

1 **Protein-based emulsion electrosprayed micro- and submicroparticles**  
2 **for the encapsulation and stabilization of thermosensitive hydrophobic**  
3 **bioactives**

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16 **ABSTRACT**

17 This work shows the potential of emulsion electro spraying of proteins using food-grade  
18 emulsions for the microencapsulation and enhanced protection of a model  
19 thermosensitive hydrophobic bioactive. Specifically, gelatin, a whey protein concentrate  
20 (WPC) and a soy protein isolate (SPI) were compared as emulsion stabilizers and wall  
21 matrices for encapsulation of  $\alpha$ -linolenic acid. In a preliminary stage, soy bean oil was  
22 used as the hydrophobic component for the implementation of the emulsion  
23 electro spraying process, investigating the effect of protein type and emulsion protocol  
24 used (i.e. with or without ultrasound treatment) on colloidal stability. This oil was then  
25 substituted by the  $\omega$ -3 fatty acid and the emulsions were processed by electro spraying  
26 and spray-drying, comparing both techniques. While the latter resulted in massive  
27 bioactive degradation, electro spraying proved to be a suitable alternative, achieving  
28 microencapsulation efficiencies (MEE) of up to ~70%. Although gelatin yielded low  
29 MEEs due to the need of employing acetic acid for its processing by electro spraying,  
30 SPI and WPC achieved MEEs over 60% for the non-sonicated emulsions. Moreover,  
31 the degradation of  $\alpha$ -linolenic acid at 80°C was significantly delayed when encapsulated  
32 within both matrices. Whilst less than an 8% of its alkene groups were detected after 27  
33 hours of thermal treatment for free  $\alpha$ -linolenic acid, up to 43% and 67% still remained  
34 intact within the electro sprayed SPI and WPC capsules, respectively.

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39 KEYWORDS

40 Emulsion electrospraying; spray-drying; emulsion; encapsulation; omega-3; fatty acid;

41 linolenic acid; functional food

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<sup>1</sup> ABBREVIATIONS:

WPC: Whey protein concentrate

SPI: Soy protein isolate

MEE: Microencapsulation efficiency

ALA:  $\alpha$ -linolenic acid

O/W: Oil in water

GRAS: Generally Recognized as Safe

Gel: Gelatin

SBO: Soy bean oil

DLS: Dynamic light scattering

CI: Creaming index

SEM: Scanning electron microscopy

FT-IR: Fourier transform infrared

TGA: Thermogravimetric analysis

DTG: Derivative thermogravimetric curves

HSH: High-speed homogenization

US: Ultrasound

## 42 **1. Introduction**

43 One of the most promising approaches to preserve hydrophobic bioactive ingredients in  
44 food systems is their nano- or microencapsulation within protective matrices (Dube, Ng,  
45 Nicolazzo, & Larson, 2010), as they act as barriers, thus limiting direct contact of the  
46 bioactives with the detrimental agents of the environment (Ye, Cui, Taneja, Zhu, &  
47 Singh, 2009). Moreover, microencapsulation can also help overcoming the  
48 incompatibility between the hydrophobic compounds and the aqueous matrix of many  
49 food products, potentially increasing their bioavailability (Braithwaite et al., 2014).  
50 However, it also represents an additional challenge, given that the use of aqueous media  
51 for the dissolution or suspension of the polymers to be used as encapsulating matrices is  
52 almost imperative for the production of edible products, in order to avoid toxicity issues  
53 (López-Rubio & Lagaron, 2012). A plausible strategy to disperse the lipophilic  
54 bioactive into the aqueous polymer solution is to prepare oil-in-water (O/W) emulsions  
55 prior to microencapsulation. Although O/W emulsions are, in general,  
56 thermodynamically unstable (McClements, 2012) there are several strategies which can  
57 be used to increase their stability and the subsequent encapsulation efficiency (Bock,  
58 Dargaville, & Woodruff, 2012), such as reducing the size of the oil droplets or addition  
59 of tensioactive compounds (Malaki Nik, Wright, & Corredig, 2010). Spray-drying is the  
60 most commonly used technology in the food industry to obtain dry encapsulation  
61 structures from emulsions (Gharsallaoui, Roudaut, Chambin, Voilley, & Saurel, 2007).  
62 However, spray-drying involves the use of a hot gas stream to rapidly dry the fine  
63 droplets produced in its initial atomization step, which results detrimental for  
64 hydrophobic thermosensitive bioactives such as  $\omega$ -3 fatty acids. In contrast,  
65 electrospraying (i.e. a technique based on the electrohydrodynamic processing of  
66 polymer melts, solutions or dispersions) can be performed under mild conditions

67 (López-Rubio & Lagaron, 2012), so it has recently been proposed as an alternative for  
68 the microencapsulation of labile bioactive agents (Bock et al., 2012) with promising  
69 applications in the field of functional foods (Gómez-Mascaraque, Lagarón, & López-  
70 Rubio, 2015; Pérez-Masiá, Lagaron, & Lopez-Rubio, 2015; Pérez-Masiá et al., 2015).  
71 This technology allows the production of nano- and microencapsulation structures by  
72 subjecting the polymeric fluid, which is pumped through a conductive capillary, to a  
73 high voltage electric field. As a result, a charged polymer jet is ejected towards the  
74 opposite electrode, which is broken down into fine droplets during the flight, generating  
75 dry polymeric particles upon solvent evaporation before being deposited on the  
76 collector (Bhardwaj & Kundu, 2010; Bhushani & Anandharamakrishnan, 2014;  
77 Chakraborty, Liao, Adler, & Leong, 2009). Emulsion electrospraying has been recently  
78 proposed for drug encapsulation (Wang, Zhang, Shao, & Wang, 2013) and for the  
79 development of cytocompatible microcapsules (Song, Chan, Ma, Liu, & Shum, 2015)  
80 using carbohydrate matrices, but to the best of our knowledge only the electrospraying  
81 of whey protein concentrate (WPC)-stabilized emulsions has been reported for the  
82 microencapsulation and protection of bioactive compounds of interest in functional  
83 foods (Pérez-Masiá et al., 2015) to date.

84 Proteins are particularly interesting molecules for emulsion electrospraying, as their  
85 amphiphilic structures allow their use as effective emulsifiers (McClements, 2004) in  
86 addition to their primary function as wall materials. Indeed, proteins are often used as  
87 ingredients in food emulsions, providing both electrostatic and steric stabilization, in  
88 addition to their own nutritional properties (Malaki Nik et al., 2010).

89 In this work, three different protein types, specifically gelatin, a whey protein  
90 concentrate (WPC) and a soy protein isolate (SPI) were used as encapsulation matrices  
91 of  $\alpha$ -linolenic acid (ALA) as a model hydrophobic bioactive by the emulsion

92 electro spraying technique, with the aim of comparing their protection ability against  
93 oxidation. ALA was chosen for this purpose as, apart from being one of the most  
94 relevant  $\omega$ -3 fatty acids playing an important role in the regulation of cellular  
95 functionality (Crawford et al., 2000) and the preservation of the cardiovascular,  
96 neurovascular and mental health (Nguemeni, Gouix, Bourourou, Heurteaux, &  
97 Blondeau, 2013), it is highly susceptible to oxidative degradation when exposed to  
98 oxygen, light and/or heat (Umesha, Monahar, & Naidu, 2013). In fact, ALA is  
99 considered to be the most important precursor of flavor reversion (i.e. development of  
100 off-flavors) (Frankel, 1980) and, thus, its high instability can compromise not only the  
101 nutritional value of ALA-enriched food products but also their sensorial properties,  
102 reducing their shelf-life (Habib, Amr, & Hamadneh, 2012). Furthermore, the well-  
103 established spray-drying technique was used to dry the emulsions for comparison  
104 purposes. Two emulsification protocols were carried out prior to microencapsulation  
105 using both techniques, and the influence of emulsion properties, drying technique and  
106 type of protein on the microencapsulation efficiency and on the stabilization of ALA  
107 against degradation at high temperatures were studied.

108

## 109 **2. Materials and Methods**

### 110 **2.1. Materials**

111 Whey protein concentrate (WPC), under the commercial name of Lacprodan<sup>®</sup> DI-8090  
112 and with a w/w composition of ~80% protein, ~9% lactose and ~8% lipids, was kindly  
113 donated by ARLA (ARLA Food Ingredients, Viby, Denmark). Soy protein isolate (SPI)  
114 was kindly donated by The Solae Company (Switzerland). Type A gelatin from porcine  
115 skin (Gel), with reported gel strength of 175 g Bloom, soy bean oil (SBO),  $\alpha$ -linolenic

116 acid ( $\geq 99\%$ ) (ALA), Tween<sup>®</sup> 20 and potassium bromide FTIR grade (KBr) were  
117 obtained from Sigma-Aldrich. 96% (v/v) acetic acid (Scharlab) was used as received.

