

UNITED STATES PATENT APPLICATION

5 **OF: Yelena G. Tropsha, Christopher J. Knors**
 Susan L. Burkett and Bryan Soo Wong

FOR: BLOOD COLLECTION TUBE ASSEMBLY

10 **BACKGROUND OF THE INVENTION**

1. Field of the Invention

15 This invention relates to a multi-layer barrier coating for
 providing an effective barrier against gas and water permeability for
 containers, especially plastic blood collection tubes.

2. Description of the Related Art

20 With the increased emphasis on the use of plastic medical
 products, a special need exists for improving the barrier properties of
 articles made of polymers.

25 Such medical products that would derive a considerable benefit
 from improving their barrier properties include, but are not limited to,
 collection tubes and particularly those used for blood collection.

30 Blood collection tubes require certain performance standards to
 be acceptable for use in medical applications. Such performance
 standards include the ability to maintain greater than about 90%
 original draw volume over a one year period, to be radiation
 sterilizable and to be non-interfering in tests and analysis.

This Sheet Has Been Replaced



THIS SHEET HAS BEEN
REPLACED

Therefore, a need exists to improve the barrier properties of articles made of polymers and in particular plastic evacuated blood collection tubes wherein certain performance standards would be met and the article would be effective and usable in medical applications.

5

SUMMARY OF THE INVENTION

The present invention is a plastic composite container with a multi-layer barrier coating comprising at least two barrier materials disposed over the outer or inner surface of the previously formed composite container. Desirably, the barrier materials comprise a first layer of a polymeric material applied to the outer surface of the previously formed composite container, a second layer of a metal oxide applied over the first layer and a third layer of an inorganic oxide applied over the second layer.

10
15

The first layer, a primer coating, is preferably a highly cross linked acrylate polymer. The coating may be formed either on an interior surface portion, on an exterior surface portion, or both of the container.

20

The second layer of the barrier coating may preferably be a metal oxide chosen from metals of Group IVA, or a mixture of the oxide and the metal.

25

The third layer of the barrier coating may preferably be a silicon oxide based composition, such as SiO_x wherein x is from 1.0 to about 2.5; or an aluminium oxide based composition. Most preferably, the third layer is a silicon oxide based composition applied over the second layer.

30

Preferably, the primer coating is a blend of monoacrylate (i.e., isobornyl acrylate) and diacrylate monomers (i.e., an epoxy diacrylate or a urethane diacrylate) as described in U.S. Patent Nos. 4,490,774,



4,696,719, 4,647,818, 4,842,893, 4,954,371 and 5,032,461, the disclosures of which are herein incorporated by reference. The primer coating is cured by an electron beam or by a source of ultraviolet radiation.

5

Desirably, the first layer is formed of a substantially cross linked component selected from the group consisting of polyacrylates and mixtures of polyacrylates and monacrylates having an average molecular weight of between 150 and 1,000 and a vapor pressure in the range of 1×10^{-6} to 1×10^{-1} Torr at standard temperature and pressure. Most preferably, the material is a diacrylate.

10

Preferably, the thickness of the acrylate primer coating is about .1 to about 10 microns and most preferably from about .1 to about 5 microns.

15

A desirable second layer which is disposed over the first layer preferably comprises a metal oxide such as SnO_x , GeO_x or PbO_x . Such a film desirably is deposited by means of plasma polymerization of a mixture comprising tetramethyltin and oxygen in a magnetically enhanced audio frequency capacitively coupled discharge chamber.

20

Preferably, the thickness of the metal oxide is about 50Å to about 250Å and most preferably from about 75 to about 200Å.

25

A desirable third layer which is disposed over the second layer preferably comprises an oxide based composition such as silicon or aluminum oxide. Such a film desirably is derived from volatile organosilicon or organoaluminum compounds.

30

The silicon or aluminum oxide based composition provides a dense, vapor-impervious coating over the second layer. Preferably, the thickness of the silicon or aluminum oxide based layer is about 500 to about 2,500 Angstroms (Å) and most preferably where the thickness of



the third layer is three to five times the thickness of the second layer. A coating above 5,000 Å may crack and therefore be ineffective as a barrier.

5 Optionally, a desirable fourth layer which is disposed over the third layer preferably comprises vinylidene chloride - methyl methacrylate - methacrylate acrylic acid polymer (PVDC), thermosetting epoxy coatings, parylene polymers or polyesters.

10 Preferably, the thickness of the PVDC layer is about 2 to about 15 microns and most preferably from about 3 to about 5 microns.

 The process for applying the primer coating to a container is preferably carried out in a vacuum chamber wherein a curable
15 monomer component is metered to a heated vaporizer system where the material is atomized, vaporized and condensed on the surface of the container. Following deposit of the monomer onto the surface of the container, it is cured by suitable means such as electron beam curing. The deposition and curing steps may be repeated until the desired
20 number of layers has been achieved.

 A method for depositing a second layer of a barrier based film is as follows: (a) pretreating the first layer on the container with a first oxygen plasma; (b) controllably flowing a gas stream including an
25 organotin and oxygen or oxidizing gas compound into a plasma; and (c) depositing an oxide onto the first layer while maintaining a pressure of less than about 500 mTorr during the depositing.

 A method for depositing a third barrier based film is as follows:
30 (a) pretreating the second layer on the container with a first plasma coating of oxygen; (b) controllably flowing a gas stream including an organosilicon compound and oxygen or oxidizing gas into a plasma; and (c) depositing an oxide onto the second layer while maintaining a pressure of less than about 500 mTorr during the depositing.



Although the pretreatment step is optional, it is believed that the pretreatment step provides for improved adherence qualities between the layers.

5

The organotin and organosilicon compounds may be combined with oxygen and optionally helium or another inert gas such as argon or nitrogen.

