



Environmental
Science
Nano

**Emerging investigator series: Polymeric Nanocarriers for
Agricultural Applications: Synthesis, Characterization, and
Environmental and Biological Interactions**

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| Journal: | <i>Environmental Science: Nano</i> |
| Manuscript ID | EN-TRV-10-2019-001127.R1 |
| Article Type: | Tutorial Review |
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Environmental Significance Statement

Sustainable nanotechnology for agriculture encourages the development of nanomaterials that will reduce the reliance on traditional chemicals, such as pesticides and herbicides or antibiotics for livestock, or the environmental impact of agrochemicals. While the environmental nanotechnology community has developed significant knowledge on the applications and impacts of inorganic nanoparticles, an opportunity exists to expand upon the applications of polymeric nanocarriers that can improve the efficiency of delivery of traditional agrochemicals while also providing advantages of biocompatibility and biodegradability. This Tutorial Review provides an overview of the synthesis, characterization, and fate and transport of polymeric nanocarriers as alternatives to inorganic nanoparticles, along with the potential benefits of polymeric nanocarriers over traditional agrochemicals.

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3 **Emerging investigator series: Polymeric Nanocarriers for Agricultural**

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6 **Applications:**

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9 **Synthesis, Characterization, and Environmental and Biological Interactions**

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37 A Tutorial Review submitted to *Environmental Science: Nano*
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Abstract

Polymeric nanoparticles represent one major class of nanomaterials that has been proposed to improve the sustainability of agricultural operations by delivering organic agrochemicals such as pesticides more efficiently. Polymeric nanoparticles can improve efficiency through improved targeting and uptake, slow release, and lower losses of the chemicals, while also conferring benefits of biodegradability and biocompatibility. This review provides a tutorial to environmental nanotechnology researchers interested in initiating research on the development and application of polymeric nanocarriers for delivery of agrochemicals, including pesticides and growth promoters for crops and antibiotics for livestock. In particular, this review covers the wider suite of methods that will be required beyond those typically used for inorganic metal or metal oxide nanoparticles, including synthesis of custom polymeric nanocarriers and characterization and tuning of agrochemical loading and release profiles. Benefits of polymeric nanocarriers are then discussed in terms of the physicochemical properties and fate and transport behaviors that contribute to higher efficiency and lesser environmental impacts compared to traditional (non-nano) formulations. Finally, opportunities for environmental nanotechnology researchers to collaborate with material scientists, microbiologists, and agricultural scientists to optimize the development of polymeric nanocarriers for agriculture are discussed.

1. Introduction

Nanotechnology is emerging as a means to improve the sustainability of agricultural operations. The general use of nanomaterials (both inorganic and organic or polymeric) for agriculture has recently been reviewed to provide a general understanding of the opportunities and research priorities,¹⁻⁵ as well as a critical evaluation of the efficacy of nano-enabled pesticides and fertilizers relative to conventional formulations.⁶ Here, this review focuses specifically on polymeric “nanocarriers,” in which active ingredients are loaded into or onto a polymeric nanoparticle. While polymeric nanocarriers have extensively been considered for human drug delivery applications, this review highlights the agricultural applications of polymeric nanocarriers for crops (pesticides, plant growth promoters, etc.) and livestock (specifically, antibiotic delivery). In these applications, polymer nanoparticles can improve the efficiency of application of active ingredients by enhancing the aqueous dispersibility and bioavailability of hydrophobic active ingredients, conferring targeting properties, and extending the effective lifetime of the active ingredient (e.g. via slow release, enhanced adhesion to leaves or roots, or protection from degradation). Polymeric nanomaterials can also serve as more sustainable alternatives to inorganic nanoparticles when biocompatible and biodegradable polymers are selected that are expected to minimize the potential for ecotoxicity.

This tutorial review aims to serve as a primer for environmental researchers to initiate new research on the application and development of polymeric nanocarriers for agricultural applications. Given the extensive experience developed in the environmental nanotechnology community with inorganic nanoparticles, special considerations that are required for the study of *polymeric* nanomaterials as compared to inorganic nanoparticles are emphasized. First, methods for synthesis of polymeric nanocarriers and approaches to optimize the synthesis are presented.

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3 Then, important characterization needs for polymeric nanoparticles loaded with active
4 ingredients are discussed. Finally, mechanisms for the delivery or release of active ingredients,
5 environmental fate, and biological effects of polymers nanocarriers, and how these mechanisms
6 inform the design of the nanoparticles, are presented. The integration of knowledge on synthesis,
7 characterization, behavior, and effects is expected to lead to advances in the development of
8 polymeric nanocarriers as a beneficial technology for agriculture and the environment.
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19 **2. Synthesis of polymeric nanocarriers**

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21 Research and development teams in both industry and academia will likely need to
22 develop expertise in synthesizing materials in-house during the development of new polymeric
23 nanocarriers for ultimate application by farmers. Currently, polymeric nanoparticles have limited
24 commercial availability, with those available for purchase limited to a few common synthetic
25 polymer types (e.g. polystyrene and poly(lactic-co-glycolic acid) (PLGA)). Furthermore, the
26 pure polymeric nanoparticle typically does not serve as an “active ingredient.” Rather, an active
27 ingredient (e.g., a pesticide, hormone, or antibiotic) must be loaded into the nanoparticle during
28 the synthesis of the particle. Hence, considering the number of polymer types multiplied by the
29 number of agrochemical types that may be of interest, new materials for research and
30 development purposes will require custom syntheses. This issue is in contrast to the relatively
31 widespread commercial availability of inorganic (metal and metal oxide) nanoparticles, where
32 the nanoparticle itself confers the “active” properties (e.g., fungicidal copper nanoparticles) and
33 does not need to be loaded during the synthesis with an active ingredient. Here, we introduce
34 common materials and synthesis methods for polymeric nanoparticles, as well as approaches to
35 optimize the synthesis parameters to obtain desired nanoparticle properties.
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2.1. Common polymeric materials for agricultural applications

Research published over the last 10 years indicates that the preferred natural polymers for food and agricultural applications are chitosan,^{7, 8} zein,⁹⁻¹⁴ and alginic acid.¹⁵⁻¹⁷ Also, some biocompatible and biodegradable synthetic polymers, such as PLGA, are of interest to confer new properties to the delivery systems, and as a platform to develop new biomaterials, for example by linking synthetic and natural polymers. In addition to the active ingredient that will be loaded into the nanoparticle, other ingredients that are frequently added include surfactants (e.g., poly(vinyl alcohol) or Tween) to impart colloidal stability to the nanoparticles, as well as a cryoprotectant (e.g. mannitol or trehalose) to preserve material integrity during lyophilization. Finally, the addition of an oil can be used to form a “nanocapsule” structure, where the oil forms a liquid core at room temperature surrounded by a polymer shell and can be used to carry poorly soluble active ingredients.

2.2. General approaches for optimization of nanocarrier synthesis

Optimization of the synthesis of polymeric nanocarriers typically revolves around obtaining a desired particle size with low polydispersity, good colloidal stability, and high loading or entrapment efficiency of the active ingredient. Entrapment efficiency is defined as the percentage of active ingredient added in the synthesis that is incorporated into the nanoparticles, while loading refers to the concentration of active ingredient in the nanoparticles (typically expressed as a weight percent). Smaller sized nanoparticles with narrow size distributions can be achieved by tuning the ratio of ingredients (polymers, surfactants, and active ingredients)¹⁸⁻²³ and/or the forces imparted (e.g. by shear, impact, sonication, or high pressure homogenization)

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3 during or immediately after the synthesis.^{19, 22, 24, 25} Colloidal stability is determined by Derjaguin
4 Landau Verwey Overbeek (DLVO) interaction energies, similarly to inorganic nanoparticles, and
5 hence charged polymers or surfactants can be utilized to confer electrostatic stabilization.
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10 Entrapment efficiency and loading are optimized by selection of materials that favor
11 incorporation of the active ingredient into the nanoparticle during synthesis. Optimal loading
12 conditions can be identified experimentally by varying ingredient concentrations, e.g. using
13 factorial design.^{20, 21, 26} Specific interactions, such as electrostatic complexation interactions²⁷⁻³⁰
14 or covalent bonding (conjugation) of the active ingredient to the polymer,³¹ can be used to
15 increase loading. However, loading is more typically achieved through partitioning of the active
16 ingredient into the polymer phase versus the solvent, e.g. based on the hydrophobicity or polarity
17 of the active ingredient and polymer.³² Models have hence been developed to explain or predict *a*
18 *priori* the active ingredient loading based on thermodynamic parameters such as the Flory-
19 Huggins interaction parameter³³ or Hansen solubility parameter,³⁴ or using universal functional
20 activity coefficient (UNIFAC) methods that account for the chemical structure of the active
21 ingredient, polymer properties (including the glass transition temperature), and partitioning of
22 active ingredient into surfactant micelles.³⁵ However, agreement between experimental data and
23 these models is rarely evaluated and would be useful in future studies.
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45 *2.3. Synthesis methods for polymeric nanocarriers*

46 Synthesis methods for polymeric nanoparticles can be divided into two categories:
47 bottom-up techniques that involve *in-situ* polymerization, and top-down techniques that involve
48 steps such as mixing or emulsification with external energy input. The first approach involves
49 organic chemical synthesis in the presence of solvents, initiators, and other potentially toxic
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3 agents. The separation and purification steps add extra cost that limit its uses in food and
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5 agriculture. The top-down techniques use natural or synthetic polymers to form particles in the
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7 nanometer size range and surfactants, needed to stabilize the system. The active components are
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9 entrapped in the core of the polymeric matrix, adsorbed on the surface, or both depending on the
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11 chemical nature of the polymer, surfactant, active component, and other additives. The top-down
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13 techniques require less solvents and chemicals in general, and have been adopted for various
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15 food and agricultural applications based on the safety of materials, versatility offered in delivery
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17 of both hydrophobic and hydrophilic bioactives, and ease of scale up.
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22 This section will focus on top-down techniques used to make biocompatible,
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24 biodegradable polymeric nanoparticles, which can be easily functionalized as required by the
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26 application, using low cost, versatile and scalable processes (Table 1). The method chosen to
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28 synthesize polymeric nanoparticles depends on the type of polymer, surfactant, and active
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30 component. Usually, nanoprecipitation or emulsion evaporation techniques are preferred for
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32 hydrophobic polymers; these techniques call for the use of organic solvents such as alcohol,
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34 acetone, or ethyl acetate. Other techniques such as ionic gelation, e.g. attraction between
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36 oppositely-charged amine and carboxylic groups of two polymers, or double-emulsion
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38 evaporation are employed for more hydrophilic polymers and bioactives ingredients. Figure 1
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40 and Table 1 show a summary of techniques used in the agricultural nanotechnology literature,
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42 chemicals needed, and the main characteristics of the synthesized polymeric nanoparticles.
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44 Notably, the majority of studies reporting polymeric nanoformulations produced particles with
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46 diameters between 100 nm to 1000 nm rather than the generally accepted size definition of
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48 nanoparticles having sizes from 1 nm to 100 nm. Here, we follow the convention of the literature
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50 in using the “nanoparticle” terminology and discuss the effect of size in subsequent sections.
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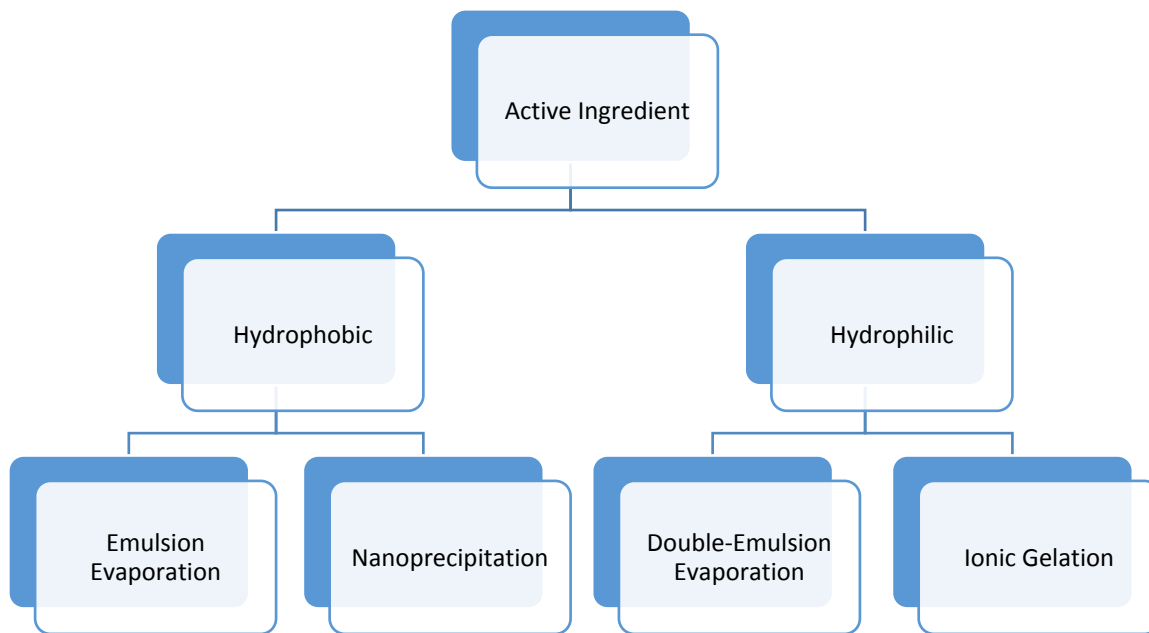


Figure 1. Schematic of common methods for entrapment of active ingredients.

