

1 **Recent developments in chitosan encapsulation of various active ingredients for**  
2 **multifunctional applications**

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7 Running head: *Chitosan encapsulation for multifunctional applications*

8 **Abstract**

9 Microencapsulation being an emerging technique has provided effective solution to the  
10 challenges faced by pharmaceutical, cosmetic, food agriculture and textile industries to deliver  
11 ingredients in their active forms to the target sites. Chitosan is a non-toxic, biodegradable and  
12 biocompatible amino polysaccharide which makes it useful for the encapsulation of various  
13 active ingredients with positive potential applications. Chitosan coating on food products, for  
14 example, gives them protection from possible antimicrobial attacks, antioxidants and extended  
15 shelf life. Likewise, its coating on pharmaceuticals has valuable applications in preservation and  
16 targeted drug delivery. In this review, we discuss the formation of chitosan, its properties,  
17 microencapsulation process, micro-capsular morphologies, selection of core and shell materials  
18 in addition to the process of chitosan encapsulation of various active ingredients and their  
19 applications in various fields of science and technology.

20 **Keywords:** Chitosan; Core; Encapsulation; Microencapsulation; Shell

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24 **1 Introduction**

25 The applications of natural products are widespread in food, cosmetics, perfumes and  
26 pharmaceutical industries. Many natural products are also used in textiles to improve the textures  
27 of fibrous materials for multipurpose applications. Chitosan (deacetylated chitin) is such a

28 product, typically found in exoskeletons of arthropods and crustaceans and also in fungal cell  
29 walls. It is a polycationic polysaccharide compound which has a tendency to interact with other  
30 chemicals resulting in various novel morphologies of microcapsules. The rigid chemical  
31 structure of chitosan makes it suitable in forming films, gels and microcapsules. Moreover, its  
32 biological, chemical and physical properties make it viable for developing the microcapsules  
33 containing active ingredients [1].

34 A microcapsule comprises of a core and a shell matrix, the core contains active ingredient  
35 whereas the shell is either a polymeric or a waxy material. The preparation of microcapsules  
36 depends on various parameters such as solubility, viscosity and the emulsification behaviour of  
37 the reaction mixture. Once applied on a desirable site, the active ingredients are inclined to be  
38 released under controlled conditions. The shell behaves as a transferring channel to the target  
39 where it releases the active ingredients which in turn depend on the material used for the shell  
40 formation including its specific end uses [2]. Microencapsulation allows the control release of  
41 the active ingredient for deposition at targeted site under specific conditions to carry out the  
42 required functionality. Any external chemical, physical or mechanical stimulant can be applied  
43 on microcapsule to tune the controlled release of active ingredient.

44 Chitosan coated microcapsules are used for the protection of active ingredients from external  
45 factors such as temperature and pH variations. Different types of core materials such as active  
46 pharmaceutical ingredients, food products, catalysts, oils and pigments can be microencapsulated  
47 using chitosan as shell material [3]. Chemically, chitosan contains free amine groups either in  
48 neutral or basic media whereas protonated amines are formed in acidic media. This pH sensitive  
49 feature makes the chitosan based compounds suitable in controlled release technologies [4].

50 Chitosan microcapsules containing drugs as an active ingredient allow their slow release under  
51 specific conditions at the targeted sites in the body. For example, lipophilic drugs were  
52 encapsulated in chitosan to be effectively released latterly in the intestinal tract of the human  
53 body [5]. Similarly, chitosan microencapsulation of vaccines allows their delivery and controlled  
54 release on the targeted sites. Fish, neem seed and other essential oils had also been  
55 microencapsulated in chitosan to limit their rate of oxidation [6]. Chitosan chains can be cross-  
56 linked with glutaraldehyde or citric acid for astaxanthin microencapsulation to increase its  
57 antioxidant potential [7]. Chitosan encapsulation of quercetin flavonoids has also been reported  
58 to allow their control release targeted as an inflammation therapy [8].

59 The applications of chitosan microencapsulation are widespread in biomedical, cosmetics,  
60 agriculture, food and textile. In this review, we have discussed chitosan chemistry and recent  
61 advances made in the previous few years in chitosan microencapsulation process, and various  
62 conditions and parameters used for the selection of core and shell materials which effect the  
63 encapsulation process.

64 We have presented current researches concerned with encapsulating various active ingredients in  
65 chitosan polymer and its derivatives and discussed the role of chitosan in enhancing the  
66 functional properties of active ingredient. Several examples of chitosan microencapsulation of  
67 various active ingredients with different chemical nature have been analysed which demonstrate  
68 the wider scope of chitosan for microencapsulation for various applications like biomedical,  
69 tissue engineering, pharmaceutical, food industry, textile, agriculture and the environment. In  
70 addition, this review also provides an insight in to recent advancement in encapsulation  
71 techniques based on their advantages and disadvantages.

## 72 **1.1 Chitosan formation**

73 Chitosan is a linear polysaccharide of [(1→4)- $\beta$ -linked 2-amino-2-deoxy-d-glucose] that is  
74 slightly hydrophilic in nature. Crabs, shrimps and some other crustaceans' shells contain chitin  
75 ( $\beta$ -(1→4)-*N*-acetyl-d-glucosamine) which upon reacting with alkaline sodium hydroxide give an  
76 *N*-deacetylation product, known as chitosan [9]. The process of deacetylation of chitin to  
77 produce chitosan is presented in Fig. 1.

78 **Please insert Fig. 1 here...**

79 Some basic properties of chitosan have been listed in Table 1 which must be considered while  
80 working for various applications. Chitosan has been considered a versatile biopolymer that can  
81 be amended using various approaches to improve its physiochemical properties thus making it  
82 suitable for several desirable applications. Some of biological properties of chitosan along with  
83 its applications have been summarized in Table 2, which represents its wide scope of potential  
84 applications in various fields. Furthermore, chitosan has also proven itself an excellent  
85 biopolymer shell material for the encapsulation of several active ingredients which have been  
86 presented in the following text.

87 **Please insert Table 1 here...**

88 **Please insert Table 2 here...**

## 89 **2 Microencapsulation**

90 Generally, microencapsulation involves the formation of minute capsules which entrap some  
91 active ingredient under some specific conditions and releasing them under other suitable  
92 conditions. The encapsulation of active ingredients can be improved by rendering liquids into  
93 powders and preventing their clumping which results in protecting active ingredients from  
94 oxidation, heat, acidity, alkalinity, moisture or evaporation. It also prevents them from reacting  
95 with unwanted species which may induce degradation or polymerization in the system.  
96 Encapsulation can also be used for masking unpleasant odour; improving handling of ingredients  
97 before processing; releasing active material in controlled manners and finally protecting workers  
98 from exposure to toxins [10].

99 The products of microencapsulation are microparticles, microcapsules and microspheres as  
100 shown in Fig. 2. They can be differentiated based on their morphology and internal structure.  
101 Microcapsules contain active ingredients surrounded by shells while the microspheres are the  
102 matrixes containing active ingredients dispersed inside them. Microparticles vary their size in  
103 range from 100 to 1000 nm. Capsules with 1 to 1000  $\mu\text{m}$  diameter are termed as microcapsules  
104 [11]. A microcapsule is comprised of two parts; a core and a shell.

105 The individual particles droplets or liquid materials are typical examples of cores whereas the  
106 surrounding coat prepared from different polymeric materials are typical examples of shells.  
107 Further, shell materials include polymers, fats, waxes and carbohydrates. Their selection mainly  
108 depends on the nature of the core material and the applications of the microcapsule.

109 Microencapsulation is, therefore, a way to protect the core material from temperature, moisture  
110 and microorganisms which may otherwise cause harmful effects to the active ingredients inside  
111 them [12]. Different approaches are used for microencapsulation as shown in Table 3.

112 **Please insert Fig. 2 here...**

113 **Please insert Table 3 here...**

114 The selection of a suitable microencapsulation approach depends on the nature and physico-  
115 chemical properties of the encapsulated material. The core material of microcapsule may be an  
116 adsorbent particle, suspension of solid or an emulsion [13]. It should be inaccessible to the

117 surrounding media from unwanted chemical to prevent its deterioration [14]. The encapsulating  
118 agents are very important for the microcapsules' stability and efficiency. The criterion for the  
119 selection of the encapsulating material depends upon its properties such as compatibility of the  
120 shell materials, the structure of the encapsulating agents and the economic and processing  
121 aspects involved. One type of a microencapsulating agent may not have all the required  
122 properties; therefore, combinations of different microencapsulating agents can be adopted for  
123 better production of microcapsules. The choice of an encapsulating agent also depends on the  
124 toxicity level, stability, efficiency, protection degree and microscopic properties of the produced  
125 micro-particles [12].

## 126 **2.1 Controlling the morphology of microcapsules**

127 There are three different morphologies of microcapsules which include mononuclear,  
128 polynuclear and matrix encapsulation as shown in Fig. 2. The mononuclear microcapsules  
129 comprise of shell material surrounding the core material whereas the polynuclear microcapsules  
130 contain a shell material surrounding several cores. The matrix encapsulation involves the fine  
131 dispersion of core material into the shell material. The basic structures for microcapsule may also  
132 contain mononuclear core with multiple shells or microcapsules clusters [15]. The morphology  
133 of microcapsules depends on the nature and composition of both core and shell materials and  
134 their mode of interaction. The morphology of microcapsules is typically controlled by existing  
135 conditions such as temperature, pH and the method used in their preparation.

## 136 **2.2 The selection of core and shell materials**

137 Core material can either be a liquid or solid coated with polymers, waxes, polysaccharides or  
138 proteins depending on the requirement of the produced microcapsule. The dispersed or dissolved  
139 materials are typically included in liquid cores whereas active constituents, stabilizers, diluents,  
140 excipients and release retardants or accelerators are included in the solid core. The varying  
141 composition of the core material provides flexible characteristics to develop the desired  
142 properties in a microcapsule. The specific coating/shell on the surface of core material provide  
143 suitable physical and chemical properties to the microcapsules. This coating material on the  
144 surface of core material should be chemically non-reactive so as not to alter the chemical  
145 composition of the core material. The desired properties are achieved in the coating material  
146 such as flexibility, impermeability, strength, stability and optical properties etc. [16].

147 The selection of coating material is a very important step in the encapsulation process because it  
148 may have decisive effect on the functional properties of the final encapsulated product. To  
149 ensure true encapsulation, the stability of microcapsules, prolong storage abilities, suitable drug  
150 release mechanism and resistance against the harsh environment , the following factors should be  
151 considered in the selection of core and shell material [17]:

- 152 • Solubility of core material,
- 153 • Physical state of the core material (either liquid or solid),
- 154 • Core reactivity with solvent and wall material,
- 155 • Desired size of microcapsule,
- 156 • Method for attachment of core to the shell material,
- 157 • Release properties of the core material from the microcapsule, and
- 158 • The economics of the process and product.

159 For instance, Ying and co-workers [18] reported the development of chitosan spherical particles  
160 in which poly (*n*-butyl acrylate) was encapsulated as an active ingredient. The pad-dry-cure  
161 method was used to apply the microcapsules on cotton fabric. Antibacterial activities of the  
162 microcapsules were reported to be excellent with up to 99% reduction of bacterial growth. Folate  
163 conjugated pluronic chitosan was studied for drug delivery of doxorubicin to cancerous cells.  
164 The pluronic micelle containing doxorubicin acted as a core material while the folate conjugated  
165 chitosan was used as shell material through some electrostatic interactions. The encapsulated  
166 material was effective in the treatment of tumour cells, mainly breast cancer cells in which folate  
167 receptors were successfully expressed [19].

