tablet Sets 1 and 2.  
342 Using the data of skeletal bulk modulus of Set 2 we found a correlation between the optical  
343 compressibility and bulk modulus. The bulk modulus relates only to the direct compressibility  
344 of the material itself making up the skeleton but not that of the skeleton structure.

345 The study of the structural parameter, as well as the optical compressibility provides a more  
346 comprehensive picture of the properties of a pharmaceutical tablet, and in principle can be used  
347 to understand better the mechanical properties such as strain, Young's modulus, Poisson's ratio  
348 etc. of a tablet.

349 Finally, we wish to remark that both the lumped structural parameter as well as the optical  
350 compressibility are suggested to be proportional to the surface roughness of a tablet [21]. It  
351 was demonstrated previously that the effective refractive index of tablets is proportional to the  
352 measured average surface roughness. This observation may open new ways to predict various  
353 properties of tablets by terahertz measurements in reflection setting, i.e. reflection of the THz  
354 pulse. Such a concept would be particularly beneficial when the drug or excipient strongly  
355 absorbs THz radiation, rendering transmission measurements unfeasible.

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