2.3.1. Emulsion evaporation

The emulsion evaporation technique has been widely used in the biopharmaceutical area based on the solubility of hydrophobic synthetic polymers (such as PLGA) and many drugs in organic solvents. The technique involves two phases: an organic phase with the dissolved hydrophobic active ingredient and polymer, and an aqueous phase containing surfactant. The selection of materials for the polymer and surfactant can be optimized to obtain high surface charge (e.g., zeta potential higher or lower than 30 and -30 mV, respectively) and hence high electrostatic repulsive forces associated with a longer stability in aqueous suspension.³⁶ The phases are mixed with further droplet size reduction by high shear forces, such as sonication or homogenization, followed by the evaporation of the solvent. Freeze-drying is applied to obtain a formulation in powder form. The final drying step will assure a long-term stability of the

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3 formulation, especially for nanoparticles made using polymers that degrade by hydrolysis. In
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5 food and agriculture, this method is less common because of cost restrictions and applicability of
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7 synthetic polymers. Nonetheless, the biodegradable and biocompatible family of polymers
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9 poly(ϵ -caprolactone) (PCL) were reported to be suitable for delivery of atrazine herbicide by
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11 Pereira et al. (Table 1).³⁷
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17 2.3.2. Nanoprecipitation or solvent displacement

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19 The nanoprecipitation or solvent displacement technique is suitable for polymers soluble
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21 in water-miscible organic solvents such as acetone, methanol, ethanol, and other polar solvents.
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23 Usually, the active component is dissolved in the organic phase, and the mixing of phases is
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25 performed under strong stirring. Next, the solvent is evaporated with a rotary evaporator under
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27 vacuum for 1 to 3 hours, or at room temperature under stirring for 12 to 24 hours, similarly to the
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29 evaporation step in the emulsion evaporation technique. It is important to remove 100% of the
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31 organic solvent to avoid toxicity, altered release profile of active components, and changes in the
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33 nanoparticle stability over time.
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38 Several examples of applications of this method to produce polymeric nanocarriers for
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40 agriculture are available in the literature. For example, polycaprolactone (PCL) polymer was
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42 used to entrap essential oils from *Zanthoxylum rhoifolium* (Rutaceae) as a pesticide.³⁸ In another
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44 approach, the herbicides atrazine and ametryn were entrapped in PCL nanocapsules.³⁹ Capric and
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46 caprylic acid oils (Myritol 318) were dissolved in the organic phase together with the herbicides
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48 and the hydrophobic surfactant Span 60, while the surfactant Tween 80 was dissolved in the
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50 aqueous phase.³⁹⁻⁴¹
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54 Other studies reported on the formation of zein nanoparticles capable to deliver pesticides
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3 for soybeans and sugarcane using the same technique.^{10, 11} A cationic surfactant was used to
4 promote ionic interaction between the polymeric nanoparticle and the plant tissue, especially
5 with the roots, imparting a positive zeta potential of $+81 \pm 4$ mV at pH 6.^{10, 11}
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11 12 2.3.3. Ionic gelation 13

14 The technique uses the ionic interactions between polymer and oppositely charged
15 molecules to form a gel. When chitosan (a cationic polymer at pH under 6) is used, a negatively-
16 charged gelling agent must be added to promote ionic interactions and formation of aggregates.
17 The addition of gelling agent must be performed slowly, usually drop-by-drop under strong
18 stirring. Also, the active component is usually hydrophilic and the pH of the aqueous phase must
19 be controlled to avoid aggregates formation at more basic pH. For chitosan, the pH is kept under
20 5-6 to avoid precipitation based on the amine group ionization. After the mixing of the gelling
21 agent (usually an anionic agent), centrifugation is generally performed to collect the particles
22 with entrapped active components. Several studies were reported on forming chitosan particles
23 with entrapped pesticides by ionic gelation.⁴²⁻⁴⁷ Sodium tripolyphosphate (STPP) is commonly
24 used as the anionic gelling agent. These types of particles were formed for delivery of gibberellic
25 acid hormone (GA₃),⁴² paraquat, an herbicide,^{43, 45} atrazine,⁴⁰ and hexaconazole as a fungicide.⁷
26 In all these studies, chitosan was solubilized under acidic pH (4-5), most commonly in the
27 presence of acetic acid. The hormone, herbicide, or fungicide was mixed in with the chitosan
28 solution to form particles in the 100-500 nm size range, of a positive charge, with high
29 entrapment efficiency of the bioactives (70-80%). Empty chitosan nanoparticles can also be of
30 interest to synthesize as they have been shown to be effective for treatment against Fusarium
31 head blight (FHB) disease caused by *Fusarium graminearum* in wheat,⁴⁸ although empty
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3 chitosan nanoparticles with STPP were also shown to inhibit germination of *Zea mays*, *Brassica*
4 *rapa*, and *Pisum sativum* at high concentration.⁴⁷
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8 An alternative polymer suitable for formation of nanoparticles by ionic gelation is alginic
9 acid. Alginic acid is negatively charged and can be crosslinked by calcium ions or alternatively
10 used in combination with cationic chitosan. For example, Kumar et al. studied the entrapment of
11 water-soluble a neonicotinoid insecticide (acetamiprid) in sodium alginate.⁴⁶ Similarly, alginic
12 acid was used to entrap GA₃ hormone,⁴² and polylysine in chitosan alginate particles.⁴⁴
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22 2.3.4. Double emulsion method

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24 Double emulsion evaporation method involves first formation of a water/oil (W/O)
25 emulsion where the bioactive ingredient is dissolved in the water phase, followed by formation
26 of a (W/O)/W emulsion. This method allows for entrapment of more hydrophilic bioactives,
27 whereas single emulsion is more suitable for entrapment of hydrophobic bioactives. The use of
28 carboxymethyl cellulose (CMC) to synthesize nanoparticles capable to entrap a water-soluble
29 herbicide (clodinafop-propargyl) required the use of the double emulsion technique; the mean
30 particle size ranged from 100 nm to 245 nm and the entrapment efficiency ranged from 4 to 94%
31 depending on the amounts of CMC and surfactants used in the synthesis.⁴⁹
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44 2.3.5. Other techniques

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47 Other approaches used to form polymeric nanoparticles involve chemical modification of
48 natural polymers such as chitosan, or formation of amphiphilic copolymers suitable for delivery
49 of agrochemicals. In the first example, chitosan chemical modification was performed followed
50 by photo-crosslinking.⁵⁰ More specifically, carboxymethyl chitosan with a 93% degree of
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3 deacetylation was linked to azidobenzaldehyde to form an amphiphilic polymer. After mixing at
4 room temperature, the photo-crosslinkable carboxymethyl chitosan was washed with ethanol,
5 and the resuspended polymer in deionized water was separated by centrifugation. Next, the
6 modified chitosan was mixed with the insecticide methomyl and the aqueous suspension was
7 sonicated. Finally, the suspension was exposed to UV light for 5 min with further centrifugation
8 to remove free methomyl. The suspension was dried to form a fine powder. The mean size of the
9 nanoparticles ranged from 78 nm to 99 nm, with a negative zeta potential from -17 mV to -23
10 mV and entrapment efficiency ranging from 94% to 97%. Crosslinking significantly slowed the
11 insecticide release relative to the non-crosslinked samples, and the crosslinked nanoparticles also
12 showed improved insecticidal efficacy relative to the control (free methomyl).⁵⁰

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26 An interesting new star amphiphilic copolymer was formed from poly(aspartic acid) and
27 polysuccinimide (PSI). The amphiphilic properties of the copolymer allow its self-assembly in
28 water and entrapment of the synthetic plant hormone naphthaleneacetic acid (NAA). The
29 copolymer degrades at basic pH, providing pH-controlled release properties, of importance
30 considering the basic environment of plant phloem (pH 8 to 8.5). The release profiles confirmed
31 that a minimum amount of NAA (<20%) was released at pH 7 compared to almost 75% of NAA
32 at pH 8.5 in 24 hours.⁵¹ Alternatively, PSI nanoparticles can be prepared by dispersing PSI
33 polymer in dimethylformamide and 2-aminoethoxyethanol, and dialyzing against DI water to
34 precipitate the nanoparticles, followed by freeze-drying.^{51, 52} The polymeric nanoparticles
35 showed a mean size of 20.6 nm and minimal toxic effects on plant tissue with no negative effect
36 on soil microbial growth.⁵²

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Table 1. Major synthesis methods for polymeric nanoparticles

| Methods | Polymer | Active Ingredient | Solvent | Other comp. | Size (nm) | Zeta (mV) | PDI | pH | EE (%) | Application | Process | Ref. |
|----------------------|-------------------------|--------------------------------|---------------------|------------------------------------|------------|------------|-------------|-------|-----------|---|---------------------|--------|
| Emulsion-evaporation | PCL | Atrazine | Dichloromethane | Myritol, PVA | 365 to 520 | -23 to -26 | > 0.200 | NR | 93% | Increase efficiency of A.I. tested in <i>Brassica</i> sp. and <i>Zea mays</i> | Sonication | 37 |
| | PCL | Carbendazim and tebuconazole | Acetone, Chloroform | Myritol, PVA | 300 to 700 | -20 to -30 | 0.120-0.200 | NR | > 99% | Controlled release of A.I. tested in <i>P. vulgaris</i> seeds | Sonication | 53 |
| Double-emulsion | Carboxymethyl cellulose | Clodinafop-propyglyl | Dichloromethane | Sodium dioctyl sulfosuccinate, PVA | 150 to 350 | -37.4 | NR | NR | 90% | Reduce toxicity of A.I. tested in wheat | Sonication | 49 |
| Nanoprecipitation | Zein | NA | Acetone | DMAB | 100 to 300 | +35 | 0.205 | 6.2 | NA | Biodistribution of nanoparticles in soybeans and sugarcane | Microfluidizer | 10, 11 |
| | PCL | Essential oils | Acetone | Span 60, Tween 80 | 450 to 460 | -23 to -26 | NA | 4.5-5 | 96 to 99% | Increase solubility and protection of A.I. tested in tomatoes | Mixing, Evaporation | 38 |
| | PCL | Atrazine, Ametryn | Oil, Alcohol | Tween 80, Span 60, Myritol 318 | 200 to 300 | NA | NA | NA | 83% | Delivery and toxicity to algae and microcrustacean | Mixing, Evaporation | 39 |
| Ionic gelation | Chitosan | NA | Water | STPP, acetic acid | 181 | -23 to -26 | 0.31 | 45 | NA | Inhibition against <i>F. Graminearum</i> in wheat | Mixing | 48 |
| | Sodium alginate | Gibberellic acid plant hormone | Water | CaCl ₂ | 392 to 545 | -27 to -31 | 0.26-0.36 | 4-5 | 100% | Stabilization and increase efficiency of | Mixing | 42 |

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| 3 | | | | | | | | | | A.I. | | | |
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| 6 | | Chitosan | Gibberellic acid plant hormone | Water | STPP | 188 to 430 | +17 to +27 | 0.3-0.4 | 4-5 | 97% | Increases release times of A.I. compared to sodium alginate nanoparticles | Mixing | 42 |
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| 11 | | Chitosan | Hexaconazole | Water, Ethanol | STPP, Tween 80 | 100 to 600 | +35 | 0.3-0.6 | 4.9 | 73% | Less toxic and more efficient A.I. in nanoparticles compared to commercial formulation | Mixing | 7 |
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| 16 | | | | | | | | | | | | | |
| 17 | | Chitosan | NA | Water | STPP | 233 | +21 | 0.3 | 4-5 | NA | Concentration dependent inhibition of germination and plant growth | Mixing | 47 |
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| 23 | Other techniques, e.g. crosslink | Carboxymethyl chitosan, 93% DA | Methomyl | Water | Azidobenzaldehyde | 78 to 99 | -17 to -23 | 0.101-0.124 | 4-6 | 94 to 97% | Better stability and controlled release of A.I. tested against armyworm on red kidney beans foliage | Mixing | 50 |
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3. Characterization of polymeric nanocarriers

Comprehensive characterization is a critical need to explain or predict the behavior and efficiency of nano-enabled agrochemicals.⁶ Figure 2 summarizes important properties to characterize. Notably, additional characterization will be needed beyond what has been specified in previous “minimum characterization” guidance that was developed for inorganic nanoparticles.⁵⁴⁻⁵⁷ In particular, the loading and release behavior of active ingredients within the polymer matrix,⁵⁸ as well as the composition and phase of the polymer itself, are needed. Furthermore, the internal structure of the polymeric nanoparticle will be important to explain the release or retention of active ingredients within the particle under environmental conditions. These special considerations are emphasized hereafter.

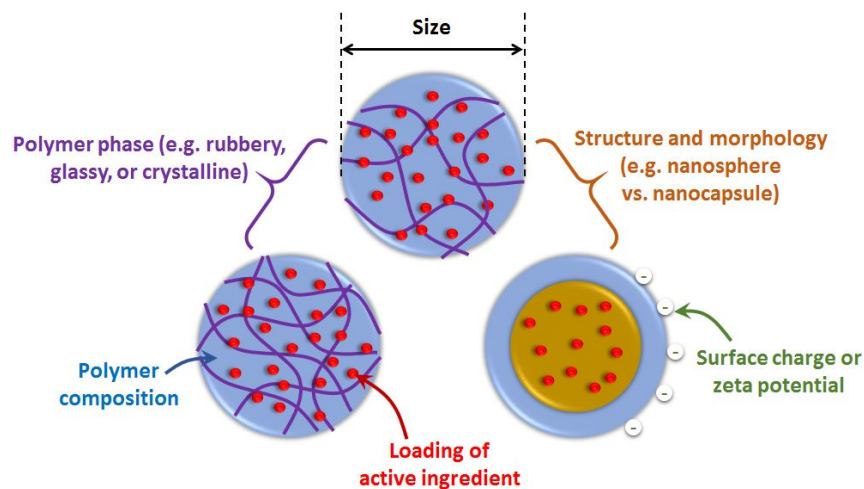


Figure 2. Important physicochemical properties to characterize for polymeric nanocarriers.

