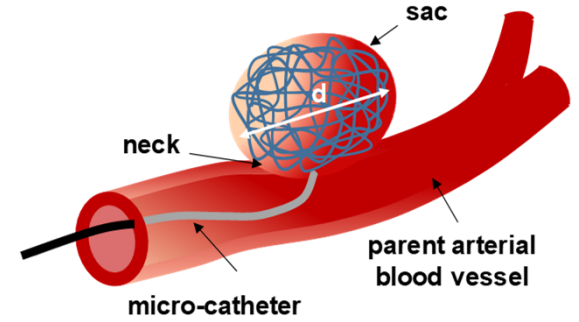
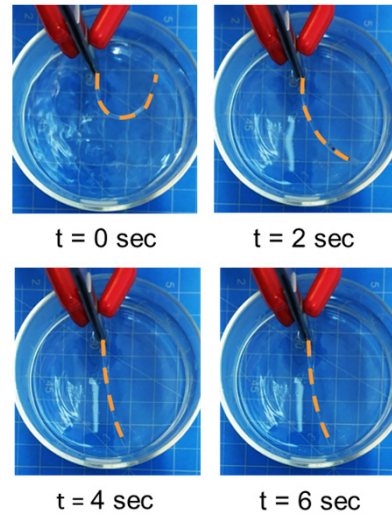
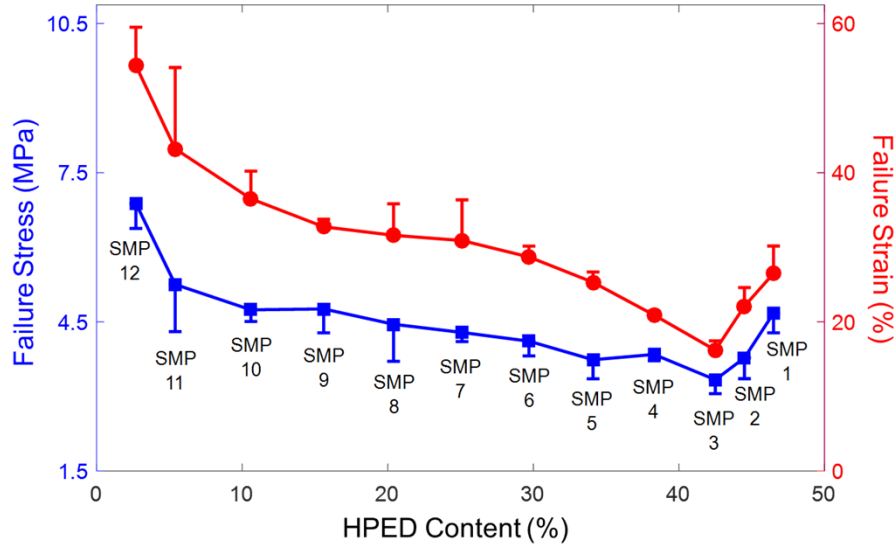
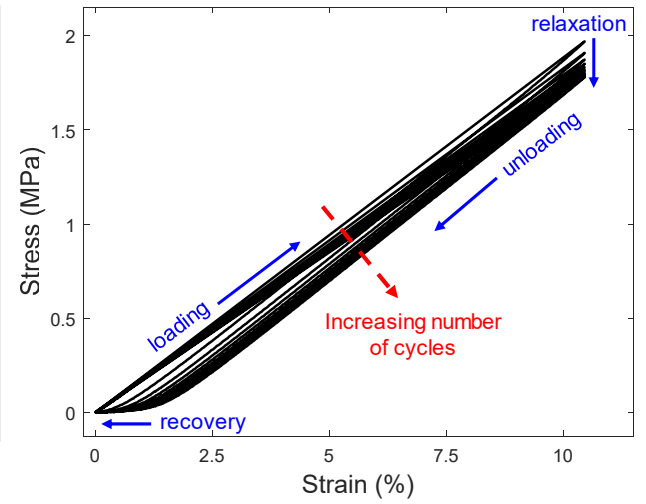
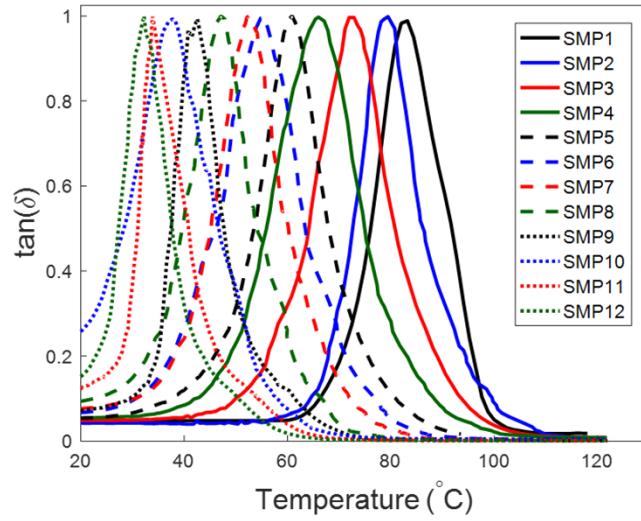
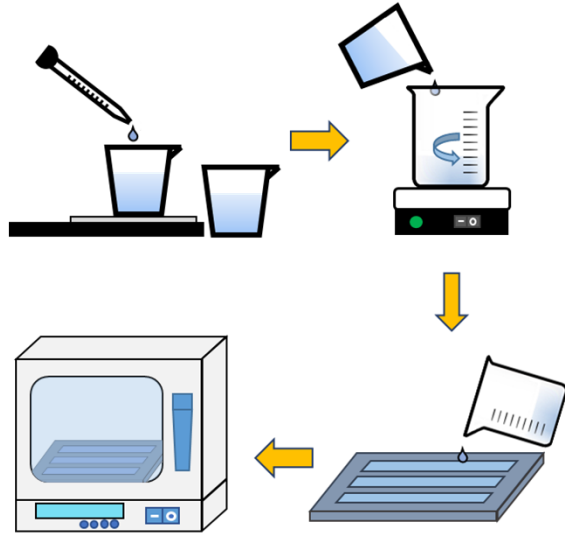


The novelties and research highlights of this work are briefly summarized below:

- A detailed experimental procedure has been developed for the synthesis of aliphatic urethane-based shape memory polymers (SMPs).
- Comprehensive thermomechanical characterizations on a variety of SMP compositions have been performed to investigate the key connections between the polymer's working temperature, thermal stability and their mechanical behavior.
- Recovery tests have also been conducted for demonstrating the superb shape memory and recovering features of the SMPs which is desirable for the endovascular embolization procedure.
- A range of SMP compositions that most accurately meet our criteria have been identified in this study with their great potential for the individualized treatment of intracranial aneurysms, which will be analyzed further in more detail as a part of future studies.



**Synthesis and characterization of bio-compatible shape memory polymers with potential applications to endovascular embolization of intracranial aneurysms**

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## 1 **Abstract**

2 Intracranial aneurysms (ICAs) are focal dilations in the brain's arteries. When left  
3 untreated, ICAs can grow to the point of rupture, accounting for 50-80% of subarachnoid  
4 hemorrhage cases. Current treatments include surgical clipping and endovascular coil  
5 embolization to block circulation into the aneurysmal space for preventing aneurysm rupture. As  
6 for endovascular embolization, patients could experience aneurysm recurrence due to an  
7 incomplete coil filling or compaction over time. The use of shape memory polymers (SMPs) in  
8 place of conventional platinum coils could provide more control and predictability for mitigating  
9 these complications. This study was focused on characterization of an aliphatic urethane-based  
10 SMP to evaluate its potential as a novel biomaterial for endovascular embolization. Twelve  
11 compositions of the SMP were synthesized and their thermomechanical properties together with  
12 the shape recovery behavior were comprehensively investigated. Our results showed that the  
13 SMPs experienced a significant decrease in storage and loss moduli as heated above their glass  
14 transition temperatures (32.3°C-83.2°C), and that all SMPs were thermally stable up to 265°C.  
15 Moreover, the SMPs exhibited both composition-dependent stress relaxation and a decrease in  
16 elastic modulus during cyclic loading. The shape recovery time was less than 11 seconds for all  
17 SMP compositions, which is sufficiently short for shape changing during embolization  
18 procedures. Several candidate compositions were identified, which possess a glass transition  
19 temperature above body temperature (37°C) and below the threshold of causing tissue damage  
20 (45°C). They also exhibit high material strength and low stress relaxation behavior, suggesting  
21 their potential applicability to endovascular embolization of ICAs.

