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1 Progressive stirred freeze-concentration of ethanol- 2 water solutions

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11 **Abstract**

12 Progressive freeze-concentration is a technology to separate water from solutions by
13 freezing. In the present investigation, ethanol-water solutions were freeze-concentrated by
14 the progressive stirred technique. The freezing stage was carried out in a stirring vessel.
15 Solute recovery by the fractionated thawing of ice was also studied. The effects of stirring
16 speed (500, 1000, and 2000 rpm), initial concentration of the solution (3%, 5%, and 8%
17 ethanol), and temperature of the thawing stage (0, 10, and 20 °C) on the solute yield and
18 average distribution coefficient were determined using response surface analysis. The
19 ethanol concentration was found to have increased by 1.3 and 2.1 times at the end of the
20 freeze concentration process. It was found that the initial concentration had a significant
21 effect on the distribution coefficient. In addition, the average yield was increased by 28%
22 by fractionated thawing. Subsequently, a non-dimensional analysis of the distribution
23 coefficient was developed to yield a model to predict the distribution coefficient as a
24 function of the Reynolds number, the relationship between the average ice growth rate and
25 the stirring speed, the agitator diameter, and the liquid fraction. This technique proved to
26 be valid with respect to the concentration of ethanol-water solutions, with better yields
27 being obtained at low initial concentrations. This model is the first of its kind to describe the
28 ethanol-water interaction in agitated freeze-concentration systems.

29 **Keywords:** freeze concentration, ethanol, response surface, dimensionless analysis

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NOMENCLATURE			
X_{s0}	Ethanol mass fraction in the initial solution (w/w)	\bar{K}_{app}	Average distribution coefficient (dimensionless)
$X_{s\ ice}$	Ethanol mass fraction in ice (w/w)	Y	Solute yield (dimensionless)
$X_{s\ liq}$	Ethanol mass fraction in the freeze-concentrated liquid fraction (w/w)	CI	Concentration index (dimensionless)
$m_{s\ liq}$	Solute mass in the liquid fraction (kg)	\bar{v}_{ice}	Average ice growth rate ($\mu\text{m/s}$)
m_{s0}	Solute mass in the initial solution (kg)	f	Liquid fraction (dimensionless)
m_{ice}	Mass of the ice sheet (kg)	Ac	Area under the Y vs. f curve (dimensionless)
m_{liq}	Collected liquid mass (kg)	D_a	Diameter of the agitator (m)
m_0	Initial mass (kg)	N	Stirring speed (rps)
ρ_{ice}	Ice density (kg/m^3)	r	Vessel radius (m)
ρ_w	Water density (kg/m^3)	t	Time of freezing (h)
ρ_{et}	Ethanol density (kg/m^3)	h	Ice layer height (m)
ρ	Solution density (kg/m^3)	T_H	Heating temperature ($^{\circ}\text{C}$)
μ_w	Water viscosity (kg/ms)	C_o	Initial concentration (w/w)
μ_{et}	Ethanol viscosity (kg/ms)	V_a	Stirring speed (rpm)
μ	Solution viscosity (kg/ms)		

35 1 Introduction

36 Freeze-concentration (FC) is a technique defined as a method to remove water from
 37 solutions by freezing until the formation and separation of ice crystals occurs. In this way, it
 38 is possible to obtain a product of greater concentration than the initial solution while
 39 preserving its quality (Sánchez et al. 2009). In general, there are three types of FC:
 40 suspension, block and film FC. The first is the most used in the industry for its high
 41 efficiencies, although it is associated with high operating and investment costs (Miyawaki
 42 et al. 2005; Auleda et al. 2011); which is why the researchers have looked for ways to
 43 make other techniques improve their performance (Moreno, Raventós, et al. 2014b;
 44 Moreno, Raventós, et al. 2014a).

45 Film freeze-concentration is an FC method, in which unidirectional crystallization of the
 46 water present in the solution takes place. In this technique, a single layer grows while
 47 being adhered to the walls of the heat exchange surface. The solution is concentrated as it
 48 is circulated on the surface of the formed ice, which grows layer by layer. Due to the

49 formation of a single ice layer, separation of the concentrated solution is facilitated (Liu et
50 al. 1997; Miyawaki, Omote, et al. 2016; Miyawaki, Gunathilake, et al. 2016; Miyawaki et al.
51 2005; Sánchez et al. 2009). Film FC can be classified into two types: plate FC (also called
52 falling film) and progressive FC, as proposed by (Sánchez et al. 2009; Sánchez et al.
53 2011). The main difference between the two techniques is the geometry of the equipment
54 used for the formation of crystals; the falling film FC uses a plate whereas in the
55 progressive FC, concentration of the solute occurs at the bottom or on the walls of a tank
56 or pipe (Sánchez et al. 2009). Further, the progressive FC equipment can be classified into
57 two types based on their design – vertical progressive FC and tubular progressive FC
58 (Miyawaki et al. 2015; Miyawaki & Kitano 2015; Miyawaki et al. 2005; Miyawaki,
59 Gunathilake, et al. 2016).

60 Agitated tanks are used for vertical progressive FC; the growth of a single ice crystal
61 occurs at the base of the tank while it is submerged at a specific velocity in the refrigerant
62 (Miyawaki et al. 2012). On the other hand, a tubular progressive FC consists of two
63 connected tubes; the solution circulates inside the tube while the refrigerant circulates
64 outside, thus generating a solid phase on the inner walls and the concentrated solution
65 flows through the ring that has not yet frozen (Miyawaki et al. 2005). Both techniques have
66 delivered promising results using which it has been possible to demonstrate that both
67 geometries are efficient. In the case of tubular progressive FCs, their high efficiency and
68 ease of scaling is emphasized while in the case of vertical progressive FCs, it has been
69 possible to obtain crystals of high purity (Miyawaki, Gunathilake, et al. 2016). Recently,
70 there was a report on hybrid equipment (Ojeda et al. 2017), which functions as a vertical
71 progressive FC but manages to generate the ice film not only at the bottom but also on the
72 inner walls of the tank, similar to a progressive tubular FC. One of the most important
73 challenges faced by progressive FCs is in increasing the solute recovery (increased
74 separation efficiency) as ice tends to grow with impurities. One strategy to increase the
75 recovered amount is to apply controlled thawing to ice after the FC process, similar to what
76 was done during block FC, also known as freeze-thaw process (Robles et al. 2016).
77 Controlled thawing is usually performed on other equipment than those used to make the
78 progressive FC (Miyawaki et al. 2012; Moreno, Raventós, et al. 2014b). Therefore,
79 research is being conducted to design hybrid equipment that allows high separation
80 efficiencies, easy scalability, and allows the controlled recovery of solutes within the same
81 unit.

82 Progressive FC has been used to recover solutes from products such as wine must
83 (Miyawaki, Gunathilake, et al. 2016; Hernández et al. 2010), ethanol–water solutions
84 (Haizum et al. 2015), juices (Miyawaki, Gunathilake, et al. 2016), and coffee extracts
85 (Gunathilake et al. 2014). The comprehension of ethanol – water solutions is useful for the
86 application of FC to alcohol-containing matrices, such as wines or beers, which present
87 concentration difficulties due to the loss of ethanol and volatile components related to the
88 flavor of the drinks. A water ethanol mixture has a crystallizing line and a melting line that
89 are separated, and thus it can exist together both liquid and solid phases (Kuwahara &
90 Ohkubo 2010). This condition makes the ethanol water mixtures favorable to be separated
91 by freeze concentration techniques, in a temperature range between 0 and -70 ° C,
92 according to the phase diagram proposed by (Ohkubo et al. 1997).

93 The objective of this work was to evaluate a progressive FC technique that combines
94 elements of vertical and tubular progressive FCs and allows us to recover ice in the same
95 equipment; this process will be called progressive stirred freeze-concentration (PSFC)
96 assisted by fractionated thawing. Ethanol-water model solutions were used to study the
97 technique and the effect of initial concentration and stirring speed during the PSFC
98 process on the average distribution coefficient and solute yield were determined. At the
99 same time, a non-dimensional analysis was performed to propose an empirical
100 mathematical model that allows us to calculate the classic variables of the FC in the
101 proposed technique.