### 168 **2.3 Microencapsulation process and release profile**

169 Microencapsulation approaches can be categorized into chemical, physical and mechanical  
170 techniques. Chemical microencapsulation is a versatile method for the encapsulation of drugs. It  
171 is further subdivided into complex coacervation, interfacial polymerization and *in situ*  
172 polymerization. The coacervation is a phase separation technique with two liquid phases. One  
173 phase is called as coacervation phase usually containing polymers while other do not have  
174 polymer. The process completes in three steps; in the first step, a polymer of oppositely charged  
175 precipitate and process is called complex coacervation. In second step, coacervate is deposited  
176 on the dispersed phase, containing active ingredients, and in the third step, the polymer film gets

177 hardened [10]. In the interfacial polymerization, a reactive polymer is dissolved in two  
178 immiscible liquids and the polymerization take place at the interface [20]; while in the *in situ*  
179 polymerization, solution of shell material is added into the core phase and the deposition of  
180 polymer of core material takes place by changes in the pH or temperate [21]. Some advantages  
181 and disadvantages of these techniques have been compared in Table 3.

182 The microencapsulation process is generally divided into three major stages. In the first stage,  
183 some active constituents are incorporated into the matrix or the core of microcapsules which may  
184 be in the form of emulsions or suspensions. In the second stage, the liquid form of the matrix  
185 makes a dispersion and the solid matrix through spraying a solution under agitation. In the last  
186 stage, droplets are stabilized by different physicochemical approaches. The releasing mechanism  
187 of the core material depends upon the nature of stimulant and the morphology of microcapsules.  
188 The microencapsulation ensures the stabilization and immobilization of the active constituents  
189 whereas the coating permits different levels of release and protection [22]. A schematic process  
190 of a drug microencapsulation and its release profile have been shown in Fig. 3.

191 **Please insert Fig. 3 here...**

## 192 **2.4 The conditions for microcapsules formation**

193 Many parameters or conditions should be considered while preparing microcapsules as their  
194 yield is greatly influenced by temperature and pH conditions. The following features may be  
195 considered to achieve efficient production of microcapsules [23]:

- 196 • Size of particles, morphology of microcapsule, encapsulation efficiency and drug release rate  
197 may be affected by the ratio of active ingredient to encapsulating material.
- 198 • For chitosan microcapsules preparation and agitation speed considerably affects the cross-  
199 linking reaction and emulsification process. The agitation method and speed are affected by  
200 the intrinsic viscosity of chitosan aqueous solutions. Microcapsules yield may be maximum  
201 at higher agitation speeds ensuring proper homogenizing [24].
- 202 • The yield of microcapsules depends on the concentration of shell materials. The releasing  
203 behaviours of the core content depends on the ratio of core and shell materials. The  
204 concentration of shell material is directly related to microcapsule yield.

- 205 • The microcapsule shell strength and surface adhesion properties are influenced by cross-  
206 linking time and the yield. In short time, chitosan polymer may not completely cross-linked  
207 with the linking agent producing low yield [25].

208 Various studies have been conducted to investigate the effect of the above-mentioned parameter  
209 on chitosan encapsulation efficiency. For instance, some researchers [26] had encapsulated  
210 cortex moutan (a drug for hypertension treatment) in chitosan and investigated the effect of  
211 chitosan concentration on its encapsulating efficiency, it was observed that when the chitosan  
212 concentration was increased from 2 to 6% (w/v) its encapsulating efficiency increased  
213 significantly. They concluded that when the concentration of shell material increased the  
214 diffusion of drug decrease, accordingly. While studying the effect of ratio of active ingredient to  
215 encapsulating material, Devi and co-workers [27] observed that when ratio of core to shell  
216 material decreased form 1/50 to 1/300, the encapsulation efficient increased significantly.  
217 Kapadnis and co-workers [28] investigated the effect of degree of deacetylation of chitosan on  
218 the encapsulation of bovine serum albumin (BSA). They observed that BSA was efficiently  
219 encapsulated at high degree of deacetylation due to a higher number of functional groups on  
220 chitosan which increased its encapsulation efficiency. Han and co-workers [29] studied the effect  
221 of agitation speed (500, 800 and 1100 rpm) on the yield percentage of microcapsule. They  
222 observed maximum yield of 1100 rpm, when cortex moutan was homogenously mixed in  
223 chitosan solution for efficient encapsulation.

## 224 **2.5 Specific examples of chitosan microencapsulation**

225 Chitosan is the second most abundant natural biopolymer after cellulose and it has several amino  
226 and hydroxyl functional groups [30]. Due to the presence of positive charge on its amino groups,  
227 chitosan is the only commercially available water-soluble cationic polymer so far [31].  
228 Furthermore, chitosan is pH sensitive due to the presence of D-glucosamine in its structure.  
229 These unique properties make chitosan an important shell material to entrap various active  
230 ingredients suitable for several applications in different fields. Many drugs can be encapsulated  
231 for targeted delivery approaches. Active food ingredients can also be encapsulated to protect  
232 them from microbial attack and to enhance their nutritional value. Chitosan can also be used to  
233 encapsulate vitamins for their applications in foods, cosmetotextiles and pharmaceutical industry.  
234 Chitosan encapsulation of essential oils, lipids, hemoglobin, astaxanthin and quercetin has found



235 diverse applications [32, 33]. Some specific examples of chitosan encapsulation of various active  
236 ingredients are illustrated below.

## 237 **2.6 Chitosan encapsulation of essential oils**

238 Essential oils can be used as antimicrobial agents however they are not widely used due to their  
239 volatility. Chitosan encapsulation is important for the slow release of essential oil ensuring the  
240 increased duration of oil availability to the required target [34]. Some researchers suggested that  
241 the essential oil of pimento was encapsulated into chitosan microspheres and chitosan/k-  
242 carrageenan microspheres, separately [35]. The pad-dry-cure method was used to incorporate  
243 fabricated microcapsule on the cotton fabric using dihydroxy ethylene urea as a cross linker.  
244 Essential oils were encapsulated into chitosan microsphere (as shown in Fig. 4) to investigate  
245 their releasing property with chitosan/k-carrageenan microspheres. Chitosan microcapsule  
246 showed an effective release of the essential oil to control fungal and bacterial growth in  
247 comparison to chitosan/k-carrageenan microspheres [36]. Therein, FTIR and SEM confirmed the  
248 cross-linking within microcapsules. The concentration of chitosan and essential oil had  
249 determined the extent of antibacterial activity. The stiffness increased at higher concentration of  
250 chitosan and was decreased on increasing the essential oil concentration [37].

251 **Please insert Fig. 4 here...**

## 252 **2.7 Chitosan encapsulation of neem seed oil**

253 Neem seed oil (NSO) extract is effectively used to control insects and pests on plants however  
254 due to their garlic or sulphur like odour, its use is limited in cosmetics and medicine products.  
255 The microspheres of NSO in a polyelectrolyte complex of chitosan and carrageenan had been  
256 prepared using complex coacervation as shown in Fig 5. The surface of the microcapsules  
257 became irregular as more oil was encapsulated inside them [6]. The burst release of NSO became  
258 more gradual on increasing the polymer concentration, the percentage of oil and the  
259 concentration of glutaraldehyde as crosslinking agent. The DSC analysis showed an absence of  
260 any interrelation and poor compatibility between the polyelectrolyte complex of chitosan and the  
261 carrageenan [38]. Chitosan and  $\kappa$  carrageenan were used to encapsulate NSO using three  
262 different cross-linkers (i.e., genipin, glutaraldehyde and tannic acid) to compare their effect on  
263 the release behaviour of the microcapsules. Therein, glutaraldehyde was found to be the best  
264 cross- linker to improve thermal stability, release behaviour and water uptake capacity of

265 chitosan microcapsules [39]. Both FTIR and the DSC analyses confirmed the absence of  
266 chemical interaction in microcapsules, but the release of NSO was entirely dependent on the  
267 cross-linker. The more the cross-linking agent used the less release of NSO occurred. It has  
268 therefore been concluded that microencapsulation of NSO can effectively be used as pesticides,  
269 insecticide and herbicide [40].

270 **Please insert Fig. 5 here...**

## 271 **2.8 Chitosan encapsulation of emulsified lipids**

272 Long-chain polyunsaturated omega-3 fatty acids, especially eicosapentaenoic acid (EPA, C20:5  
273  $\omega$ 3) and docosahexaenoic acid (DHA, C22:6  $\omega$ 3), are important to prevent cardiovascular  
274 disease, rheumatoid arthritis, diabetes, allergies and Alzheimer's diseases [44]. The ability to  
275 microencapsulation of fish oils is therefore important to increase the nutritional value for such  
276 necessary food products. The stability and shelf life of fish oil and other bioactive and food  
277 components was improved by chitosan encapsulation preventing their auto-oxidation as  
278 compared to bulk storage. Such encapsulation had no significant effect on its *in-vivo* digestibility  
279 [41-43]. Therefore, some long-chain polyunsaturated omega-3 fatty acids isolated from fish oil  
280 were microencapsulated into chitosan shell using spray drying technique to reduce their  
281 susceptibility to ambient oxidation. The results showed enhanced stability and storage duration  
282 for these fish oil extract [44]. In a study, chitosan encapsulation of fish oil was also done using  
283 an ultrasonic atomizer through an emulsification method. As a result chitosan was not only  
284 capable to give a stable emulsion but its stability was enhanced with mediated with maltodextrin  
285 [45]. Likewise, milk originated shell materials had also been used to encapsulate fish oils using  
286 spray drying technique resulting in an increased encapsulation efficiency by increasing the  
287 temperature of inlet used for drying air to reduce moisture contents [46].

## 288 **2.9 Chitosan for $\alpha$ -lipoic acid encapsulation**

289 Chitosan had also been accepted as an effective method for  $\alpha$ -lipoic acid (ALA) encapsulation. It  
290 prevents decomposition of ALA at elevated temperatures and provides an efficient delivery  
291 process. ALA was encapsulated in dry chitosan microbeads by swelling them in its respective  
292 solution. FTIR and differential scanning calorimetry (DSC) analyses revealed interaction of  
293 hydroxyl/amino groups of chitosan with the carboxylic acid groups of ALA. Its encapsulation  
294 efficiency was observed in the range from 46.8 to 58.5%. The retention of the non-extractable

295 ALA in the chitosan medium could deliver a continuous release of this antioxidant for a long  
296 period [47]. Liposomes containing coenzyme Q10 and ALA coated by chitosan were efficiently  
297 compared with uncoated liposomes. Hydrogen bonding and ionic interactions in chitosan-coated  
298 liposomes with ALA were enhanced showing effective radical scavenging capacity and sustained  
299 drug release behaviour [48]. The ALA-chitosan complex was formed showing ALA release due  
300 to changes in pH values. The ALA is used for energy production in the mitochondria acting as a  
301 cofactor. Its stability had been improved by chitosan encapsulation for safe release in the  
302 gastrointestinal tract [49]. The ALA had also been encapsulated in poly (ethylene oxide)/chitosan  
303 using single-capillary electrospray system. Excellent dispersity and stability of particles in  
304 suspension was observed under DLS based zeta potential measurements. The results  
305 demonstrated effective anti-inflammatory activity for poly(ethylene oxide)-chitosan coated ALA  
306 in comparison to free ALA solutions [50].