118

## 119 **2.2. Preparation of oil in water (O/W) emulsions**

120 The aqueous phase of each emulsion consisted of a protein solution/dispersion. Three  
121 different proteins were used to prepare the O/W emulsions: gelatin (Gel), soy protein  
122 isolate (SPI) and whey protein concentrate (WPC). In a preliminary stage, soy bean oil  
123 (SBO) was used as the oily phase in order to optimize the production of the  
124 encapsulating structures containing lipophilic compounds, using an inexpensive oil.  
125 Afterwards, SBO was substituted by a  $\omega$ -3 fatty acid, linolenic acid (ALA), as a model  
126 functional oil. In all cases, the oil was added in a proportion of 10% (w/w) with respect  
127 to the total mass of non-volatile compounds in the capsules. The use of a surfactant,  
128 Tween20<sup>®</sup>, was also considered for the stabilization of some of the emulsions, as  
129 described below. The preparation of the O/W emulsions using each of the three different  
130 proteins was slightly different, as illustrated in Figure 1.

131 The emulsification step itself was conducted using two different procedures. The first  
132 one consisted of a one-step high-speed homogenization process conducted using an IKA  
133 T-25 Digital ULTRA-TURRAX<sup>®</sup> equipped with a S 25N - 25F dispersing element  
134 whose stator diameter was 25 mm (Germany) at 6000 rpm during 2 min. The other  
135 approach included a second step consisting of an ultrasonication treatment, which was  
136 aimed at reducing the drop size of the oil phase. For this purpose, an ultrasonic probe  
137 (Bandelin electronic, Germany) was used at an amplitude of 10% and a frequency of 20  
138 kHz for 2 min, in intervals of 30 s to avoid excessive heating. An ice bath was also used  
139 to prevent overheating of the samples.

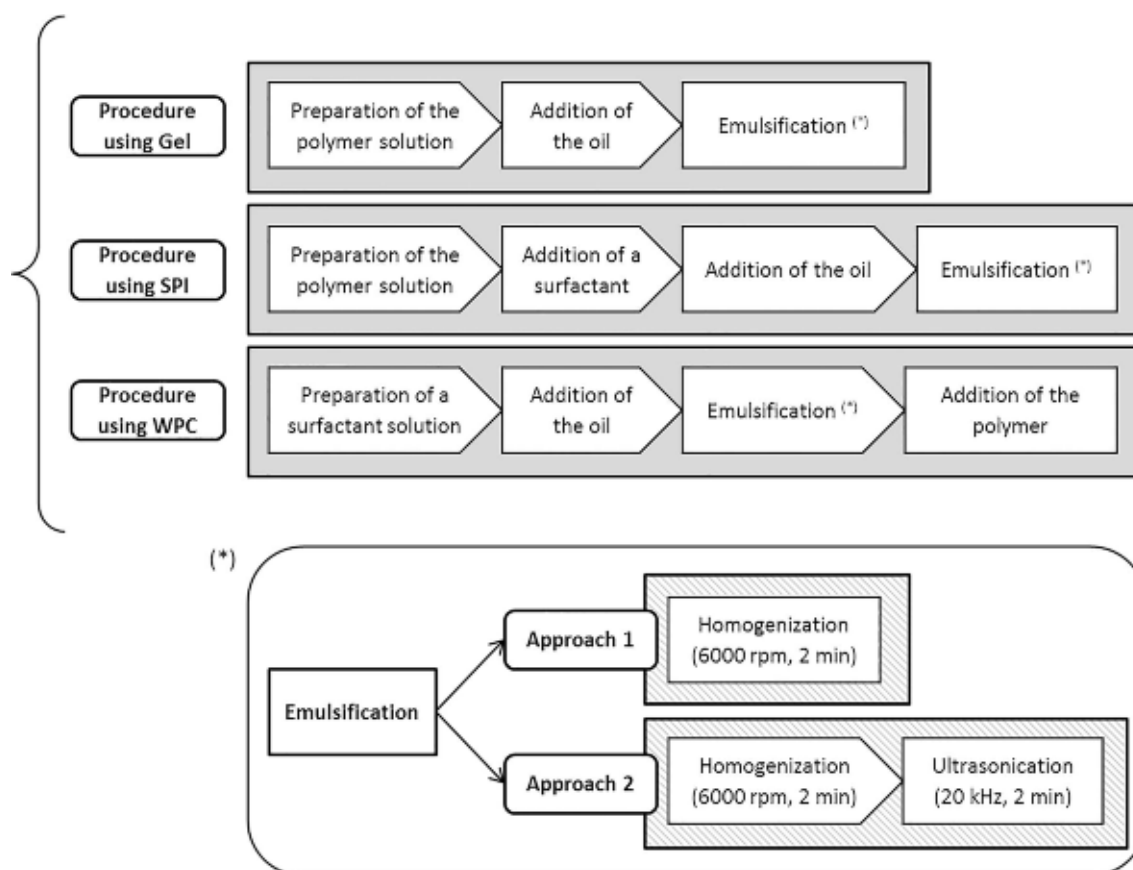


Figure 1. Scheme of the preparation of O/W emulsions

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### 143 2.2.1. Preparation of O/W emulsions using gelatin

144 Gelatin aqueous solutions (8% w/v) were prepared as described in (Gómez-Mascaraque,  
 145 Lagarón, & López-Rubio, 2015) and cooled down to room temperature before  
 146 preparation of the emulsions. The use of a surfactant for the formation of stable  
 147 emulsions was not necessary in this case. In fact, preliminary optimization tests showed  
 148 that the addition of either Tween20® or soy lecithin as surfactants resulted in the  
 149 coalescence of the oil droplets, due to the aggregation of the protein and the surfactant  
 150 molecules at acidic pH. Conversely, the emulsions were stable for weeks when gelatin  
 151 was used alone, both as emulsifier and as wall matrix for the capsules. Consequently,  
 152 the oil phase was directly incorporated to the premix and the emulsions were prepared  
 153 following both approaches described in Figure 1.



### 154 **2.2.2. Preparation of O/W emulsions using SPI**

155 SPI (10% w/v) was dissolved in distilled water and denaturation of the protein was  
156 carried out to improve its electrosprayability (Pérez-Masiá, Lagaron, & López-Rubio,  
157 2014), by heating the solution to 90°C for 30 min. Then, the solution was cooled down  
158 to room temperature in an ice bath before preparation of the emulsions. The addition of  
159 the surfactant Tween20® (5% w/v) was necessary to obtain stable emulsions in this  
160 case. Lastly, the oil phase was added to the premix and the emulsions were prepared  
161 following both approaches described in Figure 1.

### 162 **2.2.3. Preparation of O/W emulsions using WPC**

163 The preparation of SBO/WPC emulsions has already been reported for the  
164 encapsulation of lipophilic bioactive ingredients (Pérez-Masiá, Lagaron, & Lopez-  
165 Rubio, 2015). Based on this work, an aqueous surfactant solution was first prepared by  
166 dissolving 5 % (w/v) of Tween20® in distilled water. Afterwards, the oil phase was  
167 added, and pre-emulsions were prepared following both approaches described in Figure  
168 1. Lastly, the required mass of WPC to achieve a protein concentration of 20% (w/v) in  
169 the aqueous phase was added to the preformed emulsions and magnetically stirred until  
170 a homogeneous emulsion was obtained.

171

## 172 **2.3. Characterization of the emulsions**

173 The rheological behaviour of the emulsions at 20°C ± 0.1°C was studied using a  
174 rheometer model AR-G2 (TA Instruments, USA) with a parallel plate geometry, using  
175 the methodology described in Gómez-Mascaraque et al. (2015) after equilibrating the  
176 samples for 2 min. All measurements were made at least in triplicate.

177 In addition, optical microscopy images were taken using a digital microscopy system  
178 (Nikon Eclipse 90i) fitted with a 12 V, 100 W halogen lamp and equipped with a digital  
179 camera head (Nikon DS-5Mc). Nis Elements software was used for image capturing.

180

#### 181 **2.4. Stability of the emulsions**

182 The stability of the emulsions was assessed following the creaming index method  
183 proposed in (Surh, Decker, & McClements, 2006). Briefly, each emulsion was  
184 transferred into a sealed tube and stored for 5, 24 and 48 h at room temperature. When  
185 the emulsions separated into two different phases, the height of the top opaque ('cream')  
186 layer was measured ( $H_c$ ), and the creaming index (CI) was calculated following Eq. (1):

$$187 \quad CI = 100 (H_c/H_E) \quad \text{Eq. (1)}$$

188 where  $H_E$  is the total height of each emulsion in the tube.

189

#### 190 **2.5. Production of microencapsulation matrices by spray-drying**

191 The emulsions were diluted 20-fold in distilled water prior to their processing by spray-  
192 drying, to avoid too high viscosities which would block the spraying head. The  
193 emulsions were subsequently fed to a Nano Spray Dryer B-90 apparatus (Büchi,  
194 Switzerland) equipped with a 7.0  $\mu\text{m}$  pore diameter cap. The inlet air temperature was  
195 set at 90°C, as it proved to be enough to achieve complete drying of the particles at an  
196 inlet air flow of  $146 \pm 4$  L/min and a reduced pressure of  $50 \pm 3$  mbar. Under these  
197 conditions, the outlet air temperature varied between 50 and 65°C. The spray-dried

198 powders were deposited on the collector electrode by means of an applied voltage of 15  
199 kV.