102 **2 Materials and methods**

103 *2.1 Materials*

104 Ethanol-water solutions were prepared from distilled water and commercial grade ethanol
105 (Quimics Dalmau, Barcelona, Spain) with an initial concentration of 93.3% (w/w) ethanol.

106 *2.2 Methods*

107 The effect of stirring speed (V_A) and initial concentration (C_0) on the concentration of
108 ethanol in the PSFC equipment was studied. Similarly, the effect of thawing temperature
109 (T_H) on the recovery of solutes was also studied. A freezing temperature of -15 ° C was
110 defined for the initial concentration interval studied. This condition avoids a fast freezing
111 that can lead to the occlusion of solutes, and also allows a desirable average freezing rate,

112 according to those reported in literature (Nakagawa et al. 2010; Moreno, Raventós, et al.
113 2014b; Petzold et al. 2016). All the FC tests were performed for one hour.

114 The concentration of ethanol in each of the samples was analyzed using an electronic
115 densimeter (DMA 35, Anton Paar) capable of reading ethanol concentration data in terms
116 of percentage weight/weight, percentage volume/volume, density, and degrees Brix.

117 *2.2.1 Freeze-concentration protocol*

118 The tests were performed in the freeze-concentration equipment, similar to the one shown
119 in Figure 1. In the receiving tank (1), 1400 g of a previously refrigerated sample was
120 placed; the sample was held until it reached a temperature of approximately 0 °C in a
121 cooler. The tank, which has a total height of 24 cm and diameter of 11 cm is made of AISI
122 304 stainless steel, and has an outer jacket (3) to allow the cooling liquid to flow; the
123 cooling liquid is composed of a mixture of ethylene glycol and water (53% w/w) circulating
124 in the thermostatic bath (4) equipped with a temperature controller (6). The tank has an
125 outer covering of an insulating material to prevent the transfer of heat with the
126 environment. The routing of the said flows was controlled by a system of pumps and
127 valves (7). Due to the arrangement of the cooling jackets, the tank allows the formation of
128 an ice film on the side walls only; a discharge cone at the bottom allows the liquid to flow
129 out (8). The height of the solution inside the tank was 20 cm.

130 The solutions were agitated with a turbine rotor (5), which has 3 blades of 3 cm of length,
131 located at 21.5 cm from the top. A mechanical stirrer (2) (RGL-100, Heidolph Instruments,
132 Germany) equipped with a speed control system (PCE-DT62, PCE Deutschland GmbH,
133 Germany) with 0.05% precision and 0.1 RPM resolution was used to stir the contents of
134 the tank.

135 For all the tests, the refrigerant was brought to a stable processing temperature of -15 °C.
136 After that, the solution was added to the process tank. The stirring speed was defined and
137 the FC process was then carried out for one hour. At the end of that time, the concentrated
138 liquid (9) was removed and weighed (10). The concentration of ethanol was measured in
139 both the concentrated liquid and the ice obtained.

140 2.2.2 Thawing protocol

141 After the concentrated liquid has been retired, the thawing stage begins. During the
142 controlled thawing process for the recovery of solutes from ice, the temperature of the
143 thermostatic bath was adjusted as needed for the test in order to recover the samples in
144 receiving containers (10). Using an analytical balance (KERN, Germany) (11), 10% of the
145 total weight of the block was collected in each container.

146 2.2.3 Experimental design

147 A factorial design with two factors at three levels was applied for the FC tests; the stirring
148 speeds were varied between 500, 1000, and 2000 rpm and the initial concentration of
149 ethanol was varied between 3%, 5%, and 8% w/w. All the tests were performed in
150 triplicate.

151 To analyze the controlled thaw stage, each sample was evaluated at a thawing
152 temperature (T_H) (0, 10, and 20 °C).

153 2.2.4 Data analysis

154 2.2.4.1 Average distribution coefficient (\bar{K}_{app})

155 The average distribution coefficient, \bar{K}_{app} , represents an average ratio between the
156 concentration of solute in the ice and the concentration of solute in the liquid phase at the
157 end of each test (Moreno, Raventós, et al. 2014a; Miyawaki et al. 2012). It can be
158 determined as shown in equation 1

$$\bar{K}_{app} = \frac{X_{s\ ice}}{X_{s\ liq}} \quad (1)$$

159 where $X_{s\ ice}$ is the solute concentration in the ice sheet (w/w) and $X_{s\ liq}$ is the solute
160 concentration in the freeze concentrated liquid (w/w).

161 2.2.4.2 Solute yield (Y)

162 The solute yield was used to analyze the rate of solute recovery by PSFC; it is defined as
163 the mass of solute in the liquid fraction divided by the initial total mass of the solute
164 (Nakagawa et al. 2010; Moreno et al. 2013). The solute yield can be determined as shown
165 in equation 2

$$Y = \frac{m_{s\ liq}}{m_{s\ 0}} \quad (2)$$

166 where $m_{s\ liq}$ is the mass of solute in the liquid phase and $m_{s\ 0}$ is the initial solute mass.
 167 The obtained yield was used for both the PSFC (Y_{FC}) and thawing stage (Y_{TS}).

168 2.2.4.3 Concentration index (CI)

169 The concentration index is a variable used to evaluate the increase in concentration at the
 170 end of the FC process. It is a relation between the final concentration of the solute in the
 171 concentrated liquid and the initial concentration of the sample, as shown in equation 3.

$$CI = \frac{X_{s\ liq}}{X_{s\ 0}} \quad (3)$$

172 2.2.4.4 Average ice growth rate (\bar{v}_{ice})

173 The average ice growth rate is calculated at the end of the operation and takes into
 174 account the ice conditions (mass, concentration, and density), in addition to the area of
 175 heat transfer and time of operation, as shown in equation 4 (Chen et al. 1998; Moreno,
 176 Raventós, et al. 2014a). Chen & Chen (2000) showed the application of this variable for a
 177 falling film FC equipment. Equation 4 shows the application of the average ice growth rate
 178 for a stirred tank, where r is the vessel radius and h is the height of ice layer, both in
 179 meters. m_{ice} is the mass of the ice obtained (kg), $X_{s\ ice}$ is the mass concentration of ethanol
 180 in ice, and ρ_{ice} is the density of ice.

$$\bar{v}_{ice} = \frac{r - \sqrt{r^2 - \frac{m_{ice}(1 - X_{s\ ice})}{\rho_{ice} h \pi}}}{t} \quad (4)$$

181 2.2.4.5 Liquid fraction (f)

182 The liquid fraction, f , is defined as the ratio between the concentrated liquid mass and the
 183 initial total mass (Nakagawa et al. 2010; Miyawaki et al. 2012). It is used in controlled
 184 thawing trials to follow the development of the solute recovery process (Gulfo et al. 2014).

185 2.2.4.6 Area under the Y vs. f curve (A_c)

186

187 The graph of Y vs. f represents the percentage of solute recovered from the initial solution
 188 in each thawed liquid fraction (Nakagawa et al. 2010). The area under the curve can be

189 used as a parameter to analyze the efficiency of the separation process and to examine
 190 the effect of the factors studied (Moreno, Raventós, et al. 2014b). The area under the
 191 curve of Y vs. f was obtained by a spline regression procedure, according to (Moreno,
 192 Raventós, et al. 2014b).

193 2.2.5 Dimensionless model

194 A non-dimensional analysis was performed for the PSFC using the Vaschy–Buckingham π
 195 theorem (Curtis et al. 1982; Baker et al. 1991) to develop a model for \bar{K}_{app} , which acts as a
 196 representative of the geometry of the equipment studied. Within the factors chosen to
 197 develop the model, the physical properties of the solutions were taken into account as well
 198 as the parameters of operation and equipment design (Delaplace et al. 2015b; Delaplace
 199 et al. 2015a). Two of the studied factors were the density (ρ) and viscosity (μ) of the
 200 mixture; these parameters are important when analyzing transport phenomena. In
 201 addition, several researchers identified that the average growth rate of ice is an important
 202 variable in obtaining the purest ice (Chen et al. 1998; Moreno, Raventós, et al. 2014a).
 203 The other factor employed in the model is f; it is used in various FC techniques as an
 204 operation parameter (Nakagawa et al. 2010; Miyawaki et al. 2012; Moreno, Raventós, et
 205 al. 2014b). Finally, the initial concentration was taken into account because it has been
 206 confirmed that it is a variable with a significant effect on the average distribution coefficient
 207 (Moreno, Raventós, et al. 2014b; Petzold & Aguilera 2009; Raventós et al. 2007).