22 **Keywords:** Shape memory polymers; polyurethane; glass transition temperature; thermo-  
23 mechanical properties; endovascular embolization

## 24 1. Introduction

25 An intracranial aneurysm (ICA), or a cerebral aneurysm, is an abnormal focal dilation and  
26 weakening of an arterial blood vessel in the brain with a prevalence of 0.5%-6% in adults (Rinkel  
27 et al., 1998; Schievink, 1997). Although most aneurysms are asymptomatic and do not rupture,  
28 they can grow unpredictably, and even small aneurysms (size  $\leq 5.0$  mm) carry a risk of rupture.  
29 Incidental rupture of an ICA is most common between age 40 and 65, associated with 50%-80%  
30 of the subarachnoid hemorrhage (SAH) cases, which causes individual's death before receiving  
31 medical attention associated with a mortality rate as high as 40% within the first week, and  
32 accounts for about 5%-8% of all strokes, (Bederson et al., 2009; Connolly et al., 2012; King Jr,  
33 1997; Lantigua et al., 2015; Naval et al., 2012; Sacco et al., 1984; Wardlaw and White, 2000).

34 Currently, surgical clipping and endovascular coil embolization are the two most common  
35 treatment methods for intracranial aneurysms. Clipping of intracranial aneurysms requires  
36 craniotomy and neurosurgeon places a clip across the neck of the treated aneurysm to block it  
37 from the normal circulation (Molyneux et al., 2005). In contrast, micro-catheter delivery-based  
38 endovascular therapy with Guglielmi detachable coils (GDC) (Guglielmi et al., 1991; Molyneux  
39 and Group, 2002; Raymond et al., 2003) is a minimally invasive surgical technique, which aims  
40 at excluding the aneurysmal sac and neck from intracranial circulation by means of complete  
41 and lasting occlusion. Although GDC-based coil embolization therapy has been considered as  
42 an alternative to surgical clip ligation that is associated with higher procedural mortality (Campi  
43 et al., 2007; Molyneux et al., 2009; Taha et al., 2006), recent studies (Hope et al., 1999;  
44 Tateshima et al., 2000; Vallée et al., 2003; Wehman et al., 2006) have shown that unsatisfying  
45 rates of aneurysmal recanalization and incomplete occlusion are still emerging challenges in  
46 endovascular coil embolization. Therefore, development of novel biomedical devices for the use  
47 in minimally invasive surgical procedures as tailored to patient's complex aneurysm geometry is  
48 essential to improve the long-term therapeutic outcomes of current endovascular techniques and  
49 to overcome the above-mentioned clinical challenges.

50 As the first logical step towards the attainment of this research objective, we, in this study,  
51 comprehensively characterize the thermomechanical properties and the shape recovery  
52 capability of aliphatic urethane shape memory polymers (SMPs) and investigate its potential  
53 applications to manufacturing individualized embolic devices for treating intracranial aneurysms.  
54 Shape memory polymers, such as polyurethane (Gunes et al., 2008; Xu et al., 2006), have  
55 aroused great attention from scientists and engineers owing to their excellent shape memory

56 behavior, high biocompatibility, fast shape recovery speed, and low synthesis cost. This type of  
57 polymer is synthesized using hexamethylene diisocyanate (HDI), N,N,N',N'-tetrakis  
58 (hydroxypropyl) ethylenediamine (HPED), and Triethanolamine (TEA), and consists of two  
59 segments at the molecular level: (1) the rigid and glassy segments determining the permanent  
60 shape and (2) the amorphous segments controlling the temporary shape. Currently, most of the  
61 biocompatible SMPs used for biomedical applications are thermally induced. When heated  
62 above its glass transition temperature ( $T_g$ ), the amorphous segments of the SMP transition from  
63 a glassy state to a rubbery state, allowing the polymer to deform under an external load (Huang  
64 et al., 2012). After cooling below  $T_g$  and subsequent releasing of the external loading, the  
65 temporary shape is obtained. The polymer can autonomously return to this programmed shape  
66 without external mechanical stimuli when polymer temperature increases above  $T_g$  again.

67 Biomedical devices fabricated using SMPs can potentially be introduced into a patient's  
68 body in a temporary, compressed shape and then be expanded on demand to their programmed  
69 shape as required. Since the shape recovery can be facilitated with a certain triggering  
70 mechanism, such as increasing temperature, the release of medical devices can be completed  
71 without additional complex surgical operations, but rather through the micro-catheter. Many  
72 biomedical devices and applications have been developed for SMPs that allow triggered  
73 responses, including self-tightened biodegradable sutures (Lendlein and Langer, 2002), a micro-  
74 actuator for blood removal (Maitland et al., 2002), and stents (Wache et al., 2003).

75 In this study, we aim to develop a detailed experimental procedure for the synthesis of  
76 aliphatic urethane based SMPs and perform comprehensive thermomechanical characterization  
77 on a range of SMP compositions to investigate connections between the working temperature  
78 of the polymers and their mechanical behavior. Specifically, we identify the glass transition  
79 temperatures of each composition using both dynamic mechanical analysis (DMA) and  
80 differential scanning calorimetry (DSC) tests, and we determine the threshold for thermal  
81 degradation of each composition using thermogravimetric analysis (TGA). We also report the  
82 results of uniaxial cyclic and failure testing and analyze the differences in behavior between  
83 different compositions. We conduct this research with the goal of eventually designing an  
84 advanced individualized endovascular embolization device using aliphatic urethane SMPs as  
85 the primary material. Consequentially, we discuss the results in terms of the desirable physical  
86 qualities such an implantable material that would need to possess.

## 87 2. Methods

### 88 2.1 Materials and SMP synthesis

89 In this work, (i) hexamethylene diisocyanate (HDI,  $\geq 99.0\%$ ), (ii) N,N,N',N'-tetrakis  
90 (hydroxypropyl) ethylenediamine (HPED,  $\geq 98.0\%$ ), and (iii) Triethanolamine (TEA,  $\geq 99.0\%$ )  
91 were purchased from Sigma-Aldrich. All the above materials were used as received for  
92 synthesizing aliphatic urethane shape memory polymers. Twelve combinations of these three  
93 monomers were synthesized, with their respective SMP formulations given in **Table 1**.

### 94 2.2 SMP synthesis procedure

95 Various SMPs were synthesized by mixing different ratios of HPED, TEA, and HDI. The  
96 molar ratios for each batch were sourced from the previous study by Wilson et al. (Wilson et al.,  
97 2007) with modifications to the second and last compositions (**Table 1**). All measurement and  
98 mixing procedures occurred within a nitrogen-filled glovebox to avoid moisture contamination of  
99 the monomers (**Fig. 1a**). The glovebox received a steady flow of nitrogen through an inlet at the  
100 top of the rear panel and vented gas into a fume hood from an outlet at the bottom of the rear  
101 panel. This prevented air from entering the work space and removed any undesired moisture  
102 prior to the synthesis. Nitrogen flow could be redirected to the vacuum oven used later during  
103 synthesis via a set of ball valves.

104 Monomer weighing was performed using a Fisherbrand motorized pipette filler (Thermo  
105 Fisher Scientific) and a digital scale (AWS-100, American Weigh Scales). In brief, the HPED and  
106 TEA were measured in the same 100 mL glass beaker, while HDI was kept in a separate  
107 container until the stirring stage where it was added to the mixture and stirred on a magnetic  
108 stirring plate (**Fig. 1b**). The mixture was stirred gently to avoid the introduction of gas bubbles  
109 into the liquid. Stirring continued until the mixture showed a sudden transition from translucent  
110 to uniformly clear. The time required to produce this transition increased as the ratio of HPED in  
111 the mixture decreased and the ratio of HDI increased (**Table 1**).

112 The procedures in Wilson et al. (Wilson et al., 2007) suggested including an excess of  
113 1-2% isocyanate (HDI). However, our early synthesis results were unsatisfactory, and the  
114 removal of this excess improved the success rate of our syntheses. We also observed a  
115 tendency of the mixtures to cure before degassing could take place, leaving large air bubbles in  
116 the resulting specimens. Since the mixture of the monomers is an exothermic reaction, we  
117 noticed large batches of the mixture could generate adequate heat to act as a catalyst for the  
118 curing process. To avoid these scenarios, we limited the size of each batch to 16g-18g, and

119 mixed multiple small batches during a single synthesis procedure, rather than mixing the full  
120 volume all at once.

121         Once the mixture had sufficiently reacted, we quickly removed it from the glovebox and  
122 poured the contents into a set of silicone rubber molds—rectangular beams (45mm x 8mm x  
123 1mm) for glass transition-related characterizations and ASTM D638 Type V dog bones for tensile  
124 mechanical testing (c.f. **Sections 2.3 and 2.4**, respectively). Prior to the synthesis, two coats of  
125 mold release (Buehler 208186032) were applied to each specimen mold to minimize bubble  
126 generations due to any undesired interactions between the mixed monomers and the silicone  
127 rubber during curing. Then, specimen molds were placed in a vacuum oven (Being BOV-20) and  
128 5 vacuuming (-0.8 bar) and nitrogen purging steps were performed to create a nitrogen protected  
129 environment in the oven before degassing. A strong vacuum (-0.925 bar) was next induced using  
130 a vacuum pump for 10-12 minutes to remove gas bubbles trapped in the mixture (**Fig. 1a-b**).  
131 For cases where multiple batches of mixture were used, we filled each mold half way with mixture  
132 and performed an initial degassing step while mixing the other batch. When the first degassing  
133 had finished, we filled the rest of the space of the molds and proceeded with the above-  
134 mentioned vacuuming-purging and degassing steps. An “overflow” section was included in our  
135 specimen molds to trap bubbles as introduced during the degassing procedure. The top few  
136 millimeters of each specimen could be polished off to leave a smooth finishing.