3.1. Size, morphology, internal structure, and surface charge

Particle size and surface charge are well known to be key factors in the fate and biological interactions of nanoparticles. Following the same methods of surface charge evaluation for inorganic nanoparticles, electrophoretic light scattering (ELS) is typically used to

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3 determine the electrophoretic mobility, which is converted to zeta potential using the
4 Smoluchowski, Hückel, or Henry equations.
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8 A tutorial review by Patterson et al.⁵⁹ covers the application of scattering techniques and
9 microscopy to characterize the size and morphology or structure of self-assembled polymeric
10 nanomaterials, which is also generally relevant to other polymer nanomaterials. Briefly,
11 morphology or structural information can be acquired using a combination of dynamic light
12 scattering (DLS) to obtain the hydrodynamic radius, R_h , together with static light scattering
13 (SLS) for the radius of gyration, R_g . The relationship between R_g and R_h depends on particle
14 morphology and can hence be used to deduce the shape (e.g. rod or spherical) or structure (e.g.,
15 hollow or filled spheres) of the nanoparticles.⁵⁹ Microscopy techniques, including transmission
16 electron microscopy (TEM), scanning electron microscopy (SEM), and atomic force microscopy
17 (AFM), can also determine both size and important structural characteristics. For example, Ye et
18 al. developed photolabile 2-nitrobenzyl succinate (NBS) – carboxymethyl chitosan (CMCS)
19 micellar nanoparticles for pesticide delivery, in which the NBS forms a photodegradable core
20 within a crosslinked CMCS shell.⁶⁰ Using TEM imaging, photodegradation of the NBS core
21 could be deduced by the observed transformation of the micellar structures to hollow
22 nanocapsules.
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42 Polymer particles can present new challenges to microscopy characterization methods
43 relative to inorganic nanoparticles. Notably, organic nanomaterials will show lower contrast
44 relative to the background, so the nanoparticles may need to be stained for improved imaging by
45 TEM.^{59, 61} The use of high energy microscopy techniques such as TEM is also prone to cause
46 beam damage to polymeric nanoparticles that must be considered.⁶¹ For example, a
47 diminishment in the measured size of latex particles of up to 29% over time in TEM
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3 measurements was attributed to degradation under the high energy electron beam.⁶² Drying
4 artifacts will also be particularly significant for polymeric nanoparticles in conventional TEM,
5 SEM, or AFM analysis, where sample dehydration can result in shrinking of the nanoparticles or
6 bursting of hollow nanocapsules. Advanced methods such as cryo-TEM may be required to
7 preserve the hydrated structure,⁶³ which can be particularly useful to visualize swelling and
8 shrinking of polymer nanoparticles, e.g. for thermoresponsive polymers.⁶⁴ While AFM imaging
9 can be performed in a liquid cell, the nanoparticles must be firmly attached to the substrate such
10 that they are not removed by contact with the AFM tip.⁵⁹ Furthermore, since the forces imparted
11 by the AFM tip during contact mode can deform soft polymeric materials, intermittent contact or
12 tapping modes may be required.^{65, 66}

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26 Direct characterization of the volume density profile of the polymer matrix typically
27 requires the use of advanced methods. Small-angle X-ray scattering (SAXS) and small-angle
28 neutron scattering (SANS) are useful to determine the internal radial structure of polymeric
29 nanoparticles, as well as the core-shell structure of polymeric nanoparticles comprised of two
30 polymers or block copolymers, as reviewed by Ballauff.^{67, 68} For nanoparticles with multiple
31 components, either a combination of SAXS and SANS or contrast matching of each polymeric
32 component in SANS (by deuteration of the polymers) can be applied to better distinguish the
33 structure of each individual component.⁶⁷ Such detailed characterization can be important to
34 understand the encapsulation and release of active compounds in the polymer particles, as has
35 been demonstrated for drug delivery nanoparticles.⁶⁹ Overall, while each sizing method has
36 advantages and limitations, the combined analysis of information from several different sizing
37 methods (more than may be required for inorganic nanoparticles) is recommended to acquire a
38 complete understanding of not only the size but also the structure of polymeric nanocarriers.
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3.2. Phase and phase transitions of the polymeric matrix

The phase (e.g. rubbery, glassy, or crystalline) and phase transition temperatures of the polymer matrix can be critical to characterize for polymeric nanocarriers, because a phase change will strongly affect the diffusion rate of active ingredients from the matrix, as discussed in Section 4. Crystallinity can be evaluated by X-ray diffraction (XRD) and has previously been applied to confirm crosslinking in polymeric nanoparticles, e.g., for chitosan nanoparticles after binding of cyclodextrin (which was used to enhance loading of hydrophobic pesticides),²⁷ or alginate nanoparticles crosslinked with calcium for pesticide delivery.⁷⁰ Differential scanning calorimetry (DSC) provides further information on the glass transition temperature (T_g) and melting temperatures of the polymer and the active ingredient. Finally, thermogravimetric analysis (TGA) provides the thermal degradation profile of the nanoparticles as well as quantitative information on the mass composition, provided the degradation temperatures of different components are distinct and represent a significant mass percent of the particle.

Strong interactions between active ingredients and the polymer can result in shifts or disappearance of phase transition or thermal degradation temperatures in the loaded nanoparticles compared to the individual components. For example, a change in the melting temperature of the pure active ingredient has been suggested to indicate successful dispersion of antibiotics^{71, 72} and herbicides^{30, 31, 73} in an amorphous state throughout the nanoparticles. T_g of the polymeric matrix can also be affected by the presence of the active ingredient, depending on the size, structure, hydrophilicity, and amount of loaded ingredient.^{18, 74} For example, Stloukal et al. reported that T_g decreased with increasing loading of an herbicide, metazachlor, in poly(lactic acid) nanoparticles.¹⁸ Therefore, it will be important to evaluate phase transition temperatures on

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3 each specific sample, rather than relying on reference data for bulk materials, to predict
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5 temperature-dependent release behavior for polymeric nanocarriers.
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10 3.3. *Chemical composition of polymer and active ingredients*

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12 Spectroscopic methods, particularly attenuated total reflectance – Fourier-transform
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14 infrared (ATR-FTIR) spectroscopy, are frequently performed to confirm the polymer
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16 composition, as well as the presence of active ingredient if the loading is above the detection
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18 limit and has distinct spectral features from the polymer. A strong interaction between the
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20 polymer and active ingredient may also be deduced from changes in the peak intensity, peak
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22 location, or peak broadening of functional groups participating in the interaction. For this
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24 analysis, the spectrum of the loaded nanoparticle should be compared to not only the “empty”
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26 nanoparticle and pure active ingredient controls, but also a “physical mixture” of the active
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28 ingredient and empty nanoparticles to confirm whether or not spectral changes are attributable to
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30 entrapment within the nanoparticle.
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35 Raman spectroscopy, X-ray photoelectron spectroscopy (XPS), and proton and carbon
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37 nuclear magnetic resonance spectroscopy (^1H NMR and ^{13}C NMR, respectively) are less
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39 commonly applied but can provide further information beyond ATR-FTIR spectroscopy. An
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41 advantage of Raman over ATR-FTIR spectroscopy is the significant reduction in interferences
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43 from liquid water;⁷⁵ hence, Raman spectroscopy has recently been shown to be capable of
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45 obtaining spectra of individual drug-loaded PLGA nanoparticles in combination with optical
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47 trapping.⁷⁶ XPS and NMR can further provide information on structure: for example, Celasco et
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49 al. reported the use of depth profiling XPS and angle-resolved XPS to distinguish the
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51 organization of poly(ethylene glycol) copolymers in nanosphere versus nanocapsule structures,²²
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3 and ^1H NMR has been applied to understand the mobility of drug molecules in liposomes or
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5 solid lipid nanoparticles.^{77, 78}
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8 Additional research is needed that applies these methods not only to the as-synthesized
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10 nanocarriers, but also after exposing the nanoparticles to environmental conditions, such as light
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12 exposure or biodegradation. For example, Chen et al. applied FTIR and ^1H NMR spectroscopy to
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14 confirm the proposed pH-dependent hydrolysis of polysuccinimide (PSI) groups for targeted
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16 plant phloem delivery of plant hormones.⁵¹ Ye et al. also demonstrated the use of ^1H NMR to
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18 confirm the formation of photolytic products in micellar carboxymethyl chitosan nanoparticles
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20 with 2-nitrobenzyl modification for photo-responsiveness.⁶⁰ Mass spectrometry is also applied to
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22 identify polymer degradation products, e.g. for PLGA.⁷⁹ *In situ* (flow cell) ATR-FTIR methods
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24 have previously been used to monitor adsorption⁸⁰⁻⁸⁶ and chemical reactions or degradation⁸⁷⁻⁸⁹
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26 of organic coatings on inorganic nanoparticles; these methods would be interesting to apply for
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28 polymeric nanocarriers to further evaluate the kinetics of transformation or degradation and
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30 hence understand their long-term fate and interactions in the environment.
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38 *3.4. Quantification of the loading and release of active ingredients in simple media*

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40 The loading and release rate of active ingredients from nanocarriers are key factors in
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42 assessing or predicting their effectiveness. Two approaches can be used (Figure 3): either the
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44 concentration of ingredients remaining inside the polymeric matrix is measured, or the released
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46 ingredients are quantified. Regardless of the chosen approach, separation of nanoparticles from
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48 the matrix (which includes the released ingredients) is required.
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51 Traditional quantification of loading or release involves separation of the nanoparticles
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53 and dissolved materials *prior* to measurement (Figure 3b). In some separation methods (e.g.,
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3 ultracentrifugation or centrifugal ultrafiltration), release may be overestimated due to the force
4 applied during the separation process or time required to process the sample.⁹⁰ If the
5 nanoparticles are needed for further analysis, another drawback is the possibility for poor
6 recovery. Dialysis is a gentler separation process, but slow diffusion of dissolved ingredients
7 through the dialysis membrane may result in underestimation of the true release rate.⁹⁰ In
8 addition, the released compounds are significantly diluted in the dialysate, which may require the
9 use of high nanoparticle concentrations to achieve measurable results (however, if “sink”
10 conditions are maintained on the dialysate side, release rates are still representative of diluted
11 conditions e.g. as would occur when diluting a formulation for use in the field). After separation,
12 released ingredients in the filtrate, dialysate, or supernatant can be easily quantified by high
13 performance liquid chromatography (HPLC) or batch UV–vis spectrophotometry. To quantify
14 the entrapped ingredient, addition of an organic solvent is often required to extract compounds
15 from the polymeric matrix or dissolve the polymeric nanoparticle. In both measurements, the
16 presence of dissolved polymer or other reagents can interfere with the analysis, and hence it is
17 important that high recovery is confirmed in spike recovery tests or appropriate corrections are
18 made, e.g. by the method of standard additions instead of quantifying against external standards.
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40 Direct quantification of entrapped ingredients within an intact nanoparticle without a
41 need for pre-separation can provide advantages to the traditional approach described above.
42 However, such approach requires the compound of interest to have a distinct property (e.g.
43 fluorescence or UV–vis absorbance) from the polymer and minimal matrix interference.
44 Asymmetric flow field – flow fractionation (AF4) (Figure 3a) is a relatively new approach that
45 can eliminate sample processing steps and provide simultaneous particle characterization
46 together with quantification of loading. In this method, the nanoparticles are focused in an AF4
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3 channel at the beginning of the analysis; incidentally, the nanoparticles are also separated from
4 dissolved species (which pass through a cross-flow membrane) during this step. Hence, no pre-
5 separation steps are required as in traditional measurement approaches. Thereafter, the
6 nanoparticles are separated by size (diffusion coefficient) in the AF4 channel, enabling size-
7 resolved detection and characterization by downstream detectors. Based on the choice of
8 detectors, quantitative information about the loading (e.g., using the UV–vis absorbance or
9 fluorescence of the active ingredient), as well as the concentration and size distribution of the
10 nanoparticles, can be obtained. Sources of error include the potential for entrapped ingredients to
11 be washed out during the focus step,⁹¹⁻⁹³ the need to correct for any particle scattering
12 contributions to the signal used,^{94, 95} as well as the possibility for interactions of the active
13 ingredient within the nanoparticle to change its spectral properties.⁹⁶ Despite these issues, AF4
14 with online UV–vis detection has successfully been applied by Hinna et al. to quantify a
15 porphyrin drug within liposomal nanocarriers,^{94, 97, 98} by Iavicoli et al. to quantify the binding of
16 antimicrobial peptides to liposomes,⁹⁹ and by Fraunhofer et al. to quantify oligonucleotide
17 loading on gelatin nanoparticles.¹⁰⁰

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Dialysis and AF4 can be successfully performed in aqueous matrices containing dissolved humic substances or biomolecules as well as other ingredients that may comprise the matrix of a commercial formulation. Chromatographic methods such as AF4 can even probe interactions between the nanoparticles and matrix components. For example, Holzschuh et al. have applied A4F to separate liposomes from human plasma and to evaluate lipid and drug transfer from the liposomes.⁹³ However, to our knowledge, most studies evaluate release in only simplified media (deionized water at a specified pH, possibly with a background electrolyte).

Interactions with natural molecules present in soil porewaters, as well as other solutions that may be co-applied (e.g. fertilizer solutions¹⁰¹) should be considered in future studies.

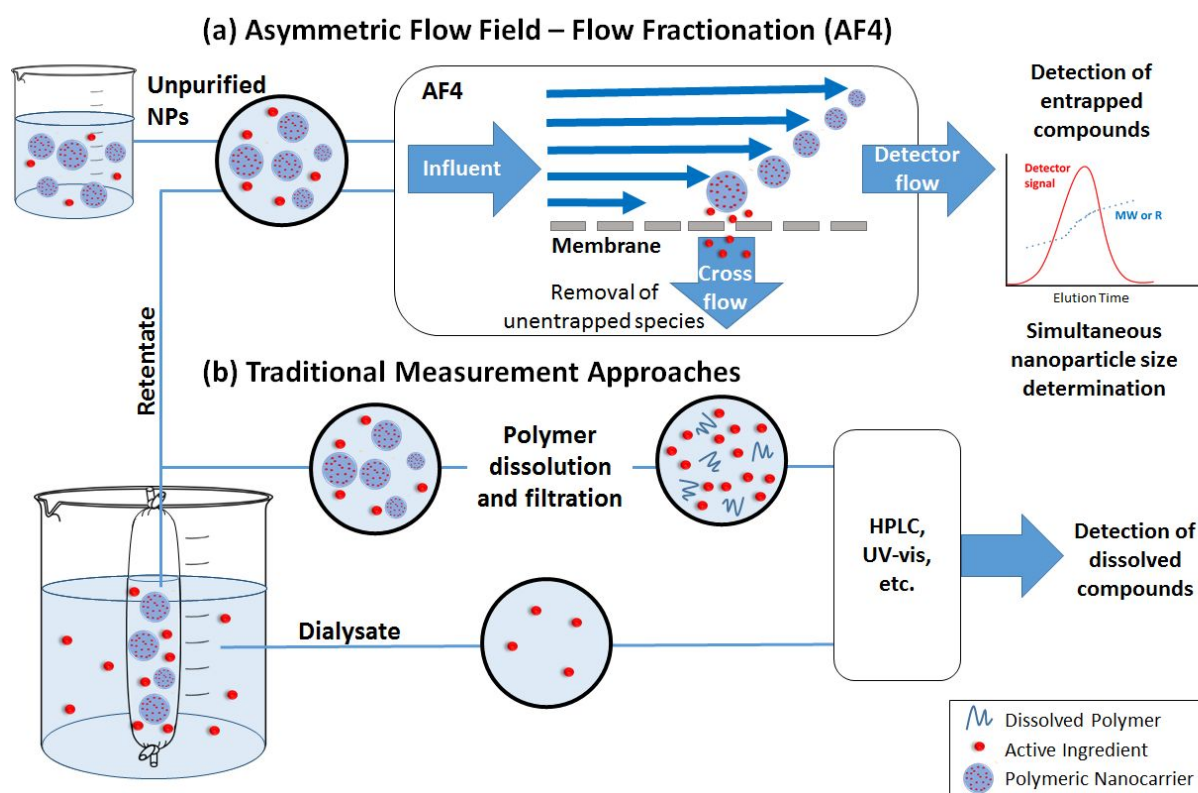


Figure 3. Methods for measurement of active ingredient loading and release by (a) asymmetric flow field – flow fractionation (AF4) or (b) traditional measurement approaches.