208 At the same time, the stirring speed and the agitator diameter were considered as they are
 209 classical parameters for any process carried out in a stirred tank (Michell & Perry 1964).
 210 The model for the progressive stirred FC is shown in equation 5.

$$\bar{K}_{app} = f(f, C_0, \rho, \mu, N, \bar{v}_{ice}, D_a) \quad (5)$$

211 The density of the solution was calculated using equations 6–8. Similarly, the viscosity was
 212 calculated using equations 9–11. Equations 7, 8, 10, and 11 were simulated in the ASPEN
 213 PLUS software, using the NRTL thermodynamic model. Equations 6 and 9 were used
 214 (Moreno, Raventós, et al. 2014a) with coffee solutions and were shown to be suitable for
 215 modeling density and viscosity near the freezing temperatures.

$$\frac{1}{\rho} = \frac{X_{s\,liq}}{\rho_{et}} + \frac{(1 - X_{s\,liq})}{\rho_w} \quad (6)$$

$$\rho_{et} = 807,66 - 0,8249T - 0,0003T^2 \left(\frac{kg}{m^3} \right) \quad (7)$$

$$\rho_w = 1002,7 - 0,2712T - 0,0015T^2 \left(\frac{kg}{m^3} \right) \quad (8)$$

$$\ln \mu = X_{s\ liq} \ln(\mu_{et}) + (1 - X_{s\ liq}) \ln(\mu_w) \left(\frac{kg}{ms} \right) \quad (9)$$

$$\mu_{et} = 0,0017 - 0,00004T - 0,000002T^2 \left(\frac{kg}{ms} \right) \quad (10)$$

$$\mu_w = 0,0018 - 0,00003T - 0,0000008T^2 \left(\frac{kg}{ms} \right) \quad (11)$$

216 The density data calculated from equation 6 was compared with experimental data on the
 217 density of ethanol-water solutions reported in the International Organization of Legal
 218 Metrology (OIML) alcohol grade conversion tables (OIML 1972). The densities of the
 219 water-ethanol blends (20% alcohol) were compared at temperatures of 0, -5, and -10 °C.
 220 The correlation coefficient, R^2 , between the data predicted by the equations and the
 221 experimental data had a value of 0.999. The results calculated using equations 10 and 11
 222 were contrasted with the data reported elsewhere (Nikumbh & Kulkarni 2013) at a
 223 temperature of 20 °C.

224

225 2.3 Statistical analysis

226 A response surface analysis methodology was developed to find the optimum operating
 227 points for the PSFC and for the recovery of solutes by controlled thawing, with a
 228 significance level of 95%. One-way analysis of variance (ANOVA) was applied to the
 229 results followed by a LSD test with a significance level of 95%.

230 To obtain the parameters of the model, it was linearized and later linear regression was
 231 performed with Stepwise to determine which variables had a significant effect on the
 232 model and using which the R^2 of the model was maximized. The assumptions of the linear
 233 regression model were validated and the residuals were evaluated through a Shapiro-
 234 Wilks test for normality; the variance was tested for homogeneity and presence of atypical
 235 and influential data. All statistical analyses were conducted using the SAS 9.2 software.

236 3 Results and discussion

237 3.1 Progressive stirred FC

238 Twenty-seven tests were carried out on the progressive stirred freeze-concentration
239 equipment. The obtained \bar{K}_{app} values were in the range of 0.17 to 0.6 with an average
240 value of 0.42, similar to those obtained in other FC systems with ethanol and water
241 mixtures (Haizum et al. 2015), in coffee extracts (Moreno, Raventós, et al. 2014a), and
242 other food matrices such as sucrose and juice solutions (Miyawaki et al. 2005; Miyawaki,
243 Gunathilake, et al. 2016; Gulfo et al. 2014; Auleda et al. 2011). The results are shown in
244 table 1.

245 Table 1 shows the results of \bar{K}_{app} and the average crystal growth rate at each of the
246 studied conditions. The lowest values were obtained when the initial concentration of
247 ethanol was low. This may be because the viscosity increases at high concentrations,
248 which hinders mass transfer (Moreno, Raventós, et al. 2014a; Moreno, Raventós, et al.
249 2014b), and induces a tendency for the formation of dendritic ice that generates
250 occlusions, when the solute concentration is high (Robles et al. 2016). In the same way,
251 higher values of CI were obtained at lower initial concentrations, and are comparable to
252 those reported in other samples as coffee extract (Moreno, Hernández, et al. 2014).
253 However, at higher initial concentration the CI is lower in comparison than those reported
254 in other samples, such as sucrose and juice solutions (Miyawaki et al. 2005; Miyawaki,
255 Gunathilake, et al. 2016; Gulfo et al. 2014; Auleda et al. 2011). When the initial
256 concentration increases, there will be a greater molecular interaction, which can cause a
257 lower diffusion of the solute through the formed ice film, decreasing the CI (Petzold &
258 Aguilera 2009). This effect will be more evident in the studied sample, since hydrogen
259 bonds of water are reinforced by addition of ethanol molecules (Li et al. 2017).

260 The average growth rate of the ice crystals is in the range of 3.13 $\mu\text{m/s}$ to 4.82 $\mu\text{m/s}$. At
261 similar ice growth rates, freeze-concentration was reported for solutions of sucrose and
262 coffee (Moreno, Raventós, et al. 2014a; Moreno, Raventós, et al. 2014b; Nakagawa et al.
263 2010; Chen & Chen 2000). An ANOVA procedure was performed on the mean ice growth
264 rate for each of the initial concentrations; at a confidence interval of 5%, there was no
265 significant difference between the ice growth rates at different initial concentrations. One
266 possible explanation for this behavior may be the use of a constant freezing temperature
267 for all the tests. On the other hand, the value of \bar{K}_{app} decreases with an increase in the

268 stirring speed at each initial concentration, but not significantly in the studied interval. The
269 largest drops in \bar{K}_{app} with respect to the stirring speed occurred at low initial
270 concentrations of the solution.

271 Response surface analysis was conducted to identify the effect of various parameters on
272 \bar{K}_{app} and Y; the results are shown in Table 2. It was found that of the various parameter
273 ranges studied, the initial concentration of ethanol had a significant effect on the average
274 distribution coefficient as well as the solute yield. Conversely, neither the stirring rate nor
275 the interactions between the initial concentration and stirring speed had a significant effect
276 on the two response variables studied. It was found that the initial concentration of ethanol
277 had a positive effect on the average distribution coefficient and a negative effect on the
278 solute yield of the FC phase. This can be explained as follows. A higher concentration of
279 solutes in the solution will generate greater occlusions in the formed ice sheet, leading to
280 an increase in \bar{K}_{app} , which in turn causes a decrease in the yield of the recovered solutes
281 (Moreno, Raventós, et al. 2014a).

282 For the parameter ranges studied in this work, response surface analysis indicated that an
283 initial ethanol concentration of 3% and a stirring speed of 1300 rpm were the optimum
284 operating points, which corresponds to the lowest concentration and a medium stirring
285 speed; However, the stirring speed did not have a significant effect in the studied interval.
286 Figure 2 corroborates the expected behavior of both the variables with respect to the initial
287 concentration. Low yields and high \bar{K}_{app} values were observed at high concentrations,
288 which indicates a large number of occlusions in the ice.

289 3.2 Controlled thawing

290 A controlled thawing process was performed on the ice sheet to increase the value of Y
291 obtained in the first phase of the process. During the thawing process, the solute occluded
292 in the ice layer can be recovered by its diffusion into the drops that are melting. Controlled
293 thawing has been tested for block FC (Moreno et al. 2013; Moreno, Raventós, et al.
294 2014b) and film FC (Miyawaki et al. 2012; Miyawaki, Omote, et al. 2016; Gulfo et al. 2014).
295 In the present study, controlled thawing could be performed in the same equipment in
296 which progressive FC was implemented. A response surface analysis of the factors V_A ,
297 C_O , and T_H was performed on the response variables Y (when CI was equal to one) and
298 Ac; significant effects were found with C_O and T_H . The significance levels of both the
299 variables are shown in Table 3.