200

## 201 **2.6. Production of microencapsulation matrices by emulsion electro spraying**

202 The emulsions were processed without further dilution using a homemade  
203 electrospinning/electrospraying apparatus, equipped with a variable high-voltage 0-  
204 30 kV power supply. The emulsions were introduced in a 5 mL plastic syringe  
205 and were pumped at a flow-rate of 0.15 mL/h through a stainless-steel needle (0.9 mm  
206 of inner diameter). The needle was connected through a PTFE wire to the syringe,  
207 which was placed on a digitally controlled syringe pump. Processed samples were  
208 collected on a stainless-steel plate connected to the cathode of the power supply and  
209 placed facing the syringe in a horizontal configuration, at a distance of 10 cm. The  
210 applied voltage was 15 kV for the gelatin emulsions and 17 kV for SPI and WPC  
211 emulsions. The above processing parameters were selected from preliminary tests in  
212 order to attain stable electro spraying, avoiding dripping of the solution.

213

## 214 **2.7. Morphological characterization of the particles**

215 Scanning electron microscopy (SEM) was conducted on a Hitachi microscope (Hitachi  
216 S-4800) at an accelerating voltage of 10 kV and a working distance of 8-9 mm. Samples  
217 were sputter-coated with a gold-palladium mixture under vacuum prior to examination.  
218 Particle diameters were measured from the SEM micrographs in their original  
219 magnification using the ImageJ software. Size distributions were obtained from a  
220 minimum of 200 measurements.

221

## 222 **2.8. Fourier transform infrared (FT-IR) analysis of the samples**

223 FT-IR spectra were collected in transmission mode using a Bruker (Rheinstetten,  
224 Germany) FT-IR Tensor 37 equipment following the methodology described in Gómez-  
225 Mascaraque et al. (2015).

226

## 227 **2.9. Microencapsulation efficiency**

228 The microencapsulation efficiency (MEE) of the ALA-loaded capsules was determined  
229 based on FT-IR absorbance measurements. A calibration curve was obtained for each  
230 encapsulation matrix ( $R_{Gel}^2 = 0.999$ ,  $R_{SPI}^2 = 0.993$ ,  $R_{WPC}^2 = 0.986$ ) from the spectra of  
231 protein/ALA mixtures of known relative concentrations (0, 5, 10 and 15 % w/w of  
232 ALA). The relative absorbance intensities of the peaks at 3012-3013  $cm^{-1}$  (attributed to  
233 ALA) and at 1541-1543  $cm^{-1}$  (corresponding to the Amide II band of the proteins) were  
234 plotted against the ALA concentration in the mixtures. The intact ALA content in the  
235 capsules was interpolated from the obtained linear calibration equations. The MEE of  
236 the ALA-loaded particles was then calculated using Eq. (2):

$$237 \quad MEE (\%) = \frac{\text{Content of ALA in the capsules}}{\text{Content of ALA initially added to the emulsions}} \times 100 \quad \text{Eq. (2)}$$

238

## 239 **2.10. Thermal Properties of the materials**

240 Thermogravimetric analysis (TGA) was performed with a TA Instruments model Q500  
241 TGA. The samples (ca. 8 mg) were heated from 25°C to 600°C with a heating rate of

242 10°C/min under dynamic air atmosphere. Derivative TG curves (DTG) express the  
243 weight loss rate as a function of temperature.

244

### 245 **2.11. Accelerated oxidation assays for free and microencapsulated ALA**

246 Non-encapsulated and microencapsulated ALA was subjected to thermal treatment at  
247 80°C in order to evaluate the protective effect of each wall material. After selected time  
248 intervals, FT-IR spectra were recorded for each sample, and the absorbance intensity of  
249 the band at 3012-3013 cm<sup>-1</sup>, corresponding to ALA, was measured. The decrease in the  
250 relative intensity of the aforementioned band was related to the extent of degradation of  
251 ALA within the capsules or in its native form, as previously reported (Torres-Giner,  
252 Martinez-Abad, Ocio, & Lagaron, 2010).

253

### 254 **2.12. Statistical analysis**

255 A statistical analysis of experimental data was performed using IBM SPSS Statistics  
256 software (v.23) (IBM Corp., USA). Significant differences between homogeneous  
257 sample groups were obtained through two-sided t-tests (means test of equality) at the  
258 95% significance level ( $p < 0.05$ ). For multiple comparisons, the p-values were adjusted  
259 using the Bonferroni correction.

260

## 261 **3. Results and discussion**

### 262 **3.1. Characterization of O/W emulsions**

263 Two different procedures were used for the preparation of the emulsions, as illustrated  
264 in Figure 1. The first approach consisted of a simple high-speed homogenization  
265 treatment, while the second one included a second ultrasonication step aimed at  
266 reducing the droplet size of the emulsions (Leong, Wooster, Kentish, & Ashokkumar,  
267 2009). In general, smaller droplets lead to increased stability of emulsions and improved  
268 bioavailability of the active ingredients (McClements, 2011, 2012), also facilitating  
269 their inclusion and dispersion within the fine microencapsulation structures to be  
270 produced. However, ultrasonic treatments may heat the emulsions, potentially leading to  
271 partial degradation of thermosensitive bioactives. Therefore, both approaches were used  
272 for the preparation of the emulsions and the impact of the ultrasonication treatment was  
273 studied. Figure 2 shows the images obtained by optical microscopy for the different  
274 emulsions produced using SBO as a model oily phase.

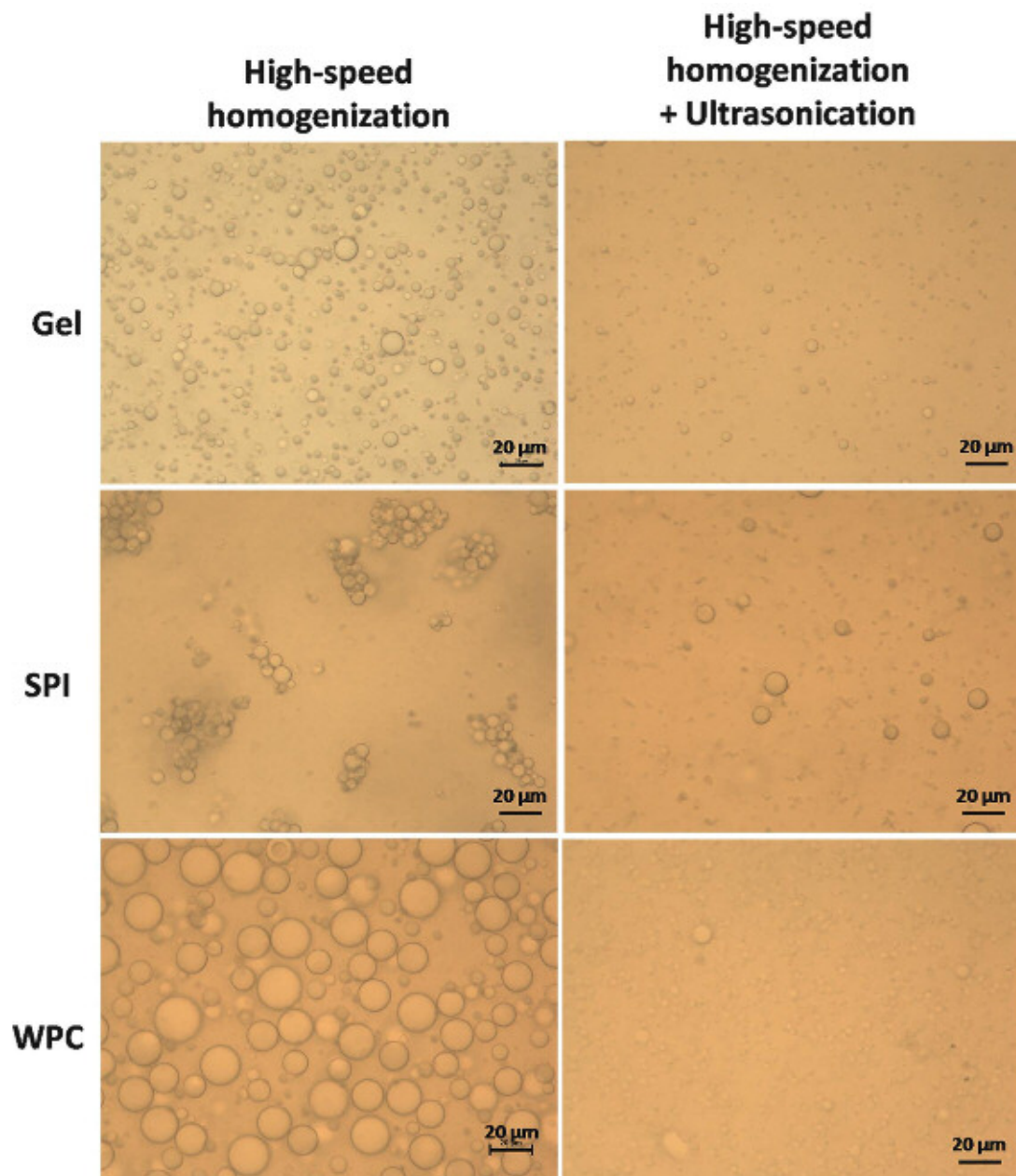


Figure 2. Optical micrographs for the different emulsions produced using SBO. Scale bars represent 20  $\mu\text{m}$