10 Most preferably, the method for depositing a barrier coating on a substrate, such as a plastic collection tube comprises the following steps:

- 15 (a) selecting a curable component comprising: (i) polyfunctional acrylates, or (ii) mixtures of monoacrylates and polyfunctional acrylates;
- (b) flash vaporizing said component into said chamber;
- (c) condensing a first layer of a film of vaporized component onto the outer surface of said container;
- 20 (d) curing said film;
- (e) applying a plasma surface treatment of oxygen on the film;
- (f) vaporizing an organotin component and admixing the volatilized organotin component with an oxidizer component and optionally an inert gas component to form
- 25 a gas stream exterior to the chamber;
- (g) establishing a glow discharge plasma in the chamber from one or more of the gas stream components;
- (h) controllably flowing the gas stream into the plasma while
- 30 confining at least a portion of the plasma therein;
- (i) depositing a second layer of a tin oxide adjacent said first layer;
- (j) applying an oxygen surface treatment to the second layer;



- (k) vaporizing an organosilicon component and admixing the volatilized organosilicon component with an oxidizer component and optionally an inert gas component to form a gas stream exterior to the chamber;
- 5 (l) establishing a glow discharge plasma in the chamber from one or more of the gas stream components;
- (m) controllably flowing the gas stream into the plasma while confining at least a portion of the plasma therein; and
- 10 (n) depositing a third layer of silicon oxide adjacent said second layer.

Optionally, primer or planarization layers may be interposed between the plastic substrate and the first oxide layer, oxygen plasma treatment of the first oxide layer prior to the deposition of the second layer and use of other barrier enhancing layers on the discrete metal oxide layer.

15

Plastic tubes coated with the multi-layer barrier coating and an overcoating layer are able to maintain substantially far better vacuum retention, draw volume and thermomechanical integrity retention than previous tubes comprised of polymer compositions and blends thereof without a coating of barrier materials or of tubes comprising only an oxide coating. In addition, the tube's resistance to impact is much better than that of glass. Most notably is the clarity of the multi-layer coating and its durability to substantially withstand resistance to impact and abrasion. Another attribute of the discrete oxide coatings is that they are stable as compared to conventional methods of medical sterilization, such as gamma irradiation or ethylene oxide (ETO).

20

25

30 Most preferably, the container of the present invention is a blood collection device. The blood collection device can be either an evacuated blood collection tube or a non-evacuated blood collection tube. The blood collection tube is desirably made of polyethylene



terephthalate, polypropylene, polyethylene naphthalate or copolymers thereof.

Printing may be placed on the multi-layer barrier coating applied to the container of interest. For example, a product identification, bar code, brand name, company logo, lot number, expiration date and other data and information may all be included on the barrier coating. Moreover, a matte finish or a corona discharged surface may be developed on the barrier coating so as to make the surface appropriate for writing additional information on the label. Furthermore, a pressure sensitive adhesive label may be placed over the barrier coating so as to accommodate various hospital over-labels, for example.

Preferably, the multi-layer barrier coating of the present invention provides a transparent or colorless appearance and may have printed matter applied thereon.

A further advantage is that the method of the present invention provides a reduction in the gas permeability of three-dimensional objects that has not been achieved with conventional deposition method typically used with thin films.

It has been found in the present invention that the organic material, acrylate, provides a good platform for the growth of the dense Group IVA oxide barrier material.

It has been found that a highly cross linked layer of acrylate improves the adhesion between a plastic surface and the metal oxide layer and overall improves the thermomechanical stability of the coated system. In addition, acrylate primer coating has a role of a planarization (leveling) layer, covering the particles and imperfections on the surface of a polymer and reducing the defect density in the deposited inorganic coatings. The good bonding properties of the



acrylate are also due to the fact that acrylate is polar and the polarity provides means for good bond formation between the discrete metal oxide and the acrylate. In addition, it has been found that a good bond formation is made between plastic tubes made of polypropylene and acrylate. Thus, the present invention provides the means of substantially improving the barrier properties of polypropylene tubes. The adhesion properties of both the acrylate coating and the oxide coating can be further substantially improved by surface pretreatment methods such as flame or oxygen plasma. Therefore, a significant reduction in permeability of the article is due to the substantially improved metal oxide surface coverage that is obtained by the use of a primer coating of acrylate on the plastic article surface.

A plastic blood collection tube coated with the multi-layer barrier coating of the present invention will not interfere with testing and analysis that is typically performed on blood in a tube. Such tests include but are not limited to, routine chemical analysis, biological inertness, hematology, blood chemistry, blood typing, toxicology analysis or therapeutic drug monitoring and other clinical tests involving body fluids. Furthermore, a plastic blood collection tube coated with the barrier coating is capable of being subjected to automated machinery such as centrifuges and may be exposed to certain levels of radiation in the sterilization process with substantially no change in optical or mechanical and functional properties.

DESCRIPTION OF THE DRAWINGS

FIG. 1 is a perspective view of a typical blood collection tube with a stopper.

FIG. 2 is a longitudinal sectional view of the tube of FIG. 1 taken along line 2-2.

This Sheet Has Been Replaced



THIS SHEET HAS BEEN
REPLACED

FIG. 3 is a longitudinal sectional view of a tube-shaped container similar to the tube of FIG. 1 without a stopper, comprising a multi-layer barrier coating.

5 FIG. 4 is a longitudinal sectional view of a tube-shaped container, similar to the tube of FIG. 1 with a stopper, comprising a multi-layer barrier coating.

10 FIG. 5 is a longitudinal sectional view of a further embodiment of the invention illustrating the tube with a stopper similar to FIG. 1 and with the multi-layer barrier coating encompassing both the tube and stopper thereof.

15 FIG. 6 illustrates an enlarged partially sectioned, diagram of a flash evaporator apparatus.

FIG. 7 illustrates a plasma deposition system.

20 FIG. 8 is a general schematic diagram illustrating the layers being deposited on a substrate.

FIG. 9 ESCA spectra of discrete layers of Group IVA and inorganic oxides.

25 **DETAILED DESCRIPTION**

30 The present invention may be embodied in other specific forms and is not limited to any specific embodiment described in detail which is merely exemplary. Various other modifications will be apparent to and readily made by those skilled in the art without departing from the scope and spirit of the invention. The scope of the invention will be measured by the appended claims and their equivalents.

This Sheet Has Been Replaced



Referring to the drawings in which like reference characters refer to like parts throughout the several views thereof, FIGS. 1 and 2 show a typical blood collection tube 10, having a sidewall 11 extending from an open end 16 to a closed end 18 and a stopper 14 which includes a lower annular portion or skirt 15 which extends into and presses against the inner surface 12 of the sidewall for maintaining stopper 14 in place.

FIG. 2 schematically illustrates that there are three mechanisms for a change in vacuum in a blood collection tube: (A) gas permeation through the stopper material; (B) gas permeation through the tube and (C) leak at the stopper tube interface. Therefore, when there is substantially no gas permeation and no leak, there is good vacuum retention and good draw volume retention.