137         When curing the SMP specimens, we followed the procedure in Wilson et al. (Wilson et  
138 al., 2007) with several modifications. The specimens were kept at room temperature for one  
139 hour, then the temperature was increased at a steady rate to 130°C, where it was kept for  
140 another hour. The heating rate of temperature was proportional to the glass transition  
141 temperature ( $T_g$ ) of the specimen being cured, to ensure each SMP had an equal curing time  
142 before reaching its  $T_g$  (**Table 1**). During the curing process, we observed a slow loss of vacuum  
143 potentially caused by the pressure increase associated with the heating. To maintain a  
144 consistent vacuum, we resealed the oven in intervals of an increase of 7.5°C, by reestablishing  
145 the vacuum (-0.4 bar) and quickly purging the system with nitrogen. Upon completion of the  
146 curing step, the SMP specimens were carefully removed from the molds and stored in a vacuum  
147 desiccator (Bel-Art Lab) to ensure no moisture contamination occurred before subsequent  
148 thermomechanical characterization experiments.



## 149 2.3 Characterization of the synthesized SMPs

150 The mechanical properties of shape memory polymers vary according to temperature,  
151 especially in the range of their glass transition temperatures. To characterize these temperature-  
152 dependent mechanical properties with various polymer compositions, we conducted a series of  
153 thermomechanical tests, including the dynamic mechanical analysis (DMA), thermogravimetric  
154 analysis (TGA), differential scanning calorimetry (DSC), and uniaxial tensile tests considering  
155 failure and cyclic loading conditions, to pinpoint the glass transition temperature of the SMPs  
156 and to better understand their thermally-dependent mechanical behaviors.

### 157 2.3.1 Dynamic mechanical analysis (DMA)

158 Dynamic mechanical analysis (TA Q800) was used to measure the mechanical properties of  
159 synthesized SMPs. The SMP beam specimens were heated under a nitrogen atmosphere from  
160 20°C to 120°C at a heating rate of 5°C/min and in the tension mode with a cyclic frequency of 1  
161 Hz. DMA studies revealed the significant mechanical and thermal properties of the samples,  
162 such as storage modulus, loss modulus and glass transition temperature.

### 163 2.3.2 Thermogravimetric analysis (TGA) and differential scanning calorimetry (DSC)

164 Thermal analysis data were measured by both thermogravimetry (TA Q50, TA Instruments)  
165 and differential scanning calorimetry (TA Q20, TA Instruments). All measurements were  
166 performed under nitrogen environment. In brief, the thermal degradation behavior of the samples  
167 was recorded with heating from room temperature to 600°C at a rate of 10°C/min. An in-house  
168 MATLAB (MathWorks) program was used to determine the onset temperature of thermal  
169 degradation, which was used as reference for the ensuing DSC measurements. The program  
170 performed a linear regression on a section of each specimen's TGA curve below  $T_g$ , and another  
171 linear regression of the region on the TGA curve between 90% and 85% mass. The intersection  
172 of these two lines was determined to be the threshold of thermal stability. DSC measurements  
173 were carried out by: (1) heating from 20°C to 160°C at a rate of 5°C/min, (2) cooling to 20°C at  
174 50°C/min, (3) maintaining for 3 min at 20°C, and then (4) repeating the above procedures. DSC  
175 studies revealed the significant thermal properties of the samples, such as the glass transition  
176 temperature. All the DSC data presented in this study were from the second heating cycle.

## 177 2.4 Mechanical testing for the synthesized SMPs

178 Before performing tensile and cyclic testing on the SMP dog-bone specimens, the overflow  
179 region was removed to produce a clean finish on both sides of the specimen and eliminate

180 imperfections. The samples were polished using a custom designed and 3D printed mount on a  
181 rotary polishing machine (LaboPol-5, Struers). Once polished, the width and thickness of the  
182 testing region were measured thrice each and averaged. Tensile failure testing was conducted  
183 using a uniaxial tensile testing system (Instron 5969, Instron). Double-sided padded tape was  
184 applied to both sides of each gripping region before mounting to prevent slippage during testing.

185 Failure testing was conducted at  $10^{\circ}\text{C}$  above the  $T_g$  of each specimen in a temperature  
186 regulated environment on the Instron. The specimens were mounted in three steps. First, the  
187 base of the sample was clamped into the bottom set of grips and allowed to heat up to the  
188 temperature of the testing environment. Second, the top section was clamped into the top set of  
189 grips, and the distance between the two grips was measured with a caliper. After measuring the  
190 distance between the grips, the extension reading on the Instron was zeroed, and as the sample  
191 returned to testing temperature the grip positions were adjusted to keep the measured load as  
192 close to zero as possible. Finally, both sets of grips were tightened to make up for the relaxation  
193 of the SMP past its  $T_g$ . Once the sample reached testing temperature and the measured load  
194 was returned to zero, the extension measured by the Instron testing machine was added to the  
195 previously measured length and the extension was zeroed once again. This value was recorded  
196 as the initial length of the specimen. Upon starting the test, the specimens were subjected to a  
197 displacement of 2 mm/min until failure. Five failure tests were completed per specimen, and the  
198 best three were selected for characterization purposes based on relative consistency of the  
199 elastic modulus and failure stress values.

200 The procedures for cyclic testing closely resembled those for failure testing. Another set  
201 of dog-bone specimens were tested at  $10^{\circ}\text{C}$  above  $T_g$  and the same three step mounting  
202 procedures were exercised as previously mentioned. For the cyclic tests, each sample  
203 underwent three cycles of preconditioning at 25% of the failure strain as determined during  
204 failure testing. After the preconditioning step, the samples underwent ten loading and unloading  
205 cycles of the previously determined 50% failure strain. Both preconditioning and cycling steps  
206 were carried out at the same strain rate of 2 mm/min as the failure tests.

## 207 2.5 Quantification of shape recovery capability

208 The shape recovery function of the synthesized SMPs was investigated by bending a straight  
209 beam sample at a  $180^{\circ}$  angle, then measuring the time required for full recovery at various  
210 temperatures. [We followed a method similar to the recovery tests employed by Lin et al. and](#)  
211 [Lan et al. \(Lan et al., 2009; Lin and Chen, 1998a, b\).](#) In brief, the initial bend was achieved using

212 a 3D printed mold. The beam was heated above its glass transition temperature, and then placed  
213 into the mold where the specimen could cool and maintain its shape at the desired angle. To  
214 measure the recovery time, a video camera was placed directly above a beaker of water on a  
215 hot plate. The bent sample was held with forceps on a ring stand and swiftly lowered into the  
216 heated water bath, where the SMP specimen was fully recovered. The video was analyzed frame  
217 by frame to determine the elapsed time between any two specific angles of 45, 90, 135, 165,  
218 and 180 degrees. This procedure was conducted using water baths at  $T_g$ ,  $T_g+5^\circ\text{C}$ , and  $T_g+10^\circ\text{C}$   
219 for each sample. Three repeated recovery tests were conducted at each of the above  
220 temperature levels, resulting in a total of 9 recovery time measurements for each SMP  
221 composition.

## 222 3. Results

### 223 3.1 DMA results

224 All SMP compositions showed a single steep transition in their shear storage modulus, each  
225 occurring at a different temperature threshold (**Fig. 2a**). A  $\tan(\delta)$  plot (**Fig. 2b**) was used to  
226 determine the glass transition temperature of each SMP composition. These values were taken  
227 at the peak of the  $\tan(\delta)$  plot and decreased monotonically from SMP1 to SMP12, ranging from  
228  $83.2^\circ\text{C}$  to  $32.3^\circ\text{C}$  (**Table 2**). The storage moduli generally increased from SMP1 to SMP12;  
229 however, SMP10 exhibited exceptionally large values both above and below its glass transition  
230 temperature. Another factor which varied with the SMP composition was the change in the  
231 storage modulus from  $T_g-5^\circ\text{C}$  to  $T_g+15^\circ\text{C}$ . With a few exceptions, the storage modulus of each  
232 specimen was reduced by a factor of 20-30 times its value at  $T_g-5^\circ\text{C}$  when raised to  $T_g+15^\circ\text{C}$ .  
233 Shear modulus values at both temperatures tended to be larger for specimens nearer to SMP12,  
234 but there was not a consistent increase from one composition to another. A notable outlier is the  
235 shear modulus of SMP10 at  $T_g+15^\circ\text{C}$ , which is exceptionally large compared to the other  
236 compositions.