## 307 **2.10 Chitosan encapsulation of drugs**

308 The efficiency of various pharmaceutical products could be improved by encapsulating the drugs  
309 into suitable shell materials. This does not only protect them from harsh external environment  
310 but also provide them with more effective properties and improve their bioactive roles in the  
311 human body. Controlled drugs release rate could be obtained from chitosan coated microspheres  
312 which might be suitable for oil soluble drugs. Among others approaches, gelation and  
313 emulsification techniques had been considered excellent for intestinal delivery of lipophilic  
314 drugs due to improve their encapsulation efficiency [5].

315 A microfluidic approach had been used to prepare double emulsion precursor for burst release of  
316 a hydrophobic drug coated with chitosan in acidic medium [51]. Chitosan is soluble in acid  
317 media while in neutral and basic media, chitosan microcapsules remain insoluble and maintain  
318 their morphologies. Thus, the microcapsules could decompose its shell in acidic media releasing  
319 their active ingredients making them suitable to target areas such as the stomach at  $\text{pH} < 4$ . Any  
320 pH fluctuations greatly influence the properties of chitosan microcapsules [52]. Likewise,  
321 metronidazole is an antibiotic which is used to treat bacterial infection on skin, stomach and  
322 joints and is also used to treat inflammatory bowel disease [53]. It had been encapsulated in  
323 alginate beads mediated with different chitosan concentrations to develop some mucoadhesive  
324 properties. The encapsulation efficiency, surface morphology, swelling behaviour, and *in vitro*

325 and *in vivo* drug release profiles were assessed. Subsequently, it was observed that chitosan with  
326 high concentration showed efficient encapsulation and controlled drug release rate at pH 7.4 with  
327 extend exposure period [54].

328 Tissue engineering helps improve the functions lost due to some pathological condition and  
329 damaged or diseased tissues [55]. Chitosan is an important material for tissue engineering and  
330 wound dressing application due to its biocompatibility [56]. Karpuraranjith and co-workers [57]  
331 had synthesized chitosan-*g*- $\beta$ -cyclodextrin (chit-*g*-  $\beta$ -CD) scaffolds using freeze drying approach  
332 as active filling material during the treatment of damaged tissues. The  $\beta$ -CD made it efficient for  
333 drug loading as it improved the swelling behaviour of chitosan by decreasing its degree of  
334 hydrogen bonding. Ketoprofen is a nonsteroidal anti-inflammatory drug which was encapsulated  
335 in chit-*g*- $\beta$ -CD and its loading efficiency was observed to be increased at high concentration of  
336 chit-*g*- $\beta$ -CD because  $\beta$ -CD increases the hydrophobic interaction with the ketoprofen molecules.  
337 The kinetic study showed that at initial stage, the drug release rate was high due to the presence  
338 of possible uncoated drug at the surface of shell. The drug release rate become slow and  
339 equilibrium was observed after 23 h. The slow release of the drug was due to complex formation  
340 between drug and the chit-*g*- $\beta$ -CD. The nontoxic behaviour made it efficient for cross-linking of  
341 glutaraldehyde against the fibroblasts (L929) cells and the chit-*g*- $\beta$ -CD; therefore, has become an  
342 important scaffold for tissue engineering applications.

343 Chitosan is also used for non-viral gene delivery. Chitosan contains slightly positive charge in  
344 acidic media which allows the attachment of nucleic acids to the cationic chitosan. The DNA,  
345 siRNA and nanoparticles of nucleic acid could therefore be attached to chitosan for genes  
346 delivery [58]. However, its poor solubility in water makes it less efficient when compared with  
347 other synthetic cationic polymer such as polyethylenimine (PEI) and poly-L-lysine (PLL) [59].  
348 Chitosan based nanoparticles could also be used for diagnostic purposes [60]. In a study, glycol  
349 chitosan (GC)-based nanoparticles were used to entrap the siRNA and chemotherapeutic drugs  
350 [61]. The encapsulation of doxorubicin (DOX) into chitosan formed DOX-CNPs whereas Bcl-2  
351 si-RNA formed some si-RNACNPs. The encapsulation of drugs with CNP gave similar *in vivo*  
352 distribution and chemical kinetics [62]. Some researchers suggested that chitosan encapsulated  
353 poly(lactic-co-glycolic acid NPs could be used for magnetic resonance (MR) imaging of cancer  
354 cells [63]. These nanoparticles were also encapsulated with paclitaxel for the treatment of cancer.  
355 Glycol CNPs interaction with 5 $\beta$ -cholanic acid was based on chemical modification to confirm

356 nano-carriers for drugs encapsulation which was efficient for tumour targeting. It was concluded  
357 that tumour-targeting ability was long lasting through the angiogenic vessels of tumour tissues.

### 358 **2.11 Chitosan for haemoglobin encapsulation**

359 Haemoglobin is an important constituent of blood carrying oxygen towards cells and tissues. For  
360 oral bioavailability of haemoglobin, encapsulation approach has been more efficient and protect  
361 it from desaturating at high temperatures and in organic solvents. The proposed process of  
362 haemoglobin encapsulation in chitosan is shown in Fig. 6. The microencapsulation was  
363 investigated to determine if it may increase the oxygen carrying capacity and the *in vitro*  
364 releasing behaviour of haemoglobin [64]. Therein, freeze-dried bovine haemoglobin was  
365 encapsulated using chitosan or calcium alginate beads. The procedure was optimized for the  
366 formation of beads containing more than 90% of initial haemoglobin contents. The haemoglobin  
367 dissociates into its monomer and was released at pH 1.2 due to loss of interaction between  
368 negatively charged alginate and positively charged haemoglobin that exists at pH 5.5. Globular  
369 proteins and cells could be encapsulated using this method [65].

370 In another study alginate beads containing microencapsulated haemoglobin were coated with a  
371 dextran derivative for comparison between dextran and the chitosan. On changing the media pH  
372 from 3 to 4, the bonding interaction between beads and haemoglobin weakened ultimately  
373 releasing the haemoglobin. Dextran allowed slower haemoglobin release in comparison to  
374 chitosan [66]. The *in vitro* releasing behaviour of haemoglobin was evaluated using chitosan  
375 coating in three different conditions, namely uncoated, incomplete and completely coated  
376 microspheres. In the gastrointestinal tract, haemoglobin was quickly released from the uncoated  
377 and incomplete coated microspheres at pH 6.8 while the complete coating gave a slower release  
378 even at pH 1.2 [67]. The encapsulated haemoglobin affinity for oxygen binding was generally  
379 similar to that of the purified haemoglobin [64].

380 **Please insert Fig. 6 here...**

### 381 **2.12 Chitosan encapsulation of astaxanthin**

382 Astaxanthin is a ketocarotenoid belonging to the terpenes class with antioxidant potential of 100  
383 times greater than the  $\beta$ -tocopherol to protect skin against cancer and is used as anti-  
384 inflammatory and immunostimulants agent [68]. It has been suggested that astaxanthin could be

385 encapsulated in chitosan to enhance its stability and to evaluate its isomerization at different  
386 temperatures [69]. A solvent evaporation method was used for the microencapsulation of  
387 astaxanthin in the chitosan using glutaraldehyde as a cross-linker. Microcapsules in powdered  
388 form were obtained with diameter in the range of 5-50  $\mu\text{m}$ . The stability of these microcapsules  
389 was investigated under different storage conditions at temperatures 25, 35 and 45°C for 8 weeks.  
390 When the astaxanthin pigments were extracted from the chitosan microcapsules using a solvent  
391 mixture of methanol/dichloromethane to evaluate it using HPLC, it was observed that the  
392 microencapsulated astaxanthin was neither degraded nor isomerized. Kittikaiwan et al. [70]  
393 reported that *Haematococcus pluvialis* was used as a natural source of astaxanthin and was  
394 encapsulated in porous chitosan films (of 100  $\mu\text{m}$  thickness) to evaluate its antioxidant activity.  
395 The chitosan coating prolonged the storage of astaxanthin with only 3% loss of antioxidant  
396 activity protecting against oxidative environment.

### 397 **2.13 Chitosan encapsulation of quercetin**

398 Quercetin is also an antioxidant, anti-inflammatory and anti-tumour agent found in apples,  
399 grapes and onions [71]. Quercetin was encapsulated to study its controlled release properties for  
400 desirable biological activities. Hao et al. [72] reported the use of spray-drying technique to obtain  
401 the microcapsules containing the flavonoid of quercetin. Chitosan had been used as suitable  
402 functional material for flavonoids microencapsulation to attain better resisting properties against  
403 harsh environment with desirable antioxidant activity under effective controlled release.  
404 Theoretically, flavonoids could efficiently entrap reactive oxygen species (ROS) due to their  
405 antioxidant potential [73].

406 Chitosan and xanthan gum were used within microencapsulated quercetin to ensure its controlled  
407 release in the colon for inflammation therapy [74]. Similarly, chitosan coated nano-liposomes  
408 containing quercetin proved its effectiveness in controlled release of quercetin giving enhanced  
409 stability and anti-proliferative activity and is therefore being considered as novel nanocapsules  
410 for the delivery of hydrophobic chemicals and storage of food products. The kinetic study  
411 showed that quercetin release delayed from the chitosan-based film when irradiated with an  
412 electron beam of 2.2 MeV energy. Such irradiation produced free radicals which helped cross-  
413 linking between chitosan film and the quercetin which increased the stability of encapsulated

414 quercetin due to more linkage with the chitosan. This also prevented the burst release of core  
415 material from the biopolymeric matrix [75].

## 416 **2.14 Chitosan encapsulation of vaccines**

417 Vaccines are important to protect body against pathogens and infectious diseases and their  
418 encapsulation is important to increase their immunogenicity. Jiao et al. [76] reported that a  
419 coacervation method was used to encapsulate diphtheria, tetanus toxoids and whole cell *pertussis*  
420 (DwPT) antigen using chitosan as shell material. Therein, vanillin was used as a cross-linker  
421 while sodium tripolyphosphate (STPP) as co-cross-linkers to develop the encapsulated vaccine.  
422 The encapsulated antigen in the chitosan microspheres exhibited mucoadhesive properties and  
423 controlled release of proteins which was suitable for oral vaccine development of the trivalent  
424 DwPT. For porcine nasal mucosa, chitosan coated poly(D,L lactic-co-glycolic acid) (PLGA) was  
425 investigated to compare its properties with Al(OH)<sub>3</sub> coated PLGA. They observed that the tissue  
426 adhesion properties increased with the chitosan encapsulated PLGA via trans-cellular path acting  
427 as nasal vaccine carrier while Al(OH)<sub>3</sub> encapsulated PLGA proved to be effective for tissue  
428 uptake, permeation and the adhesion for nasal mucosa cells. There also observed increased  
429 immunization using chitosan derivatives acting as a vaccine carrier [77]. The microspheres  
430 containing mannose had been used for improved DNA delivery into antigenic cells.  
431 Intramuscular injection was also used to deliver the vaccine in mice. The controlled release of  
432 DNA was observed with increased immunogenicity for chitosan microspheres proving to be a  
433 safer vaccination process for mice [78] .