FIG. 3 shows the preferred embodiment of the invention, a plastic tube coated with at least two layers of barrier materials. The preferred embodiment includes many components which are substantially identical to the components of FIGS. 1 and 2. Accordingly, similar components performing similar functions will be numbered identically to those components of FIGS. 1 and 2, except that a suffix "a" will be used to identify those components in FIG. 3.

Referring now to FIG. 3, the preferred embodiment of the invention, collection tube assembly 20 comprises a plastic tube 10a, having a sidewall 11a extending from an opened end 16a to a closed end 18a. A barrier coating 25 extends over a substantial portion of the outer surface of the tube with the exception of open end 16a. Barrier coating 25 comprises a first layer 26 of a polymer material, such as an acrylate material, a second layer 27 of a Group IVA metal oxide material, a third layer 28 an inorganic material such as a silicon oxide based composition and a fourth layer 29 of an organic overcoating layer such as PVDC.



FIG. 4 illustrates an alternate embodiment of the invention, wherein collection tube assembly 40 comprises stopper 48 in place for closing open end 41 of tube 42. As can be seen, sidewall 43 extends from open end 41 to closed end 44 and stopper 48 includes an annular upper portion 50 which extends over the top edge of tube 42. Stopper 48 includes a lower annular portion or skirt 49 which extends into and presses against the inside inner surface 46 of sidewall 43 for maintaining stopper 48 in place. Also, the stopper has a septum portion 52 for receiving a cannula therethrough.

Thus, the user, once receiving a container such as that shown in FIG. 4 with a sample contained therein, may insert a cannula through septum 52 for receiving part or all of the contents in tube 42 to perform various tests on a sample. Covering a substantial portion of the length of the tube is a multi-layer barrier coating 45. Multi-layer barrier coating 45 covers substantially most of the tube with the exception of open end 41 thereof. Multi-layer barrier coating 45 comprises a first layer 54 of a polymer material such as an acrylate, a second layer 56 of a metal oxide such as SnO_x , GeO_x or PbO_x , a third layer 57 of an inorganic material such as a silicon oxide material and a fourth layer 58 of an organic barrier material such as PVDC. FIG. 4 differs from the embodiment in FIG. 3 in that the tube may be evacuated with the simultaneous placement of stopper 48 therein after the application of layers 54 and 56 over the tube. Alternatively, the multi-layer barrier coating may be applied to the tube after it has been evacuated.

FIG. 5 shows an additional embodiment of the barrier coating and a tube. The alternate embodiment functions in a similar manner to the embodiment illustrated in FIG. 4. Accordingly, similar components performing similar functions will be numbered identically to those components in the embodiment of FIG. 4, except that a suffix "a" will be used to identify those components in FIG. 5.

This Sheet Has Been Replaced



THIS SHEET HAS BEEN
REPLACED

Referring now to FIG. 5, a further embodiment 60 of the invention wherein multi-layer barrier coating 45a incorporates both upper portion 50a of stopper 48a, as well as the entire outer surface of tube 42a. Multi-layer barrier coating 45a includes serrations 62 at the tube, stopper interface. The serrations are registered so that it can be determined if the sealed container has been tampered with. Such an embodiment may be utilized, for example, for sealing the container with the stopper in place. Once a sample has been placed in the tube, the sample cannot be tampered with by removal of the stopper. Additionally, the serrations may be registered so that it can be determined if the sealed container has been tampered with. Such an arrangement may be appropriate, for example, in drug abuse testing, specimen identification and quality control.

In an alternate embodiment of the invention, multi-layer barrier coating 45 is repeatedly or sequentially applied to the inner and/or outer surface of the tube. Preferably, the coating is applied at least twice.

It will be understood by practitioners-in-the-art, that such tubes may contain reagents in the form of additives or coatings on the inner wall of the tube.

The multi-layer barrier coating forms a substantially clear or translucent barrier. Therefore, the contents of a plastic tube with a multi-layer barrier coating comprising at least two layers of barrier materials are substantially visible to the observer at the same time identifying information may be displayed over the multi-layer barrier coating after it is applied to the plastic tube.

The first layer of the multi-layer barrier coating may be formed on the tube by dip-coating, roll-coating or spraying acrylate monomer or the blend of monomers, followed by the UV curing process.

This Sheet Has Been Replaced



THIS SHEET HAS BEEN
REPLACED

The acrylate polymer material may also be applied to the tube by an evaporation and curing process carried out as described in U.S. Patent No. 5,032,461, the disclosure of which is herein incorporated by reference.

5

The acrylate evaporation and curing process involves first atomizing the acrylate monomer into about 50 micron droplets and then flashing them off of a heated surface. This produces an acrylate molecular vapor which has the same chemistry as the starting monomer.

10

Acrylates are available with almost any chemistry desired. They usually have either one, two or three acrylate groups per molecule. Various mixtures of mono, di and tri acrylates are useful in the present invention. Most preferable are monoacrylates and diacrylates.

15

Acrylates form one of the most reactive classes of chemicals. They cure rapidly when exposed to UV or electron beam radiation to form a cross-linked structure. This imparts high temperature and abrasion resistant properties in the coating.

20

The monomer materials utilized are relatively low in molecular weight, between 150 and 1,000 and preferably in the range of 200 to 300 and have vapor pressures between about 1×10^{-6} Torr and 1×10^{-1} Torr at standard temperature and pressure (i.e., relatively low boiling materials). A vapor pressure of about 1×10^{-2} Torr is preferred. Polyfunctional acrylates are especially preferred. The monomers employed have at least two double bonds (i.e., a plurality of olefin groups). The high-vapor-pressure monomers used in the present invention can be vaporized at low temperatures and thus are not degraded (cracked) by the heating process. The absence of unreactive degradation products means that films formed from these low molecular weight, high-vapor-pressure monomers have reduced volatile

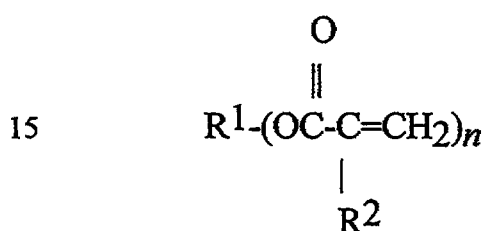
25

30



levels of components. As a result, substantially all of the deposited monomer is reactive and will cure to form an integral film when exposed to a source of radiation. These properties make it possible to provide substantially continuous coating despite the fact that the film is very thin. The cured film exhibits excellent adhesion and is resistant to chemical attack by organic solvents and inorganic salts.