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279 The appearance of the emulsions produced using the first approach (single high-speed  
280 homogenization step) was dramatically different for each protein. Gel and WPC led to  
281 well dispersed droplets, which were significantly smaller for Gel, while flocculated  
282 droplets were observed for SPI emulsions. These differences were also manifested in  
283 their rheological behaviour, i.e. while the emulsions prepared using Gel and WPC  
284 exhibited quite a Newtonian behaviour in the range of study, the emulsion prepared in

285 the single high-speed homogenization step using SPI showed a manifest shear thinning  
286 behaviour (cf. Figure S1 of the Supplementary Material), usually associated to a high  
287 degree of droplet flocculation (McClements, 2007; Surh et al., 2006). This strong shear  
288 thinning behaviour, together with the high viscosity of the emulsion suggested that the  
289 mechanism of flocs formation was by bridging flocculation, which occurs when the  
290 protein chains or aggregates are shared between two droplets (Malaki Nik, Wright, &  
291 Corredig, 2010). A plausible explanation for the occurrence of bridging flocculation  
292 when using SPI involves the previous denaturation step which is carried out for this  
293 protein as a requirement for the subsequent electrospraying process (Pérez-Masiá et al.,  
294 2014). Denaturation leads to protein unfolding and thus to increased exposure of its  
295 non-polar amino acids. This may promote droplet flocculation in oil-in-water emulsions  
296 through increased hydrophobic attraction between protein chains adsorbed onto  
297 different droplets (McClements, 2004).

298

299 When the second emulsification approach was applied (i.e. including an ultrasonication  
300 treatment) the droplet size was indeed greatly reduced for the three protein formulations  
301 tested. Moreover, the SPI-stabilized emulsion turned Newtonian, with a substantial  
302 decrease in its viscosity, suggesting that the flocs were disrupted. Previous studies had  
303 shown a decrease in the extent of droplet aggregation and apparent viscosity upon  
304 ultrasound treatments, in addition to a reduction of the mean particle size (Surh et al.,  
305 2006).

306

307 **3.2. Creaming stability of the emulsions**



308 The creaming index of an emulsion after a particular time lapse is an indicative of its  
 309 stability to gravitational separation. As the density of the oil droplets in an O/W  
 310 emulsion is lower than that of its aqueous environment, they tend to move upwards  
 311 unless efficiently stabilized (McClements, 2007). The creaming index (CI) of the  
 312 emulsions prepared in this work after 5, 24 and 48 h are summarized in Table 1, and the  
 313 appearance of the emulsions with or without a cream layer is shown in Figure S2 of the  
 314 Supplementary Material.

315 **Table 1. Creaming index (CI) of the emulsions, calculated according to Eq. 1**

Emulsion		5 h	24 h	48 h
Protein	Emulsion procedure			
Gel	HSH	0%	0%	1%
Gel	HSH+US	0%	0%	0%
SPI	HSH	4%	4%	4%
SPI	HSH+US	0%	0%	0%
WPC	HSH	0%	24%	15%
WPC	HSH+US	0%	13%	9%

316  
 317 Five hours after preparation the SPI emulsion prepared through high-speed  
 318 homogenization (without ultrasound treatment) already experienced creaming, which  
 319 was not surprising taking into account the presence of big flocs in this sample (cf.  
 320 Figure 2). The rest of the emulsions did not show signs of gravitational separation  
 321 during these first 5 hours, meaning that they were stable to creaming during at least the  
 322 time required to electrospray them. Gelatin was the most efficient protein system  
 323 evaluated for the stabilization against gravitational separation of the emulsions, only  
 324 experiencing subtle creaming after 48 h when no ultrasound treatment was applied, due  
 325 to the bigger droplet sizes. On the other hand, sonication had a positive effect on the  
 326 stability of SPI-based emulsions, as the disruption of the flocs together with the droplet

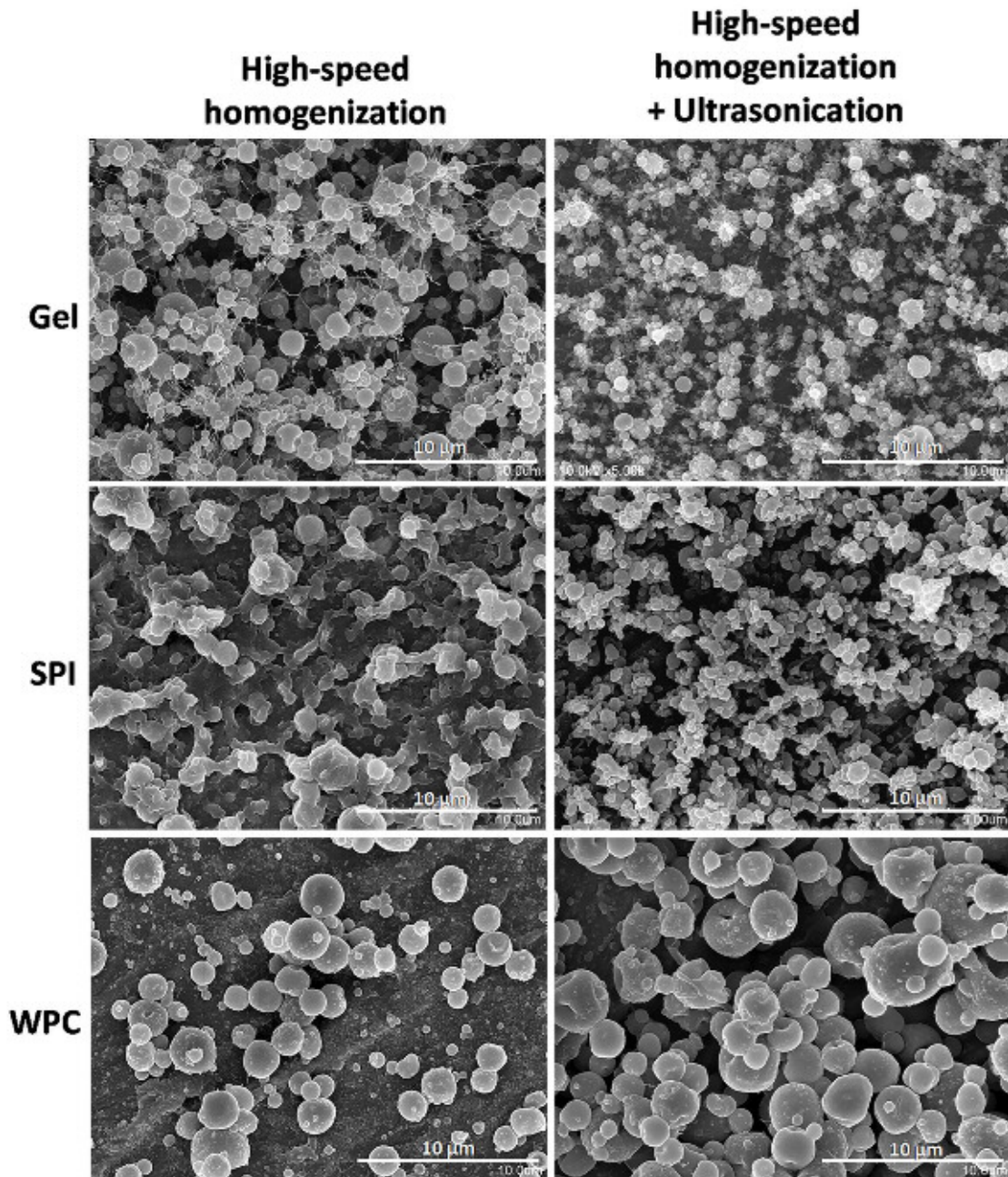
327 size reduction avoided the creaming phenomenon during at least 48 h. Regarding WPC,  
328 a thick cream layer appeared after 24 h, which further compacted during the following  
329 day reaching smaller CIs at 48 h. This cream layer was obviously thicker for the non-  
330 sonicated emulsion, due to its considerably bigger droplet size. Thick cream layers are  
331 usually caused by bridging flocculation, as strong attractive forces yield less packed  
332 flocs (McClements, 2007). However, unlike the SPI emulsion produced through  
333 procedure 1, WPC emulsions did not show signs of flocculation during the first hours  
334 after preparation. The reason for this late flocculation might be related to the  
335 conformational changes that globular proteins may suffer resulting from adsorption to  
336 an interface (McClements, 2004), consequently exposing their non-polar and cysteine  
337 residues to the aqueous phase. This phenomenon has been described for whey proteins,  
338 where disulphide cross-linking can occur at the interface (Malaki Nik et al., 2010). In  
339 SPI, as denaturation was forced through the previous thermal treatment, a much earlier  
340 flocculation was observed until the emulsion was ultrasonicated. Conversely, the  
341 ultrasound treatment in the WPC-stabilized emulsion was applied before the addition of  
342 the protein, so it could not affect its reassembling.