### 237 3.2 TGA results

238 The TGA testing results (**Fig. 3**) show two major slopes occurring near  $300^\circ\text{C}$  and  $400^\circ\text{C}$ .  
239 The distinction between these two slopes becomes more pronounced for SMP compositions  
240 closer to SMP12 that contain high percentages of the TEA. Values for the onset of thermal  
241 degradation were determined for each composition with values, showing no consistent trend,  
242 ranging from  $268.2^\circ\text{C}$  to  $284.7^\circ\text{C}$  (**Table 2**). We determined the temperature at which each SMP  
243 composition degraded to 90% of its original weight. This value varied little between specimens,

244 ranging from 275°C to 293°C (**Table 2**). Generally, this value increased from SMP1 to SMP12,  
245 but with an appreciable variation between individual compositions. The temperature required to  
246 degrade the SMPs to 50% weight varied more than the values for 90% degradation, ranging  
247 from 356.6°C to 316.5°C; however, these values showed a more uniform increase from SMP1  
248 to SMP12 (**Table 2**).

### 249 3.3 DSC results

250 The results of the DSC tests were used as a secondary means of determining the  $T_g$  of each  
251 SMP composition (**Fig. 4** and **Table 2**). To extract these values, we used the local minimum of  
252 the resulting heat flow plots (**Fig. 4**), showing a monotonic decrease from SMP1 to SMP12. Such  
253 a monotonic decrease is also reflected in the  $T_g$  of the SMP compositions, ranging from 87°C to  
254 33°C. These  $T_g$  values from the DSC testing generally agree with the values determined using  
255 the  $\tan(\delta)$  plot in the DMA tests (**Fig. 2**). However, the  $T_g$  values determined using DSC analysis  
256 are consistently higher than those from DMA and  $\tan(\delta)$  analysis, but the difference is small  
257 enough to attribute to differences arising from the method of determination. The same difference  
258 was observed in the analysis performed by Wilson et al. (Wilson et al., 2007).

### 259 3.4 Uniaxial tensile testing results

260 Under uniaxial tensile failure tests, the SMPs exhibited a sharp decrease in the failure stress  
261 and the failure strain from SMP1 to SMP3 and an increase in both failure stress and failure strain  
262 from SMP3 to SMP12 (**Fig. 5** and **Table 3**). The trends in the data are nonlinear, with large  
263 increases near compositions SMP12 and SMP1 (**Fig. 5**). The maximum failure stress and strain  
264 occur at SMP12 with values of 6.88 MPa  $\pm$  0.29 MPa and 54.4%  $\pm$  2.97%, respectively. The  
265 minimum stress and strain occur at SMP3 with values of 3.34 MPa  $\pm$  0.16 MPa and 16.2%  $\pm$   
266 0.72%, respectively. For most of the specimens, we observed a decrease in both failure stress  
267 and strain as the HPED content increased in the SMP composition.

268 As for the uniaxial tensile cyclic tests, the SMPs show a noticeable relaxation behavior under  
269 cyclic tensile testing. This can be seen in the representative specimen (**Fig. 6a**). The relaxation  
270 behavior is different depending on the specimen composition, and it generally decreases from  
271 SMP1 to SMP12. However, this decrease is not uniform and requires more data collection before  
272 any concrete trends relating to composition can be identified. Within individual specimens, the  
273 relaxation behavior followed a regular pattern (**Fig. 6a**), exhibiting large but decreasing  
274 relaxation during the first six cycles and then transitioning to uniform small relaxation during later  
275 cycles. The maximum reduction observed at the end of the tenth cycle was 26.9%  $\pm$  3.93% for

276 SMP1, while the minimum was observed to be  $1.15\% \pm 0.04\%$  for SMP9. The elastic moduli of  
277 the SMPs were also affected by the cyclic loading, decreasing sharply during the first two cycles  
278 but remaining nearly constant after the fourth (**Fig. 6c**). The elastic modulus also varies with the  
279 SMP composition, with a gradual decrease from SMP1 to SMP12. SMP1 displayed the largest  
280 elastic modulus with a value of  $22.58 \text{ MPa} \pm 0.08 \text{ MPa}$ , while SMP 12 displayed the smallest,  
281 with a value of  $13.14 \text{ MPa} \pm 0.31 \text{ MPa}$  (**Table 3**).

### 282 3.5 Shape recovery capability

283 The SMPs showed a consistent temperature dependence in their shape recovery behavior,  
284 an example of which is shown in **Figure 7**. Among individual specimens, the SMPs showed a  
285 slower recovery response between the initiation of the test and the first  $45^\circ$  of recovery, a fast,  
286 linear response between  $45^\circ$  and  $135^\circ$ , and a nonlinear deceleration as it approached a full  $180^\circ$   
287 recovery. The results of the recovery tests indicated no significant trends in the recovery time  
288 with relation to the SMP composition. There was a tendency for specimens with a high TEA  
289 content (closer to SMP12) to recover faster than those with a high HPED content (closer to  
290 SMP1). However, several SMP compositions fell outside of this trend that it cannot be  
291 considered significant. **Figure 8** shows a direct comparison of the recovery test results at  $T_g + 5^\circ\text{C}$   
292 among 3 selected SMP compositions (SMP3, SMP7, and SMP11).

## 293 4. Discussion

### 294 4.1 Overall findings and relevance to endovascular embolization treatment for ICAs

295 The thermomechanical characterization of the aliphatic urethane SMPs provided a closer  
296 look at the shift in material properties that occurs as each SMP reaches its  $T_g$ . The DMA results  
297 showed a single sharp transition in the shear storage modulus for all compositions (**Fig. 2a**). We  
298 observed that this transition occurs at different temperature levels depending on the SMP  
299 composition, with higher glass transition temperatures corresponding to higher concentrations  
300 of HPED. In this study, the glass transition temperature of the SMP specimen was determined  
301 from these transitions with SMP compositions tested, ranging from  $83.2^\circ\text{C}$  to  $32.3^\circ\text{C}$ . In the  
302 context of implantable embolic devices, the SMP needs to possess a  $T_g$  above body temperature  
303 ( $37^\circ\text{C}$ ) but below the threshold for tissue damage ( $45^\circ\text{C}$ ) (Wang et al., 2014). If the  $T_g$  is below  
304 body temperature, then the implant would constantly exist in a malleable state and not hold any  
305 one specific shape; however, at temperature levels greater than  $45^\circ\text{C}$ , bodily tissues can begin  
306 to take damage. This desired threshold falls within our observed  $T_g$  values, suggesting that we

307 can synthesize an aliphatic urethane SMP by employing the techniques detailed in this study,  
308 which transitions at a temperature suitable for applications in the human body.

309 Moreover, uniaxial mechanical testing was conducted using the SMPs to determine their  
310 material strength and investigate how the strengths varied with composition. The failure test  
311 results suggested that higher values for both failure stress and strain occur in compositions with  
312 lower HPED contents, but the trend is nonlinear with significant variances at SMP3 (**Fig. 5**).  
313 Because of its irregular trends, this data will be difficult to use in a predictive manner, but it  
314 implies that there may be more complex changes associated with the SMP's composition than  
315 we previously expected. With a wider range of compositions and larger sample sizes for each  
316 composition, future studies could identify trends which could allow fabrications of SMP-based  
317 biomedical devices with specific material strengths.

318 Cyclic tensile testing was performed to investigate changes in the behavior of the SMP  
319 under repeated loading. The two major properties that we investigated were the elastic modulus  
320 and the peak stress value at 50% failure strain (**Table 3**). GDC-based coils are designed to be  
321 left in the body for the remainder of a patient's lifetime, so it is important that the SMP materials  
322 used for this endovascular embolization application will not relax over time, resulting in the  
323 aneurysm recurrence. One behavior that the cyclic testing revealed was a noticeable reduction  
324 in the peak stress, with most of the reduction occurring during the first few cycles. This stress  
325 reduction reached a maximum value of  $26.9\% \pm 3.93\%$  in SMP1 with respect to the first cycle,  
326 and the next highest values fell near the range of 8%-9% for SMPs 2-5. The relaxation behavior,  
327 which is not a desirable quality in the context of a permanent embolization device, was more  
328 pronounced for SMPs containing more HPED contents. The compositions containing large  
329 quantities of TEA contents exhibited less relaxation, reaching values as low as  $1.15\% \pm 0.04\%$   
330 for SMP9 and  $1.92\% \pm 1.36\%$  for SMP11. However, due to a small sample size for our cyclic  
331 tests, we were not able to identify any quantitative relationship between the SMP composition  
332 and the stress relaxation behavior. In addition, the elastic modulus also varied with cyclic loading,  
333 but only during the first few cycles of the test. The elastic modulus values decreased sharply  
334 during the first cycle, but quickly reached a constant value around the third or fourth cycle (**Fig.**  
335 **6a**). Even though the changes in elastic modulus are small, it is in our interest to minimize any  
336 changes in material properties once the SMP is introduced into the body. Since we were able to  
337 observe both the stress relaxation and elastic modulus approaching a stable point in the latter  
338 cycles of our tests, we expect that it would be necessary to design the embolization devices to

339 undergo pre-cycling before implantation, minimizing the effects of initial relaxation when the  
340 device is administered.