3.5. Detection and characterization in complex matrices

The application of polymeric nanoparticles in soils, plants, and animals introduces the significant challenge of finding a carbon-based material in a highly complex matrix full of other organic carbon species and solid or particulate material. Measuring active ingredient release rates will also be highly challenging. Incorporation of a probe compound, such as a fluorescent tag¹⁰,¹¹,¹⁰² or radiolabeled polymers, in the nanoparticle is often used to identify the particle by imaging or other methods. Otherwise, the nanoparticles would need to be isolated from the

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3 media due to the severe interferences. However, extraction processes are likely to be either
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5 ineffective or likely to disrupt the nanomaterial or the partitioning of the active ingredient. Kah et
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7 al. highlight the difficulty in measuring release in soils and suggest that release may only be
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9 possible to evaluate through indirect methods.⁶ One such method that has been applied for
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11 pesticides^{103, 104} is to assume that degradation of the active ingredient occurs only upon release.
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13 Then, the total remaining (undegraded) active ingredient in the soil can be extracted into organic
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15 solvent at several time points for measurement by HPLC, and the rate of degradation is measured
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17 for the pure (untrapped) pesticide and the nano-formulation. Models that incorporate both the
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19 release rate and degradation rate of released compound can then be fitted to estimate the release
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21 rate.
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28 **4. Mechanisms for release of active ingredients**

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30 The release profile of the active ingredient from the polymer matrix will be critical in
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32 designing or predicting the behavior of the overall nanoparticle, e.g. controlled, slow release for
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34 prolonged application, or stimuli-responsive release for timed or targeted delivery of active
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36 compounds.¹ Release can occur by Fickian diffusion, swelling or relaxation of the polymer
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38 (promoting more rapid diffusion), and surface or bulk erosion (degradation) of the
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40 nanoparticle.¹⁰⁵ An initial “burst” release is also commonly observed. Major factors affecting the
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42 release rate are illustrated in Figure 4 for the diffusion and relaxation mechanisms (which do not
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44 involve decomposition of the polymeric nanoparticle) and Figure 5 for the erosion mechanisms
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46 (in which polymer degradation leads to release).
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54 *4.1. “Burst” release*

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3 Burst release refers to the phenomenon in which an initial rapid release of active
4 ingredient occurs, followed by slow release, and can be undesirable if an initially high
5 concentration of active ingredient is not tolerable for the application of interest.¹⁰⁵ A burst
6 release phenomenon would indicate a higher concentration of active ingredient residing on or
7 near the surface of the nanoparticles after synthesis, with smaller nanoparticles (higher surface
8 area to volume ratio) demonstrating more significant burst releases, as shown by Stloukal et al.
9 for poly(lactic acid) (PLA) nanoparticles loaded with an herbicide, metazachlor.¹⁸ The use of a
10 nanocapsule structure or a coating around the surface of the nanoparticles has also been
11 suggested to suppress the rapid initial “burst” release that is often observed for nanospheres.¹⁰⁶
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26 *4.2. Release by diffusion through the polymer matrix and nanoparticle swelling/relaxation*

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28 In Fickian diffusion, active ingredients will diffuse from regions of high concentration
29 inside the nanoparticle to low concentration outside the nanoparticle following Fick’s second
30 law. Because of the dependence of release rate on the concentration gradient, release would
31 occur more rapidly when the nanocarriers are diluted, e.g. upon dilution of a solid or
32 concentrated formulation by growers prior to application, or during rainfall or irrigation events.
33 Release by Fickian diffusion can be slowed by increasing the nanoparticle size (i.e. increasing
34 the distance across which the active ingredient must diffuse). For example, in addition to a
35 reduced burst release, Stloukal et al. also observed slower release of metazachlor by diffusion
36 from PLA nanoparticles as the size increased.¹⁸ Increased cross-linking has also been reported as
37 a successful strategy to delay diffusion by decreasing the porosity or increasing the tortuosity
38 through the polymer matrix, as shown for a methomyl pesticide loaded into azidobenzaldehyde-
39 carboxymethyl chitosan nanocapsules before and after crosslinking of the polymer.⁵⁰
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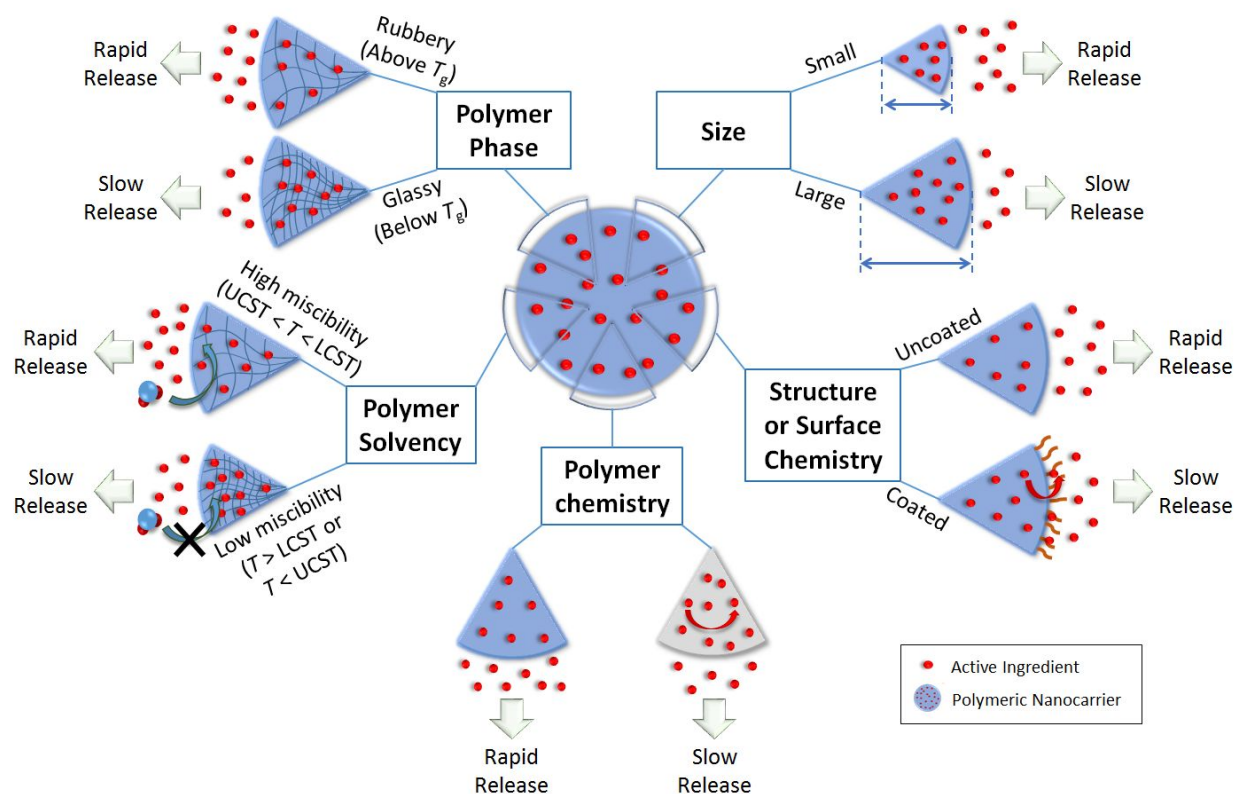


Figure 4. Diffusive release of active ingredients from polymeric nanocarriers, and effects of material properties and environmental conditions on the release rate. In addition to the size and chemistry of the particles, the polymer phase and polymer solvency can strongly affect the diffusion rate of the active ingredient and can vary with the temperature relative to the glass transition temperature (T_g) and the upper or lower critical solution temperature (UCST or LCST, respectively) of the polymeric nanoparticle.

Swelling or relaxation of the polymeric nanoparticle will also cause faster release of active ingredients as they dissolve into the infiltrating solvent (typically an aqueous medium) and transport more rapidly out of the relaxed polymer matrix through the solvent-filled pores. This mechanism is referred to as “Case II” transport, and can be distinguished from Fickian diffusion

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3 by modeling the release profile. For example, the empirical Korsmeyer-Peppas model¹⁰⁷
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5 (Equation 1) is frequently applied to distinguish release mechanisms:

$$\frac{M_t}{M_\infty} = kt^n \quad (1)$$

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10 where M_t/M_∞ is the fraction of drug released at time t , k is a rate constant, and the exponent n is
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12 representative of the release mechanism. For spherical particles, $n = 0.43$ corresponds to Fickian
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14 diffusion as the rate-limiting phenomenon, $n = 0.85$ corresponds to Case II transport (relaxation
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16 is rate-limiting), and $0.43 < n < 0.85$ corresponds to “anomalous transport,” which can arise from
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18 a combination of diffusion and relaxation.¹⁰⁸
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23 Polymer swelling and relaxation can be strongly affected by environmental factors, such
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25 as temperature, and hence be exploited to achieve triggered or stimuli-responsive release in
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27 agricultural applications.¹⁰⁹ Important temperatures of note are the upper critical solution
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29 temperature (UCST) and lower critical solution temperature (LCST), between which the polymer
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31 is miscible with the solvent. For example, poly-N-isopropyl acrylamide (PNIPAm) is a well-
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33 known temperature-sensitive polymer that swells at temperatures below its LCST of 32 °C.
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35 Grafting of the PNIPAm polymer onto polydopamine (PDA) nanoparticles has hence been
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37 shown to lead to temperature-dependent release of a pesticide, emamectin benzoate, with faster
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39 release at lower temperature attributable to swelling of the PNIPAm below the LCST.¹¹⁰
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44 Another important thermal property is the glass transition temperature (T_g), describing the
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46 phase transition of the polymer from glassy (rigid) below T_g to rubbery (flexible) above T_g .
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48 Lappe et al.⁷⁴ showed that for DL-PLA, L-PLA, and PLGA nanocarriers, primarily burst release
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50 of adsorbed drugs on the nanoparticle surface occurred at temperatures below T_g . On the other
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52 hand, at temperatures higher than T_g , higher release of the entrapped drugs occurred.⁷⁴
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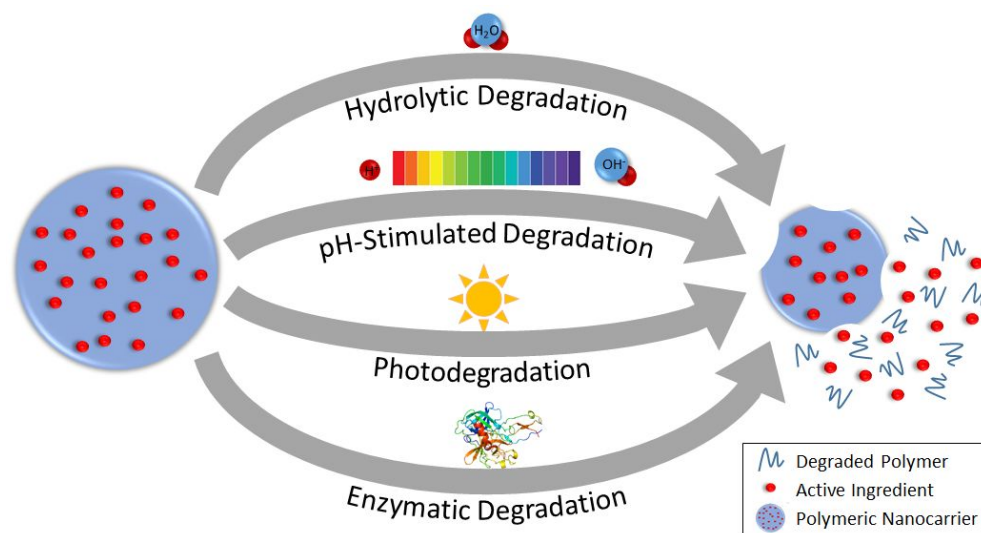
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3 To further slow the release of an active compound below the rate of Fickian diffusion or
4 the swelling/relaxation rate, materials can be selected such that the active ingredients have more
5 favorable interactions with the components of the nanoparticle matrix relative to the solvent. For
6 example, when Campos et al. compared the release of two pesticides, carvacrol and linalool, co-
7 loaded in β -cyclodextrin-functionalized chitosan nanoparticles, faster and more extensive release
8 of the more hydrophilic linalool ingredient was observed.¹¹¹ Grillo et al. compared the release
9 rates and profiles of three herbicides, ametryn, atrazine, simazine, from nanocapsules with a PCL
10 shell and an oil core.⁴¹ The slower release of ametryn compared to atrazine was attributed to the
11 higher affinity of ametryn with either the PCL shell or oily interior of the nanocapsule. The
12 release was slowest for simazine, which was proposed to occur because of hydrogen bonding
13 between simazine and the PCL shell of the nanoparticles, which is blocked by the methyl groups
14 present on atrazine and ametryn.⁴¹
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31 Similarly, different structures or compositions of the nanoparticle have been proposed to
32 tune the release kinetics. Nanocapsules or vesicles comprised of a shell surrounding a core of a
33 different composition have been suggested to provide slower release profiles than those
34 dispersed throughout a homogeneous nanosphere;¹⁰⁶ however, release profiles were similar for
35 atrazine loaded into PCL nanocapsules compared to PCL nanospheres.³⁷ Therefore, tuning the
36 chemistry of the coating or shell around the nanoparticle may be a more promising strategy to
37 delay release, as opposed to developing nanoparticles comprised of the same material in different
38 nanocapsule or nanosphere structures. For example, for pesticide delivery, the addition of a
39 polyurea coating onto imidacloprid-loaded PDA microcapsules¹¹² or a chitosan coating onto
40 deltamethrin-loaded beeswax solid lipid nanoparticles¹¹³ delayed the release relative to the
41 uncoated nanoparticles. Sun et al. also reported that high entrapment of a pesticide, methomyl, in
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3 carboxymethyl chitosan nanocapsules was primarily attributable to adsorption of the methomyl
4 to the polymer, rather than partitioning into the aqueous interior of the nanocapsules.⁵⁰
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8 Additional characterization and predictive models to localize interactions between the active
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10 ingredient and the specific components of the nanoparticle would be useful to better predict *a*
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12 *priori* materials that can be used to develop nanoparticles with a desired release rate.
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17 4.3. Degradation of nanoparticles