## 434 **2.15 Chitosan encapsulation of vitamins**

435 The vitamin A, C, E and K are known as liposoluble compounds naturally found in food  
436 products. For pharmacological purposes, vitamins can be used to cure skin disease, cancer and  
437 the oxidative stress. Microencapsulation of vitamins may protect them from heat, light, oxygen  
438 and allows their slow release in order to prevent hypervitaminosis [79, 80]. Some details of  
439 selected vitamins encapsulation processes and subsequent effects are presented below.

### 440 **2.15.1 Chitosan encapsulation of vitamin C**

441 Vitamin C (ascorbic acid) is a water-soluble compound found in various foods and its deficiency  
442 causes scurvy and has diverse applications in the fields of biology, pharmacology and

443 dermatology. It helps strengthen the immune system and minimizes the risk of some severe  
444 diseases such as cancer, heart diseases and high lead (Pb) levels [78] . The human body can't  
445 synthesize vitamin C or store it, therefore it must be taken through dietary nutrients, regularly.  
446 The sources of vitamin C include citrus fruits and green vegetables [81]. Vitamin C sensitivity  
447 towards pH, temperature and heat cause its spoilage in food therefore microencapsulation may  
448 help protect it from oxidative environments [78]. Spray drying technique has been used for  
449 encapsulating vitamin C (as shown in Fig. 7) because it causes minimum loss of ascorbic acid,  
450 both thermal phase separation and melt dispersion are effective for its release [82]. STPP was  
451 used as cross linker for encapsulation of vitamin C in double layered chitosan structure which  
452 proved effective for its controlled release in the gastric secretions and the intestinal fluids. It was  
453 observed that the encapsulation efficiency decreased on increasing the concentration of the  
454 crosslinking agent; this may be due to surface irregularities of chitosan. For control release and  
455 better encapsulating efficiency an appropriate amount of crosslinking agent should always be  
456 used [83] .

457 **Please insert Fig 7 here....**

#### 458 **2.15.2 Chitosan encapsulation of Vitamin D**

459 Vitamin D exists in two main chemical forms; the first form is known as vitamin D<sub>3</sub> or  
460 cholecalciferol while the second form is D<sub>2</sub> ergocalciferol. The skin of the human body is  
461 able to synthesize vitamin D<sub>3</sub> upon exposure to sunlight. Calcidiol, calcitriol and calcitriol are  
462 different forms of vitamin D<sub>3</sub> which is important for bone metabolism, blood pressure, immunity,  
463 insulin secretion and homeostasis [84]. The second form D<sub>2</sub> is present in food matrixes and can  
464 be released to form mixed micelles because it is lipophilic in nature. It enters in enterocytes,  
465 chylomicrons and the liver where it is activated for use as deficiency causes rickets,  
466 osteomalacia, fatigue and depression [85]. Carboxymethyl chitosan (CMCS) and soy protein  
467 isolate (SPI) complex nanoparticles had been studied to check the effect of Ca<sup>2+</sup> concentration,  
468 pH and CMCS/SPI mass ratio. Vitamin D<sub>3</sub> was encapsulated into CMCS/SPI polymeric  
469 complex. Lower concentration of Ca<sup>2+</sup> was required for CMCS/SPI complex in comparison with  
470 CMCS for broad range of pH values. The encapsulation efficiency of the complex nanoparticles  
471 was high due to its compact structure. Vitamin D<sub>3</sub> release was observed to be significantly higher  
472 under simulated intestinal conditions in comparison with gastric fluids. The use CMCS/SPI



473 complex nanoparticles were reported to be suitable for both encapsulation and controlled release  
474 of bioactive and hydrophobic nutraceuticals [86] .

475 Khan et al. [87] reported that chitosan was used to coat the zein nanoparticles for encapsulation  
476 of vitamin D<sub>3</sub>. Uniform and true encapsulation was obtained on adding calcium source. The  
477 encapsulation efficiency obtained after coating with the addition of nanoparticles was 87.9%.  
478 Rabelo et al. [88] reported on a nanostructured lipid carriers (NLCs) coated with chitosan for  
479 encapsulation of vitamin D. The selection of lipid was based on higher encapsulation efficiency.  
480 Stearic acid (SA) and oleic acids (OA) were used in 70:30 (v/v) for the encapsulation of vitamin  
481 D due to their compatibility, stability and higher encapsulation efficiency. Chitosan coated NLCs  
482 showed excellent stability and storage without expulsion of vitamin D. It was concluded that a  
483 physically stable system was obtained after encapsulation of vitamin D. Tan et al. [84] reported  
484 using chitosan to entrap vitamin D<sub>2</sub> with ethyl cellulose coating via spray drying technique and  
485 was mainly used for controlled release of vitamin in intestinal juice for effective absorption.

### 486 **2.15.3 Chitosan microencapsulation of vitamin E**

487 Alpha tocopherol (vitamin E) is an environmental friendly dark viscous yellowish-brown oily  
488 substance with exceptional thermal stability and limited volatility [89]. Alpha tocopherol is  
489 important for food packaging to keep items afresh. It is present in different foods to protect lipids  
490 from auto oxidation and thus, increasing their shelf life. Its nature is hydrophobic and gives  
491 intense response in heat, oxygen and light. Its hydrophobicity minimize its applications in  
492 different fields of life [90]. It plays important role in the protection of skin from harmful UV-  
493 light through absorption while giving antioxidant defence to the skin [91]. Both retinoic acid and  
494 alpha tocopherol are highly effective for dry skin but has limitations for use in cosmetics due to  
495 their sensitivity towards light and oxygen and some adverse reactions in localized areas such as  
496 erythema, xerosis and mild scaling. These problems could be controlled by their  
497 microencapsulation in chitosan shells, which protects from heat and light exposure. For topical  
498 applications, skin irritation can be minimized by incorporating retinoic acid and alpha tocopherol  
499 in chitosan microspheres. The stability and release time can be increased for chitosan containing  
500 vitamins giving thermodynamically favourable applications [92] .

501 The microencapsulation also protects the alpha tocopherol as a core material to regulate the  
502 delivery process [93]. The presence of polyunsaturated fatty acids in the biological membrane

503 makes them susceptible to oxidation by free radicals. Alpha tocopherol protects the membrane  
504 by converting the free radicals into stable species through their hydrogen bonding. The  
505 esterification process also gives stability to alpha-tocopherol but this molecule is at a risk of long  
506 term degradation [94]. Kaleem et al. [95] reported that the antioxidant activity of alpha-  
507 tocopherol was dependent on their capability to give their alcoholic hydrogen to lipids.

### 508 **3. Chitosan based microcapsules applications**

509 Chitosan had found vast applications in the biomedical, textile, cosmetics, food and agriculture  
510 related industries. Chitosan is beneficial for wound dressing, gene delivery and tissue  
511 engineering, and treatment of acne, dermatitis and hair problems [96]. Chitosan have been used  
512 in encapsulating various food materials such as flavours, essential oils, vitamins, enzymes and  
513 aroma to protect them from degradation and control their release [97]. Chitosan has different  
514 environmental applications like remediation of inorganic and organic pollutants having toxic  
515 metals and dyes, traces of contaminants in soil and water bodies [98]. In recent days, chitosan  
516 has emerged as excellent biopolymer having potential applications in various fields such as drug  
517 functional additives, pharmaceuticals, agriculture and cosmetics [99].

518 Chitosan encapsulation may also improve the properties of encapsulated cosmetics and also  
519 provide protection from external adverse environment. Human skin glands excrete sebum which  
520 reacts with amino acids and the lactic acid of sweat to make skin surface mildly acidic at pH 5.5.  
521 The pH of most cosmetics has a range 5.5 to 7; therefore, these cosmetics must be encapsulated  
522 to allow the controlled release of different active agents. In drug delivery, chitosan is used as a  
523 coating material giving many advantages such as bio-adhesive properties, improvement and  
524 sustained drug release [100]. In a study investigating diclofenac release, 50% occurred within  
525 one hour when using uncoated microspheres while only 14.6% with the chitosan coated  
526 microparticles [101]. An exciting application of chitosan had been reported with calcium  
527 phosphate as a cementing agent where chitosan glycerophosphate combines with calcium  
528 phosphate and citric acid to form a self-hardening system for bone filling and repairing [102] .

529 Chitosan membranes offer excellent permeability and high tensile strength making it suitable to  
530 use as an artificial kidney membrane [103]. The novel semipermeable membrane was established  
531 for better control of blood compatibility and transport materials. Patients who suffer from skin  
532 problems or severe infections and fluid loss, can be treated using chitosan capsule of novel

533 membrane [104]. These early symptoms require the rehabilitation and replacement of these skin  
534 problems by using chitosan membrane which acts as a biodegradable template for the synthesis  
535 of neodermal tissues. Chitosan polymer also has structural features that are similar to  
536 glycosamine glycans which can be considered for the development of substratum for skin  
537 replacement [104]. Chitosan microcapsules have great significance for the chromatographic  
538 supports. These spheres interact with the organic substances like lipids and proteins acting as  
539 electron donors for different metal ions [105].

540 Recently, chitosan has been used for the coagulation of suspended solid particles. According to  
541 the USA Environmental Protection Agency, chitosan is readily accepted for water applications  
542 [106]. The presence of chitosan in various fungi indicates that chitosan is already a part of  
543 human food. Different studies showed that chitosan is as safe as sugar and salt and can act as an  
544 active agent for food processing and biological activities such as hypocholesterolemic and  
545 hypolipidemic activities [107].

### 546 **3.1 Specific applications in textiles**

547 Chitosan fibres are well known bio-functional fibres but other chitosan-based material such as  
548 bioyarns, biotreads and fragrant biofibres are not well known compared to chitosan fibres.  
549 Studies demonstrate that novel fragrant biofibre and yarn were prepared by Schiff base using  
550 fragrant aldehydes such as n-decylaldehyde [108]. A small portion of aldehyde was slowly  
551 released from the fibre and yarn in open air and a little amount was released in the dry close  
552 vessels [109]. Essential oils were microencapsulated into chitosan for different purposes for  
553 example citronella essential oil is volatile and when encapsulated into chitosan can be used as  
554 mosquito repellent on textile surface [110]. Other essential oils as linseed oil, lemon and oil  
555 phase change materials were also encapsulated into chitosan for their applications in the textile  
556 industry [111]. Chitosan encapsulation was also use for fragrance finishing on fabrics as it  
557 reduced their evaporation rate and increases their staying duration. Chitosan encapsulated rose  
558 fragrance forming nanoparticles by ionic gelification was applied on cotton fabrics [112].

559 Alpha ( $\alpha$ )-tocopherol is an excellent antioxidant but under oxidizing conditions it show less  
560 stability which limit its applications. Raza and co-workers [113] encapsulated the alpha ( $\alpha$ )-  
561 tocopherol in chitosan nanospheres which enhanced its stability in oxidative environment and  
562 prolonged its control release. Chitosan encapsulated  $\alpha$ -tocopherol application on cotton fabric

563 was investigated and it was observed that it causes little decrease in tensile strength while on the  
564 other hand increased its antibacterial efficiency.