341 Another important factor in designing an embolic device made from SMPs is the shape  
342 recovery behavior which occurs when the polymer transitions from a deformed state to its un-  
343 stressed state. The recovery tests conducted in this study focused on the time required for the  
344 SMP to recover its shape. For endovascular embolization of ICAs, short recovery time of the  
345 SMP-based device is an important design criterion to avoid the prolonged heating of body tissues  
346 during device deployment. We showed the recovery behavior of the SMPs to be temperature  
347 dependent, speeding up as temperatures increased past the  $T_g$ . At  $T_g+10^\circ\text{C}$ , with no composition  
348 taking more than 10.3 seconds to fully recover from a  $180^\circ$  bend. There was noticeable variation  
349 among different compositions, and it is very likely that a more complex relationship exists  
350 between the SMP composition and the polymer's recovery behavior. Such relationships are  
351 beyond the scope of this study and could be further investigated in the future. The quick recovery  
352 time displayed by all compositions is promising for our continued efforts toward the development  
353 of an improved aneurysm embolization device. If a device made using this SMP material could  
354 be intravenously moved to its target location and then reconfigured in a matter of seconds, it  
355 would have the ability to improve a great number of medical procedures.

#### 356 4.2 Study limitations and Future Work

357 This study featured a comprehensive set of thermomechanical characterization  
358 experiments, and as a result had a plethora of limiting factors that could have contributed to the  
359 variations in our data. The most prominent of these limitations is a relative smaller sample size  
360 for our cyclic tensile test, failure test, and recovery test. Two sets of data for each composition  
361 were taken during cyclic testing, and three were taken for each composition during failure testing.  
362 For the recovery tests, three trials were performed for each temperature point for each  
363 composition. The focus of this study was to conduct a broad analysis of aliphatic urethane shape  
364 memory polymers with varying SMP compositions. Consequently, we sacrificed the data  
365 statistical meaningfulness that comes with a large sample size to instead survey a wide range  
366 of compositions for trends and patterns. As future extensions based on the results of this general  
367 characterization, we plan to focus on a single composition range and collect more thorough  
368 measurements to quantitatively define the trends observed in this study.

369 Within the uniaxial failure and cyclic tensile tests, there are several factors that could have  
370 affected our results. The samples that we used were all synthesized at the beginning of our

371 testing period, and so it is possible that the ones that were tested later in the study could have  
372 changed over time as they were stored (e.g., absorbing moisture). This could be remedied by  
373 testing each composition at the same amount of time after synthesis to ensure age is constant.  
374 The sample were attached to the uniaxial tester using double sided tape to avoid slippage.  
375 Deformations in this tape layer or slight slippages on the adhesive could have resulted in skewed  
376 results. However, since all samples were tested the same way, the error due to this mounting  
377 method should be consistent. Small imperfections in the samples, such as bubbles or  
378 heterogeneity in the monomer mixtures, could have also resulted in differences between  
379 samples in a composition. These errors can be reduced as the synthesis procedure is perfected,  
380 and researchers should be careful to select only pristine samples for testing.

381 The recovery tests we conducted had many aspects that can be improved upon. Our  
382 measurement method relied on visual inspection to determine the angular position of the sample  
383 and the frame at which the position of interest was reached. From the frame analysis, we  
384 determined time elapsed. This entire measurement method is subject to human error in multiple  
385 places, which is difficult to account for. It would be beneficial to determine a more exact way to  
386 measure recovery. Some samples did not return completely to a straight angle, and others began  
387 their deformation at an angle other than  $180^{\circ}$ . While the recovery times were still useful for our  
388 analyses, a study looking to definitively quantify the recovery response of these materials would  
389 need to better define the start and end conditions for the tests.

390 It is essential that endovascular devices are visible under x-ray based fluoroscopy so that  
391 physicians can pinpoint their location and orientation during device deployment. Urethane-based  
392 shape memory polymers are typically invisible to radiographic imaging techniques, and,  
393 therefore, the addition of radio-opaque additives to the polymer composition is necessary for  
394 their use in the endovascular embolization applications. For instance, Wong et al. created  
395 composite blends of poly (DL-lactide-co-glycolide) (PLGA) with both tantalum and bismuth (III)  
396 oxychloride, which appeared clearly in radiographic images whereas the shape memory effect  
397 can be maintained (Wong et al., 2016). While not investigated in this study, we plan to examine  
398 different radio-opaque additives in our aliphatic urethane SMP and determine any resulting  
399 changes in the SMP material properties.

400 The use of heat as an activation mechanism of SMP shape recovery poses many  
401 challenges, especially in an area as sensitive as the brain artery vessel tissues. Although our  
402 study has identified a range of SMP compositions that transition at biologically safe temperatures,



403 the challenge of delivering the thermal stimulus remains. There is a wealth of literature  
404 discussing diverse activation techniques, many of which are based on the indirect delivery of  
405 thermal energy to the material. These methods include, but are not limited to, Joule heating with  
406 the addition of conductive inclusions, optical heating achieved using wavelength specific dyes  
407 and a matching laser light source, and magnetic stimulation of nanoparticles (Huang et al., 2013;  
408 Small et al., 2007). Another activation technique uses chemical interactions to lower the  $T_g$  of  
409 the SMP below ambient temperature, triggering the shape memory effect. This effect occurs  
410 slowly in polyurethane SMPs, and quickly in hydrogels, when the materials are exposed to water  
411 (Huang et al., 2005; Lu and Du, 2014; Salvekar et al., 2017; Wong et al., 2016). As part of our  
412 future extensions, we plan to test a wide range of activation techniques to determine the method  
413 most suitable for the deployment of an endovascular embolization device. Because of the slow  
414 reaction to water that has been observed in polyurethane SMPs from the research of Huang et  
415 al. and Lu et al., we also intend to study the long-term effects of moisture on our embolic devices  
416 after deployment (Huang et al., 2005; Lu et al., 2014).

#### 417 4.3 Conclusion

418 This study aimed to characterize a range of compositions of aliphatic urethane shape  
419 memory polymers for their potential use in the treatment of intracranial aneurysms. In specific,  
420 we developed a detailed synthesis procedure for the SMPs to provide our study with a variety of  
421 compositions and inform future studies seeking to utilize the same material. We have  
422 investigated the thermomechanical properties including the glass transition temperature and  
423 thermal stability of each composition, and we have also found that compositions between SMP9  
424 and SMP11 possess transition temperatures between body temperature and the threshold of  
425 tissue damage. This is the optimal  $T_g$  range for allowing the polymers to remain functional  
426 within the body without causing any tissue damage due to the heating associated with shape  
427 change triggering. We have also found that within our desired operating temperatures, all SMP  
428 compositions are thermally stable regarding the endovascular embolization procedure. We have  
429 also characterized the mechanical properties of the SMPs and identified decreases in both  
430 maximum stress and elastic modulus with cyclic loading. Our results showed that in SMPs closer  
431 to SMP12, these decreases were not as prominent. Since any changes in material properties  
432 during the lifetime of an implanted device are detrimental, the SMP compositions near SMP12  
433 are more desirable in the context of endovascular embolization treatment for ICAs. Finally, we  
434 have tested the recovery time of each polymer and showed that all the SMP compositions are

435 capable of recovering from a 180° bend within 10.3 seconds. Using knowledge from the broad  
436 characterization performed in this study, we have identified a range of compositions between  
437 SMP9 and SMP11 that most accurately meet our criteria with their great potential for the  
438 individualized treatment of intracranial aneurysms, and they will be analyzed further in more  
439 detail as a part of future studies.

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**Conflicts of Interest**

None of the authors have a conflict of interest with the present work.

## Tables

**Table 1.** Percent monomer content, monomer-mixture stirring time, and the curing heating rate for all the twelve SMP compositions.

	Monomer Content (%)			Stirring Time (seconds)	Heating Rate (°C/hour)
	HDI	HPED	TEA		
SMP1	53.5	46.5	0.0	150	30.0*
SMP2	53.9	44.5	1.6	170	29.6
SMP3	54.3	42.5	3.2	200	29.2
SMP4	55.1	38.4	6.5	225	26.4
SMP5	56.0	34.1	9.9	240	25.2
SMP6	56.9	29.7	13.4	255	23.6
SMP7	57.8	25.1	17.1	270	21.1
SMP8	58.8	20.4	20.8	285	18.5
SMP9	59.7	15.6	24.7	310	15.9
SMP10	60.7	10.6	28.7	330	12.5
SMP11	61.8	5.4	32.8	350	9.6
SMP12	62.3	2.7	35.0	445	8.5

\*Suggested same heating rate for SMP curing in Wilson et al. (Wilson et al., 2007).

**Table 2.** Glass transition temperature ( $T_g$ ) and storage modulus from the DMA tests (c.f. **Fig. 2**),  $T_g$  from the DSC tests (c.f. **Fig. 4**), and the temperature levels associated with 90% and 50% remaining weights of the SMPs from the TGA tests (c.f. **Fig. 3**).