300 Figure 3 shows that the effect of initial concentration on the concentration index and area
301 under the curve is negative; at a low C_0 , a high CI was obtained for the first fractions
302 recovered, in addition to reaching the CI equal to 1 to a minor fraction of thawing.
303 Likewise, the area under the curve is high at low concentrations. As mentioned previously,
304 low concentrations are associated with low \bar{K}_{app} values; therefore, at the beginning of the
305 controlled thaw process, concentrated fractions can be obtained easily as well as the final
306 fractions without any solutes. The same behavior was reported elsewhere (Moreno et al.
307 2013; Moreno, Raventós, et al. 2014b; Gulfo et al. 2014) with coffee extracts.

308

309 Figure 4 shows that T_H had a negative effect on both the variables, similar to the results
310 reported previously (Moreno et al. 2013). This may be because the higher the
311 temperatures the faster the heat transfer, so the ice melts faster and it is not feasible to
312 recover the concentrated solution trapped in the crystal structure before the melting
313 phenomenon occurs. However, the use of low thawing temperatures during the thawing
314 process can be associated with low mass transfer, so the solutes trapped on the ice layer
315 will not be able to migrate to the external surface of the ice. Also, low temperatures
316 significantly increases time of controlled thawing; to reach a CI of 1 at 0 °C, it takes about
317 4 h, while at 10 °C and 20 °C, 3 h and 1.5 h, respectively, were required.

318 Although this equipment has a single jacket, which does not allow recovery with a
319 counterflow system as recommended (Moreno, Raventós, et al. 2014b), it was possible to
320 obtain Y values in the range of 0.59 to 0.98 (average value of 0.76) in the thawing stage,
321 which are comparable to those reported for coffee (Moreno, Raventós, et al. 2014b). On
322 the other hand, the Ac values were in the range of 0.72 to 0.96, with an average value of
323 0.81. A response contour plot (Figure 5) was generated for these variables as functions of
324 the initial concentration and the thawing temperature. Response surface analysis allowed
325 us to calculate the optimal points for these variables at C_0 of 0.03 and T_H of 8 °C, which
326 led to a Y value of 0.89 and Ac value of 0.8. This temperature can allow a good balance
327 between thawing speed (heat transfer) and separation speed (mass transfer) (Moreno et
328 al. 2013).

329 Equation 2 was used to calculate the total solute yield, considering that the mass of the
330 total solute is composed of the mass of the solute obtained in the FC phase and the mass
331 obtained during the controlled thawing stage, which was calculated using a mass balance

332 to evaluate the amount of ethanol in the ice block once the controlled thawing process
 333 started and the yield reached at an CI equal to 1. The application of controlled thawing
 334 allowed an average total solute yield of 0.84, which is ~28% higher than that obtained with
 335 only PSFC. The application of the controlled thaw phase proved to be a viable route to
 336 increasing the solute yield, presenting a possible solution to the negative effect of
 337 increasing concentration on the Y and \bar{K}_{app} values, as it allows us to recover those solutes
 338 that were occluded during the FC stage.

339 3.3 Dimensionless model

340

341 A dimensionless model was developed for the PSFC without the thawing stage. For the
 342 model, the non-dimensional numbers shown in equations 13–15 were obtained in addition
 343 to the initial concentration. The first number obtained was the inverse of the Reynolds
 344 number for agitated tanks (Michell & Perry 1964). The second number is a relationship
 345 between the average ice growth rate, stirring speed, and agitator diameter. The third
 346 dimensionless number is the liquid fraction. The model and its linearization are shown in
 347 equation 16 and equation 17, respectively.

$$\pi_1 = \frac{\mu}{D_a^2 \rho N} = \frac{1}{Re} \quad (13)$$

$$\pi_2 = \frac{v_{ice}}{D_a N} \quad (14)$$

$$\pi_3 = f \quad (15)$$

$$\bar{K}_{app} = f(\pi_1, \pi_2, \pi_3, C_0) = \left(\frac{1}{Re}\right)^a \left(\frac{v_{ice}}{D_a N}\right)^b (f)^c (C_0)^d \quad (16)$$

$$\ln(\bar{K}_{app}) = a * \ln\left(\frac{1}{Re}\right) + b * \ln\left(\frac{v_{ice}}{D_a N}\right) + c * \ln(f) + d * \ln(C_0) \quad (17)$$

348 To determine the coefficients a, b, c, and d in the model, a linear regression model was
 349 used via the SAS maximization methodology of R^2 ; the model shown in equation 18 was
 350 obtained, with a R^2 value of 0.7726. Experimental data were compared with predicted data
 351 in figure 6. This value indicates that the model can suitably predict \bar{K}_{app} values.

$$\bar{K}_{app} = 13131.77(R_e)^{1.83} \left(\frac{v_{ice}}{D_a N}\right)^{2.07} (f)^{1.01} (C_0)^{0.93} \quad (18)$$

352 To determine the significance of the variables in the model, a stepwise regression analysis
353 was performed and the results are shown in Table 4. It was found that, for the case
354 studied, the term $\ln(C_0)$ has a significant effect.

355 The dimensionless number of equation 14 is very similar to the relationship proposed in
356 the Chen & Chen model (Chen & Chen 2000; Chen et al. 1999) for a falling film FC. It was
357 suggested that this velocity relation is the relationship between the heat transfer
358 phenomena, which is in turn related to \bar{v}_{ice} (Qin et al. 2009) and the mass transfer
359 phenomena; in this case, related to the velocity, $D_a N$, of the fluid driven by the impeller of
360 the agitated tank (Chen et al. 1998). In this way, the value of \bar{K}_{app} will decrease (greater
361 separation efficiencies will be obtained) at lower ice crystal growth velocities and high
362 stirring rates; thus, high mass transfer rates can be observed in the liquid phase. This
363 behavior can be observed in Figure 7, in which the effect of concentration is evident. This
364 behavior has already been reported in the freeze-concentration theory and is explained as
365 follows. At low crystal growth rates, it is feasible for the formed network to grow in an
366 orderly manner allowing the expulsion of solutes (Robles et al. 2016; Moreno, Raventós, et
367 al. 2014b; Chen et al. 1999). On the other hand, a high mass transfer rate in the liquid
368 phase allows the elution of solutes near the ice surface in formation so that the ice grows
369 cleaner (Haizum et al. 2015).

370 Another factor that appears in the model is an expression of the Reynolds number, whose
371 behavior with respect to \bar{K}_{app} is shown in Figure 8. \bar{K}_{app} depend mainly on the initial
372 concentration. The effect of the stirring speed on K_{app} was inverse, but with not
373 significance in the studied interval. This may be because in the evaluated parameter
374 ranges, all the experimental data were found to be in the turbulent regime. Therefore, an
375 increase in the velocity will not affect the system, similar to the case of the number of
376 power in agitated tanks (Doran & Doran 2013).

377 Finally, the influence of the initial concentration of the solution is considered; at higher
378 concentrations, the average distribution coefficient is higher. This experimental
379 observation is in good agreement with the available literature (Moreno, Raventós, et al.
380 2014b; Petzold & Aguilera 2009; Raventós et al. 2007). The model proved to fulfill all the
381 assumptions of a linear regression model and was tested using the Shapiro-Wilk method;
382 it demonstrates a causal relationship between the chosen variables and the response
383 variables.

384 4 Conclusions

385

386 It was possible to freeze concentrate solutions of ethanol-water in a progressive stirred
387 FC, thus showing the feasibility of the new technique. The initial concentration of the
388 water-ethanol solutions was found to have a significant effect on the average distribution
389 coefficient and solute recovery; purer ices and consequently lower \bar{K}_{app} values were
390 obtained at low initial concentrations. It was possible to apply a controlled thawing stage to
391 improve the recovery of the occluded ice after the PSFC process in the same equipment,
392 thus increasing solute recovery by ~28%. Based on the concept of dimensionless
393 modeling, a mathematical model was proposed for the \bar{K}_{app} behavior; it showed a good fit
394 and could accurately predict \bar{K}_{app} values.