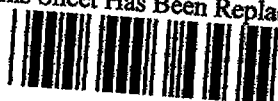
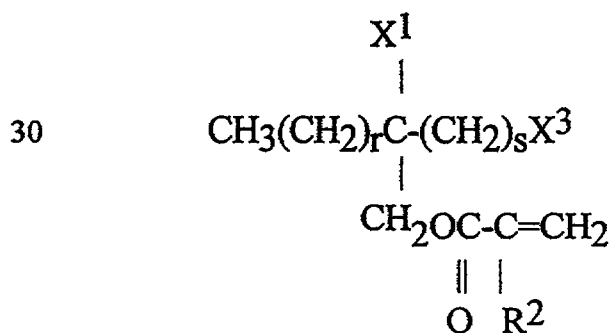
Because of their reactivity, physical properties and the properties of cured films formed from such components, polyfunctional acrylates are particularly useful monomeric materials. The general formula for such polyfunctional acrylates is:



wherein:

R^1 is an aliphatic, alicyclic or mixed aliphatic-alicyclic radical;
 R^2 is a hydrogen, methyl, ethyl, propyl, butyl or pentyl; and
 n is from 2 to 4.

Such polyfunctional acrylates may also be used in combination with various monacrylates, such as those having the formula:

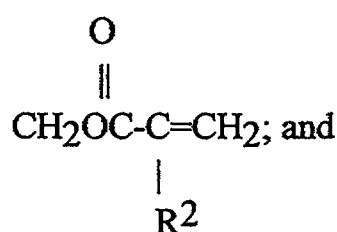


wherein:

R^2 , is as defined above;

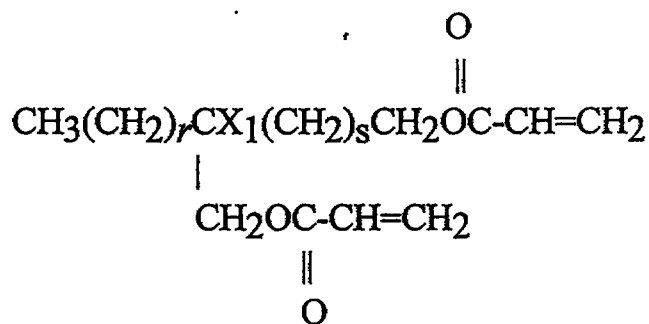
X^1 is H, epoxy, 1,6-hexanediol, tripropyleneglycol or urethane;
and

r, s are 1-18.



X^3 is CN or COOR^3 wherein R^3 is an alkyl radical containing 1-4 carbon atoms. Most often, X^3 is CN or COOCH_3 .

Diacrylates of the formula below are particularly preferred:



wherein:

X_1, r and s are as defined above.

Curing is accomplished by opening the double bonds of the reactant molecules. This can be accomplished by means of an energy



source such as an apparatus which emits infrared, electrons or ultraviolet radiation.

FIG. 6 illustrates the process for applying an acrylate coating.

5 An acrylate monomer 100 is directed through a dielectric evaporator 102 and then through an ultrasonic atomizer 104 and into a vacuum chamber 106. The monomer droplets are atomized ultrasonically and the droplets vaporized where they condense on the rotating tube or film that is loaded on a drum 108.

10

The condensed monomer liquid subsequently is radiation cured by means of an electron beam gun 110.

15 The second and third barrier coatings of the multi-layer barrier coating, may be formed by radio frequency discharge, direct or dual ion beam deposition, sputtering or plasma enhanced chemical vapor deposition, as described in U.S. Patent Nos. 4,698,256, 4,809,876, 4,992,298 and 5,055,318, the disclosures of which are herein incorporated by reference.

20

For example, a method of depositing the second and third barrier coatings is provided by establishing a glow discharge plasma in a previously evacuated chamber. The plasma is derived from one or more of the gas stream components, and preferably is derived from
25 the gas stream itself. The article is positioned in the plasma, preferably adjacent the confined plasma, and the gas stream is controllably flowed into the plasma. The thickness of the second layer is about 50Å to about 250Å and preferably at about 75Å to about 200Å. The barrier based film is deposited on the substrate to a
30 desired thickness. The thickness of the third coating is about 100 Å to about 10,000 Å. A thickness of less than about 5,000 Å may not provide sufficient barrier and a thickness of greater than about 5,000 Å may crack, thus decreasing the effective barrier. Most preferably,



the thickness of the third oxide coating is about 1,000 Å to about 3,000 Å.

Another method of depositing a barrier coating is by
5 confining a plasma with magnets. Preferably, the magnetically
enhanced method for depositing a silicon oxide based film on a
substrate is preferably conducted in a previously evacuated chamber
of glow discharge from a gas stream. The gas stream preferably
comprises at least two components: a volatilized organosilicon or
10 organotin component, an oxidizer component such as oxygen, nitrous
oxide, carbon dioxide or air and an optionally inert gas component.

Examples of suitable organosilicon and organotin compounds
useful for the gas stream in the plasma deposition methods are liquid
15 or gas at about ambient temperature and have a boiling point about
0°C to about 200°C and include tetramethyltin, tetraethyltin,
tetraisopropyltin, tetraallyltin, dimethylsilane, trimethylsilane,
diethylsilane, propylsilane, phenylsilane, hexamethyldisilane, 1,1,2,2-
tetramethyldisilane, bis (trimethylsilane)methane, bis (dimethylsilyl)
20 methane, hexamethyldisiloxane, vinyl trimethoxy silane, vinyl
triethoxysilane, ethylmethoxysilane, ethyltrimethoxysilane,
divinyltetramethyldisiloxane, hexamethyldisilazane divinyl-
hexamethyltrisiloxane, trivinylpentamethyltrisiloxazane,
tetraethoxysilane and tetramethoxysilane.

25 Among the preferred organosilicons are 1,1,3,3-
tetramethyldisiloxane, trimethylsilane, hexamethyldisiloxane,
vinyltrimethylsilane, methyltrimethoxysilane, vinyltrimethoxysilane
and hexamethyldisilazane. These preferred organosilicon compounds
30 have boiling points of 71°C, 55.5°C, 102°C, 123°C and 127°C
respectively.