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19 Release can be accelerated or triggered by chemical, physical, or biological degradation
20 of the nanoparticle. This degradation can proceed by hydrolysis with water, or it can require a
21 specific stimulus, such as a change in pH or temperature, light exposure, or enzymatic activity, to
22 occur (Figure 5).¹⁰⁹
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46 **Figure 5.** Release of active ingredients from polymeric nanocarriers by degradation of the
47 polymeric matrix.
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53 In hydrolytic degradation, water participates in a cleavage reaction of vulnerable bonds
54 such as esters, degrading the polymer chains and then leading to loss of mass from the
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3 nanoparticle.¹¹⁴ For instance, PLGA nanoparticles show slow degradation that occurs by bulk
4 erosion via hydrolysis of ester bonds; after the initial hydrolysis, faster degradation is catalyzed
5 by the increasing water penetration and formation of carboxylic groups.^{115, 116} Nano-sized PLGA
6 shows faster hydrolytic degradation than micro-sized PLGA because of the higher surface area to
7 volume ratio (i.e. higher accessibility to water), as well as the greater ease for polymer
8 degradation products to diffuse out through the polymer matrix.¹¹⁷ The degradation rate can also
9 be tuned by adjusting the composition of a nanocarrier such that the proportion or accessibility of
10 labile bonds is modified. For example, the rate of hydrolysis of nanoparticles composed of
11 mixtures of PLGA and poly(L-lactic acid) or solely of PLGA with different ratios of lactic acid
12 to glycolic acid, decreases with increasing lactic acid content: the methyl side groups on the
13 lactic acid impart steric hindrance inhibiting the hydrolysis of the ester bonds¹¹⁸ while the
14 glycolic acid groups have higher bound, reactive water content.¹¹⁹ On the other hand,
15 incorporating methoxy poly(ethylene glycol) (mPEG) in PLGA nanoparticles leads to faster
16 degradation of the nanoparticles,¹²⁰ since the mPEG increases the hydrophilicity of the
17 nanoparticle and hence accessibility for hydrolysis.¹²¹

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38 Polymer degradation can be acid- or base-catalyzed, enabling pH-responsive release. For
39 example, solid lipid nanoparticles have been synthesized with acetal groups that are cleavable
40 under acidic conditions (e.g., pH 6.5) for targeted release of vancomycin antibiotics at acidic
41 infection sites.¹²² In plants, the pH is higher in the phloem than other regions,¹²³ and hence pH-
42 sensitive PSI-based nanoparticles have been proposed for triggered release of active compounds
43 in the phloem. For example, Chen et al.⁵¹ suggested the use of poly(aspartic acid-co-succinimide)
44 polymeric nanoparticles for targeted delivery of a synthetic plant hormone, naphthaleneacetic
45 acid (NAA), to the phloem of plants. These nanoparticles are stable under neutral conditions. In
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3 contrast, at pH 8.5, the PSI units of the nanoparticles are hydrolyzed to polyaspartate, resulting in
4 more rapid release of the NAA.⁵¹ Similarly, the release of two model compounds, Coumarin 6⁵²
5 and Nile Red,¹²⁴ from PSI-based nanocarriers occurs more rapidly at basic pH, with slightly
6 faster release of Nile Red under hydrolytic conditions for smaller nanoparticles with higher
7 surface area.¹²⁴ Functionalization of the PSI with hydrophobic hexylamine was able to prevent
8 base hydrolysis and dye release,¹²⁴ providing another option to tune the release behavior by
9 tuning the penetration of solvent carrying reactive species into the polymer matrix.

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19 The pH can also affect the physical stability of the nanoparticle when the polymer is a
20 weak acid or base, such that the charge and electrostatic interactions will depend on pH. For
21 example, Lin et al. developed nanoparticles from feather keratin and carboxymethyl cellulose
22 (CMC) loaded with a pesticide, avermectin.²⁸ While diffusion was Fickian at lower pH, the
23 release rate became faster and non-Fickian transport at higher pH. The faster release was
24 proposed to be caused by the transition of the keratin to negative charge at higher pH, resulting
25 in electrostatic repulsion with the negatively-charged CMC and dissociation of the nanoparticles.

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35 Stimuli-responsive release can also be achieved using photosensitive polymers. For
36 example, UV-labile core-shell or micellar nanoparticles were developed by conjugating
37 nitrobenzyl compounds to carboxymethyl chitosan⁶⁰ and poly(ethylene glycol) (PEG)¹²⁵
38 polymers. These nanoparticles were loaded with diuron and 2,4-dichlorophenoxyacetic acid (2,4-
39 D) herbicides, respectively, and demonstrated to exhibit UV-triggered release. Further study on
40 light-activated nanoparticles would be interesting for applications of nanoparticles in sunlit
41 environments, such as foliar delivery of agrochemicals.

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51 Finally, the activity of enzymes such as proteases, glycosidases and phosphatases can
52 induce the degradation of nanoparticles. For example, Chawla et al. found that the degradation of
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3 PCL nanoparticles increases dramatically in the presence of lipase enzyme in comparison with
4 enzyme-free phosphate buffered saline.¹²⁶ They proposed that the hydrophilicity of the enzyme
5 prohibits movement into the hydrophobic interior of the nanoparticle, so enzymatic hydrolysis
6 occurs at the surface of nanoparticle where the enzyme adsorbs.¹²⁶ Another study by Fu et al.
7 showed more rapid and extensive degradation of zein nanoparticles and release of an entrapped
8 antibiotic, ciprofloxacin, in the presence of trypsin than collagenase or enzyme-free phosphate
9 buffered saline.¹²⁷ *In vitro* enzymatic degradation of chitosan nanoparticles by lysozyme was
10 also reported by Hou et al.¹²⁸ Akagi et al. demonstrated that the enzyme-mediated degradation of
11 poly(γ -glutamic acid) (γ -PGA) nanoparticles by γ -glutamyl transpeptidase (γ -GTP), which is a
12 common enzyme found in wide range of organisms, is more rapid than hydrolytic degradation.¹²⁹
13 In addition, enzymes such as pronase, protease, cathepsin B, and lipase, all of which may be
14 present in *in vivo* systems, have also been reported to induce degradation of γ -PGA by cleaving
15 the amide bond of the polymer.¹³⁰ Given the wide variety of enzymes present in *in vivo* systems
16 and the variety of enzymatic activities demonstrated in these studies, additional research is
17 needed to fully understand and develop a generic mechanism to predict the enzymatic
18 degradation behavior of polymeric nanoparticles.
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42 **5. Environmental fate and biological effects**

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44 The fate, transport, bio-uptake, and biological effects of the polymeric nanoparticles and
45 their associated active ingredients must all ultimately be optimized in order to develop a
46 successful technology that improves the desired function of the active ingredient (compared to
47 non-nano formulations) while having minimal adverse effects in the environment. Potential
48 mechanisms for polymeric nanocarriers to play this role are highlighted below.
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5.1. Fate, transport, and uptake of polymeric nanocarriers and their associated active ingredients

For agricultural applications, the goal of using a polymeric nanocarrier is often to reduce the overall quantity of agrochemicals needed, which can be achieved by improved targeting or uptake of the active ingredient or protecting the active ingredient from degradation (Figure 6).

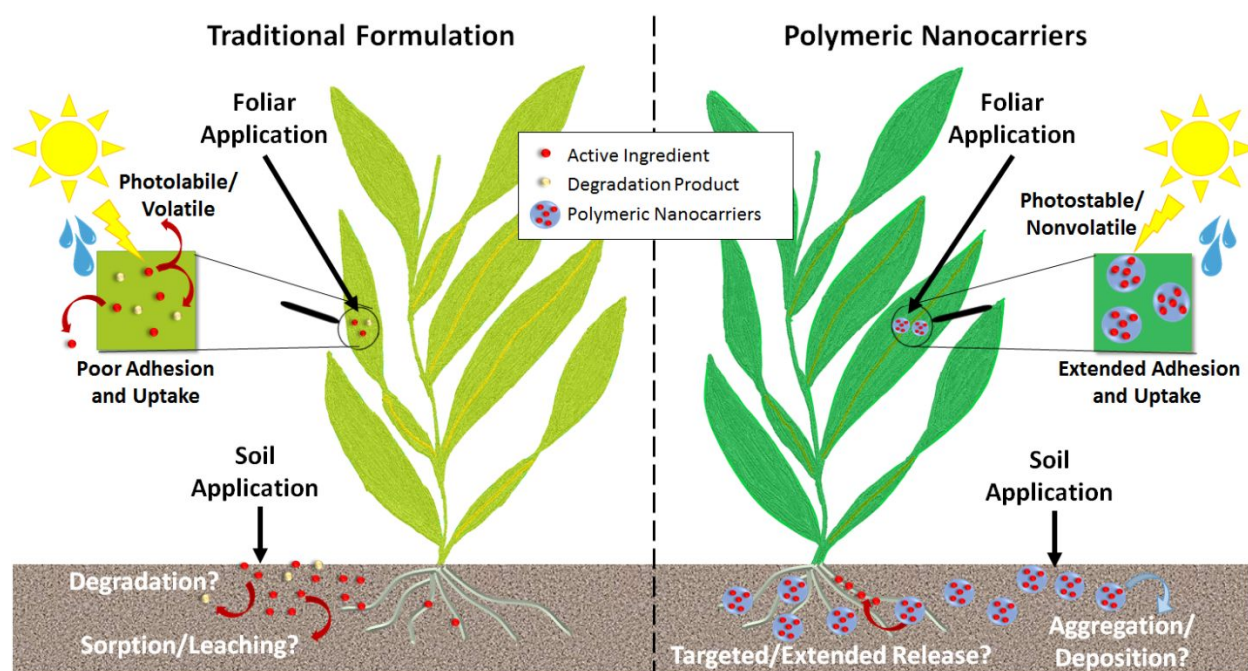


Figure 6. Improved efficiency of agrochemicals achieved by enhanced uptake (by targeting or adhesion) and protection of active ingredients against degradation. Polymeric nanocarriers will also change the fate and transport of agrochemicals in soils, altering leaching profiles and environmental exposures.

Enhanced photostability and reduced volatility of the active ingredient have been demonstrated across a variety of polymer types, as summarized in Table 2, and would reduce the

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3 quantities of pesticides required as well as the need for reapplication over time. Furthermore, the
4 enhanced stability afforded by the nanoparticles enables the use of more sustainable active
5 ingredients, such as botanical oils, that would be prone to degradation or volatilization in their
6 unentrapped form.^{21, 38, 131, 132} Polymeric nanoparticles can also be designed to enhance the
7 adhesion or uptake of agrochemicals, particularly for foliar applications (Table 2). For example,
8 bio-inspired polydopamine and polycatechol-coated nanoparticles have been proposed for
9 enhanced adhesion of pesticides to plant leaves.^{133, 134} Few studies are available that directly
10 demonstrate plant uptake, likely due to the challenges in detecting polymeric nanoparticles
11 within plants, but recent studies using fluorescently-labeled nanocarriers have shown promising
12 results for foliar uptake of PCL nanoparticles (up to 345 nm in diameter) and and root uptake of
13 zein nanoparticles (135 nm).^{10, 102} For comparison, the typical upper size limits summarized by
14 Lv et al. for inorganic nanoparticles are up to 140 nm for root uptake, with foliar uptake by
15 stomatal pathways having a largely unknown size limit with uptake of up to ≈ 50 nm reported
16 thus far.¹³⁵ Additional uptake studies on the variety of other polymer types that have been
17 proposed as well as across a range of sizes are needed to identify the ideal nanoparticles for
18 agrochemical delivery.