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396

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552

ACCEPTED MANUSCRIPT

- 1
- 2 1. Figure 1. Experimental set up of the PSFC process
- 3 2. Figure 2 Response contours of \bar{K}_{app} and Y as functions of the initial concentration and stirring speed
- 4 3. Figure 3. Effect of initial concentration on Cl (dotted line) and Ac (solid line) for the test at 2000 rpm
5 and 0 °C. The initial concentrations were 3% (blue - ●), 5%(green - ■), and 8% (red - ◆).
- 6 4. Figure 4. Effect of thawing temperature on Cl (dotted line) and Ac (solid line) at 1000 rpm and 5%
7 ethanol concentration. The TH values were 0 °C (blue - ●), 10 °C (green - ■), and 20 °C (red - ◆).
- 8 5. Figure 5. Response contours of Y and Ac at 1100 rpm.
- 9 6. Figure 6. Parity plot of the average distribution coefficient. Experimental vs predicted data from Eq.
10 (18).
- 11 7. Figure 7. Effect of $\frac{\bar{v}_{ice}}{D_a N}$ on \bar{K}_{app} . C_0 3% (blue - ●), 5%(orange - ■), and 8% (red - ◆). The solid lines
12 represent experimental data while the dotted lines represent confidence limits of 95%.
- 13 8. Figure 8. Effect of Reynolds number on \bar{K}_{app} . The initial concentrations were 3% (blue - ●), 5%
14 (orange - ■), and 8% (red - ◆). Dotted lines represent the trend of the data for each initial
15 concentration.

1

Table 1. Results obtained for the PSFC for different solutions.

C_o	V_A	γ	IC	\bar{v}_{ice} $\mu\text{m/s}$	\bar{K}_{app}	f	$X_{s liq}$	$X_{s ice}$	Liquid volumen (L)	Ice volumen (L)
0,03	500	$0,38 \pm 0,02$	$0,05 \pm 0,00$	$0,01 \pm 0,00$	$0,85 \pm 0,03$	$0,54 \pm 0,03$	$0,62 \pm 0,03$	$1,76 \pm 0,06$	$4,30 \pm 0,23$	$0,32 \pm 0,03$
0,03	1000	$0,38 \pm 0,02$	$0,05 \pm 0,00$	$0,01 \pm 0,00$	$0,85 \pm 0,03$	$0,54 \pm 0,03$	$0,65 \pm 0,04$	$1,92 \pm 0,08$	$4,30 \pm 0,20$	$0,25 \pm 0,05$
0,03	2000	$0,33 \pm 0,01$	$0,06 \pm 0,00$	$0,01 \pm 0,00$	$0,92 \pm 0,01$	$0,48 \pm 0,01$	$0,67 \pm 0,08$	$2,06 \pm 0,23$	$4,74 \pm 0,09$	$0,23 \pm 0,09$
0,05	500	$0,43 \pm 0,01$	$0,07 \pm 0,00$	$0,03 \pm 0,00$	$0,79 \pm 0,01$	$0,60 \pm 0,01$	$0,56 \pm 0,02$	$1,49 \pm 0,04$	$3,86 \pm 0,09$	$0,45 \pm 0,03$
0,05	1000	$0,38 \pm 0,04$	$0,08 \pm 0,00$	$0,03 \pm 0,00$	$0,85 \pm 0,06$	$0,54 \pm 0,06$	$0,46 \pm 0,05$	$1,66 \pm 0,16$	$4,21 \pm 0,36$	$0,42 \pm 0,08$
0,05	2000	$0,36 \pm 0,02$	$0,09 \pm 0,01$	$0,03 \pm 0,00$	$0,89 \pm 0,03$	$0,51 \pm 0,03$	$0,52 \pm 0,04$	$1,82 \pm 0,26$	$4,41 \pm 0,20$	$0,35 \pm 0,05$
0,08	500	$0,48 \pm 0,02$	$0,10 \pm 0,00$	$0,05 \pm 0,00$	$0,71 \pm 0,03$	$0,69 \pm 0,03$	$0,54 \pm 0,03$	$1,36 \pm 0,02$	$3,31 \pm 0,18$	$0,52 \pm 0,04$
0,08	1000	$0,42 \pm 0,03$	$0,12 \pm 0,00$	$0,05 \pm 0,00$	$0,81 \pm 0,05$	$0,59 \pm 0,05$	$0,48 \pm 0,05$	$1,51 \pm 0,02$	$3,80 \pm 0,29$	$0,48 \pm 0,02$
0,08	2000	$0,43 \pm 0,01$	$0,11 \pm 0,00$	$0,05 \pm 0,00$	$0,80 \pm 0,02$	$0,61 \pm 0,02$	$0,51 \pm 0,04$	$1,47 \pm 0,05$	$3,75 \pm 0,11$	$0,49 \pm 0,02$

2

1

Table 2. Significance factors of the response surface analysis of the progressive stirred FC.

Parameter	\bar{K}_{app}		Y	
	Estimator	Pr < f	Estimator	Pr < f
C_O	15.712	0.0009*	-15.764	0.0009*
V_A	-0.001	0.3346	-0.0001	0.1450
$C_O * C_O$	-107.407	0.0063	127.407	0.0017*
$C_O * V_A$	0.001	0.1949	-0.0001	0.2904
$V_A * V_A$	5.92E-09	0.8917	8.81E-08	0.0533

2

*indicates significance with an alpha of 0.05

1

Table 3. Significance values from ANOVA, with an alpha of 0.05*, for controlled thawing

Parameter	Ac		Y _{RS}	
	F value	Pr<f	F value	Pr<f
Co	19,098	3,20E-04*	7,118	0,02*
V _A	1,188	0,415	6,137	0,945
T _H	1,752	0,219	0,056	0,015*

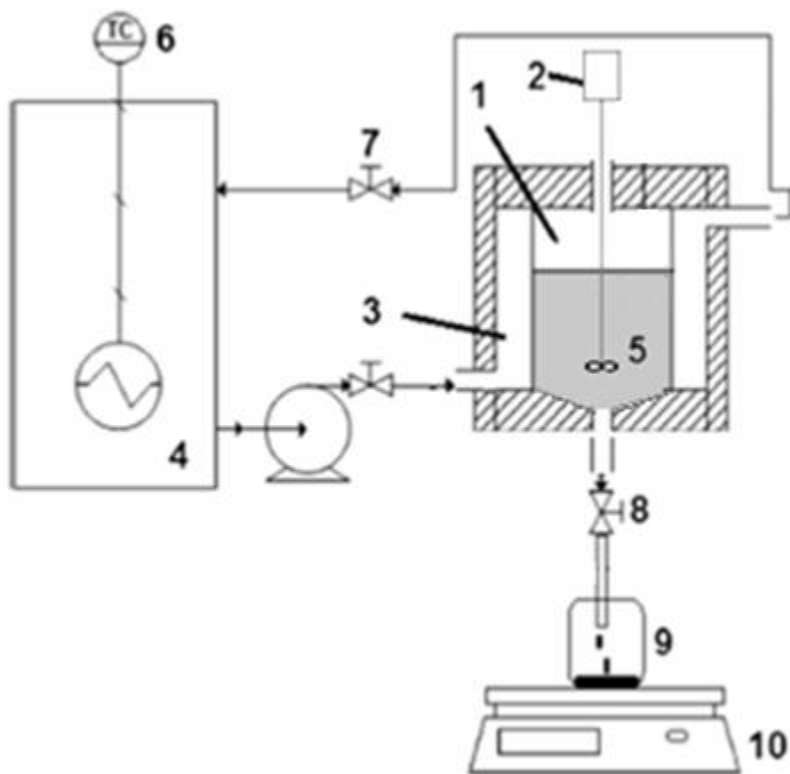
2

1 Table 4. Results of stepwise regression analysis and the parameters with a significant effect on the model
2 (equation 18).