343

### 344 **3.3. Morphology of electrosprayed capsules from O/W emulsions**

345 The production of microcapsules from protein-stabilized emulsions by spray-drying has  
346 been studied in a number of works. However, the emulsion electrospraying approach  
347 has only recently been proposed for the microencapsulation of functional ingredients  
348 (Pérez-Masiá et al., 2015). Thus, in order to ascertain the feasibility of producing  
349 electrosprayed microencapsulation structures from the prepared emulsions (i.e. using

350 SBO as a model oil), these were subjected to hydrodynamic processing (cf. Section 2.6.  
351 for process parameters) and the obtained structures are shown in Figure 3.



352 **Figure 3. SEM images of electrospayed structures obtained from the protein-stabilized SBO/W**  
353 **emulsions prepared using Procedure 1 (left) and Procedure 2 (right). Scale bars correspond to 10**  
354 **µm.**  
355

356 From the micrographs it was concluded that gelatin was the only protein which yielded  
357 proper microparticulate structures when the first emulsification procedure was used.  
358 The structure obtained using SPI showed signs of dripping and wetted particles while  
359 WPC yielded a mixed structure exhibiting a continuous polymeric surface below some

360 spherical microcapsules. This can be explained in the light of the properties and droplet  
361 size distribution of each emulsion. While gelatin exhibited the smallest droplet sizes  
362 using Procedure 1 (cf. Figure 2), SPI emulsion formed large floccules and the size the  
363 majority of the droplets in the WPC emulsion was too big to be encapsulated within the  
364 generated smaller microcapsules. Although the effective volume of the droplet is  
365 significantly increased by the absorbed proteins on their surface (Howe & Pitt, 2008;  
366 Malaki Nik et al., 2010), which means that the actual oil volume is smaller than the  
367 apparent droplet size, some of the droplets in WPC and the floccules in SPI were still  
368 too big for microcapsule formation.

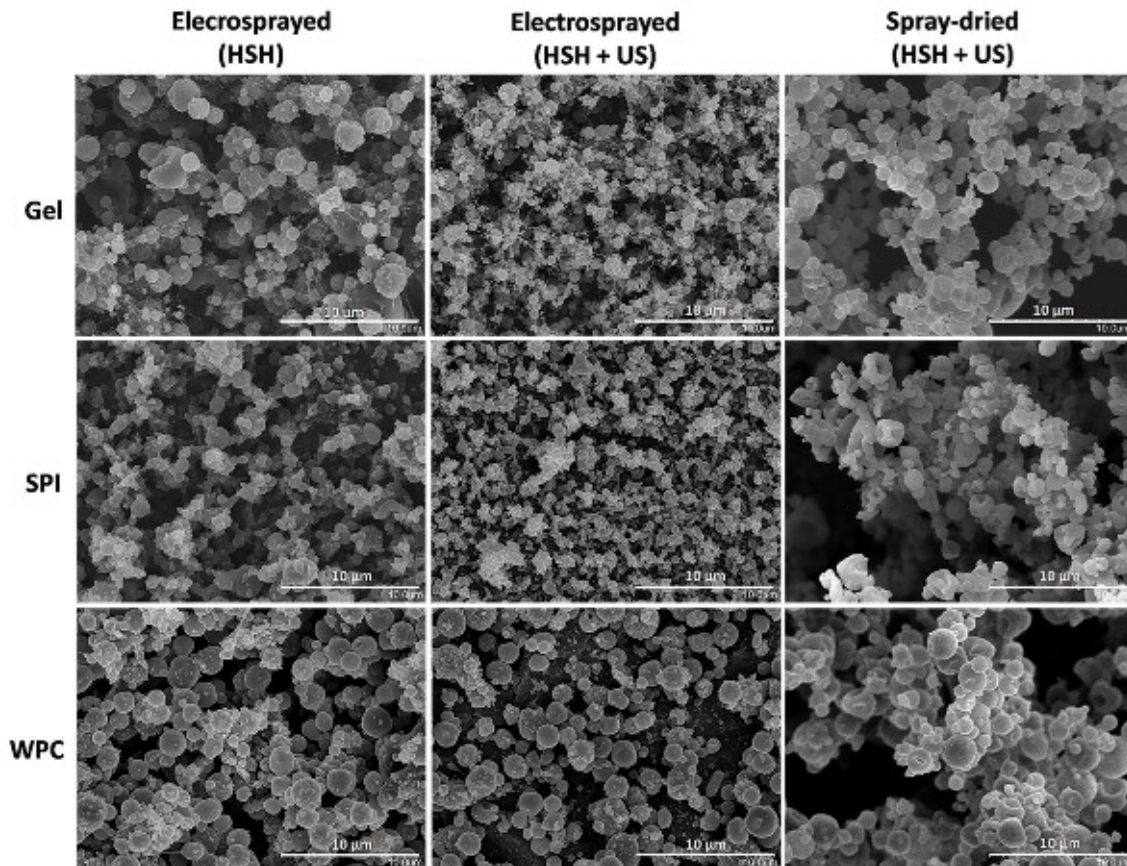
369 Upon ultrasound treatment, the droplet size was dramatically reduced for the three  
370 protein systems, so that all of them could yield neat microcapsules when electrosprayed,  
371 even though the particle size also decreased (except for WPC). The size and  
372 morphology of these particles varied from one protein to another, and this can be  
373 attributed not only to the characteristics of the emulsion droplets but also to the  
374 properties of the proteins themselves. WPC dispersions in the absence of added oils or  
375 bioactive compounds usually give rise to bigger particles than gelatin or SPI (Gómez-  
376 Mascaraque et al., 2015; Pérez-Masiá et al., 2014) for similar concentrations and  
377 electrospraying conditions as the ones used in this work.

378

### 379 **3.4. Morphology of ALA-loaded electrosprayed and spray-dried capsules**

380 Once the feasibility of the emulsion electrospraying technique had been confirmed for  
381 the three proteins, the model SBO was substituted by the bioactive  $\omega$ -3 fatty acid, ALA.  
382 The emulsions were prepared using the second procedure, including the ultrasound  
383 treatment, as it proved to be more adequate for the encapsulation of oil droplets in the

384 previous section, and they were processed both by electrospaying and spray-drying.  
385 Emulsions prepared using Procedure 1 were also electrospayed for comparison  
386 purposes. Figure 4 shows the micrographs of the obtained structures and Figure S3 of  
387 the Supplementary Material summarizes the particle size distribution for each sample.



388  
389 **Figure 4. SEM images of ALA-loaded electrospayed and spray-dried structures obtained from the**  
390 **protein-stabilized emulsions. Scale bars correspond to 10  $\mu$ m.**

391  
392 Surprisingly, both the emulsions prepared through Procedures 1 and 2 allowed the  
393 production of micro- or submicroparticles through electrospaying. These results  
394 suggest smaller droplet sizes of the emulsions prepared with ALA in comparison with  
395 the ones prepared using the model oil, SBO. In fact, although ALA is water insoluble, it  
396 has a polar head in its structure which provides enhanced compatibility through  
397 reorganization of the lipid molecules to expose their carboxyl groups to the water  
398 interface, fact which can contribute to increased stability of the emulsions and decreased

399 droplet size. Also, the extent of protein unfolding at the interface is usually larger for  
400 more non-polar oils (McClements, 2004), so the flocculation of the emulsions prepared  
401 with the globular proteins might have been prevented. As a result, the six emulsions  
402 yielded ALA-loaded microencapsulation structures through electro spraying.

403 In general, the ultrasonicated emulsions led to smaller particle size distributions, with  
404 the exception of WPC, where little differences in the particle diameters were observed.  
405 This can be attributed to the increase in surface tension and electrical conductivity  
406 (Jaworek & Sobczyk, 2008) found after the ultrasound treatment (cf. Section 2.1.3.),  
407 and also to their expected smaller droplet sizes, The structures obtained through spray-  
408 drying showed bigger mean diameters than the ones obtained through electro spraying,  
409 as observed in previous works (Pérez-Masiá et al., 2015).

410

### 411 **3.5. Molecular organization**

412 FTIR spectroscopy was used to characterize the molecular organization of the  
413 microencapsulation structures. For this purpose, the spectra of emulsion electro sprayed  
414 and spray-dried ALA-loaded particles were compared to those of the raw proteins and  
415 the free fatty acid. The spectra of the unloaded particles were also obtained.