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40 Subsequent to field application, the effect of the polymeric nanoparticles on the transport
41 of the agrochemicals from soils is also of interest, given the problems of surface water and
42 groundwater pollution from agricultural runoff. Varying results have been observed in the
43 literature regarding whether entrapment or encapsulation enhances or reduces release of the
44 agrochemicals from soils. For example, loading of carbendazim and tebuconazole fungicides into
45 polymeric and PCL nanocapsules and solid lipid nanoparticles resulted in diminished leaching
46 from soils compared to commercial, non-nano formulations;⁵³ on the contrary, Grillo et al. and
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3 Silva et al. reported lower sorption of paraquat to soils when loaded into
4 chitosan/tripolyphosphate and alginate/chitosan nanoparticles, respectively,^{30, 45} and Pereira et al.
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6 reported deeper penetration of atrazine into soil columns when loaded into PCL nanocapsules
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8 and nanospheres.³⁷ Chen et al., Kah et al., and Petosa et al. have each found that the transport or
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10 deposition of polymeric nanocarriers and their associated active ingredients (e.g. drugs or
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12 herbicides) varies widely with the type of polymer as well as the environmental conditions (e.g.,
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14 water chemistry and soil type).^{104, 136, 137} The possibility for naturally occurring macromolecules
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16 such as natural organic matter, proteins, and polysaccharides to adsorb to the nanoparticles and
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18 change their transport behavior should also be considered. While Grillo et al. reported that
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20 aquatic humic substances did not affect the colloidal stability of paraquat-loaded chitosan
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22 nanoparticles,⁴⁵ Chen et al. observed a significant effect of the interaction of negatively-charged
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24 humic acids on the deposition of positively-charged poly(caprolactone-*b*-ethylenimine) (PCL-
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26 PEI) nanoparticles onto silica surfaces, consistent with charge neutralization and reversal.¹³⁶
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33 In summary, to fully describe the transport behavior of active ingredients carried by
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35 polymer nanoparticles, not only the aggregation and deposition behavior of the nanoparticle, but
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37 also the kinetics of release and the sorption behavior of the active ingredient, must all be taken
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39 into account. Hence, transport models will be more complex than those previously developed for
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41 inorganic nanoparticles (without an active ingredient loading), and a large suite of additional
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43 studies will likely be needed to develop such models.
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Table 2. Effects of polymeric nanocarriers on the fate and uptake of active ingredients (A.I.)

| Function | Polymer (Nanoparticle diameter in parentheses) | Active Ingredient | Benefits Conferred by Polymeric Nanoformulations | Ref. |
|---|---|---|--|------|
| Photostability of active ingredients | PCL (450 to 465 nm by DLS) | Essential oils (insecticides) | Enhanced photostability compared to untrapped A.I., evaluated over up to 7 h exposure to UV-A and UV-C light | 38 |
| | Chitosan/gum arabic (\approx 200 nm) | Geraniol (insecticide) | Enhanced photostability compared to untrapped A.I., evaluated over up to 7 d exposure to UV (365 nm) light | 21 |
| | Zein (143 to 172 nm by DLS) | R-citronellal, geraniol (insecticide) | Enhanced photostability compared to untrapped A.I., evaluated over up to 7 d exposure to UV (365 nm) light; photoprotection more apparent for geraniol than citronella | 131 |
| | Polydopamine (215 nm by TEM) | Avermectin (insecticide) | Enhanced photostability compared to untrapped A.I., evaluated over up to 78 h exposure to UV light | 133 |
| | Poly(styrene- <i>co</i> -methacrylic acid) – Polycatechol (102 to 122 nm by DLS) | Avermectin (insecticide) | Enhanced photostability compared to untrapped A.I., evaluated over up to 96 h exposure to UV light | 134 |
| | Feather keratin – Carboxymethylcellulose (\approx 390 nm by DLS) | Avermectin (insecticide) | Enhanced photostability compared to untrapped A.I., evaluated over up to 30 h exposure to UV light | 28 |
| | PLA (680 to 4600 nm by DLS) | λ -Cyhalothrin (insecticide) | Enhanced photostability compared to untrapped A.I., evaluated over up to 72 h exposure to UV (365 nm) light | 138 |
| | Beeswax solid lipid nanoparticles, with or without chitosan coating (\approx 200 to 230 nm by DLS) | Deltamethrin (insecticide) | Enhanced photostability compared to untrapped A.I., evaluated over up to 72 h exposure to UV-B light | 113 |
| | Polyacrylate (\approx 80 nm by DLS) | Emamectin benzoate (insecticide) | Enhanced photostability compared to untrapped A.I., evaluated over up to 9 h exposure to simulated sunlight | 139 |
| | PLGA (600 nm by laser particle size distribution analysis) | Pyraclostrobin (fungicide) | Enhanced photostability compared to untrapped A.I., evaluated over up to 1 h exposure to UV light | 140 |
| Volatility of active ingredients | Zein (234 to 282 nm by DLS) | Cinnamaldehyde, eugenol, and geraniol (insecticides) | Reduced volatility compared to untrapped A.I., evaluated for 120 d storage duration | 132 |
| Adhesion and uptake | Polydopamine (215 nm by TEM) | Avermectin (insecticide) | Attachment to cotton and corn leaves from aqueous suspension, | 133 |

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| by plants | | | with and without water washing | |
| | Poly(styrene- <i>co</i> -methacrylic acid) – Polycatechol (102 to 122 nm by DLS) | Avermectin (insecticide) | Attachment to cucumber and broccoli leaves after spraying, drying, and washing | 134 |
| | PCL (256 to 345 nm) | Atrazine (herbicide) | Uptake through stomata, particularly in hydathode regions, and vascular transport in <i>Brassica juncea</i> | 102 |
| | Zein (135 nm) | None | Root uptake and translocation in sugar cane plants | 10 |
| | Zein (135 nm) | None | Association of nanoparticles with roots, with possible uptake and translocation, in soybean plants | 11 |

Notes: A.I.: active ingredient; PCL: poly(ϵ -caprolactone); PLA: poly(lactic acid); PLGA: poly(lactic-*co*-glycolic acid)

5.2. Effectiveness for agricultural applications

For crop growth and protection, polymeric nanoparticles have been proposed to deliver plant growth promoters and pesticides, including insecticides, herbicides, and fungicides. For livestock and aquaculture, polymeric nanocarriers may also be used to deliver antibiotics. As summarized in Table 3, many types of polymeric nanoparticles or nanocapsules have been developed using biocompatible or biodegradable materials (e.g., alginate, chitosan, zein, PEG, and PCL) to deliver both conventional synthetic herbicides, insecticides, and fungicides as well as unconventional, botanically derived oils as more sustainable alternatives.

For plant growth promoters, herbicides, insecticides, and fungicides, the nano-formulations typically show similar to improved efficiency compared to the untrapped active ingredient. A possible mechanism for the improved efficiency is the ability for the nanoparticles to provide targeted or enhanced delivery, e.g. by designing nanoparticles that encourage the adhesion or uptake of the active ingredients by the target organism.^{133, 134} In contrast, hydrophobic insecticides can have potential flaws of poor solubility, which can reduce their targeting efficiency to less than 1%.¹⁴¹ Nanoparticles have also been highlighted to perform particularly well over extended time durations,^{132, 142-144} e.g. by stabilizing the active ingredient against degradation or providing slow release properties, which reduces the overall quantity of pesticides required.

A limitation of the currently available data is that only ten of twenty-six studies identified in the literature compare the activity of the nano-formulation to a commercial formulation. Of these studies, three report no significant difference for the nano-formulation,^{19, 25, 145} and two report improvement only under specific conditions (e.g. at longer durations¹⁴² or with an adhesive coating on the nanoparticles¹³⁴). As noted by Kah et al.,⁶ to truly demonstrate an advantage of the

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3 nano-formulation over currently available alternatives, several commercial formulations that may
4 differ in composition (e.g. solution, suspension, or emulsion; with or without polymeric
5 ingredients) should be compared. The majority of nanocarrier studies available report “nano”-
6 formulations with diameters between 100 nm and 1000 nm, and more information is also needed
7 to evaluate whether particle sizes < 1000 nm truly confer additional benefits (e.g. enhanced
8 uptake or targeting) that would justify their use over micron-sized polymeric particles (which
9 would be expected to provide slower and more extended release). The two studies that compare
10 microemulsions or water-dispersible granules report no improvement using the nano-
11 formulation²⁵ or improvement only after adding an adhesive surface coating on the
12 nanoparticles.¹³⁴ Additional studies providing side-by-side characterization of particle size (for
13 suspensions or emulsions) and release rates for both the commercial and nano-formulations are
14 needed to better understand the benefits or lack thereof of the nano-formulation.
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31 Polymeric nanoparticles have also been proposed and developed to deliver antimicrobial
32 agents.¹⁴⁶⁻¹⁴⁸ Livestock have particularly been highlighted as a reservoir for the development of
33 antibiotic-resistant microorganisms, such as methicillin-resistant *Staphylococcus aureus*
34 (MRSA),¹⁴⁹ that could potentially be transmissible to humans.^{150, 151} Nanoparticles have been
35 suggested as a possible route to mitigate the proliferation of such antibiotic-resistant
36 microorganisms by reducing the overall quantities of antibiotics required by improving the
37 efficiency of delivery.¹⁵²⁻¹⁵⁷ While few studies are currently available that specifically target
38 development of antibiotic-loaded nanoparticles for livestock and aquaculture applications,
39 research on the development of nanoparticles loaded with antibiotics relevant to livestock are
40 summarized in Table 3. Similarly to the agrochemicals, mechanisms for improved antibiotic
41 efficacy at lower doses include their targeting properties or enhanced uptake, leading to
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3 improved intracellular activity toward pre-infected cells,^{158, 159} as well as sustained release
4 allowing for single doses to be effective over long durations (e.g., several days)^{127, 160} and
5 potentially eliminate the need for repeated doses of traditional (non-nano) formulations.¹⁶¹
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7 Interestingly, polymeric nanocarriers have also been found to restore the effectiveness of
8 antibiotics against antibiotic-resistant organisms. For example, drug resistance to β -lactam drugs,
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10 such as penicillin and methicillin, is conferred by the production of β -lactamase enzymes that
11 degrade the antibiotics. By incorporating these drugs into polymeric nanoparticles, e.g.
12 penicillin-loaded polyacrylate nanoparticles,¹⁶² cefazolin-loaded chitosan nanoparticles,¹⁶³ or
13 ceftriaxone-loaded chitosan nanoparticles,¹⁶⁴ the drug is effectively shielded from enzymatic
14 degradation to restore its antibiotic efficacy against resistant strains such as methicillin resistant
15 *Staphylococcus aureus* (MRSA).
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29 Finally, we note that a major hurdle that must be overcome for commercialization of the
30 nanocarriers is the implementation of larger scale field trials that evaluate the ultimate
31 improvements in endpoints of interest to farmers (e.g. crop or animal yield). The survey of
32 literature in Table 3 shows that a variety of endpoints are evaluated across different studies,
33 including seedling emergence, root and shoot growth, weed growth or mortality, and insect
34 deterrence or mortality for crop applications, or minimum inhibitory concentrations, cell
35 survival, or antibiotic resistance development for antibiotics. One recent study showed improved
36 crop productivity (tomato production) in a field study for plant growth hormones delivered by
37 nanocarrier,¹⁶⁵ and additional field studies are needed to make a convincing case for investments
38 leading to commercialization of nanocarrier formulations.
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54 *5.3. Environmental and biological implications*

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3 The use of agrochemicals has spurred concerns over potential hazards associated with
4 their application, e.g. cytotoxicity against nontarget species or ecotoxicity. Therefore, many
5 studies on the development of nanocarriers have also investigated whether nano-formulations
6 would exacerbate the cytotoxicity, phytotoxicity, or ecotoxicity compared to traditional
7 formulations, or whether these side effects will be mitigated.
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15 Cytotoxicity can be triggered upon penetration of cell membranes and leakage of
16 important intracellular components and generation of reactive oxygen species (ROS), which
17 eventually leads to oxidative stress, cell inflammation, and damage to intracellular components
18 like mitochondria, protein, and DNA.¹⁶⁶ While cytotoxicity of polymeric nanoparticles has been
19 reported, e.g. for smaller nanoparticles higher surface area and bioavailability¹⁶⁷ or PLGA-PEG
20 nanoparticles with needle-shaped morphologies that could disrupt the lipid bilayer membrane,¹⁶⁸
21 polymeric nanoparticles typically have low cytotoxicity and furthermore, polymeric nanocarriers
22 are often reported to minimize the cytotoxicity of agrochemicals and antibiotics (Table 3), hence
23 providing a substantial benefit in improving not only the efficiency of the active ingredient but
24 also improving their safe use.
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38 Several studies have also demonstrated benefits of polymeric nanocarriers to reduce the
39 toxicity of synthetic pesticides toward nontarget crop species (e.g., *Zea mays* or *Phaseolus*
40 *vulgaris*)^{23, 45, 53, 111, 131} or environmental test organisms such as *C. elegans*, *Allium cepa*, and
41 *Pseudokirchneriella subcapitata* (algae).^{41, 43, 169, 170} For applications in complex matrices, effects
42 of nano-formulations on the microbiome are also of interest, given the key role of the microbial
43 community in carbon and nutrient cycling in soils or the utilization of food and regulation of
44 gastrointestinal diseases for oral drug delivery in animal health applications.¹⁷¹ Nano-microbiota
45 interactions have been studied for metal and metal oxide nanoparticles such as silver
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3 nanoparticles^{172, 173} or zinc oxide (ZnO), cerium oxide (CeO₂), and titanium dioxide (TiO₂)
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5 nanoparticles,¹⁷⁴ where the nanoparticles did not significantly impact the microbiome
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7 composition. However, new studies may be required for polymeric nanocarriers, particularly
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9 those carrying active ingredients with known microbial activity, e.g. antibiotics. In such cases,
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11 the use of a nanoformulation compared to traditional formulations may change the nano-
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13 microbiota interaction due to the changes in the site of the gastrointestinal tract in which the
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15 antibiotics are delivered, and hence differences in the types of gut microbiota impacted.¹⁷⁵ In
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17 soils, recent work conducted by Maruyama et al.¹⁶⁹ showed a slight change in the soil
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19 microbiome when chitosan/tripolyphosphate nanoparticles loaded with imazapic and imazapyr
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21 herbicides were applied,¹⁶⁹ where the ratios of nitrogen-fixing bacteria may be reduced and
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23 denitrifying bacteria may increase. Pascoli et al. reported that the application of neem oil-loaded
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25 zein nanoparticles as pesticides did not significantly change the relative number of genes
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27 associated with nitrogen-fixing or denitrifying bacteria after 30 d.¹⁷⁰
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33 The currently available studies generally suggest that short-term environmental hazards
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35 posed by polymeric nanocarriers can be minimal or even alleviated relative to untrapped or
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37 commercial formulations of active ingredients. Some commonly used polymers such as
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39 PLGA/PLA are FDA-approved for human drug delivery and expected to pose minimal
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41 environmental risk. However, studies are needed to evaluate the rate of polymer degradation in
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43 agricultural applications, the recalcitrance and accumulation of the polymer and any additives or
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45 byproducts, and potential toxicity of degradation products. For example, PVA (often used as a
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47 surfactant) has been reported to have limited degradation only by specific microorganisms
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49 despite being considered “biodegradable,” and hence its longevity in soils is unknown.¹⁷⁶ To our
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3 knowledge, long-term soil studies of polymeric nanocarriers have not been conducted thus far to
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5 evaluate the consequences of repeated applications over longer durations.
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Table 3. Potential benefits of polymeric nanocarriers for agricultural applications