	DMA			DSC	TGA		
	$T_g$ (°C)	Storage modulus at $T_g-5^\circ\text{C}$ (MPa)	Storage modulus at $T_g+15^\circ\text{C}$ (MPa)	$T_g$ (°C)	Temperature (°C) associated with the onset of thermal degradation	Temperature (°C) associated with 90% remaining weight	Temperature (°C) associated with 50% remaining weight
SMP1	83.2	403.3	13.3	87	276.6	289.5	356.6
SMP2	79.5	442.0	13.4	83	278.2	288.7	353.6
SMP3	72.6	459.4	15.7	76	276.6	286.3	351.4
SMP4	65.7	529.6	19.3	73	284.7	293.5	351.0
SMP5	61.1	563.4	22.4	67	277.5	287.1	342.8
SMP6	55.5	589.8	26.8	63	276.8	285.5	341.2
SMP7	52.5	649.9	23.7	56	275.9	284.5	338.1
SMP8	47.5	759.4	46.0	53	278.4	285.8	333.8
SMP9	42.6	706.4	24.6	45	276.7	284.8	331.0
SMP10	37.2	882.7	142.7	39	270.8	279.2	321.2
SMP11	33.9	830.9	43.8	34	268.2	275.5	316.5
SMP12	32.3	867.7	23.9	33	272.8	279.3	318.7

**Table 3.** Failure stresses and failure strains from the uniaxial tensile failure testing (c.f. **Fig. 5**) and the stress reductions and the calculated elastic modulus from the uniaxial cyclic tensile testing (c.f. **Fig. 6**) for all the twelve SMP compositions. **Tensile tests conducted at Tg+10°C.**

	Uniaxial Tensile Failure Test		Uniaxial Cyclic Tensile Test		
	Failure stress (MPa)	Failure strain (%)	Cumulative stress reduction (%)		Elastic modulus at the 10 <sup>th</sup> cycle (MPa)
			2 <sup>nd</sup> cycle w.r.t. 1 <sup>st</sup> cycle	10 <sup>th</sup> cycle w.r.t. 1 <sup>st</sup> cycle	
SMP1	4.68 ± 0.23	26.5 ± 2.11	7.66 ± 0.42	26.9 ± 3.93	22.58 ± 0.08
SMP2	3.78 ± 0.21	22.1 ± 1.24	3.36 ± 0.98	7.88 ± 2.16	20.74 ± 0.52
SMP3	3.34 ± 0.16	16.2 ± 0.72	1.83 ± 0.59	9.08 ± 4.58	18.97 ± 0.33
SMP4	3.84 ± 0.07	20.9 ± 0.32	3.14 ± 0.03	9.06 ± 0.54	19.84 ± 0.04
SMP5	3.74 ± 0.22	25.3 ± 0.76	3.30 ± 0.62	8.39 ± 1.66	18.80 ± 0.82
SMP6	4.11 ± 0.17	28.7 ± 0.83	2.79 ± 0.03	6.64 ± 0.49	20.39 ± 1.48
SMP7	4.29 ± 0.11	30.9 ± 3.14	2.28 ± 0.29	5.68 ± 0.37	18.50 ± 0.18
SMP8	4.45 ± 0.43	31.6 ± 2.44	2.26 ± 0.25	6.70 ± 0.24	19.04 ± 0.77
SMP9	4.76 ± 0.28	32.7 ± 0.58	0.41 ± 0.12	1.15 ± 0.04	18.34 ± 2.12
SMP10	4.74 ± 0.14	36.5 ± 2.14	0.51 ± 0.09	7.42 ± 0.03	16.32 ± 0.52
SMP11	5.25 ± 0.55	43.2 ± 6.29	0.80 ± 0.47	1.92 ± 1.36	15.26 ± 0.25
SMP12	6.88 ± 0.29	54.4 ± 2.97	0.93 ± 0.06	3.34 ± 0.85	13.14 ± 0.31

## Figure Captions

**Figure 1** – (a) Top-view schematic of the in-house equipment used in the shape memory polymer synthesis. (b) An illustration of the synthesis procedure showing specifically (i) the measurement of each monomer, (ii) the mixture of monomers to form the polymer, (iii) the deposition of the mixture into previously cast molds, and (iv) the curing of the mixture in a vacuum oven.

**Figure 2** – (a) Shear storage modulus of all the twelve SMP compositions as directly measured from the DMA tests, and (b)  $\tan(\delta)$  curves as derived from the DMA testing results for determining the  $T_g$  of each SMP composition.

**Figure 3** – TGA results showing the decomposition of the SMP with increasing temperature.

**Figure 4** – DSC results used for determinations of the  $T_g$  for each SMP composition.

**Figure 5** – Mean  $\pm$  SEM of the failure stress (blue filled squares) and failure strain (red filled circles) for all the twelve SMP compositions ( $n=2$ ) under uniaxial tension testing ( $T_g+10^\circ\text{C}$ ).

**Figure 6** – Representative cyclic mechanical testing results (SMP3) when tested at 50% of the observed failure strain ( $T_g+10^\circ\text{C}$ ) showing: (a) the relaxation trend in the peak stress with an increasing number of cycles, (b) the increase in the cumulative stress reduction and (c) the convergence of the elastic modulus with an increasing number of cycles.

**Figure 7** – Mean  $\pm$  SEM of the recovery testing time for a representative SMP composition (SMP3,  $n=3$ ) showing the consistent trend of reduced recovery time with an increased temperature.

**Figure 8** – Representative experimental photos of the recovery testing for three representative SMP compositions (SMP3, SMP7, and SMP11) at defined time increments ( $t = 0$  sec,  $t = 2$  sec,  $t = 4$  sec, and  $t = 6$  sec), showing the observed trend of a decreasing recovery time with an increasing TEA content.

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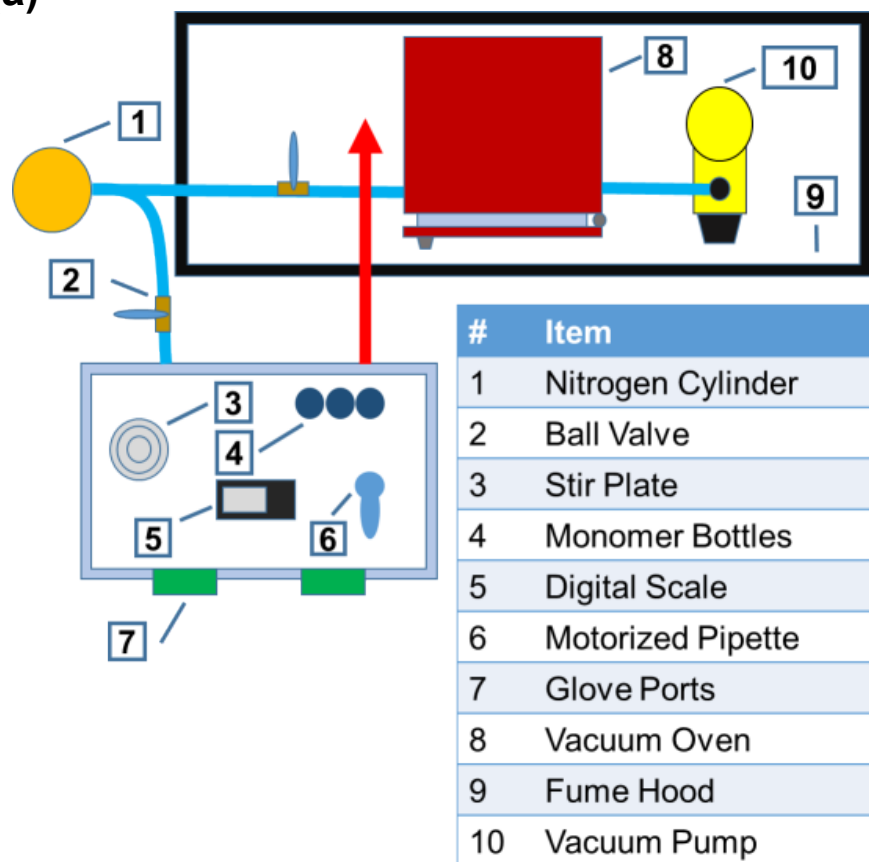
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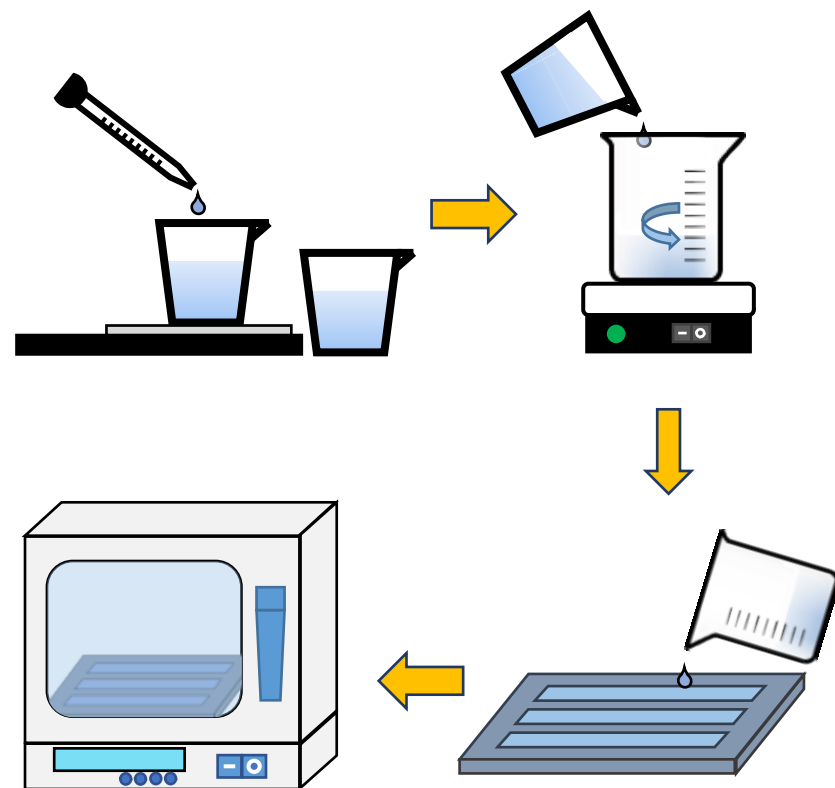
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(a)