416 The IR spectrum of commercial ALA showed its most representative bands centered at  
417  $3013\text{ cm}^{-1}$  (stretching of *cis*-alkene groups -HC=CH- in PUFAs) and  $1711\text{ cm}^{-1}$  (C=O  
418 stretching in fatty acids) (Moomand & Lim, 2014). Other relevant bands of the  
419 bioactive compound were found at  $2965$ ,  $2932$  and  $2856\text{ cm}^{-1}$  due to the methyl  
420 asymmetrical stretching, the methylene asymmetrical stretching and the methylene  
421 symmetrical stretching vibrations, respectively (Guillen & Cabo, 1997). On the other  
422 hand, the spectra of the three as-received proteins showed the characteristic bands



423 ascribed to the vibration of the bonds in their amide groups, referred as the Amide A  
424 (N-H stretching), Amide B (asymmetric stretching vibration of =C-H and  $-\text{NH}_3^+$ ),  
425 Amide I (C=O stretching), Amide II (N-H bending and stretching) and Amide III (C-N  
426 stretching) bands (Aewsiri, Benjakul, Visessanguan, Wierenga, & Gruppen, 2010;  
427 Nagarajan, Benjakul, Prodpran, Songtipya, & Nuthong, 2013). Also noticeable are the  
428 bands observed around  $2960\text{ cm}^{-1}$  and  $2930\text{ cm}^{-1}$ , corresponding to the  $-\text{CH}_2$  asymmetric  
429 and symmetric stretching vibrations, respectively (Nagiah, Madhavi, Anitha, Srinivasan,  
430 & Sivagnanam, 2013).

431 Regarding the microencapsulation structures, differences in their characteristic bands  
432 were observed in comparison with the as-received proteins. Table 2 shows a summary  
433 of the wavenumbers at which each of these characteristic bands were found, and the  
434 complete spectra are provided as supplementary data (cf. Figure S4). Interestingly,  
435 ALA-loaded particles produced using different emulsification protocols (i.e. with or  
436 without the ultrasonication step) yielded similar infrared spectra, only differing in the  
437 intensity of the peak at  $3013\text{ cm}^{-1}$ , due to the presence of ALA. Thus, for simplification  
438 purposes only the results for the materials obtained following the first emulsification  
439 approach are displayed. The spectral data of unloaded electrosprayed particles are also  
440 provided.

441

442

**Table 2. Characteristic FTIR absorption bands (wavelengths in  $\text{cm}^{-1}$ ) of as-received proteins and microencapsulation structures thereof**

	<b>Gel (raw)</b>	<b>Gel ES (unloaded)</b>	<b>ALA-loaded Gel ES</b>	<b>ALA-loaded Gel SD</b>	<b>SPI (raw)</b>	<b>SPI ES (unloaded)</b>	<b>ALA-loaded SPI ES</b>	<b>ALA-loaded SPI SD</b>	<b>WPC (raw)</b>	<b>WPC ES (unloaded)</b>	<b>ALA-loaded WPC ES</b>	<b>ALA-loaded WPC SD</b>
Amide A	3430	3312	3313	3313	3294	3289	3289	3289	3297	3293	3293	3293
Amide B	3085	3080	3080	3080	3075	3075	3075	3075	3078	3078	3077	3079
Amide I	1642	1653	1653	1653	1653	1653	1653	1655	1651	1654	1654	1654
Amide II	1543	1541	1541	1541	1534	1542	1543	1543	1540	1540	1543	1543
Amide III	1244	1244	1244	1244	1240	1251	1250	1250	1262	1249	1248	1248
-CH <sub>2</sub>	2960, 2928	2961, 2939	2961, 2931	2961, 2938	2961, 2928	2956, 2925	2957, 2927	2957, 2927	2963, 2924	2959, 2927	2959, 2927	2958, 2926
ALA	-	-	3013	-	-	-	3012	-	-	-	3013	-

443

ES = Electro sprayed; SD = Spray-dried



444 After processing the proteins, both by emulsion electro spraying and spray-drying, a  
445 general narrowing of the peaks was observed, which has already been described in  
446 previous works (Gómez-Mascaraque et al., 2015; López-Rubio & Lagaron, 2012).  
447 Moreover, the Amide A band shifted to significantly lower wavenumbers for the three  
448 proteins, indicating changes in the hydrogen bonding structure of the proteins (Doyle,  
449 Bendit, & Blout, 1975). These changes have been previously attributed to the removal  
450 of the structural water during the rapid drying process in the formation of electro sprayed  
451 gelatin particles (Gómez-Mascaraque et al., 2015), and this hypothesis could be  
452 extended to the other proteins as inferred from the TGA analysis (see below). The  
453 Amide B band only experienced a displacement towards lower wavenumbers for  
454 gelatin, not being significantly affected upon processing of SPI or WPC. This is  
455 attributed to the processing conditions of gelatin in diluted acetic acid and subsequent  
456 protonation of its amino groups, being this band partially due to the vibration of  $-\text{NH}_3^+$   
457 groups. Gelatin also showed the most significant changes in the displacement of the  
458 Amide I band upon processing, which is attributed to changes in the secondary structure  
459 of proteins (Ebrahimgol, Tavanai, Alihosseini, & Khayamian, 2014). Although the  
460 denaturation of SPI prior to processing did not lead to displacements in the Amide I  
461 band, which only narrowed, it did have an impact on the Amide II band, which is also  
462 conformationally sensitive (Aceituno-Medina, Mendoza, Lagaron, & López-Rubio,  
463 2013; Long et al., 2015)), producing a considerable shift towards higher wavenumbers,  
464 as previously observed (Pérez-Masiá et al., 2014). The Amide III band also experienced  
465 changes in its shape for both WPC and SPI, but not for gelatin, although the complex  
466 mixture of globular proteins present in these samples limits the interpretation of these  
467 results. Finally, the relative intensities of the bands corresponding to the asymmetric  
468 and symmetric stretching vibrations of methylene groups and their peak maxima

469 changed upon processing of the proteins, especially for SPI and WPC (which contained  
470 the surfactant). It is worth noting that these general comments are valid for both  
471 electrosprayed and spray-dried capsules, which exhibited little differences between  
472 them in terms of the bands ascribed to the proteins.

473 The presence of the  $\omega$ -3 fatty acid in the electrosprayed encapsulation microstructures  
474 was evidenced by the existence of its characteristic absorption band at  $3013\text{ cm}^{-1}$  in  
475 these samples. However, this peak was not detected for any of the spray-dried materials,  
476 suggesting that the bioactive compound was completely degraded during processing  
477 through the latter technique, due to the high temperatures required for the production of  
478 the encapsulation structures in this case. As the aforementioned band is related to the  
479 presence of *cis*-alkene groups in the samples, its disappearance implies that these double  
480 bonds were no longer present in the samples, i.e. they had been oxidized. Therefore,  
481 regardless of the protein used as wall material, electrospraying proved to be an effective  
482 technique for the microencapsulation of the thermosensitive bioactive while spray-  
483 drying resulted in complete ALA degradation. Other works had reported the successful  
484 encapsulation of ALA-rich oils, such as linseed oil (Gallardo et al., 2013) or chia oil  
485 (Rodea-González et al., 2012), within proteins and polyssacharides through spray-  
486 drying. However, pure ALA (>99%) showed extreme sensitivity to heat and thus it  
487 could not be detected in any of the spray-dried samples. Therefore, only the  
488 electrosprayed capsules will be considered in the following sections.

489

### 490 **3.6. Microencapsulation efficiency**

491 The band at  $3013\text{ cm}^{-1}$  was also used to estimate the microencapsulation efficiency  
492 (MEE) for the electrosprayed materials, as it did not overlap with any of the bands of

493 the proteins and it was a good indicator for the integrity of the bioactive compound.  
 494 Hence, the MEE estimated in this work is based on the presence of intact double bonds  
 495 in the bioactive fatty acid rather than the mere content of oil (oxidized or not) which is  
 496 measured in other works by gravimetric techniques (Jiménez-Martín, Gharsallaoui,  
 497 Pérez-Palacios, Carrascal, & Rojas, 2014; Rodea-González et al., 2012; Wang,  
 498 Adhikari, & Barrow, 2014). Calibration curves were constructed for each ALA-protein  
 499 system ( $R^2_{\text{Gel}} = 0.999$ ,  $R^2_{\text{SPI}} = 0.993$  and  $R^2_{\text{WPC}} = 0.986$ ) using physical mixtures of the  
 500 unloaded electrosprayed proteins with known relative concentrations of the fatty acid,  
 501 and using the Amide II band of each protein as a reference. The MEE of the ALA-  
 502 loaded particles was then calculated using Eq. (2) and the results are summarized in  
 503 Table 3.