| Purpose | Polymer (Nanoparticle diameter in parentheses) | Active Ingredient (A.I.) | Target Species | Activity Against Target Species | Representative Concentration | | Cytotoxic, Phytotoxic, or Ecotoxicological Effects | Ref |
|--------------------------|---|--|---------------------------------|---|---------------------------------|---|--|-----|
| | | | | | Free A.I. | NP A.I. | | |
| Plant growth hormones | γ -Polyglutamic acid/chitosan (134 nm by DLS) | Gibberellic acid | <i>Phaseolus vulgaris</i> | Enhanced germination and development compared to untrapped A.I. | | * 0.7 and 2.1 $\mu\text{g/g}$ of seeds | Not evaluated | 177 |
| | Alginate/chitosan (450 nm by DLS); chitosan/tripolypho sphate (195 nm by DLS) | Gibberellic acid | <i>Phaseolus vulgaris</i> | Increased leaf area only for alginate/chitosan nanoparticles compared to untrapped A.I.; shoot and root growth similar | | * 0.037% and 0.05% | Not evaluated | 42 |
| | Alginate/chitosan (450 nm by DLS); chitosan/tripolypho sphate (195 nm by DLS) | Gibberellic acid | <i>Solanum lycopersicum</i> | Enhanced root/shoot growth and fruit production compared to untrapped A.I., particularly for the alginate/chitosan nanoparticles | | * 0.0005 to 0.005 mg/ml | Not evaluated | 165 |
| Herbicide | Alginate/chitosan (378 nm by DLS) and chitosan/tripolypho sphate (479 nm by DLS) | Imazapic and imazapyr (co- loaded) | <i>Bidens pilosa</i> | Similar herbicidal activity to the untrapped A.I. (evaluated at 400 g/ha) | | * n/a (no significant difference) | Lower cytotoxicity and genotoxicity to Chinese Hamster Ovary cells and <i>Allium cepa</i> seedlings, compared to untrapped A.I. | 169 |
| | Chitosan/tripolypho sphate (300 nm by DLS) | Paraquat | <i>Brassica</i> sp. | Similar herbicidal activity to the untrapped A.I. (evaluated at 2 kg/ha) | | * n/a (no significant difference) | Less pronounced phytotoxicity to non- target <i>Zea mays</i> plants; lower cytotoxicity and genotoxicity to Chinese Hamster Ovary cells and <i>Allium cepa</i> seedlings, compared to untrapped A.I. | 45 |
| | Chitosan/tripolypho sphate (282 nm by DLS) | Paraquat | n/a | n/a | n/a | n/a | Lower toxicity to <i>Pseudokirchneriella subcapitata</i> (algae) than untrapped A.I. | 43 |
| | Alginate/chitosan (200 to 1000 nm by DLS) | Clomazone | n/a | n/a | n/a | n/a | Similar hepatotoxicity to <i>Lithobates catesbeianus</i> (bullfrog tadpoles) compared to untrapped A.I. | 178 |

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| Lignin (150 to 190 nm by NTA) | Diuron | <i>Brassica rapa</i> | Similar or greater leaf chlorosis and mortality compared to untrapped A.I.; similar efficiency to commercial formulation | | * 2.5 mg/pot compared to untrapped A.I. | Not evaluated | ¹⁹ |
| Pectin nanocapsules (164 nm by DLS) | Metsulfuron methyl | <i>Chenopodium album</i> in wheat crop (<i>T. aestivum</i>) | Reduced weed biomass compared to commercial formulation | | * 50 mg/L (with 6.3% herbicide loading); total dose not reported | Lower cytotoxicity to Vero cell lines, compared to commercial formulation | ²⁰ |
| PCL nanocapsules (241 nm by DLS) | Atrazine | <i>Brassica juncea</i> | Similar reduction in shoot growth compared to commercial formulation (evaluated at 0.1 and 1 mg/mL) | | * n/a (no significant difference) | Not evaluated | ¹⁴⁵ |
| PCL nanocapsules (483 nm by DLS) and nanospheres (409 nm by DLS) | Atrazine | <i>Brassica</i> sp. | Greater inhibition of seedling emergence by nanocapsules and nanospheres compared to untrapped A.I. | | * 2.5 kg/ha | No effect on non-target crops (<i>Zea mays</i>); Reduced genotoxicity to <i>Allium cepa</i> at some concentrations | ³⁷ |
| PCL nanocapsules (size not reported) | Atrazine | <i>Bidens pilosa</i> | Higher mortality of weeds at lower dose compared to commercial formulation | | * 200 g/ha | Higher short-term (17 d) toxicity to non-target <i>Glycine max</i> (soybean) plants, but gradual recovery over 60 d | ¹⁷⁹ |
| PCL nanocapsules (260 nm by DLS) | Atrazine | <i>Amaranthus viridis</i> and <i>Bidens pilosa</i> | Inhibition of root and shoot growth at lower dose compared to commercial formulation | | * 200 and 2000 g/ha | Not evaluated | ¹⁸⁰ |
| PCL nanocapsules (size not reported) | Atrazine | n/a | n/a | n/a | n/a | No effect of atrazine (commercial or nanocapsule) to <i>Zea mays</i> L. at 0.1 mg/mL; reduction in photosynthesis for 1 to 2 days with nanocapsule at 1 mg/mL but recovery by 4 days after application | ¹⁸¹ |
| PCL nanocapsules (260 nm by DLS) | Ametryn, atrazine, and simazine | n/a | n/a | n/a | n/a | Reduced DNA damage in Comet assay, reduced genotoxicity to <i>Allium cepa</i> compared | ⁴¹ |

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|---------------------------------|--|---|--|--|---------------|--|---|----------------|
| | PCL nanocapsules (200 to 300 nm by DLS) | Ametryn, or atrazine | n/a | n/a | n/a | n/a | to untrapped A.I. Lower toxicity to algae, higher toxicity to <i>Daphnia similis</i> , and lower cytotoxicity to lymphocytes than untrapped A.I. | ³⁹ |
| | PCL nanocapsules, chitosan/tripolyphosphate, and SLNs (\approx 250 to 370 nm) | Atrazine, simazine, and/or paraquat | n/a | n/a | n/a | n/a | Higher toxicity to <i>C. elegans</i> for both empty and loaded nanocarriers compared to untrapped A.I. | ¹⁸² |
| | mPEG-PLGA (\approx 90 nm by DLS) | Metolachlor | <i>Oryza sativa</i> , <i>Digitaria sanguinalis</i> , <i>Arabidopsis thaliana</i> | Inhibited seedling growth (untrapped A.I. was not evaluated) | Not evaluated | * 0.1 mg/L | Lower cytotoxicity to MC3T3 preosteoblast cells than untrapped A.I. | ¹⁸³ |
| Insecticide or Insect Repellent | Alginate (150 nm by DLS) | Imidacloprid | Leafhoppers | Lesser efficacy in reducing pest population over short duration (7 d), but improved efficacy at longer durations (9 to 15 d), compared to commercial formulation | | * 0.145 mg/L (0.02 mg/m ² total dose) | Lower cytotoxicity to Vero cell lines than commercial formulation | ¹⁴² |
| | Carboxymethyl chitosan nanocapsules with aqueous core (90 to 99 nm by DLS) | Methomyl | Armyworm larvae | Higher larvicidal activity compared to the untrapped A.I. | | * 50 and 100 mg/L in spray | Not evaluated | ⁵⁰ |
| | Chitosan with β -cyclodextrin functionalization (175 to 246 nm by DLS) | Carvacrol or linalool (separately loaded) | <i>Tetranychus urticae</i> | Higher repellency, and higher acaricidal activity and hindrance of oviposition, compared to the untrapped A.I. | | * 1.56 mg/cm ² of leaf area | Not evaluated | ²⁷ |
| | Chitosan/gum arabic with β -cyclodextrin functionalization (226 nm by DLS) | Carvacrol and linalool (co-loaded) | <i>Helicoverpa armigera</i> , <i>Tetranychus urticae</i> | Higher insecticidal activity, and higher acaricidal activity and hindrance of oviposition for <i>T. urticae</i> , compared to the untrapped A.I. | | * 1.25 mg/ml | Lower cytotoxicity to pulmonary (v79) and mouse fibroblast (Balb C-33) cell lines, and lower phytotoxicity to <i>Zea mays</i> , than untrapped A.I. | ¹¹¹ |
| | Polyacrylate (\approx 80 nm by DLS) | Emamectin benzoate | <i>Helicoverpa armigera</i> | Improved efficacy for larva mortality over 72 h compared to untrapped A.I. | | * 1% | Not evaluated | ¹³⁹ |
| | PCL (450 to 465) | Essential oils | <i>Bemisia tabaci</i> | Reduction in eggs and | Not | * 1% | Not evaluated | ³⁸ |

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|--|--|---------------------------|----------------------------|--|---|--|--|-----|
| | nm by DLS) | | | nymphs compared to Pyriproxyfen 1% insecticide (unentrapped essential oils not evaluated) | evaluated | | | |
| | PEG (\approx 230 nm by DLS) | Garlic oil | <i>Tribolium castaneum</i> | Improved insecticidal activity over 5 month duration compared to unentrapped A.I. | | * 640 mg/kg of rice for 5 months | Not evaluated | 144 |
| | PEG copolymer (initial size 10 to 20 nm by TEM, followed by formation of microcapsules) | Imidacloprid | <i>Glyphodes pyloalis</i> | Higher efficiency for larva mortality compared to unentrapped A.I., especially over longer durations (2 to 5 d) | ** Time- and assay-dependent (e.g. 60 mg/L at 5 d) | ** Time- and assay-dependent (e.g. 7 mg/L at 5 d) | Not evaluated | 143 |
| | PEG-PLA (150 nm by DLS) | λ -Cyhalothrin | <i>Aphis craccivora</i> | Similar aphid mortality compared to commercial emulsion or microemulsion | ** 0.27 mg/L | ** 0.26 mg/L | Not evaluated | 25 |
| | Unknown polymer (commercial formulation separated into \approx 250 nm and \approx 2200 nm fractions) | λ -Cyhalothrin | n/a | n/a | n/a | n/a | Lesser tremors in embryonic <i>Danio rerio</i> for unentrapped A.I. compared to all polymeric formulations; otherwise similar sublethal impacts and mortality for all A.I. exposures | 184 |
| | Poly(styrene-co-methacrylic acid) – polycatechol (102 to 122 nm by DLS) | Avermectin | Aphids | Improved efficiency with adhesive polycatechol functionalization compared to commercial emulsification and water-dispersible granule formulations; nanoformulations without polycatechol showed similar or lower efficiency than commercial formulations | ** 10.1 to 12.4 mg/L on cucumber; 124.6 to 150.3 mg/L on broccoli for commercial formulations | ** 4.3 mg/L on cucumber; 55.4 mg/L on broccoli for catechol-functionalized NPs | Not evaluated | 134 |
| | Zein (143 to 172 nm by DLS) | Geraniol or R-citronellal | <i>Tetranychus urticae</i> | Better insect repellent activity for geraniol nanoformulation compared to unentrapped A.I. at shorter times (e.g. 8 h and 24 h) | | * 0.5 and 5 mg/ml | Similar or lower cytotoxicity and phytotoxicity to pulmonary fibroblast permanent cell line (v79) and fibroblast cell line (3T3) and <i>Phaseolus vulgaris</i> , | 131 |

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| | | | | | | | respectively, than untrapped A.I. | |
| | Zein (234 to 282 nm by DLS) | Cinnamaldehyde, eugenol, or geraniol | <i>Tetranychus urticae</i> , <i>Chrysodeixis includes</i> | Lesser insect repellency to <i>T. urticae</i> at short time (2 h) compared to untrapped A.I., but improved repellency after longer times because of sustained release; lower mortality and sublethal effects to <i>C. includes</i> | | * 5 mg/ml | Lower cytotoxicity to pulmonary fibroblast permanent cell line (v79) and fibroblast cell line (3T3) than untrapped A.I. | 132 |
| | Zein (288 nm by DLS) | Neem oil | n/a | n/a | n/a | n/a | Lower chromosomal damage to <i>Allium cepa</i> and lower toxicity to <i>C. elegans</i> than commercial formulation; no significant long-term effect on soil bacterial community for N cycling | 170 |
| Fungicide | Chitosan/tripolyphosphate (100 nm by DLS) | Hexaconazole | <i>Rhizoctonia solani</i> | Better antifungal activity at moderate concentration compared to commercial formulation | | * 1 mg/L | Similar or lower cytotoxicity to Vero cell lines than commercial formulation | 7 |
| | Chitosan/pectin (129 nm by DLS) | Carbendazim | <i>Aspergillus parasiticus</i> , <i>Fusarium oxysporum</i> | Better antifungal activity compared to both untrapped A.I. and commercial formulation | | * 0.5 mg/L | Lower phytotoxicity to <i>Zea mays</i> , <i>Cannabis sativa</i> , and <i>Lycopersicon esculentum</i> than untrapped A.I.; no bacterial inhibition against <i>E. coli</i> or <i>S. aureus</i> for both nano- and untrapped AI. | 23 |
| | PCL nanocapsules; SLNs (479 to 472 nm by DLS) | Carbendazim and tebuconazole (co-loaded) | n/a | Not evaluated | n/a | n/a | Lower phytotoxicity to <i>Phaseolus vulgaris</i> for PCL nanocapsules than for SLNs or commercial formulation; cytotoxicity can be lower or higher than commercial | 53 |