565 In another study, we also synthesized silver nanoparticles (SNPs) using chitosan polymer as  
566 stabilizing as well as reducing agent and applied on viscose fabric surface by in situ treatment  
567 [114]. Investigating the textile properties of viscose fabric, we observed that chitosan- SNPs  
568 treated fabrics showed excellent antibacterial properties while maintaining fair textile properties.  
569 In another study the authors investigated chitosan encapsulated poly(lactic acid) nanosphere and  
570 its antibacterial activity by applying it on hydrophobic textile fabric like polyester and  
571 subsequently on woven polyester fabric through a cross linker. It imparted good antibacterial  
572 properties to the fabric [115].

573 Zhu et al. [116] reported that complex coacervation methods were used to produce microcapsule  
574 containing limonene and vanillin as core material while using chitosan and Arabic gum as shell  
575 material. Tannic acid gives hardening effects to microcapsule. Sustained release pattern of active  
576 agent was obtained from the microcapsule for 7 d at 37°C. Microcapsules were grafted onto  
577 cotton fabrics using esterification reaction between microcapsule and the citric acid which are  
578 followed by thermo-fixation and curing using citric acid as a nontoxic cross linker. These  
579 microcapsules showed effective action against bacteria after incorporation onto fabrics.  
580 Fabrication of active agent allows its loading for finishing purpose or using on textile surface for  
581 dressing purpose in the form of films that are mainly useful for wounds healing and the treatment  
582 of skin diseases including skin injuries [117].

583 Son et al. [118] reported that pad dry cure method was used for fixing vitamin E microcapsule on  
584 dyed cotton knit. Natural indigo was used as dyeing agent for cotton knit and treated with  
585 microcapsules containing vitamin E including softener agent. SEM analysis confirmed the  
586 microcapsules fixation on cotton fibres. Vitamin E concentration gradually decreased with time  
587 as confirmed by LC-MS. Softness improved due to the softener, but air permeability decreased.  
588 This was a reliable method for durability and colour stability for the treated fabrics. Turkoğlu et  
589 al. [119] reported that complex coacervation technique were used to prepare microcapsule  
590 containing vitamin E which was implemented on cotton fabric using the padding method. The  
591 capsule average diameter was 280nm. The small size alpha tocopherol made its incorporation  
592 into fibre gaps easier. Most of the capsules were found attached to fabrics even after several

593 washings. Sequential studies carried out on fabric containing alpha tocopherol showed that it  
594 remained attached to the fibre gaps providing considerable antioxidant activity which was essential  
595 for the maintenance of the fabric integrity.

### 596 **3.2 Applications in paper industry**

597 Chitosan has a great potential for pulp and paper industry. In paper industry, the surface of paper  
598 is treated with a 1% solution of chitosan to increase its folding endurance and bursting strength  
599 while the brightness of paper is maintained [120]. With the development of coloured photocopying,  
600 high quality fibres are required for papers. The treatment of fibre with 0.5% solution of chitosan  
601 improved colour fastness of fibre. In the area of paper making industry, a chitosan layer is placed  
602 on photographic paper because of increased antistatic characteristics and increased electrostatic  
603 discharge which leads to a decrease in picture quality. The surface resistance due to these  
604 charges was increased more than 10,000 times after the treatment with chitosan solution [121].

### 605 **3.3 Applications in agriculture**

606 Microencapsulation can achieve controlled release of active agents in pesticides, herbicides and  
607 insecticides [122]. In organic agriculture, microencapsulated materials are released on to plant  
608 for growth stimulation and controlled release of specific chemicals using anionic clay  
609 nanocomposites. Food products based on nanomaterials are prevented by organic food certifiers  
610 [123]. Nano-imidacloprid encapsulated material was used for controlling pests of vegetables in  
611 the field. Chitosan and alginate were used for encapsulation of SDS (sodium dodecyl sulfate)  
612 modified Ag/TiO<sub>2</sub> imidacloprid nano-formulation. Testing was carried out on soybean plants  
613 that were planted into soil with 3.1% dry matter content and pH 6.2. The degradation rate was  
614 monitored for plants and was faster during the first eight days and minimum after 20 days [124].

### 615 **3.4 Applications in food industry**

616 Microencapsulation is usually followed by the incorporation of active food ingredients such as  
617 enzymes, cells, or other materials in small capsules. Sensitive food components are protected in  
618 microcapsules offering better food processors against nutritional loss. Microencapsulation allows  
619 the controlled release of the active food ingredients at specific sites at the right time giving higher  
620 functional features. The effectiveness of food additives is typically increased by the released  
621 functional moiety which broadens the application of food ingredients. Microencapsulation turned

622 reactive, sensitive, or volatile additives (vitamins, cultures, flavors, etc.) into a stable component  
623 of food [125]. Active ingredients incorporation into food and dairy products improves their  
624 nutritional worth. Calcium in orange juices, omega-3 fatty acids in eggs and guarana in  
625 sunflower seeds can be incorporated as active ingredient. Microencapsulation involves the  
626 formation of microcapsule containing shell material to entrap functional components as a core  
627 material with a few microns diameter capsule. Functional food components are uniformly coated  
628 with shell material to effectively separate the internal phase from surrounding material. Phase  
629 separation is important for increasing nutritional worth, masking off flavours and extending their  
630 storage time without any adverse effects on physical, chemical and functional properties.  
631 Microencapsulation is important therefore to increase the stability and storage imparting some  
632 important characteristics such as size distribution and morphology, and *in vitro* and *in*  
633 *vivo* release characteristics [126].

### 634 **3.5 Applications in pharmaceuticals**

635 The studies showed that spherical beads of Indomethacin (anti-inflammatory drug) had been  
636 prepared by dispersing drug in chitosan solutions of sodium tripolyphosphate [127] . Spherical  
637 beads were prepared with narrow particle size distribution and high drug content allowing easier  
638 ability to fill into capsules or compress into tablets. A chitosan microsphere of ketoprofen was  
639 prepared by a multiple emulsion method. Oil in water emulsion provided an appropriate method  
640 for the fabrication of microparticles with suitable yield [128] . Chitosan derivatives are very  
641 useful in various biomedical applications as it has biocompatible properties like cell growth  
642 efficiency and blood compatibility. Grafted chitosan materials are beneficial for cardiovascular  
643 applications while chitosan membranes permeability with HEMA (2-Hydroxy ethyl  
644 methacrylate) can be used in the dialysis machine [129] .

### 645 **3.6. Biomedical applications**

646 Chitosan is suitable for medical application because of its unique properties described before  
647 including the presence of reactive functional groups (-NH<sub>2</sub> and -OH), biocompatibility with the  
648 tissues, gel forming ability, high adsorption capacity, anti-bacterial, antithrombogenic, anti-  
649 tumor antifungal activities and bioadhesivity [130]. It has therefore been used for the  
650 encapsulation of various drugs and their control release [65]. For instance, DNA can be  
651 encapsulated into the chitosan nanomaterial by coacervation technique and chitosan at neutral pH

652 protecting it from degradation by nucleases. When chitosan was crosslinked with pluronic  
653 molecules using ultraviolet radiation, a thermo-sensitive hydrogel was formed which have  
654 various potential application in medical science [131] such as growth hormones and plasmid  
655 DNA encapsulation and controlled release.

656 Chitosan nanomaterials have also been used for in vivo molecular imaging. It can encapsulate  
657 Fe<sub>3</sub>O<sub>4</sub> (imaging agent) for magnetic resonance imaging (MRI) and enhancing the hepatocyte  
658 targeted imaging [132]. In biomedical application chitosan Nano carrier for Cancer therapy has  
659 gained much importance and anti-cancer drugs and their release at the tumour sites has  
660 extensively been studies. He et al. [133] investigated using chitosan nanoparticles for  
661 encapsulating the anticancer drug, 5- Fluorouracil (5-FU). The chitosan encapsulated 5- FU  
662 microcapsule possess the desired laser light absorption ability and polymer hydrolysis at the  
663 tumour site effectively destroying the cancer cell using laser light. The efficiency and  
664 bioavailable of chitosan encapsulated drugs were much higher when compare with conventional  
665 drugs. This is because of chitosan's true drug encapsulation ability and mucoadhesive property  
666 which lead to prolong interaction between drugs at the target site. Chitosan encapsulation of  
667 analgesic peptides bola-amphiphilic vesicles and its delivery across the blood-brain barrier and  
668 its prolonged analgesic activity was also reported [134]. The summery of biomedical  
669 applications of chitosan-based microcapsules is given in Table 4.

670 **Please insert Table 4 here...**

### 671 **3.7 Application in tissue engineering**

672 Tissue engineering has emerged a new concept for the treatment of various diseases and injuries.  
673 It involves cell biology and molecular techniques with advanced materials in the regeneration of  
674 tissues. The human body has only limited capacity to repair every injured or diseased tissue  
675 mainly for skin and bone tissues. Tissue engineering technique interestingly provides some  
676 solution by regenerating new tissues replacing the disease tissues [135]. Hydrogel scaffold are  
677 used in tissue engineering where cells are encapsulated during the scaffold formation. These  
678 scaffolds provide support to cell growth and tissue development. The properties of hydrogen like  
679 swelling, mechanical properties, diffusion and degradation are usually suitable for the cell  
680 growth and would not affect the entrapped cell during the degradation process at target site.  
681 Chitosan has been considered as suitable candidate for cell encapsulation. Its properties are pH

682 dependent, where at acidic pH it become positively charged and water soluble while it forms  
683 solid hydrogel at pH of physiological system, where it exists as neutral and being hydrophobic.  
684 The presence of several amino and hydroxyl groups on chitosan facilitate its chemical  
685 modification. Water solubility of chitosan at physiological pH can be enhanced by grafting with  
686 methacrylic acid. In a previous study chitosan was grafted with polylysine to enhance  
687 microenvironment for the neural cell growth [136].

### 688 **3.8 Environmental applications**

689 Wastewater generation and treatment is an important serious environmental issue particularly  
690 those generated by the textile, paper, leather and printing industries which contain significant  
691 heavy metal ions and dyes. To, date several techniques like biodegradation, coagulation, ion  
692 exchange, membrane filtration and adsorption have been used to eradicate water pollutants. In  
693 recent days chitosan-based composites have been used for wastewater treatment. Bagavathy and  
694 coworkers [137] encapsulated zinc oxide (ZnO) nanoparticle with Chitosan for dye adsorption  
695 from waste water. They investigated the adsorption of dye at different parameters and observed  
696 excellent removal efficiency. They also investigated the antibacterial efficiency of encapsulated  
697 material against Gram-positive and Gram negative bacterial and observed that chitosan  
698 effectively inhibited their proliferation. Global warming is a serious threat to the environment  
699 and extensive of petroleum in automobiles and industries making this issue wors [138]. Biofuels  
700 like ethanol and biodiesel can be a better alternative as they do not produce toxic gases like  
701 sulfur oxides upon burning. Immobilization of lipase by chitosan encapsulation for biodiesel  
702 production is gaining much attention because of the ecofriendly nature of biodiesel [139].