504 **Table 3. Microencapsulation efficiencies for the electrosprayed materials. Different letters (a-e)**  
 505 **within the same column indicate significant differences at  $p < 0.05$  among the samples**

Electrosprayed sample		
Protein	Emulsion procedure	MEE (%)
Gel	HSH	40 ± 4 <sup>a,c</sup>
Gel	HSH+US	23 ± 12 <sup>a</sup>
SPI	HSH	61 ± 4 <sup>b</sup>
SPI	HSH+US	30 ± 3 <sup>a</sup>
WPC	HSH	67 ± 5 <sup>b</sup>
WPC	HSH+US	50 ± 3 <sup>b,c</sup>

506 **HSH = High-speed homogeneization; US = Ultrasonication**

507  
 508 In general, the estimated MEE was considerably higher when no ultrasound was used  
 509 for emulsion preparation. This was directly related to the heating of the emulsions  
 510 during the ultrasonication treatment, which must have partially degraded the  
 511 thermosensitive fatty acid. In fact, despite the short duration (i.e. 30 s) of the treatment  
 512 intervals and the use of an ice bath to cool down the samples, the temperature of the

513 emulsions after de ultrasonication treatment raised up to 45 °C. Hence, although the  
514 second emulsification approach proved to be useful to decrease de droplet size of the  
515 emulsions and increase their stability, it caused partial oxidation of the bioactive oil  
516 before encapsulation.

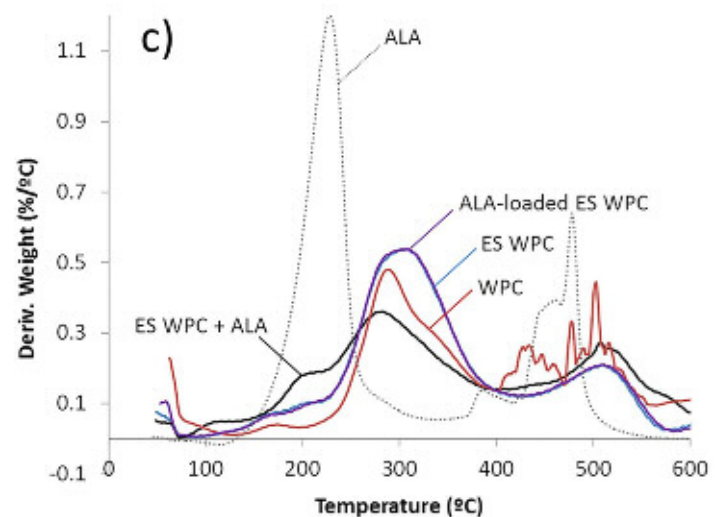
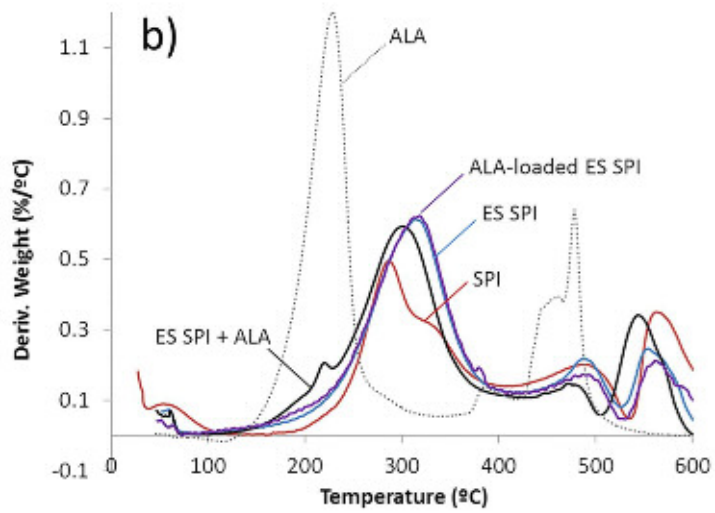
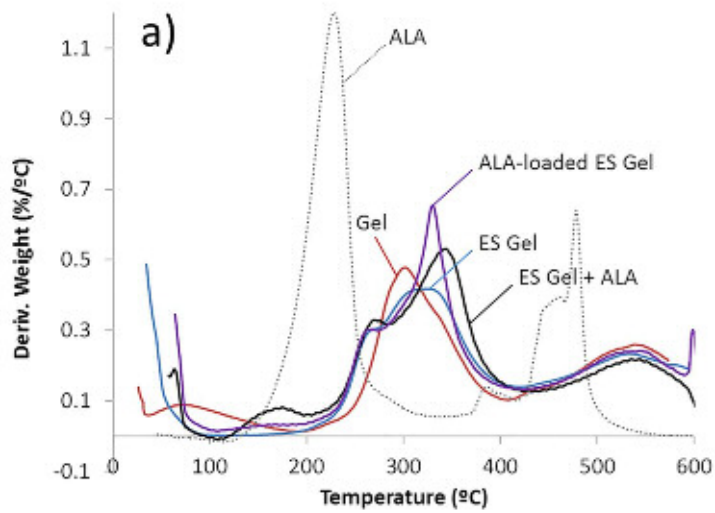
517 Concerning the MEE of the different proteins, gelatin yielded the lowest values  
518 regardless of the emulsification protocol employed. This was attributed to the low pH of  
519 the gelatin solution prepared in diluted acetic acid, which might have contributed to the  
520 greater degradation of the fatty acid before and during processing. Recent studies also  
521 found greater extents of lipid oxidation in ALA-containing SBO at acidic pH than at  
522 neutral pH (Kapchie, Yao, Hauck, Wang, & Murphy, 2013), supporting this hypothesis.

523 The best results were achieved when either SPI or WPC were used as wall matrices and  
524 the first and simplest emulsification approach was employed, both samples belonging to  
525 the same statistical group (cf. Table 3). Remarkably, those two emulsions were the most  
526 unstable when SBO was used as a model oil, even leading to bridging flocculation.  
527 However, the differences in the model oil and the bioactive oil structures might have led  
528 to improved stability of the latter, as commented above.

529

### 530 **3.7. Thermogravimetric analysis of the materials**

531 Thermogravimetric analysis of the raw proteins and the free ALA, as well as the  
532 unloaded and ALA-loaded electrosprayed particles, was conducted in oxidative  
533 conditions at 10°C/min in order to assess potential thermostability changes of the  
534 bioactive ingredient upon microencapsulation. A physical mixture of the unloaded  
535 electrosprayed materials and ALA (10% w/w) was also analysed. Figure 5 shows the  
536 obtained DTG curves.



537  
538  
539  
540

Figure 5. DTG curves of raw ALA, as-received proteins, e-sprayed particles and their mixtures for gelatin (a), SPI (b) and WPC (c).

541 The main degradation stage (major weight loss) for free ALA had its temperature of  
542 maximum degradation rate ( $T_{max}$ ) at 228 °C. In contrast, the main degradation stage for  
543 the three proteins took place in the range of 250-400°C for all the materials. Thus, the  
544 degradation of both components could be distinguished in the physical mixtures. For  
545 instance, a small peak at  $T_{max}=219$  °C was observed for SPI and a small shoulder at  
546  $T_{max}=215$  °C for WPC, which were both attributed to the presence of ALA, as they were  
547 not present in the unloaded electrosprayed proteins alone. The decrease in the thermal  
548 stability of ALA in these mixtures could be attributed to its increased exposed surface  
549 when physically absorbed on the proteins. For gelatin, its physical mixture with the fatty  
550 acid exhibited a small weight loss well below the  $T_{max}$  of the free bioactive, which was  
551 absent in the neat electrosprayed gelatin, and hence was similarly attributed to the  
552 degradation of free ALA absorbed on the gelatin surface. The exceptional decrease in  
553 stability in this case could be motivated by the presence of residual acetic acid in the  
554 capsules.

555 The DTG curves of the ALA-loaded encapsulation structures showed similar  
556 degradation profiles to those of the unloaded particles. Both exhibited slight changes in  
557 the degradation profile of the main stage when compared to the as-received proteins. As  
558 previously reported for gelatin (Gómez-Mascaraque et al., 2015), the  $T_{max}$  of the main  
559 degradation stage of the three protein systems increased upon electrospraying, although  
560 the onset temperature decreased (i.e. the degradation started at lower temperatures).  
561 These changes have been attributed to the structural changes caused by the  
562 electrospraying process and the reduction of the particle size, which results in an  
563 increase of the specific area and, consequently, of their susceptibility to thermal  
564 degradation (Gómez-Mascaraque et al., 2015). Regardless, the weight losses attributed  
565 to ALA in the mixtures were not found in the ALA-containing encapsulation structures,

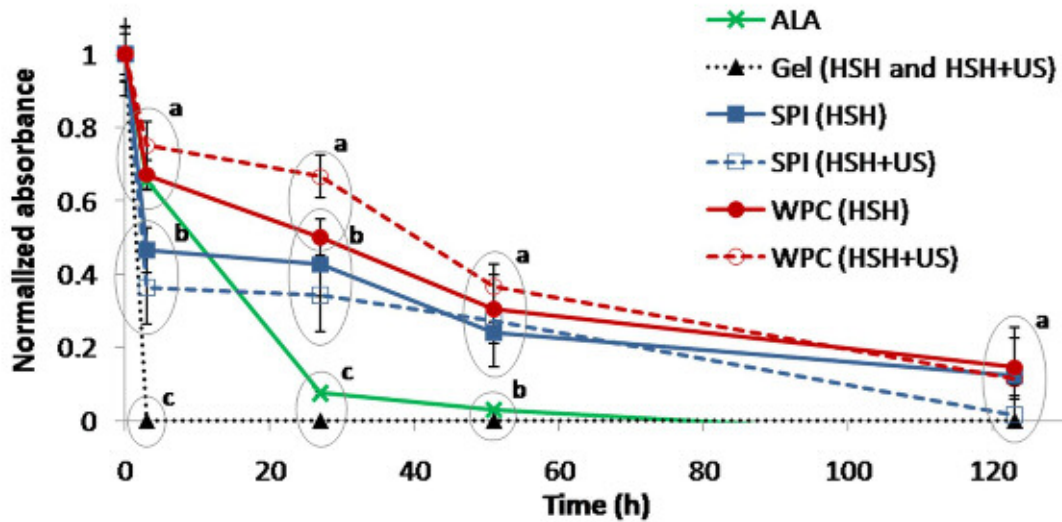
566 suggesting an increase in the thermal stability of the bioactive fatty acid upon  
567 encapsulation, as its degradation was delayed until its protective matrices themselves  
568 degraded.