(b)



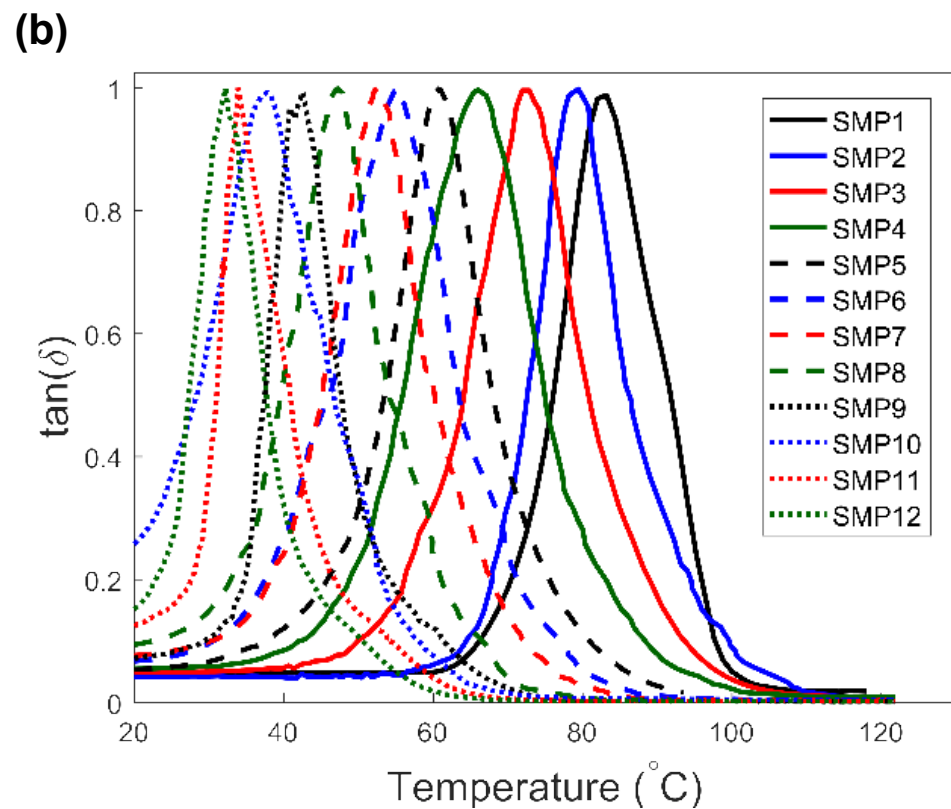
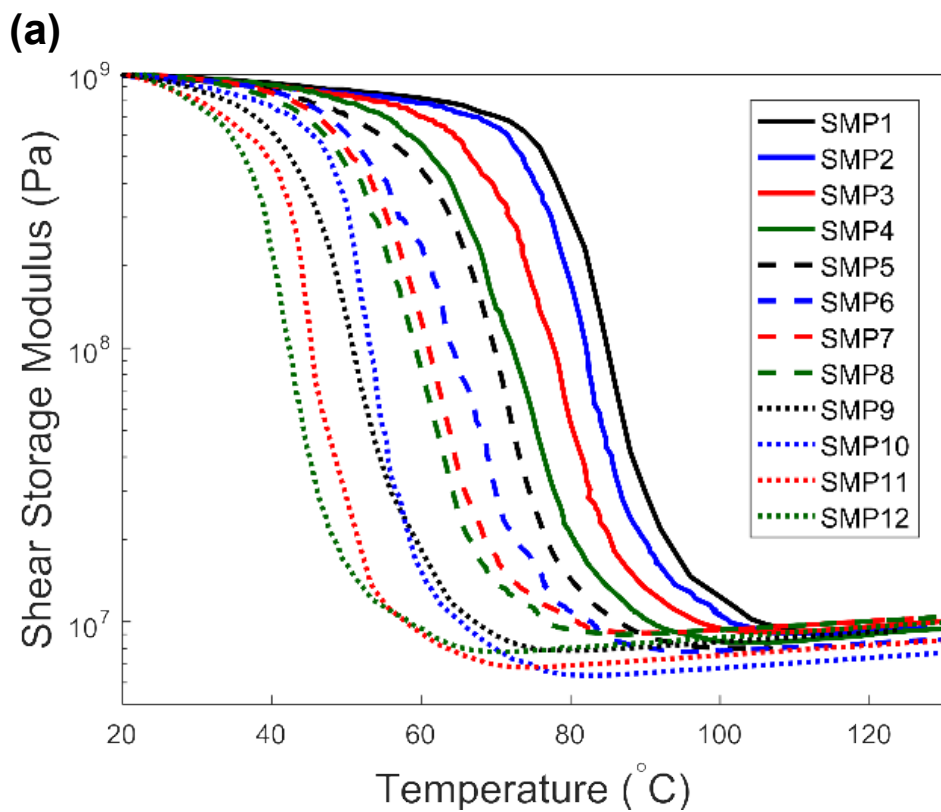
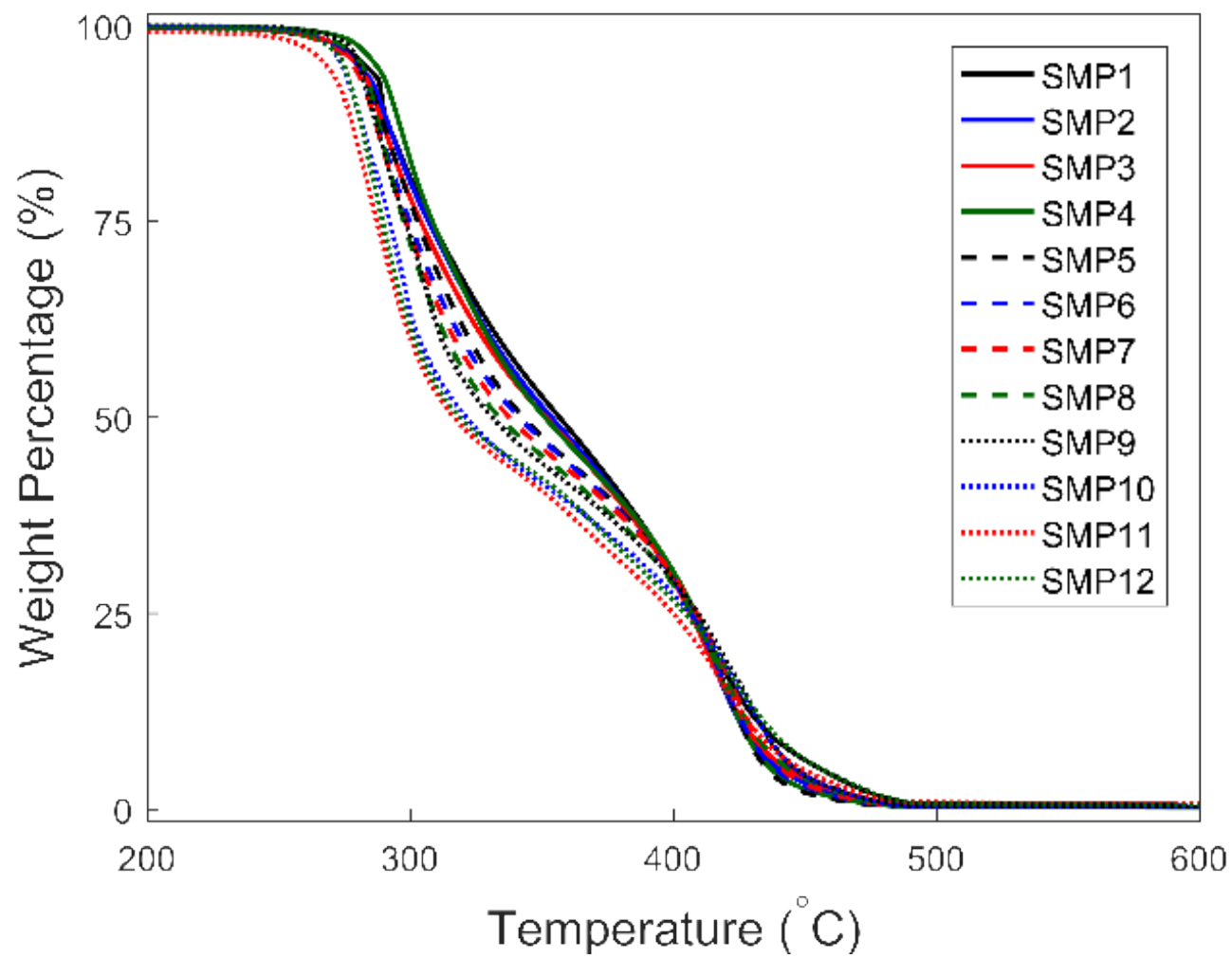