### 703 **3.9 Critical analysis**

704 Due to excellent biocompatibility nontoxicity, antibacterial and mucoadhesive properties  
705 chitosan polymer has attracted much interest and developed potential applications in various  
706 fields specially drug delivery, tissue engineering, biosensor, wound healing, bioimaging,  
707 diagnostics, gene therapy, food technology and environmental technology as encapsulating  
708 material for active ingredients. Chitosan is a biological compatible and chemically (-OH and -  
709 NH<sub>2</sub>) versatile coating material. Owing to the superior properties of chitosan polymer over the  
710 other polysaccharides it not only increases the shelf life of encapsulated drugs by protecting them  
711 from harsh environment but also control their release rate. Chemically chitosan can be modified



712 using different crosslinking agents as describes earlier which help in control release mechanism  
713 of the drug especially anticancer drug doxorubicin release. Most of the drugs fail at clinical  
714 phase due to their inability to reach the targeted sites and also due to their negative side effects.

715 Chitosan mucoadhesive property has provided a promising solution of this issue by targeting  
716 drug delivery system in which drugs are released only at the action sites. Chitosan has the ability  
717 to encapsulate several kinds of anticancer drugs such as PTX, curcumin, DOX, 6-  
718 Mercaptopurine, Vincristine, ADR, 5-FU among others, and deliver only them to the targeted  
719 tumour sites. Apart from these scientists in the recent time used chitosan for organ target drug  
720 delivery system which shows that chitosan has gained much importance in medical filed. The  
721 biomaterials used for tissue engineering requires specific properties such as biocompatibility,  
722 biodegradability, mucoadhesive, antibacterial and their degradation products must not be toxic,  
723 all of which are inherent for chitosan making it ideally suited as tissue engineering material. In  
724 addition, chitosan could be easily modified into scaffolds, hydrogels, nanofiber and dendrimer  
725 with additional properties as tissue engineering biomaterial. Chitosan scaffolds possess unique  
726 property to develop 3-dimentional environment for tissue engineering and use of different cross-  
727 linkers can help in degradation of shell material and drug release rate.

728 Chitosan has proven itself and promising encapsulating material suitable for various therapeutic  
729 agents like antithrombotic, anticancer, antibiotics, anti-inflammatory, proteins, and amino acids  
730 while insuring their effective bioavailability at the target sites with an additional advantage of  
731 control release. This allowed chitosan to gain attention not only in the medical field but also for  
732 extensive applications in all fields of science. Chitosan is an antimicrobial and antioxidant due to  
733 presence of amino groups which act as scavenger of free hydroxyl radicals and high degree of  
734 deacetylation also increase antioxidant property of chitosan. due to its antimicrobial and  
735 antioxidant activity chitosan has also been used in encapsulation of various food material to  
736 protect them from sever external environments including low pH. Chitosan encapsulation also  
737 mask smell and undesirable flavour of active ingredient and enhance the shelf life of food  
738 material. The antimicrobial activity of chitosan has made it a useful polymeric material for  
739 introducing antimicrobial properties in fibres. Encapsulation of various nanoparticles and anti-  
740 bacterial ingredients in chitosan and its application on fibres impart certain versatile properties  
741 such as antibacterial, mosquito repellent, durability, colour stability and fragrance finishing on  
742 fabrics.

#### 743 **4 Conclusions and future perspectives**

744 Encapsulation involves the development of tiny capsule containing particular core material  
745 chitosan surrounded by shell which plays an important role in the slow release of some chemical.  
746 It has application in food, agriculture, cosmetics and pharmaceutical industries such as the  
747 development of new flavours, improving oil ingredients, like omega 3, with sugar beet pectin  
748 microencapsulated to replace milk proteins and gum arabic and improving oxidative stability.  
749 Chitosan encapsulation of active ingredients protects them from the surrounding environment for  
750 a specific time. Different techniques have been developed to encapsulate drugs, oils,  
751 haemoglobin and vaccines among other ingredients as a core material using chitosan as shell  
752 material through techniques such as emulsification, spray drying and coacervation. Encapsulated  
753 materials are released by different means, involving dissolution, melting or diffusion and rupture.  
754 Encapsulation involves an art and a science where experience is important to develop the  
755 required capsules. Charge, size, molecular weight and deacetylation level of chitosan have great  
756 effects on microcapsule developments. Chitosan has been widely used due to its non-toxic,  
757 biodegradable and biocompatible characteristics and novel applications in drug delivery and  
758 tissue engineering. Microencapsulation using chitosan has been effectively applied in the  
759 agriculture, cosmetics, food and pharmaceutical industries for encapsulating alcohols, aqueous  
760 solutions, oils and various other bioactives. Existing stimulant factors such as pH, enzyme  
761 activity, temperature, osmotic force and mechanical stress may rapidly or controllably release of  
762 drug from chitosan. In this situation, the release of encapsulated drug may control other stimulant  
763 like food constituent, water activity and microbial load. Heat stable encapsulating polymer  
764 quality will be needed in future for food industry because there is great challenge of survival of  
765 probiotics during heat treatment. Process cost and size of microcapsule must also be considered  
766 in future research.

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1071 **Table 1.** Physical properties of chitosan

Property	Indication	Reference
Solubility	Soluble in dilute aqueous acids, insoluble in water and organic solvents	[140]
Appearance	White powder or flakes	[141]
Molecular weight	Low MW- 50-190 kDa, $\geq 75\%$ degree of deacetylation, 20-300 cPs. Medium MW- 190-310 kDa, 75-85% degree of deacetylation, 200-800 cPs. High MW- 310-375 kDa, $>75\%$ degree of deacetylation, 800-2000 cPs.	[142]
Colour	White	[141]
Odour	Odourless	[143]
Melting point	It depends on molecular weight Approximately 290°C	[144]
Boiling point	Neither boil nor evaporate	[145]

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**Table 2. Biological properties of chitosan**

Property	Applications	References
Antioxidant	Applicable in food and pharmaceutical industries	[146]
Antibacterial	Effective for biomedical purpose and agriculture	[147]
Antifungal	Used as antifungal agent in food	[148]
Antitumour	Used as chemotherapeutic agent against tumour for human	[149]
Biocompatible, biodegradable and nontoxic for normal constituent of body	For tissue engineering and artificial skin	[5]
Excellent Haemostatic potential	Important to stop bleeding	[150]
Immunoadjuvant	Effective to enhance immune system in human body	[151]
Wound healer and antiulcer agent	Biomedical industries	[152]
Effective drug delivery agent	Pharmaceutical agent	[153]



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Important to accelerate osteoblast formation for bones	Applicable for the bone formation of human body	[154]
Mammalian and microbial cells easily bind to chitosan	Drug delivery and skin cells replacement	[155]
Effective pharmacological agent against hypercholesterolemia	Applicable to lower blood cholesterol level	[156]

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1090 **Table 3.** Some micro-encapsulation approaches along with their advantages and disadvantages

Encapsulation method	Advantages	Disadvantages	Reference
Spray drying	<ul style="list-style-type: none"> <li>• High encapsulation efficiency</li> <li>• Stable encapsulated product</li> <li>• Cost effective</li> <li>• Applicable on industrial level</li> <li>• Easy to operate</li> </ul>	<ul style="list-style-type: none"> <li>• Difficult to control the particle size</li> <li>• Highly sensitive at high temperate</li> <li>• low yield for small batches</li> </ul>	[157, 158]
Extrusion	<ul style="list-style-type: none"> <li>• Prolong shelf life of products</li> <li>• Useful in temperature sensitive ingredients encapsulation</li> <li>• Shape of the extruded products can easily be controlled</li> <li>• Ingredients are truly encapsulated by wall material</li> <li>• Products are stable against oxidants</li> </ul>	<ul style="list-style-type: none"> <li>• Difficult of separate microcapsule form highly viscous polymeric solution.</li> <li>• Microcapsule must be separated from liquid bath</li> <li>• Low scale production</li> </ul>	[159, 160]
Fluidized bed coating	<ul style="list-style-type: none"> <li>• Economically efficient</li> <li>• Microcapsule size distribution is controllable</li> </ul>	<ul style="list-style-type: none"> <li>• Degrade the temperature sensitives active ingredients</li> </ul>	[161, 162]

Freeze drying	<ul style="list-style-type: none"> <li>• Stable products under oxidation conditions</li> <li>• Operate at low temperature</li> <li>• Suitable technique for the encapsulation of ingredients which are unstable in aqueous media.</li> </ul>	<ul style="list-style-type: none"> <li>• Process take too much time to complete</li> <li>• High energy input</li> <li>• Poor protection of ingredient due to porous covering.</li> <li>• Expensive technique</li> </ul>	[157, 163]
Coacervation	<ul style="list-style-type: none"> <li>• Useful for encapsulant of temperature sensitive actives</li> <li>• Organic solvent usage</li> <li>• Low cost</li> <li>• Applicable for large scale</li> </ul>	<ul style="list-style-type: none"> <li>• Presence of coacervating material on the surface of microcapsules</li> <li>• Complex process</li> <li>• Low stability for complex coacervates</li> <li>• Use of toxic chemical in the process</li> <li>• Expensive technique</li> </ul>	[10, 15]
Emulsion	<ul style="list-style-type: none"> <li>• Small diameter of microcapsules</li> <li>• Live cell can be encapsulated</li> <li>• Both hydrophobic and hydrophilic active</li> </ul>	<ul style="list-style-type: none"> <li>• Low thermal stability</li> <li>• Limited number of emulsifiers</li> </ul>	[164, 165]

	ingredient can be encapsulated	
Liposome entrapment	<ul style="list-style-type: none"> <li>• Used for encapsulation of both water and lipid soluble actives</li> <li>• Control sustained release of encapsulated ingredients</li> <li>• Deliver encapsulated content to right site at right time</li> <li>• Ingredients can be delivered across the membrane</li> </ul>	<ul style="list-style-type: none"> <li>• Expensive [166, 167]</li> <li>• Lap scale technique</li> </ul>
Spray cooling	<ul style="list-style-type: none"> <li>• Useful for encapsulation of temperature sensitive active ingredient</li> <li>• Economically more efficient as compare to spray drying</li> </ul>	<ul style="list-style-type: none"> <li>• Low yield for small batches [168, 169]</li> <li>• Size of the particle is difficult to control</li> <li>• Required special condition for handling and storage of microcapsule</li> </ul>
<i>In situ</i> polymerization	<ul style="list-style-type: none"> <li>• Inexpensive</li> <li>• Wall possess thermal resistance</li> <li>• Simple process and easy to operate</li> </ul>	<ul style="list-style-type: none"> <li>• Thickness of wall remain same for both large and small microcapsule. [170, 171]</li> </ul>

	<ul style="list-style-type: none"> <li>• High loading core (up to 95%)</li> <li>• Resistance against harsh environment</li> <li>• Can be used at industrial level</li> </ul>	<ul style="list-style-type: none"> <li>• Formaldehyde a toxic compound is used in this process</li> </ul>	
Solvent evaporation	<ul style="list-style-type: none"> <li>• Simple process</li> </ul>	<ul style="list-style-type: none"> <li>• Low loading efficiency</li> </ul>	[172, 173]

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**Table 4.** Chitosan encapsulation of various active ingredients for medical applications