569 Another interesting feature, also observed in previous works dealing with  
570 electrospraying of proteins (Gómez-Mascaraque et al., 2015), is that their fast drying  
571 triggered the removal of their structural water, so that only losses of absorbed water  
572 were afterwards detected in the processed materials (up to 100°C), while the as-received  
573 proteins prolonged the weight loss attributed to solvent (water) evaporation up to  
574 around 125°C in SPI and WPC and even close to 200°C for gelatin. This would have an  
575 impact on the structural changes detected by infrared spectroscopy.

576

### 577 **3.8. Accelerated oxidation/degradation assays**

578 The protective effect of the different emulsion electrosprayed encapsulation structures  
579 on the oxidative stability of ALA was assessed through an accelerated degradation assay  
580 at 80°C. For this purpose, the relative intensity of the infrared band attributed to the  
581 presence of alkene groups (3012-3013  $\text{cm}^{-1}$ ) was measured after different time periods  
582 at this temperature. The decrease in the relative absorbance of this band was related to  
583 the extent of ALA degradation (Torres-Giner et al., 2010). Results were normalized to  
584 the initial ALA content in the capsules for a better comparison of the different matrices,  
585 and they are shown in Figure 6.



586  
587 **Figure 6. Degradation profiles at 80°C for free and encapsulated ALA. Different letters (a-c)**  
588 **the same time period indicate different statistical groups with significant differences among them at**  
589 **p < 0.05**

590

591 The peak of interest was not detected in any of the gelatin samples after only 3 hours of  
592 thermal treatment, emphasizing that not only this matrix did not protect ALA from  
593 thermal oxidation, but it also accelerated its degradation, most probably due to the  
594 presence of residual acetic acid in the capsules.

595 Regarding the globular proteins, the degradation of ALA within the WPC matrices did  
596 not show significant differences with that of free ALA during the first 3 h, although the  
597 stability of the encapsulated fatty acid was significantly improved during the following  
598 days. This fast, initial degradation could be attributed to the fraction of the bioactive  
599 allocated on the surface or very close to the surface of the particles.

600 A similar degradation profile was found for ALA-loaded SPI capsules. However, in this  
601 case during the first hours of high temperature exposure, a greater extent of degradation  
602 was observed in comparison with that of free ALA. This might be attributed to the  
603 increased specific area of the ALA domains located on the surface of the particles.  
604 Compared to free ALA in bulk, whose specific area exposed to air was low, the



605 encapsulated fatty acid was fragmented into very small domains (droplets) by  
606 emulsification prior to electrospraying, greatly increasing its specific area. Thus, if a  
607 fraction of this oil remained on the surface of the particles, it would be more exposed to  
608 the environment. This statement would also be applicable to WPC, meaning that the  
609 fraction of oil on the surface of the protein particles would be lower for the WPC than  
610 for SPI. This difference could be attributed, among other factors, to the bigger particle  
611 sizes of the WPC capsules, which thus had smaller specific surface area. After the first  
612 three hours, the degradation of encapsulated ALA, both within SPI and WPC particles,  
613 was significantly delayed with respect to free ALA, highlighting the effective protection  
614 of these electrosprayed matrices against oxidation at high temperatures.

615 While the protection exerted by the WPC capsules was enhanced compared to the SPI  
616 particles during the first hours of treatment, no significant differences were observed  
617 among the samples after 2 days. Furthermore, the procedure used for the preparation of  
618 the emulsions had little effect on the degradation profiles, despite its impact on the  
619 encapsulation efficiency. Only WPC showed a significant difference between both  
620 methodologies after the first 27 hours of treatment, most probably due to the bigger  
621 droplet sizes of the non-ultrasonicated emulsion, which led to a bigger fraction of non-  
622 encapsulated or superficial oil, taking into account that the particle size of the capsules  
623 was very similar for both approaches.

624

#### 625 **4. Conclusions**

626 A novel emulsion electrospraying technique has been used to develop protein-based  
627 microencapsulation structures for the protection of ALA (used as a model  
628 thermosensitive hydrophobic bioactive compound) and compared with a well-

629 established technology used in the food industry such as spray-drying. Being ALA a  
630 thermosensitive compound, spray-drying was inappropriate for this purpose, completely  
631 degrading the  $\omega$ -3 fatty acid. As hypothesised, the electrospraying technique proved to  
632 be a satisfactory alternative, achieving microencapsulation efficiencies of up to  $67\% \pm$   
633  $5\%$ . It was also found that the low pH required for processing gelatin through  
634 electrospraying resulted in quick degradation of the encapsulated bioactive, while the  
635 ultrasound treatment for emulsion preparation also decreased the MEE due to heating.  
636 Thus, the best results were achieved using the globular proteins (WPC and SPI) and the  
637 simple homogenization procedure for the preparation of the emulsions, significantly  
638 delaying ALA oxidation during accelerated degradation assays at  $80^{\circ}\text{C}$ . The overall  
639 results of the present work demonstrate the potential of electrospraying of protein-  
640 stabilized emulsions for the microencapsulation and enhanced protection of  
641 thermosensitive and hydrophobic bioactive ingredients, specifically  $\omega$ -3 fatty acids,  
642 offering an improved alternative to traditional technologies used in the food industry  
643 such as spray-drying, which gives rise to oxidative degradation and does not  
644 significantly protect  $\omega$ -3 fatty acids (Kolanowski, Ziolkowski, Weißbrodt, Kunz, &  
645 Laufenberg, 2006). Further research will be needed to extend the applicability of these  
646 results to a wider range of hydrophobic bioactive ingredients and wall materials.

647

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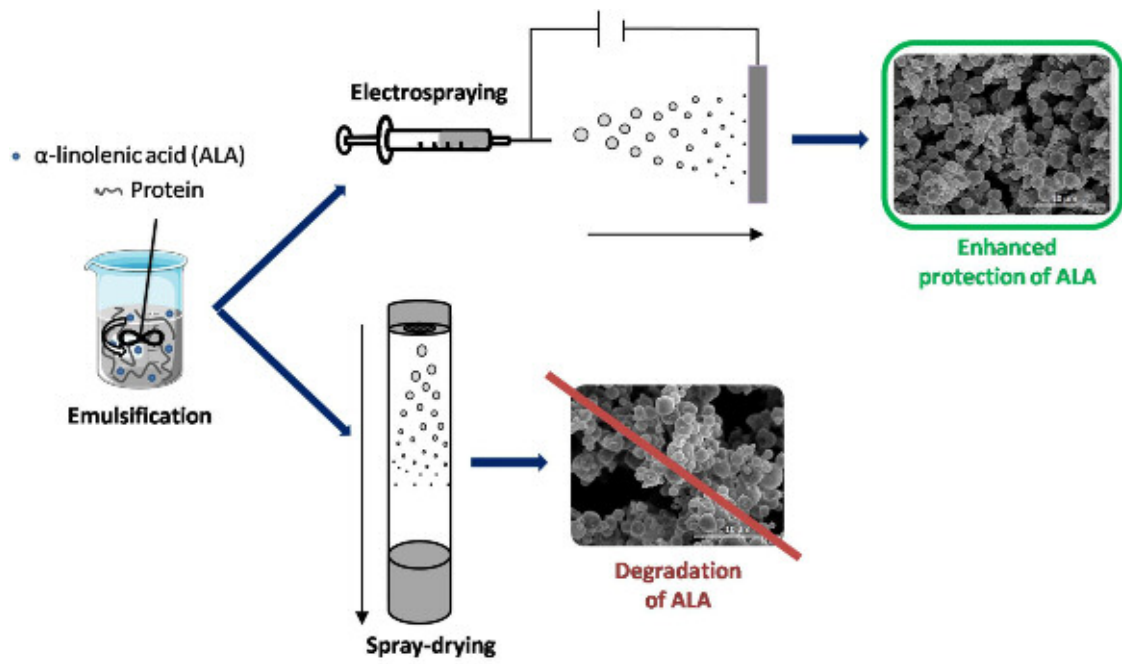
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GRAPHICAL ABSTRACT