The optional inert gas of the gas stream preferably is helium,
argon or nitrogen.



The volatilized organotin and organosilicon components are preferably admixed with the oxygen component and the inert gas component before being flowed into the chamber. The quantities of these gases being so admixed are controlled by flow controllers so as to adjustably control the flow rate ratio of the gas stream components.

Various optical methods known in the art may be used to determine the thickness of the deposited film while in the deposition chamber, or the film thickness can be determined after the article is removed from the deposition chamber.

The deposition method of the present invention is preferably practiced at relatively high power and quite low pressure. A pressure less than about 500 millitorr (mTorr) should be maintained during the deposition, and preferably the chamber is at a pressure between about 43 to about 490 millitorr during the deposition of film. Low system pressure results in lower deposition rates whereas higher system pressure provides faster deposition rates. When the plastic article to be coated is heat sensitive, a higher system pressure may be used to minimize the amount of heat the substrate is exposed to during deposition because high substrate temperatures are to be avoided for low Tg polymers such as polypropylene and PET (Tg is -10°C and 60°C respectively).

The substrate is electrically isolated from the deposition system (except for electrical contact with the plasma) and is at a temperature of less than about 80°C during the depositing. That is, the substrate is not deliberately heated.

Referring to FIG. 7, the system for depositing a barrier coating, including the second and third barrier layers comprises an enclosed reaction chamber 170 in which a plasma is formed and in which a substrate or tube 171, is placed for depositing a thin film of



material on a sample holder 172. The substrate can be any vacuum compatible material, such as plastic. One or more gases are supplied to the reaction chamber by a gas supply system 173. An electric field is created by a power supply 174.

5

The reaction chamber can be of an appropriate type to perform any of the plasma-enhanced chemical vapor deposition (PECVD) or plasma polymerization processes. Furthermore, the reaction chamber may be modified so that one or more articles may be coated with an oxide layer simultaneously within the chamber.

10

The pressure of the chamber is controlled by a mechanical pump 188 connected to chamber 170 by a valve 190.

15

The tube to be coated is first loaded into chamber 170 in sample holder 172. The pressure of the chamber is reduced to about 5 mTorr by mechanical pump 188. The operating pressure of the chamber is about 90 to about 140 mTorr for a PECVD or plasma polymerization process and is achieved by flowing the process gases, oxygen and barrier precursor, into the chamber through monomer inlet 176.

20

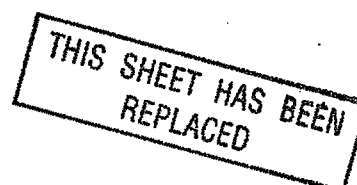
The thin film is deposited on the outer surface of the tube and subsequent layers and has a desired uniform thickness or the deposition process may be interrupted periodically to minimize heating of the substrate and/or electrodes and/or physically remove particulate matter from the articles.

25

Magnets 196 and 198 are positioned behind electrode 200 to create an appropriate combination of magnetic and electrical fields in the plasma region around the tube.

30

The system is suitable for low frequency operation. An example frequency is 40kHz. However, there can be some



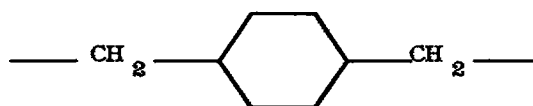
advantages from operating at a much higher frequency, such as in the radio frequency range of several megahertz.

5 The barrier film or blends thereof used in accordance with this disclosure, may contain conventional additives and ingredients which do not adversely affect the properties of articles made therefrom.

10 The optional fourth layer of the multi-layer barrier coating may be formed on the third layer by dip-coating, roll-coating or spraying an aqueous emulsion of the polyvinylidene chloride or homo- or co- polymers, followed by air drying.

15 The fourth layer may preferably be vinylidene chloride-acrylonitrile-methyl methacrylate-methyl acrylate-acrylic acid copolymers, thermosetting epoxy coatings, parylene polymers, or polyesters.

20 Preferably, the fourth layer is a parylene polymer. Parylene is the generic name for members of the polymer series developed by Union Carbide Corporation. The base member of the series, called parylene N, is poly-p-exlyene, a linear, crystalline material:

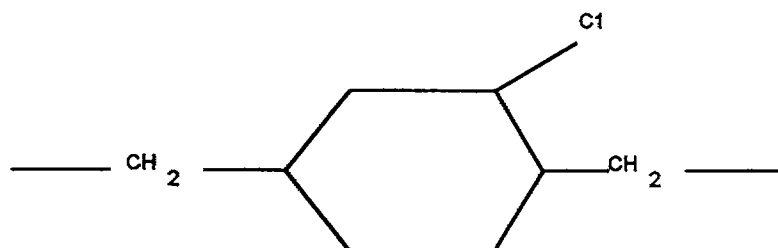


25

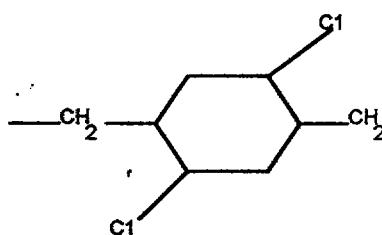
Parylene C, a second member of the parylene series is produced from the same monomer as parylene N and modified by the substitution of a chlorine atom for one other aromatic hydrogens:

This Sheet Has Been Replaced





5 Parylene D, the third member of the parylene series is produced from the same monomer as parylene N and modified by the substitution of the chlorine atom for two of the aromatic hydrogens:



10

Most preferably, the polymer layer is a vinylidene chloride-methyl methacrylate-methacrylate acrylic acid polymer (PVDC).
 15 This polymer is available as DARAN® 8600-C (trademark of W.R. Grace and Co.) sold by GRACE, Organic Chemicals Division, Lexington, Mass.

The fourth layer of the barrier coating, a polymer material,
 20 may be a parylene polymer applied to the second layer by a process similar to vacuum metallizing, as described in U.S. Patent Nos. 3,342,754 and 3,300,332, the disclosures of which are herein



incorporated by reference. Alternatively, the third layer may be vinylidene chloride-acrylonitrile-methyl methacrylate-methyl acrylate-acid acrylic polymer, applied to the second layer by dip-coating, roll-coating or spraying an aqueous emulsion of the polymer, followed by
5 air drying of the coating, as described in U.S. Patent Nos. 5,093,194 and 4,497,859, the disclosure of which are herein incorporated by reference.