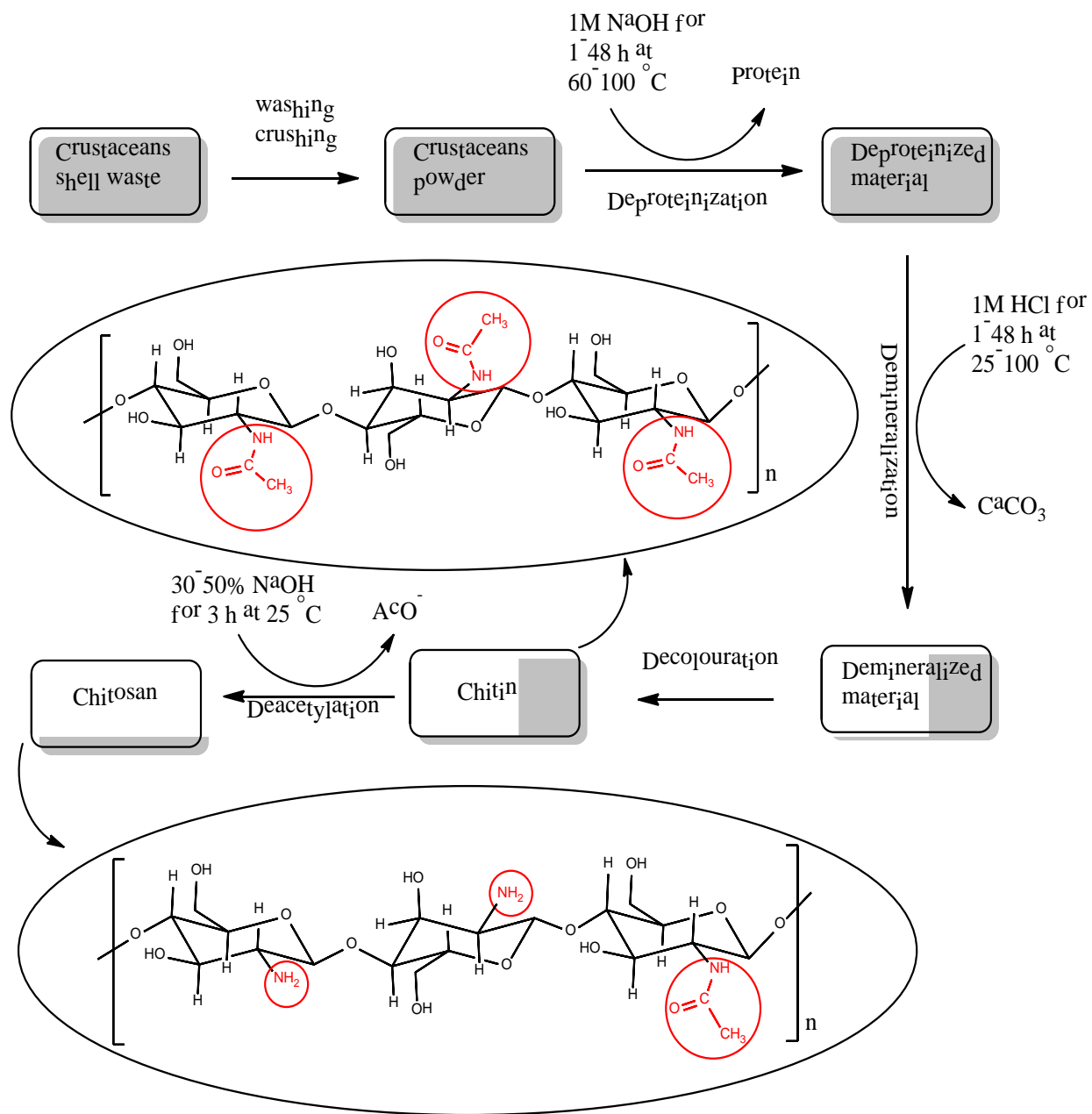
Active agent(s)	Techniques	Applications	Reference
Lipophilic/hydrophobic drugs	Gelation and emulsification	Drug delivery in gastrointestinal tract	[5, 174]
Lipids (fats and oils)	Emulsification spray Drying	Controlling lipid digestion, preventing oxidation of oils	[44, 175]
Haemoglobin	Emulsification	Increased Oxygen affinity active transport of some proteins and lipids	[176]
$\alpha$ -lipoic acid	Spray drying	Antioxidant, Anti-inflammatory	[177]
Neem seed oil (NSO)	Complex coacervation	Pesticides, insecticide and herbicide	[178]
Astaxanthin	Emulsification	Antioxidant, used in aquaculture feed	[179]
Essential oils	Complex coacervation pad dry cure Method	Antibacterial, Antifungal, Aromatic textile finishing	[180]

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Vaccines	Complex coacervation emulsification	Oral and nasal vaccine, immunity enhancement	[181] [182]
Quercetin	Spray drying	Antioxidant, anti-inflammatory anti-proliferative	[72]

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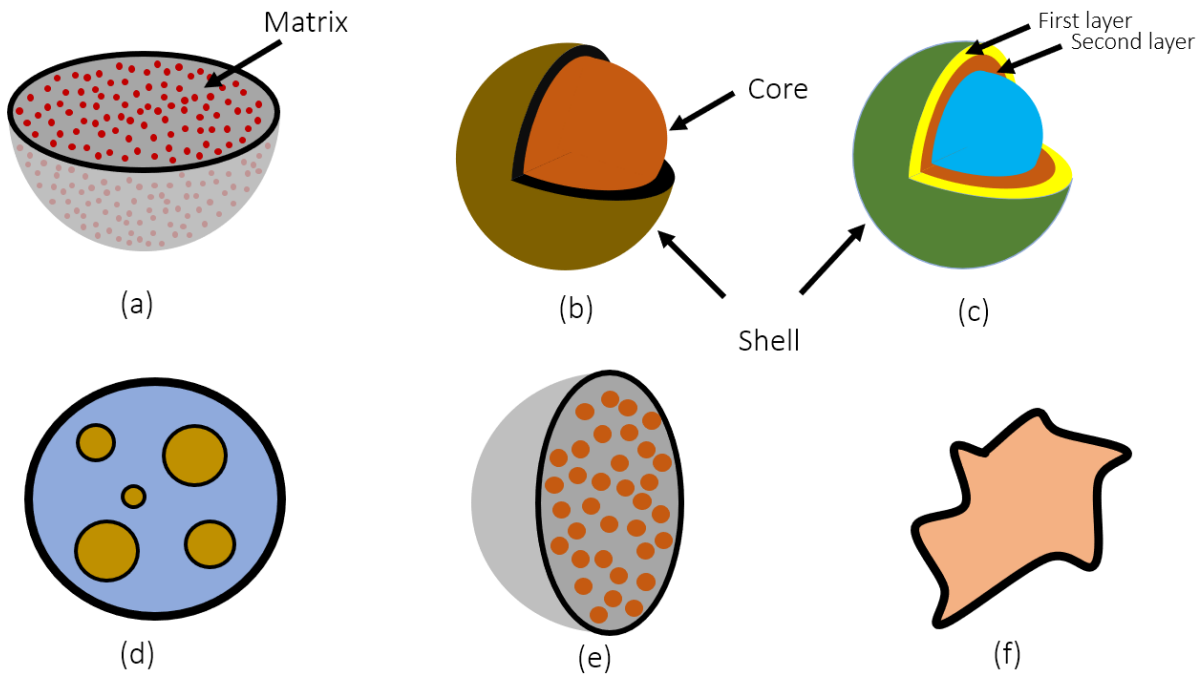
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1113 **Fig. 1.** Illustration of chitin deacetylation in alkaline media for chitosan production





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1115 **Fig. 2.** Different forms of microcapsules (a) microparticles (b) single walled (c) multiwalled (d)

1116 multicore (e) microsphere (f) irregular microencapsule

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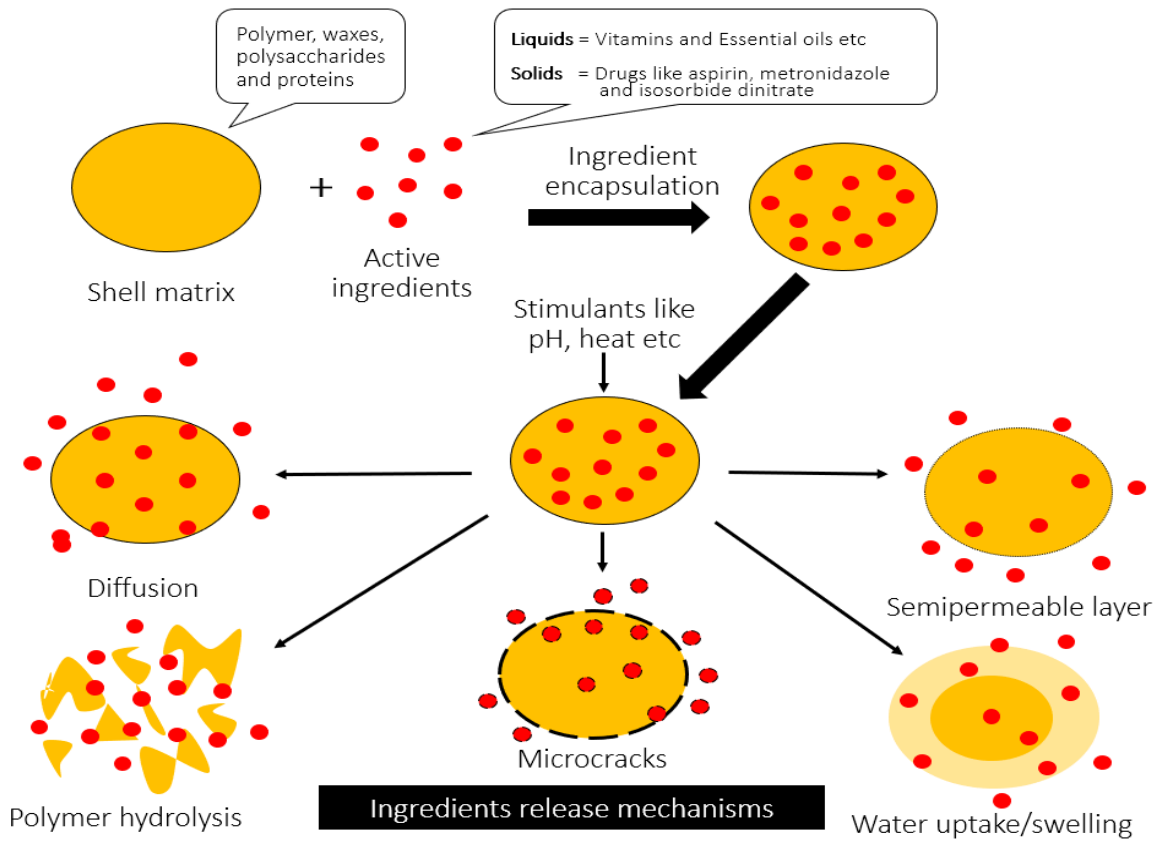
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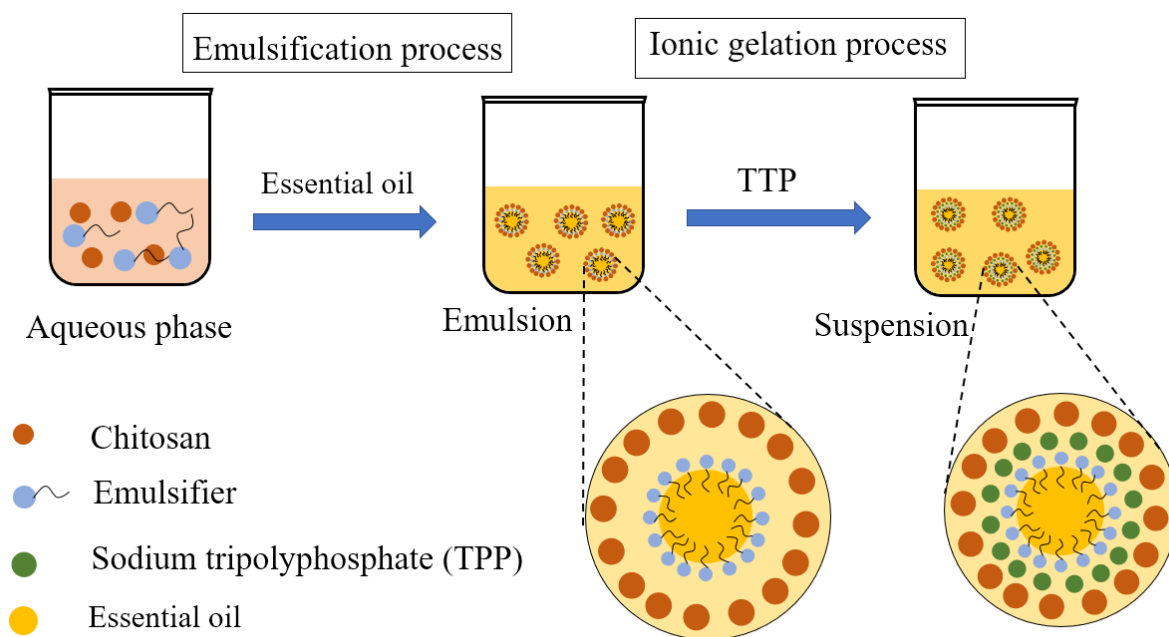
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**Fig. 3.** Microencapsulation process and ingredients release mechanisms