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| | | | | | | | formulation, depending on cell line (3T3, MC3T3, or HeLa) | |
| Antibiotic | O-carboxymethyl chitosan (200 nm by DLS) | Tetracycline | <i>Staphylococcus aureus</i> | Higher survival of <i>S. aureus</i> -infected THP-1 and HEK-293 cells <i>in vitro</i> , compared to untrapped A.I., but similar MIC for <i>S. aureus</i> in broth culture | *** 0.2 to 0.4 mg/L | *** 0.3 to 0.6 mg/L | No significant cytotoxicity to NIH-3T3, L-929 and HEK-293 epithelial cell lines or THP-1 monocytic cells | ¹⁸⁵ |
| | Chitosan/tripolyphosphate (\approx 20 to 50 nm by SEM) | Cefazolin | Multi drug resistant <i>Klebsiella pneumoniae</i> , <i>Pseudomonas aeruginosa</i> & Extended Spectrum Beta Lactamase (ESBL) positive <i>Escherichia coli</i> | Improved inhibition <i>in vitro</i> compared to untrapped A.I. | **** n/a (no zone of inhibition observed) | **** 200 μ g/mL for all species | Not evaluated | ¹⁶³ |
| | Chitosan/tripolyphosphate (220 nm) | Ceftriaxone | Ceftriaxone-resistant strains of <i>Escherichia coli</i> and methicillin-resistant <i>Staphylococcus aureus</i> (MRSA) | Improved antibacterial efficacy compared to untrapped A.I. <i>in vitro</i> and <i>in vivo</i> (neutropenic mouse thigh model) | **** n/a (no zone of inhibition observed) | **** 0.1 mg/mL for both species | > 80% viability of MCF-7 cells | ¹⁶⁴ |
| | Chitosan/tripolyphosphate (\approx 200 to 220 nm by DLS) | Ceftriaxone | <i>Salmonella typhimurium</i> | Improved antibacterial efficacy to <i>S. typhimurium</i> -infected Caco-2 and J774.2 cells compared to untrapped A.I. | | * 50 μ g/mL | Reduced hemolysis compared to untrapped A.I. | ¹⁵⁸ |
| | Chondroitin sulfate (CS)/chitosan; Dextran sulfate (DS)/chitosan (180 nm by DLS) | Chloramphenicol | <i>Salmonella Paratyphi A</i> | Lower antibacterial activity <i>in vitro</i> than untrapped A.I., but improved intracellular efficacy for DS nanoformulation in RAW 264.7 macrophage cells and <i>ex vivo</i> efficacy in chicken intestine model | *** 3 μ g/mL; | *** 120 μ g/mL and 80 μ g/mL for CS and DS, respectively; * 4 \times MIC used in <i>ex vivo</i> tests | Minimal hemolysis and cytotoxicity to IEC-6, VERO, and NIH-3T3 cell lines | ¹⁵⁹ |
| | Polyacrylate (25 to 40 nm by DLS) | Penicillin | <i>Staphylococcus aureus</i> & | Antibacterial activity maintained against <i>S. aureus</i> | *** 0.012 μ g/mL for | *** 2 μ g/mL for <i>S. aureus</i> | No significant cytotoxicity to human | ¹⁶² |

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| | | | Methicillin-susceptible and methicillin-resistant <i>Staphylococcus aureus</i> (MSSA and MRSA, respectively) | and MRSA | <i>S. aureus</i> and 16 µg/mL for MRSA | and 2 µg/mL for MRSA | dermal fibroblast cells | |
| | PLGA (130 to 353 nm by DLS) | Ciprofloxacin | <i>Escherichia coli</i> | Similar or slightly lower antibacterial activity <i>in vitro</i> against <i>E. coli</i> than untrapped A.I.; significantly improved activity in <i>in vivo</i> model (dialysis tubing) because of reduced drug washout | *** 0.05 µg/mL | *** 0.05 µg/mL; * 25 mg/kg for <i>in vivo</i> test | Not evaluated | 186 |
| | PLGA (300 nm by DLS) | Ciprofloxacin | <i>Staphylococcus aureus</i> & <i>Pseudomonas aeruginosa</i> | Similar efficacy of single dose of nanoformulation to repeated doses of untrapped A.I. over 6 d because of sustained release | *** 0.5 µg/mL for <i>S. aureus</i> and 0.25 µg/mL for <i>P. aeruginosa</i> | *** 0.5 µg/mL for <i>S. aureus</i> and 0.125 µg/mL for <i>P. aeruginosa</i> | Not evaluated | 161 |
| | PLGA (102 nm by DLS) | Enrofloxacin | <i>Escherichia coli</i> & <i>Staphylococcus aureus</i> | Similar or slightly lower antibacterial activity <i>in vitro</i> than untrapped A.I. | *** 0.031 mg/L for <i>E. coli</i> and 0.083 mg/L for <i>S. aureus</i> | *** 0.024 mg/L for <i>E. coli</i> and 0.128 mg/L for <i>S. aureus</i> | Significantly reduced cytotoxicity to IPEC-J2 cells | 187 |
| | PLGA (289 to 299 nm by DLS) | Gentamicin (modified with anionic surfactant) | <i>Brucella melitensis</i> | Improved inhibition in <i>in vitro</i> macrophage infection test and significantly better reduction of infection in mice, compared to untrapped A.I. | | * 1 mg/L for <i>in vitro</i> macrophage test and 100 µg/mouse for <i>in vivo</i> test | No observed toxicity to mice | 188 |
| | PLGA (240 to 360 nm by DLS) | Gentamicin | <i>Pseudomonas aeruginosa</i> | Poorer efficiency <i>in vitro</i> , but improved efficiency at extended duration against biofilms (36 h) and <i>in vivo</i> (96 h), relative to untrapped A.I. | *** 1.5 µg/mL | *** 3 µg/mL; * 0.08 mg/mL for 36 h biofilm test and 0.4 mg/kg dose for mouse studies | Not evaluated | 160 |

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| | PLGA (230 nm by DLS) | Rifampicin | Methicillin-resistant <i>Staphylococcus aureus</i> (MRSA), <i>Bacillus subtilis</i> , <i>Pseudomonas aeruginosa</i> , <i>Escherichia coli</i> | Improved antibacterial activity against MRSA and similar activity against <i>B. subtilis</i> compared to untrapped A.I.; no improved activity against <i>P. aeruginosa</i> or <i>E. coli</i> | *** 0.008 µg/mL for <i>S. aureus</i> , 0.06 µg/mL for <i>B. subtilis</i> | *** 0.002 µg/mL for <i>S. aureus</i> , 0.06 µg/mL for <i>B. subtilis</i> | Not evaluated | 189 |
| | PLGA (243 nm by DLS); mPEG-PLGA (150 nm by DLS) | Ofloxacin | <i>Escherichia coli</i> , <i>Proteus vulgaris</i> , <i>Salmonella typhimurium</i> , <i>Pseudomonas aeruginosa</i> , <i>Klebsiella pneumoniae</i> , <i>Staphylococcus aureus</i> , <i>Bacillus subtilis</i> | Improved bacterial uptake and antibacterial activity compared to untrapped A.I.; inhibition of antibiotic resistance development in <i>B. subtilis</i> | **** 25 µg per agar plate – smaller zone of inhibition (19.2 mm) with growth of resistant colonies by 60 h | **** 25 µg per agar plate – larger zone of inhibition (22.8 mm) with no growth of resistant colonies by 60 h | Not evaluated | 190 |
| | PLGA: PCL (80:20) (230 to 360 nm by DLS) | Doxycycline | <i>Escherichia coli</i> (DH5α) | Improved antibacterial efficiency compared to untrapped A.I. | *** 6 mg/L | *** 4 mg/L | Not evaluated | 191 |
| | Zein (500 to 2000 nm) | Ciprofloxacin | <i>Escherichia coli</i> , <i>Staphylococcus aureus</i> | Lower bacterial adhesion compared to empty zein particles or glass surface; continuous and slow release of drug to inhibit bacterial growth over 6 d | Not evaluated | Not measured (particle film was deposited for evaluation) | Not evaluated | 127 |

Notes: A.I.: active ingredient; PCL: poly(ϵ -caprolactone); (m)PEG: (methoxy)poly(ethylene glycol); PLA: poly(lactic acid); PLGA: poly(lactic-co-glycolic acid); SLNs: solid lipid nanoparticles

* Indicates the concentration where a significantly improved effect was reported relative to the untrapped A.I. or commercial formulation

** Indicates the lethal concentration to achieve 50% mortality (LC₅₀) of the A.I.

*** Indicates the minimum inhibitory concentration (MIC) of the A.I.

**** Indicates the A.I. concentration resulting in a measurable zone of inhibition

6. Challenges and Opportunities for Future Research

This review has demonstrated the potential environmental benefits of polymeric nanocarriers in agricultural applications, as well as many examples thus far of the successful synthesis of these materials and methods to characterize these materials in order to understand their behavior and effectiveness for the desired application. As shown in the literature, the function of the polymeric carrier to provide targeting or enhanced uptake, protect the active ingredient until it is delivered to its target, and slowly release the active ingredient over extended durations can be key to the improved efficiency of these nanomaterials compared to traditional formulations.

Based on the current literature, several major challenges and research questions can be identified to develop polymeric nanocarriers with optimal effectiveness. First, while extended release is one of the main benefits of nano-formulations, a more quantitative or systematic consideration of extended release has yet to be achieved. For example, a better consensus or practical guidance on the duration of release that would be desirable for various applications (e.g. crop protection, antibiotic delivery, etc.) will be critical for researchers to develop materials with appropriate release profiles. Alternatively, studies that specifically evaluate or report the dose and duration at which a single application of slow release nano-formulation is equivalent to repeated applications of non-nano-formulations will be useful to better quantify the benefits of using nano-formulations over current practices. Life-cycle analyses (LCA) have been proposed¹⁹² and can incorporate information when available on the tradeoff between upstream resource costs to produce the nano-formulations and benefits of reducing the overall amount of active ingredients needed or improving agricultural yield. However, the potential ecological and safety benefits of nano-formulations conferred through the reduction in cytotoxicity or

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3 ecotoxicity of the active ingredient or reduced proliferation of antibiotic resistant organisms
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5 should also be considered and will be difficult to incorporate in LCA approaches.
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8 Quantitative structure-function relationships to predict biological responses of polymeric
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10 nanocarriers from their physicochemical properties and other key phenomena such as release, or
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12 degradation rate are also needed. Prior studies have postulated that enhanced efficiency of the
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14 nanocarriers is tied to their slow release, targeting, and protective capabilities of the active
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16 ingredient. Hence, new models that correlate spatial distribution or temporal release profiles of
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18 the nanocarrier and active ingredient to the biological effects (e.g. pesticide or antibiotic
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20 efficiency) are expected to be extremely useful to understand how to better design the
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22 nanocarriers. However, gathering experimental data to parameterize these models is non-trivial
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24 because of the variety of tools needed to comprehensively characterize polymeric nanocarriers,
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26 as well as a lack of satisfactory methods to directly measure the localization of the nanocarriers
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28 and release of their active ingredients *in vivo* or in the field. Machine learning represents an
29
30 alternative “black-box” approach to correlate nanocarrier properties to biological endpoints.
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32 However, as discussed in a review by Jones et al. for biomedical effects of drug delivery
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34 nanoparticles,¹⁹³ machine learning approaches are currently challenged by limitations in the
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36 quantity and completeness of data relative to the high number of potential predictive parameters,
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38 as well as an imbalance in the types of nanocarriers (e.g., PLGA) with available data. Hence,
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40 these is a higher risk for the models to be overfitted or biased toward the samples in the training
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42 data, which would result in poorer predictive capability for other nanocarriers.
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49 Finally, once a design goal has been defined based on properties of the nanocarriers
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51 needed to achieve the desired efficiency of the active ingredient, synthesis of nanomaterials that
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53 meet the design goal may be non-trivial. Again, a major challenge is presented by the large
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3 number of experimental factors that contribute to the nanoparticle properties, including size,
4 structure (e.g. phase and solvency), and loading capacity, as well as the release behavior (rate
5 and mechanism) of the active ingredient from the nanoparticle. Optimization of the synthesis can
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8 successfully be conducted on an individual basis for each polymer and active ingredient type, as
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11 in factorial design studies,^{20, 21, 26} but this approach requires significant time and effort. Predictive
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14 approaches have been proposed: either first principles approaches to predict particle properties
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17 and release rates from thermodynamic models³³⁻³⁵ and molecular dynamics simulations,¹⁹⁴⁻¹⁹⁷ or
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20 machine learning approaches to develop correlations from existing data sets.^{194, 198-201} In both
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23 cases, studies have been limited to either modeling a limited number of polymers for several
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26 types of active ingredients, or vice versa. Experimental validation studies are needed to evaluate
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29 whether the proposed first principles tools can be applied a broader set of combinations of
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32 material types and experimental conditions. Machine learning approaches also require larger data
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35 sets with thorough characterization, as discussed above. Therefore, it is currently unknown
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38 whether any single tool will successfully predict the synthesis materials and conditions that are
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41 most likely to provide a favorable outcome across a broad variety of polymers and active
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44 ingredients. Furthermore, the limited accessibility of predictive modeling tools to
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47 experimentalists hinders progress toward validation against new experimental data, updating the
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50 tools to incorporate new data, or application of the tools to test their capabilities for design of
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53 new nanocarriers with a desired set of properties.

47 Considering the integrated nature of these challenges, the development of polymeric
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50 nanocarriers presents a great opportunity for multi-disciplinary collaborations between synthetic
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53 and analytical chemists, environmental engineers and microbiologists, and agricultural scientists
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56 and engineers. Such collaborations will advance our understanding of how environmental
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3 nanotechnology can enhance the portfolio of technologies for agricultural applications and spur
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5 the development of new materials and predictive tools to achieve the maximum benefit from
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7 these technologies.
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9

10 11 12 **Acknowledgements** 13

14 The authors acknowledge A. Hakimian for contributions to draft figures. This work was
15 supported by the USDA National Institute of Food and Agriculture (NIFA) under AFRI Grant
16
17 No. 2018-67022-27969 (Project No. 2017-07878), the National Science Foundation under NSF
18
19 EPSCoR Track 2 RII, OIA 1632854, the USDA NIFA (Hatch Project # 1008750), and the Welch
20
21 Foundation under Grant No. E-2011-20190330. Thanks also go to the Louisiana Soybean and
22
23 Grain Research Board and the University of Houston Grants to Enhance and Advance Research
24
25 (GEAR) Award for funding this research.
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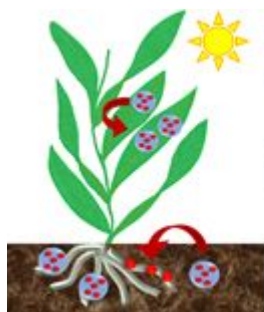
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Table of Contents Entry



Polymeric Nanocarriers

- Targeted/Extended Release
- Enhanced Adhesion
- Stabilization of Active Ingredients

This review discusses polymeric nanocarriers for agrochemical delivery, from synthesis, characterization, and release, to benefits for agrochemical efficiency and sustainability.