Figure 3



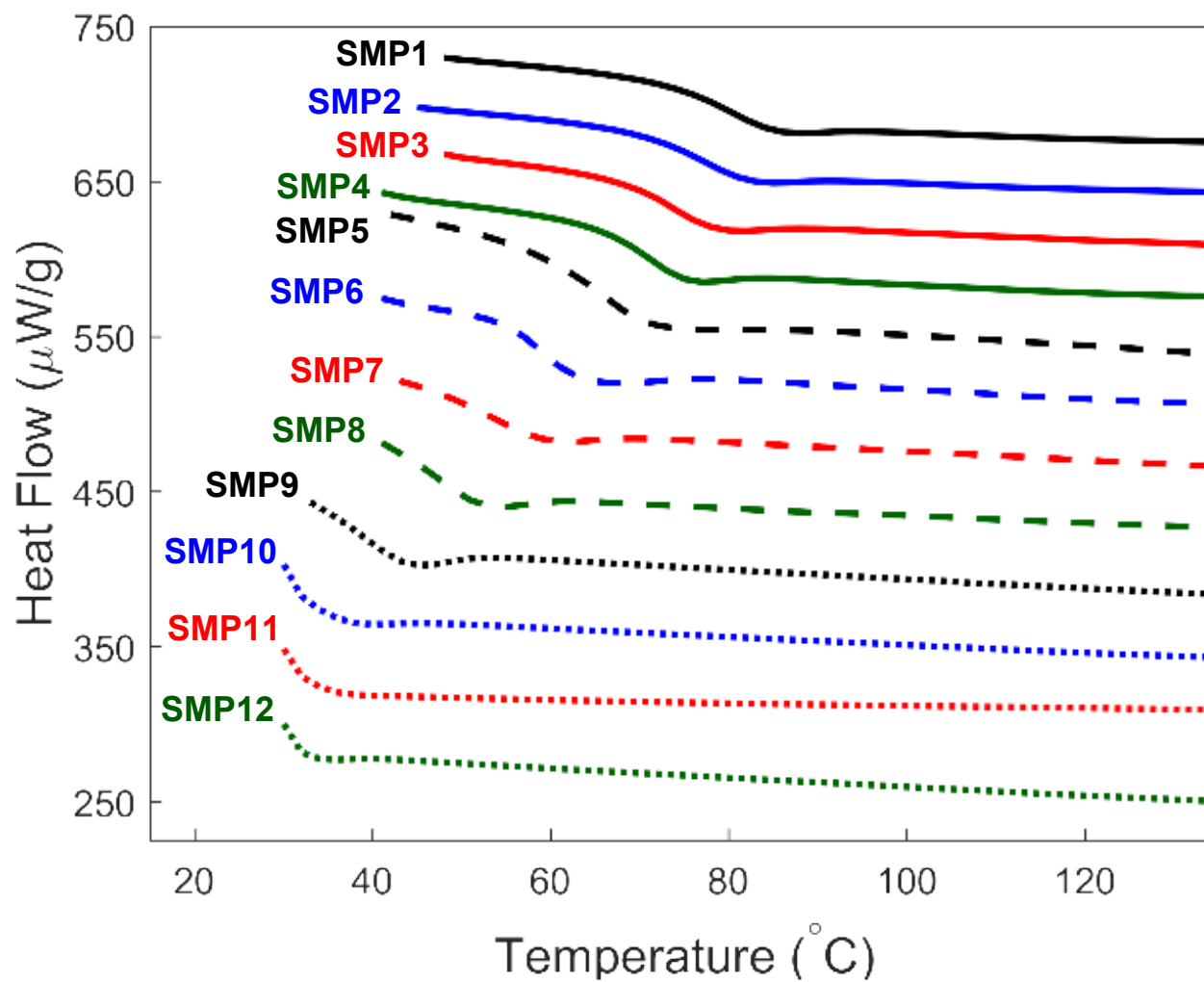


Figure 5

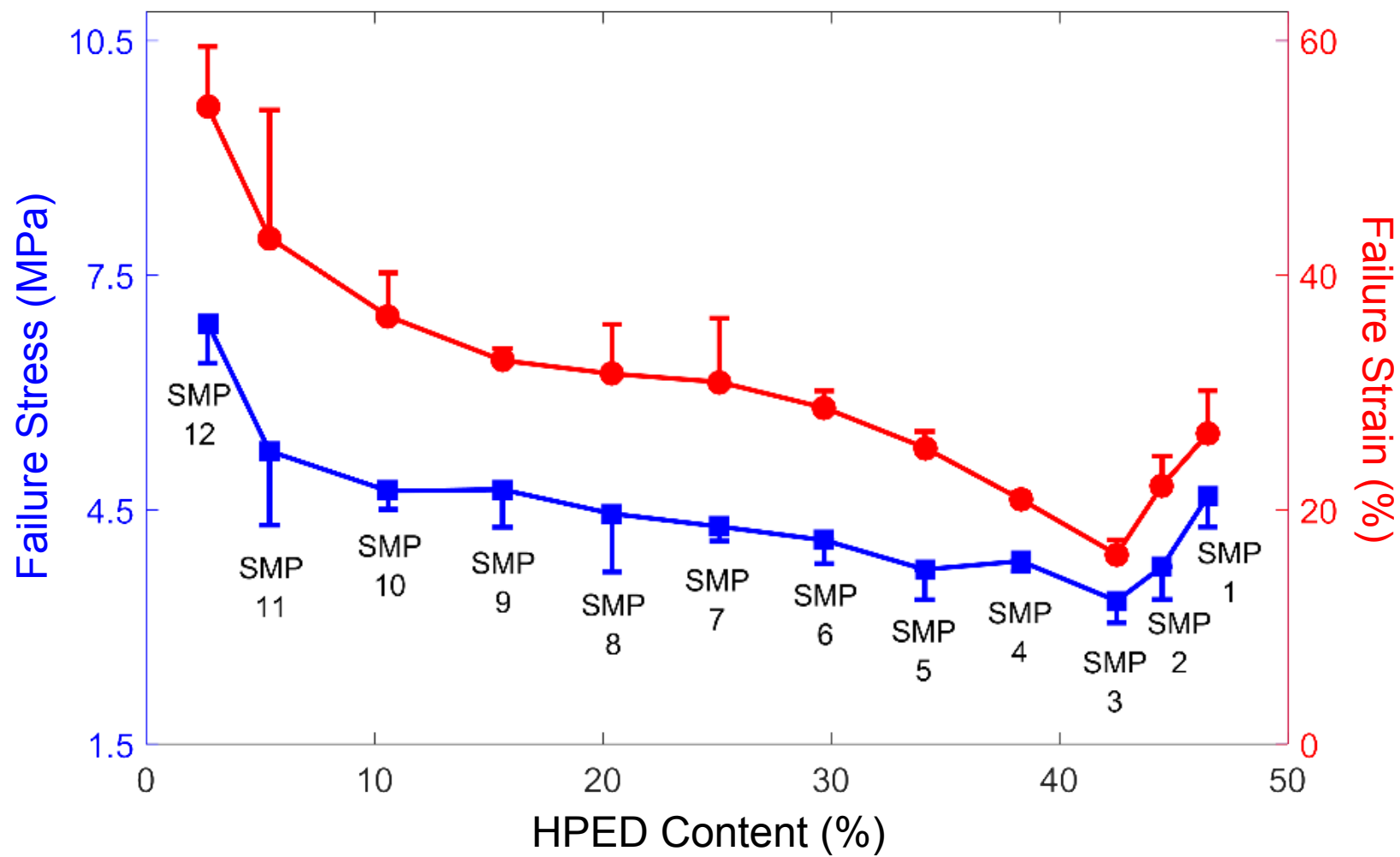


Figure 6