Variable	Parameter estimator	Pr > F
Intercept	9.48279	0.2991
$\ln(C_0)$	0.93468	0.0020*
$\ln(f)$	1.01192	0.6701
$\ln\left(\frac{\bar{v}_{ice}}{D_a N}\right)$	2.07019	0.4878
$\ln\left(\frac{\mu}{D_a^2 \rho N}\right)$	-1.83535	0.5367

3

*indicates significance with an alpha of 0.05

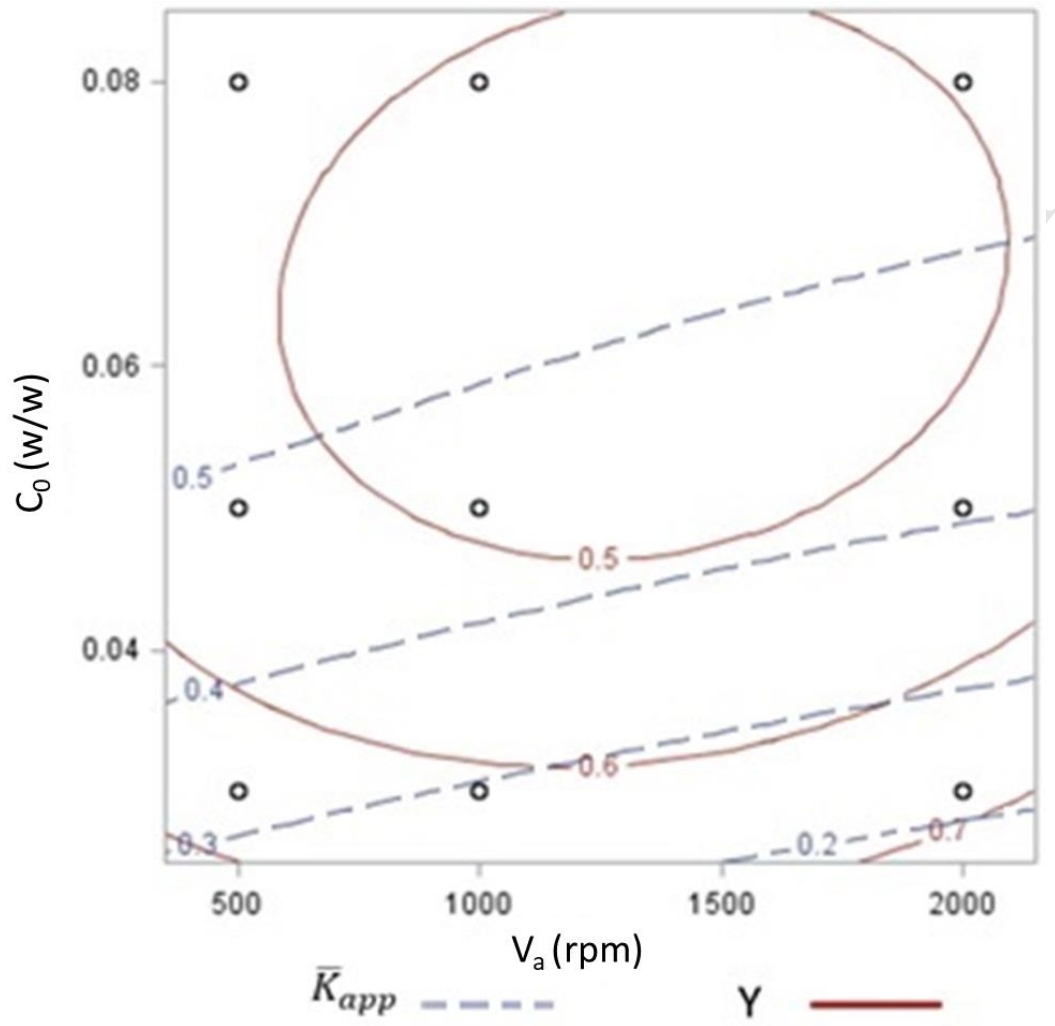


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Figure 1. Experimental set up of the PSFC process

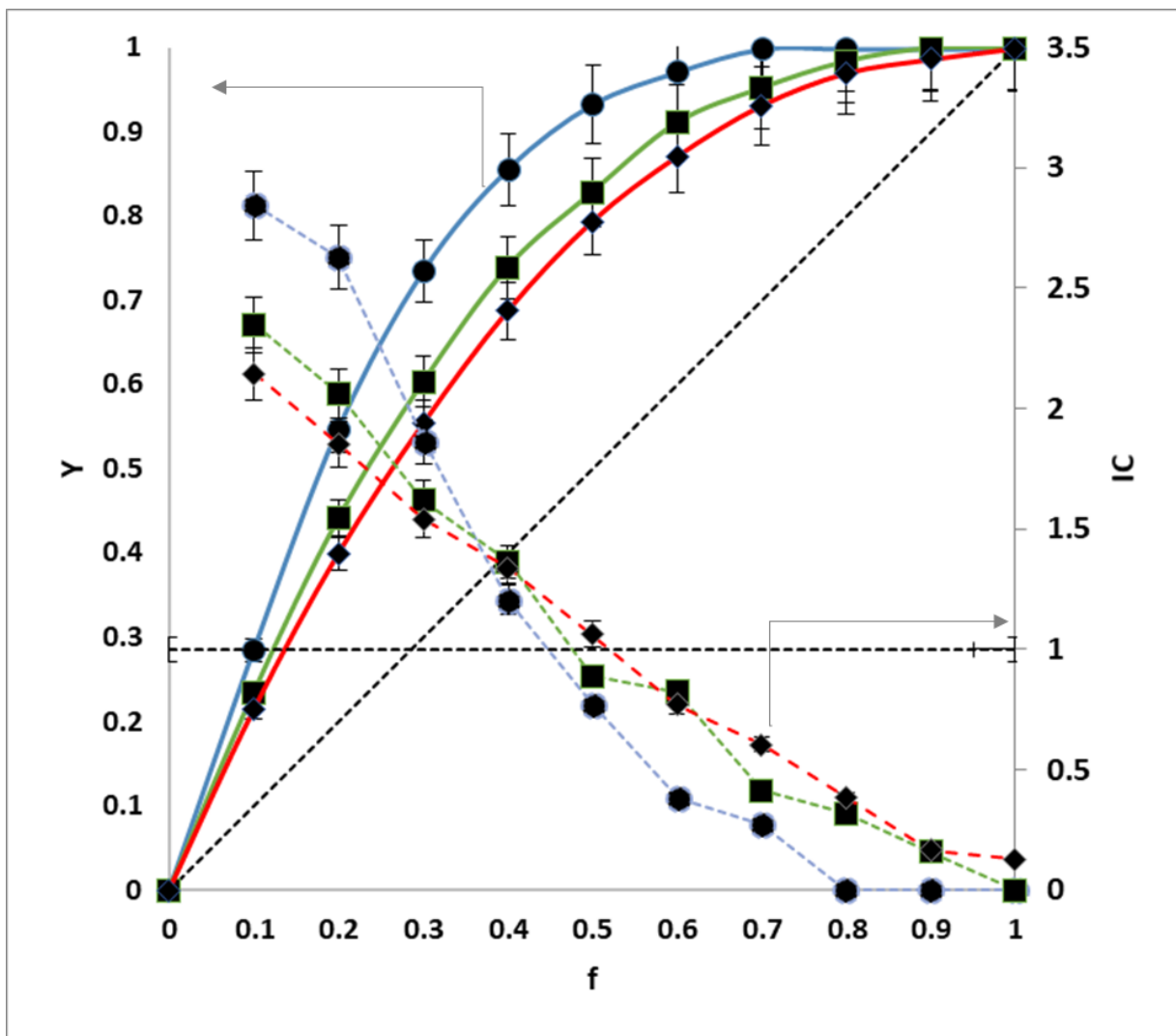
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Figure 2 Response contours of \bar{K}_{app} and Y as functions of the initial concentration and stirring speed