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1145 **Fig. 4.** Encapsulation of essential oil (EO) in chitosan through ionic gelation method

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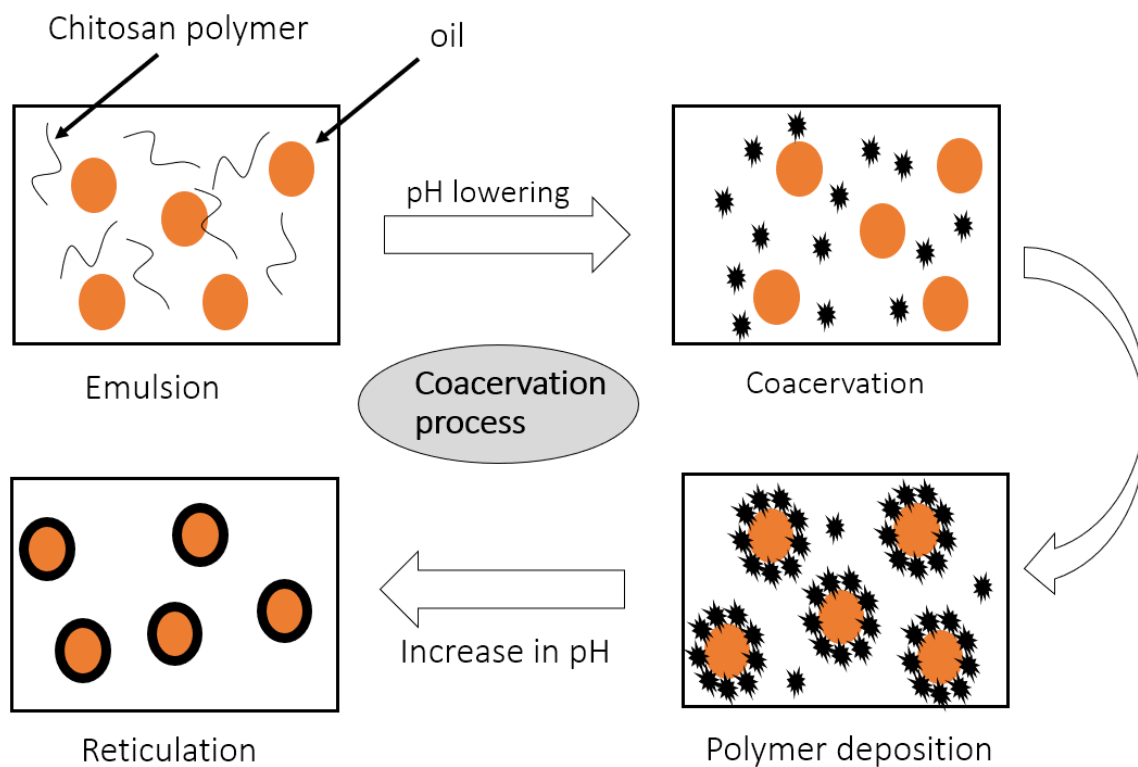
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1161 **Fig. 5.** Encapsulation of neem seed oil in chitosan through coacervation process

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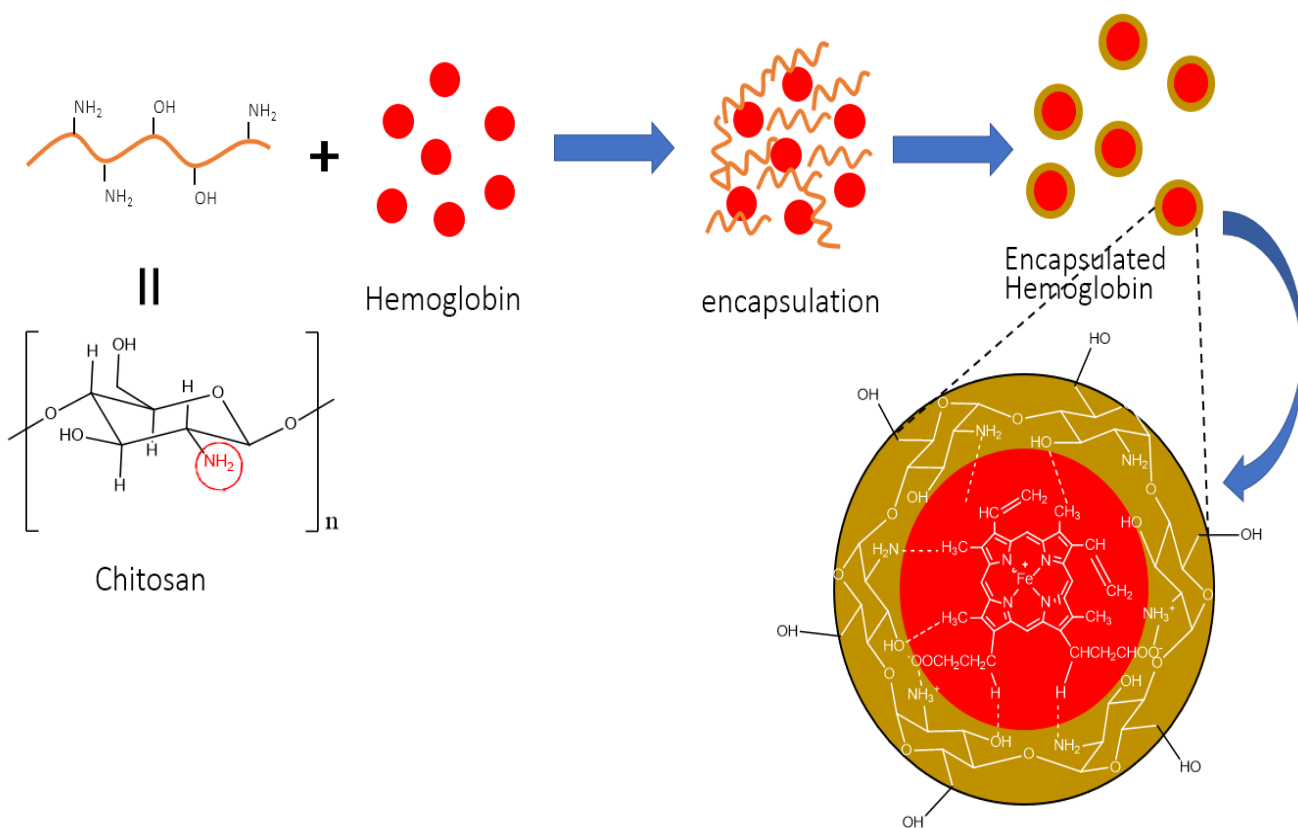
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**Fig. 6.** Schematic representation of haemoglobin encapsulation in chitosan

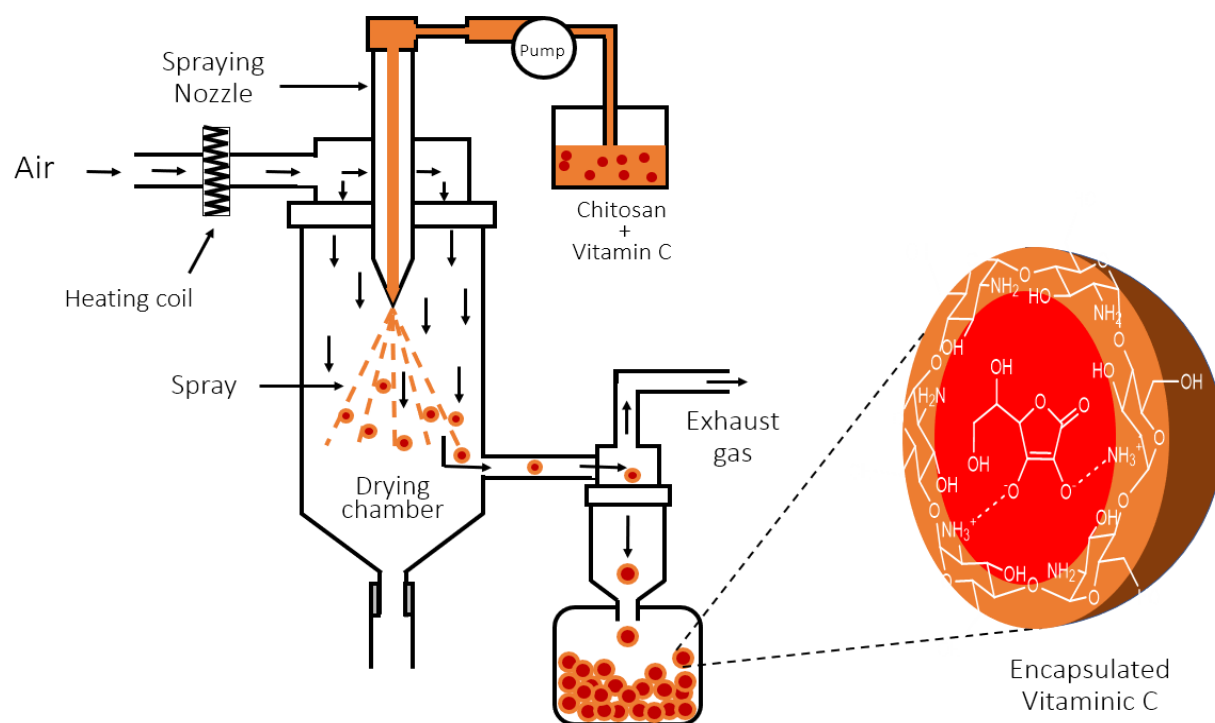
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1189 **Fig. 7.** Encapsulation of vitamin C in chitosan through spry drying method