As shown in FIG. 8, the acrylate coating A and the second
10 and third oxide based coating B may have defects or irregularities C. It is believed that complete coverage of the substrate D cannot be achieved with only the acrylate and oxide based coatings. Therefore, a fourth coating of PVDC, E is applied over the third oxide based coating to produce a substantially complete barrier coating over the
15 substrate surface.

A variety of substrates can be coated with a barrier coating by the process of the present invention. Such substrates include, but are not limited to packaging, containers, bottles, jars, tubes and medical
20 devices.

A plastic blood collection tube coated with the multi-layer barrier coating will not interfere with testing and analysis that is typically performed on blood in a tube. Such tests include but are not
25 limited to, routine chemical analysis, biological inertness, hematology, blood chemistry, blood typing, toxicology analysis or therapeutic drug monitoring and other clinical tests involving body fluids. Furthermore, a plastic blood collection tube coated with the barrier coating is capable of being subjected to automated machinery such as centrifuges
30 and may be exposed to certain levels of radiation in the sterilization process with substantially no change in optical or mechanical and functional properties.

This Sheet Has Been Replaced



A plastic blood collection tube coated with the multi-layer barrier coating is able to maintain 90% original draw volume over a period of one year. Draw volume retention depends on the existence of a particle vacuum, or reduced pressure, inside the tube. The draw
5 volume changes in direct proportion to the change in vacuum (reduced pressure). Therefore, draw volume retention is dependent on good vacuum retention. A plastic tube coated with a barrier coating substantially prevents gas permeation through the tube material so as to maintain and enhance the vacuum retention and draw volume retention
10 of the tube. Plastic tubes without the multi-layer coating of the present invention may maintain about 90% draw volume for about 3 to 4 months.

If the multi-layer barrier coating is also coated or applied on the
15 inner surface of the plastic blood collection tube, the barrier coating may be hemorepellent and/or have characteristics of a clot activator.

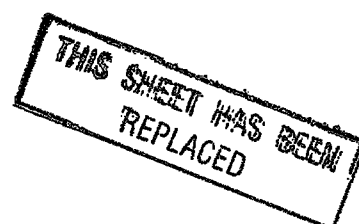
It will be understood that it makes no difference whether the plastic composite container is evacuated or not evacuated in
20 accordance with this invention. The presence of a barrier coating on the outer surface of the container has the effect of maintaining the general integrity of the container holding a sample so that it may be properly disposed of without any contamination to the user. Notable is the clarity of the barrier coating as coated or applied on the container
25 and its abrasion and scratch resistance.

The barrier coating used in accordance with this disclosure, may contain conventional additives and ingredients which do not adversely affect the properties of articles made therefrom.

30

The following examples are not limited to any specific embodiment of the invention, but are only exemplary.

This Sheet Has Been Replaced



EXAMPLE 1**METHOD FOR COATING PLASTIC SUBSTRATES
WITH MULTI-LAYER BARRIER COATING**

5 An acrylate coating was applied to polypropylene tubes and
films (substrates) in a chamber wherein a 60:40 mixture of isobornyl
acrylate: epoxydiacrylate (IBA:EDA) was fed into the evaporator and
flash vaporized at about 343°C onto the substrate in the chamber and
10 condensed. The condensed monomer film was then UV cured by an
actinic light source of 365 nm.

 The substrate coated with the acrylate coating (IBA:EDA) was
then cleaned with a mixture comprising equal parts of a micro
15 detergent and de-ionized (DI) water solution. The substrate was rinsed
thoroughly in DI water and allowed to air dry. The cleaned substrate
was then stored in a vacuum oven at room temperature until it was to
be coated.

20 The cleaned substrate was then attached to a holder which fits
midway between the electrodes in the vacuum chamber. The chamber
was closed and a mechanical pump was used to achieve a base
pressure of about 5 mTorr.

25 The electrode configuration was internally capacitively coupled
with permanent magnets on the backside of the titanium electrodes.
This special configuration provided the ability to confine the glow
between the electrodes because of the increase in collision probability
between electrons and reacting gas molecules. The net result of
30 applying a magnetic field is similar to increasing the power applied to
the electrodes, but without the disadvantages of higher bombardment
energies and increased substrate heating. The use of magnetron
discharge allows operation in the low pressure region and a substantial
increase in polymer deposition rate.



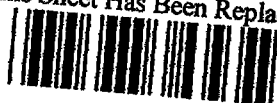
The oxide precursor composition which consists of a mixture of tetramethyltin (TMT) and oxygen was introduced through stainless steel tubing near the electrodes. The gases were mixed in the inlet line before introduction into the chamber. Flow rates were manually controlled by stainless steel metering valves. A power supply operating at an audio frequency of 40 kHz was used to supply power to the electrodes. The system parameters used for thin film deposition of plasma polymerized TMT/O₂ on the polymer substrate were as follows:

15	Surface Pretreatment:	TMT Flow	=	0 sccm
		Base Pressure	=	5 mTorr
		Oxygen Flow	=	6 - 7 sccm
		System Pressure	=	120 mTorr
		Power	=	30 watts
		Time	=	0.5 - 1.0 minutes
20	Oxide Deposition:	TMT Flow	=	2.75 - 3.25 sccm
		Oxygen Flow	=	3.5 - 4.0 sccm
		System Pressure	=	160 - 180 mTorr
		Power	=	30 watts
		Deposition Time	=	0.75 minutes

After approximately 150Å of oxygen and SnO_x was deposited, oxygen was flowed into the chamber and a second O₂ plasma treatment was then carried out with the following system parameters:

30	Surface Pretreatment:	Base Pressure	=	5 mTorr
		Oxygen Flow	=	10 sccm
		System Pressure	=	140 mTorr
		Power	=	50 watts
		Time	=	2 minutes

This Sheet Has Been Replaced



Following this, an inorganic oxide precursor composition, which consists of a mixture of trimethylsilane (TMS) and oxygen was introduced through stainless steel tubing near the electrodes. The gases were mixed in the monomer inlet line before introduction into the chamber. Flow rates were manually controlled by stainless steel metering valves. A power supply operating at an audio frequency of 40 kHz was used to supply power to the electrodes. The system parameters used for thin film deposition of plasma polymerized TMS/O₂ on the polymer substrate were as follows:

Oxide Deposition:	TMS Flow	=	1.5 - 2.0 sccm
	Oxygen Flow	=	2.5 - 3.0 sccm
	System Pressure	=	90 - 160 mTorr
	Power	=	30 watts
	Deposition Time	=	4 minutes

After approximately 1000Å of SiO_x was deposited, the reactor was allowed to cool. The reactor was then opened, and the substrate was removed. The results are reported in Table 1.