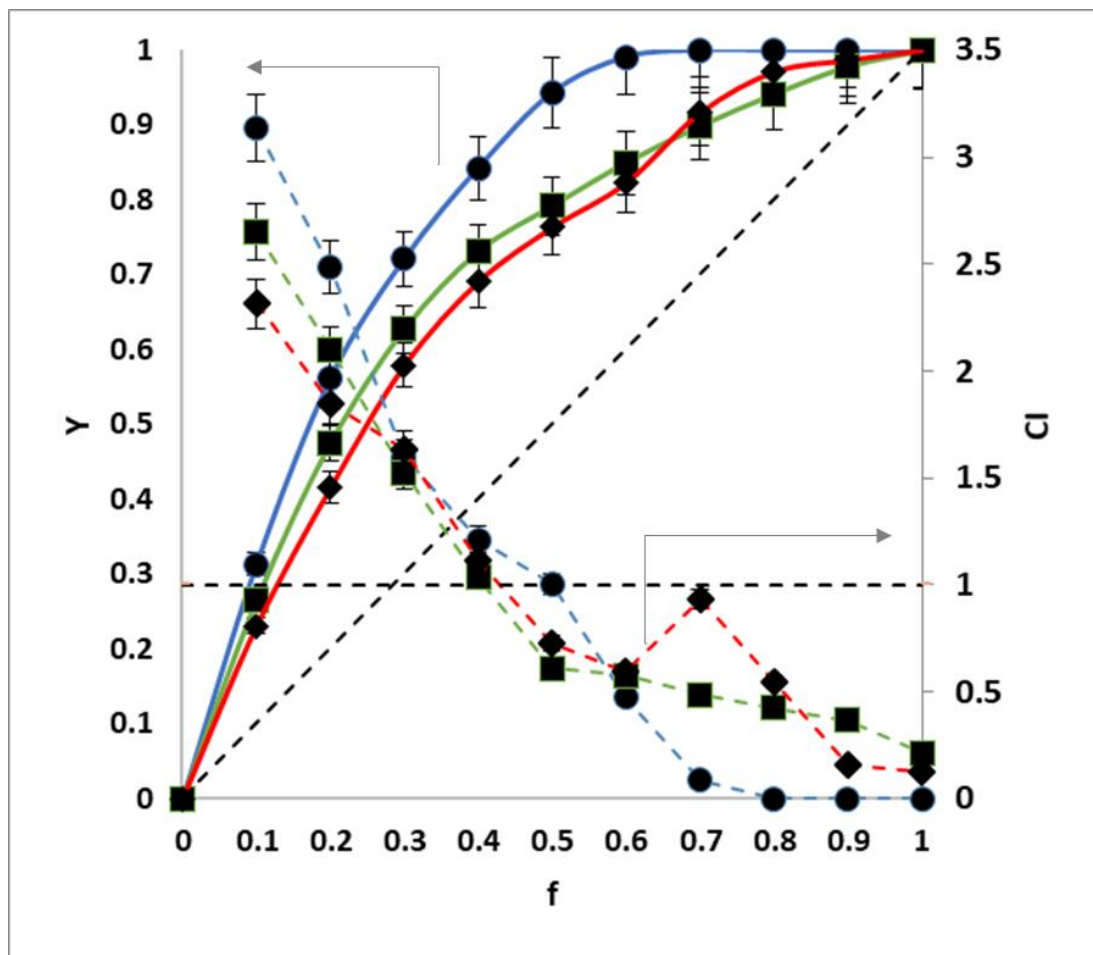


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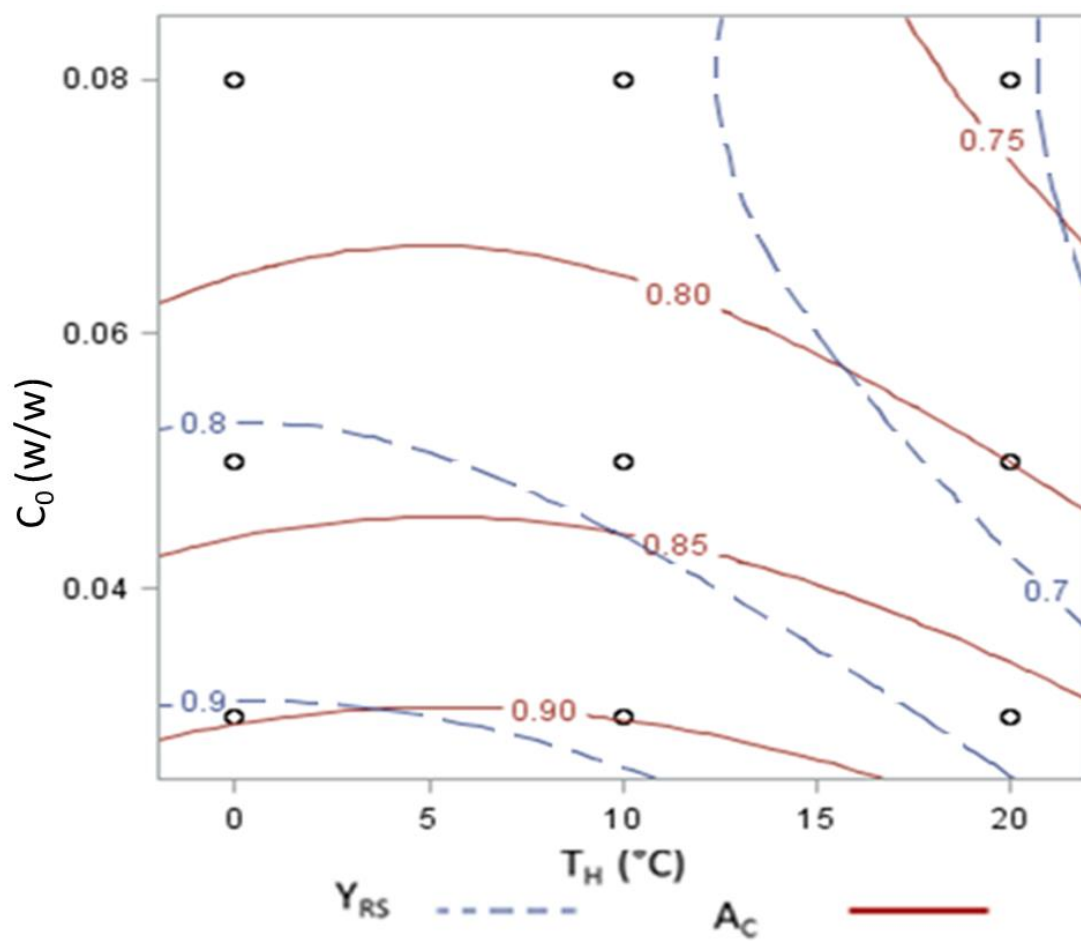
3

Figure 3. Effect of initial concentration on CI (dotted line) and Ac (solid line) for the test at 2000 rpm and 0 °C. The initial concentrations were 3% (blue - ●), 5%(green - ■), and 8% (red - ◆).



1

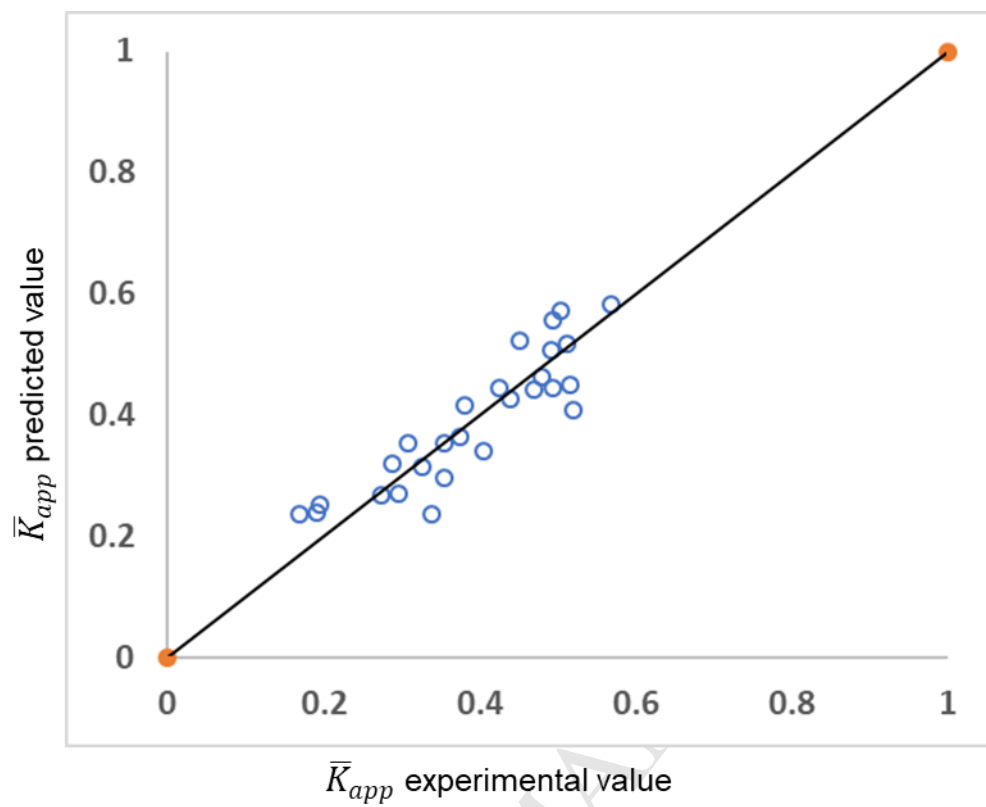
2 Figure 4. Effect of thawing temperature on Cl (dotted line) and Ac (solid line) at 1000 rpm and 5% ethanol
 3 concentration. The TH values were 0 °C (blue - ●), 10 °C (green - ■), and 20 °C (red - ◆).