EXAMPLE 2

METHOD FOR COATING PLASTIC SUBSTRATE FILMS WITH MULTI-LAYER BARRIER COATING

A film of polyethyleneterphalate (PET) was cleaned with a solution comprising equal parts of a microdetergent and de-ionized (DI) water. After rinsing the film with the solution, the film was air dried and stored under vacuum for about 12 hours.

The film was then placed in the deposition chamber and brought to a pressure of about 5 mTorr using a mechanical pump.



The electrode configuration was internally capacitively coupled with permanent magnets on the backside of the titanium electrodes. This special configuration provided the ability to confine the glow between the electrodes because of the increase in collision probability
5 between electrons and reacting gas molecules. The net result of applying a magnetic field is similar to increasing the power applied to the electrodes, but without the disadvantages of higher bombardment energies and increased substrate heating. The use of magnetron discharge allows operation in the low pressure region and a substantial
10 increase in polymer deposition rate.

The film was then first pretreated with an oxygen plasma using a flow of about 6 SCCM of O_2 , system pressure of about 120 mTorr, power of about 30W, for 30 seconds.

15

Following the O_2 pretreatment, a metal oxide precursor composition consisting of tetramethyltin (TMT) and oxygen were introduced through stainless steel tubing near the electrodes. The gases were mixed in the monomer inlet line before introduction into the
20 chamber. Flow rates of the tetramethyltin and oxygen were controlled by metering valves. Power to the electrodes was provided by an audio frequency of about 40 kHz. System parameters for the SnO_x deposition were as follows:

25	Surface Pretreatment:	Oxygen Flow	=	6 sccm
		System Pressure	=	120m Torr
		Power	=	30 watts
		Deposition Time	=	30 seconds
30	Oxide Deposition:	TMT Flow	=	12 sccm
		Oxygen Flow	=	3.2 sccm
		System Pressure	=	140 mTorr
		Power	=	30 watts
		Deposition Time	=	45 seconds

This Sheet Has Been Replaced



After the deposition of SnO_x , oxygen was flowed into the chamber and a plasma generated to remove residual carbon from the surface of the film. A second O_2 plasma treatment was then carried
5 out with the following system parameters:

10	Surface Pretreatment:	Oxygen Flow	=	5 sccm
		System Pressure	=	120 Torr
		Power	=	30 watts
		Deposition Time	=	60 seconds

The final oxide layer was then deposited using a mixture of trimethylsilane (TMS) and oxygen with the following system
15 parameters:

20		TMS Flow	=	5.8 sccm
		Oxygen Flow	=	3.3 sccm
		System Pressure	=	120 mTorr
		Power	=	30 watts
		Deposition Time	=	4 minutes

The chamber was then allowed to cool and the coated PET film was removed. The results of the coated PET film are reported in Table 1. Analysis of the film by ESCA and SEM indicate a layered
25 composite of polymer, tin oxide and silicon oxide as reported in FIG. 9.

All of the substrates prepared in accordance with the Examples were evaluated for oxygen permeance (OTR) in the oxide coatings as follows.

30

(i) Oxygen permeance (OTR):

Film or plaque samples were tested for oxygen permeance (OTR) using a MOCON Ox-TRAN 2/20 (sold by Modern Controls,



Inc., 7500 Boone Avenue N., Minneapolis, MN 55428). A single side of the film sample was exposed to 1 atm of 100% oxygen atmosphere. Oxygen permeating through the sample film was entrained in a nitrogen carrier gas stream on the opposite side of the film, and detected by a coulometric sensor. An electrical signal was produced in proportion to the amount of oxygen permeating through the sample. Samples were tested at 30°C and 0% relative humidity (R.H.). Samples were conditioned for 1 to 20 hours prior to determining oxygen permeance. The results are reported in Table 1 in units of cc/m²-atm-day.

Tube samples were tested for oxygen permeance (OTR) using a MOCON O_x-TRAN 1,000 (sold by Modern Controls, Inc., 7500 Boone Avenue N., Minneapolis, MN 55428). A package adapter was used for mounting the tubes in a manner that allowed the outside of the tube to be immersed in a 100% O₂ atmosphere while the inside of tube is flushed with a nitrogen carrier gas. The tubes were then tested at 20°C and 50% R.H. The tubes were allowed to equilibrate for 2-14 days before a steady state permeability is determined. The results are reported in Table 1 in units of cc/m²-atm-day.

(ii) Atom % of the elements present in the oxide coating:

A Surface Science Model SSx-100 X-ray photoelectron spectrometer (ESCA) was used to determine the atom % of the elements present in the oxide coatings. Film samples were placed inside the spectrometer and the elemental composition was determined of approximately 100Å into the surface. The surface was then argon ion etched as follows: 5000V and 9-10 mA argon ion beam was directed at the sample surface. After 5 seconds the ESCA spectra was taken and this procedure was repeated for a total of 5 times. The etch time was then increased to 20 seconds followed by ESCA and this process was repeated for a total of ten times. Finally, the etch time was increased to 40 seconds and the ESCA spectra was obtained until



the bulk acrylate or the polymer substrate was reached. The oxide layer was clearly indicated by the presence of silicon in the ESCA spectra between the etch times of about 0 through about 1.3 minutes.

TABLE 1

Sample	Acrylate Coating	SnO _x Coating	SiO _x Coating	Oxygen Transmission Rate (cc/m ² -atm-day) 30°C, 0% RH
PP tube, control				60
PP tube	IBA:DA		no	20
PP tube	no	yes	yes	<9
PP tube	no	yes	yes	<9
PET film	no	no	no	30
PET film	no	yes	yes	16

IBA:DA = iso-norbornyl: epoxydiacrylate (60:40), UV cured

Silicon Oxide Coatings = 1000 - 3000 Angstroms (as measured by Scanning Electron Microscope)

Tin Oxide Coatings - 70 - 200 Å (as measured by Scanning Electron Microscope)

PP = polypropylene

tubes = nominal wall thickness of 40 mil

PET film thickness = 1mil.