1

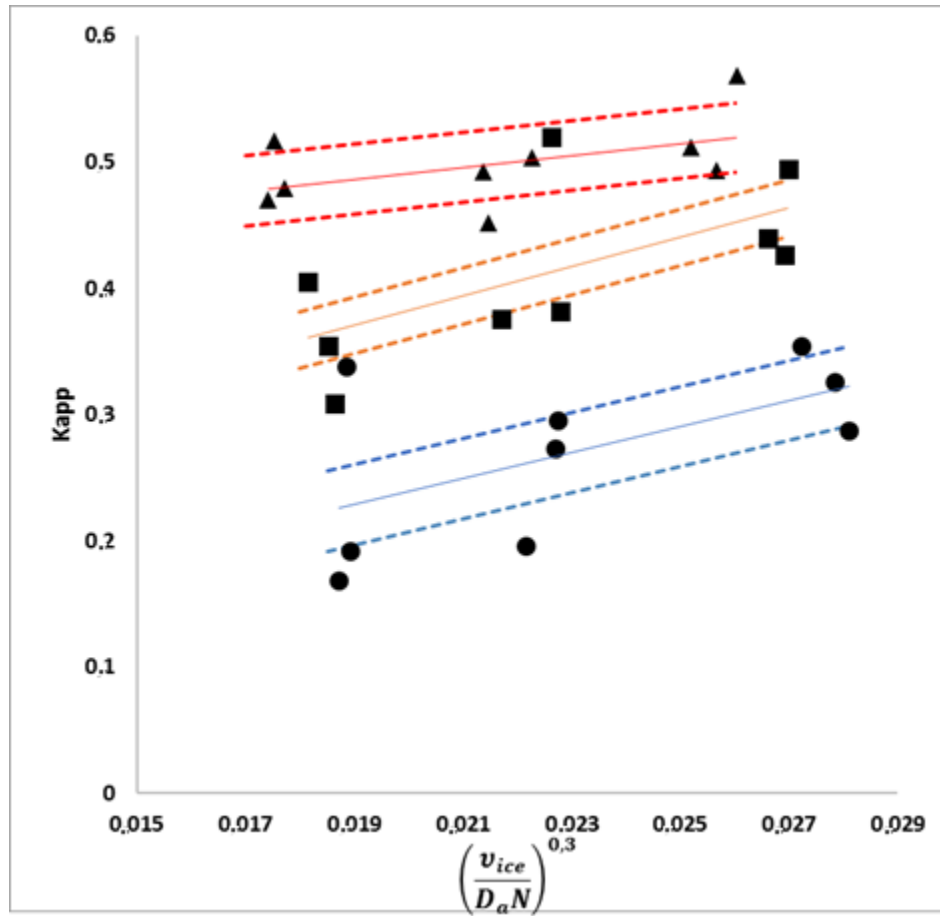
2

Figure 5. Response contours of Y and A_c at 1100 rpm.



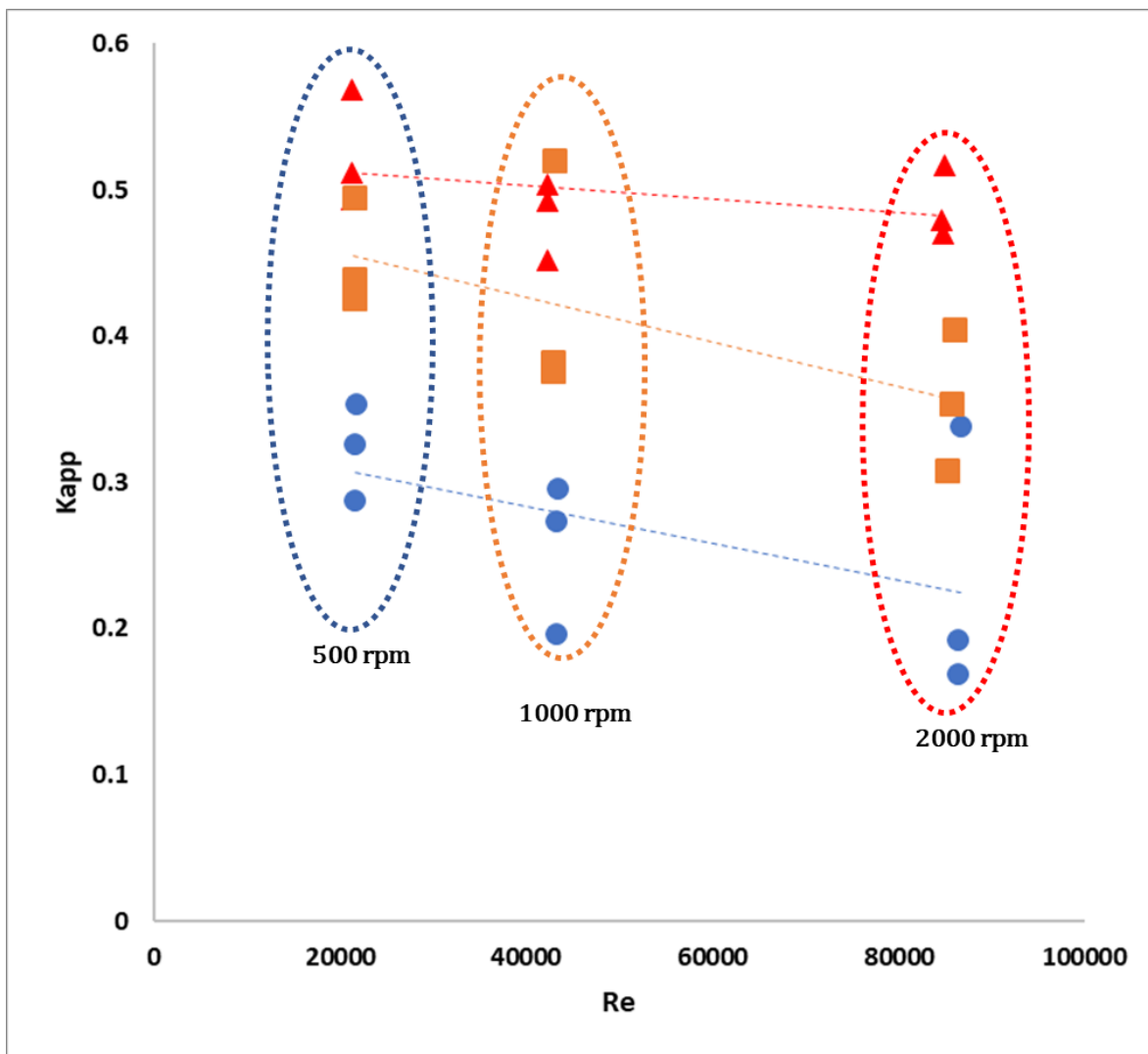
1

2 Figure 6. Parity plot of the average distribution coefficient. Experimental vs predicted data from Eq. (18).



1

2 Figure 7. Effect of $\frac{v_{ice}}{D_a N}$ on \bar{K}_{app} . Co 3% (blue - ●), 5%(orange - ■), and 8% (red - ▲). The solid lines represent
 3 experimental data while the dotted lines represent confidence limits of 95%.



1

2 Figure 8. Effect of Reynolds number on \bar{K}_{app} . The initial concentrations were 3% (blue - ●), 5% (orange - ■),
 3 and 8% (red - ◆). Dotted lines represent the trend of the data for each initial concentration.

- 1 A progressive stirred freeze concentration technique is presented.
- 2 The technique allows to increase the concentration of ethanol by 1.3 and 2.1 times.
- 3 A model for the distribution coefficient was obtained from a dimensional analysis.
- 4 The initial concentration of ethanol had a significant effect on the solute yield.