This Sheet Has Been Replaced



THIS SHEET HAS BEEN
REPLACED



P-3142

WHAT IS CLAIMED IS:

1. A sample assembly comprising:
a plastic container having an open end, a closed end, an inner surface and an outer surface; and
a multi-layer barrier coating associated over the outer surface of said container and extending over a major portion of said outer surface of said container, said coating having a first layer comprising an acrylate primer coating material, a second layer on said first layer comprising a metal oxide and a third layer on said second layer comprising an inorganic oxide material.
2. The assembly of Claim 1, further comprising a closure in said open end of said container whereby a container and closure interface is formed.
3. The assembly of Claim 2, wherein said plastic container is a tube and said closure is an elastomeric stopper.
4. The assembly of Claim 1, wherein said barrier coating extends substantially from said open end of said container to and over said closed end of said container.
5. The assembly of Claim 3, wherein said barrier coating extends from a portion of said elastomeric stopper to a point adjacent said closed end of said container.
6. The assembly of Claim 2, wherein said tube is evacuated.
7. The assembly of Claim 5, wherein said multi-layer barrier coating includes registered tamper serrations adjacent to said container and said closure interface.

This Sheet Has Been Replaced



THIS SHEET HAS BEEN
REPLACED



P-3142

8. The assembly of Claim 1, wherein said first layer is a polymerized blend of mono-and di-acrylates.

9. The assembly of Claim 1, wherein said second layer is SnO_x , GeO_x or PbO_x .

10. The assembly of Claim 1, wherein said third layer is aluminum oxide or silicon oxide based composition.

11. The assembly of Claim 10, wherein said third layer comprises silicon oxide.

12. The assembly of Claim 10, wherein said second layer is deposited by radio-frequency discharge, direct ion beam deposition, dual ion beam deposition, sputtering, plasma enhanced chemical vapor deposition or magnetically enhanced plasma systems.

13. The assembly of Claim 1, further comprising a said fourth layer adjacent said third layer of a thermosetting epoxy, parylene polymer, homo-polymers, co-polymers or polyesters.

14. The assembly of Claim 13, wherein said first layer comprises polymerized acrylate and said third layer comprises silicon oxide and said fourth layer comprises polyvinylidene chloride.

15. The assembly of Claim 1, further comprising a multi-layer barrier coating over the inner surface of said container, having a first layer including an acrylate primer coating material, a second layer on said first layer of a discrete metal oxide and a third layer of an organic material.

16. A multi-layer barrier coating comprising:

a first layer comprising an acrylate material;





P-3142

a second layer on said first layer comprising a metal oxide;
and a third layer on said second layer comprising an inorganic oxide.

17. The coating of Claim 16, wherein said third layer is aluminum oxide or silicon oxide.

18. The coating of Claim 16, wherein said second layer is SnO_x , GeO_x or PbO_x .

19. The coating of Claim 16, further comprising a fourth layer on said third layer of polyvinylidene chloride.

20. The assembly of Claim 1, wherein said first layer is deposited on said outer surface of said container in a previously evacuated chamber comprising the following steps:

- (a) selecting a curable component comprising: i) polyfunctional acrylates, or ii) mixtures of monoacrylates and polyfunctional acrylates;
- (b) flash vaporizing said component into said chamber;
- (c) condensing a film of vaporized component onto the outer surface of said container; and
- (d) curing said film.

21. The assembly of Claim 20, wherein said second layer is deposited on said first layer by the following steps:

- (a) vaporizing an organotin component and admixing the volatilized organotin component with an oxidizer component and optionally an inert gas component to form a gas stream exterior to the chamber;
- (b) establishing a glow discharge plasma in the chamber from one or more of the gas stream components;





P-3142

- (c) controllably flowing the gas stream into the plasma while confining at least a portion of the plasma therein; and
- (d) depositing a layer of tin oxide adjacent said first layer.

22. The assembly of Claim 21, wherein said third layer is deposited in said previously evacuated chamber onto said second layer by the following steps:

- (a) vaporizing an organosilicon component and admixing the volatilized organosilicon component with an oxidizer component and optionally an inert gas component to form a gas stream exterior to the chamber;
- (b) establishing a glow discharge plasma in the chamber from one or more of the gas stream components;
- (c) controllably flowing the gas stream into the plasma while confining at least a portion of the plasma therein; and
- (d) depositing a layer of silicon oxide adjacent said second layer.

23. The assembly of Claim 22, wherein said oxidizer component is oxygen nitrous oxide, carbon dioxide, air or an inert gas.

24. The assembly of Claim 22, wherein the plastic substrate is electrically isolated from the chamber except for contact with the confined plasma.

25. A method of depositing a multilayer barrier coating on a plastic substrate in a previously evacuated chamber comprising:

- (a) selecting a curable component comprising: i) polyfunctional acrylates, or ii) mixtures of monoacrylates and polyfunctional acrylates;
- (b) flash vaporizing said component into said chamber;

This Sheet Has Been Replaced



THIS SHEET HAS BEEN
REPLACED



P-3142

- (c) condensing a first layer of a film of vaporized component onto the outer surface of said container;
- (d) curing said film;
- (e) vaporizing an organotin component and admixing the volatilized organotin component with an oxidizer component and optionally an inert gas component to form a gas stream exterior to the chamber;
- (f) establishing a glow discharge plasma in the chamber from one or more of the gas stream components;
- (g) controllably flowing the gas stream into the plasma while confining at least a portion of the plasma therein;
- (h) depositing a layer of tin oxide adjacent said first layer;
- (i) vaporizing an organosilicon component and admixing the volatilized organosilicon component with an oxidizer component and optionally an inert gas component to form a gas stream exterior to the chamber;
- (j) establishing a glow discharge plasma in the chamber from one or more of the gas stream components;
- (k) controllably flowing the gas stream into the plasma while confining at least a portion of the plasma therein;
- (l) depositing a third layer of silicon oxide adjacent said second layer; and
- (m) dip coating a fourth layer of PVDC onto said third layer.

26. The method of Claim 25 wherein said first and second layers are pretreated by oxygen plasma.

This Sheet Has Been Replaced



THIS SHEET HAS BEEN
REPLACED