

1 **Improving filmogenic and barrier properties of nanocellulose films by addition of biodegradable**
2 **plasticizers**

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13
14 **ABSTRACT**

15 Cellulose nanocrystals (CNC) were mixed with various additives to obtain films with good barrier and
16 mechanical properties as replacements for petroleum-based plastics. The influence of different doses of additives
17 including glycerol, maltitol, xylitol, mannitol, gellan gum and ethylene glycol on the resulting films was
18 examined. Both the type of additive and its amount were found to affect film morphology, barrier, optical and
19 mechanical properties. Most of the additives showed good results at low doses. All additives, except ethylene
20 glycol and mannitol, improved film elongation; also, they increased tensile strength, and decreased air and water
21 permeance. The films containing sorbitol, xylitol and maltitol exhibited the highest barrier properties, providing
22 films with totally resistance to oxygen under 60% of RH conditions. Interestingly, those films containing
23 additives were more easily biodegraded than the control film.

24
25 **Keywords**

26 Cellulose nanocrystals, additives, cellulose-based films, barrier properties and biodegradability.

27
28 **Synopsis sentence**

29 Studying different additives to improve the mechanical, optical and barrier properties of CNC-based films for
30 several applications.

31
32 **Abbreviations**

33 CNC: Cellulose nanocrystals

34 CNF: cellulose nanofibers

35 Sor: sorbitol

36 Gly: glycerol

37 Mal: maltitol

38 Xyl: xylitol

39 Man: mannitol

40 Gg: gellan gum

41 Eg: ethylene glycol

42 **INTRODUCTION**

43 Quality of life is increasingly been associated with the development of innovative, sustainable products
44 obtained with more efficient procedures using renewable, sustainable resources ¹. Petroleum-based plastics are
45 posing great challenges to health and the environment across the world. Developing effective alternatives is a
46 current focus of much research in various scientific disciplines. For example, plastics are the basis for food
47 packaging and the sources of severe health and environmental problems as a result ². The increasing concern
48 with food safety and preservation of the environment has promoted the development of various types of
49 biopolymers as non-toxic, biodegradable alternatives of greater quality and without waste disposal problems ³.

50 Cellulose, which possesses a highly crystalline or fibrillar structure, is one of the most abundant natural
51 biopolymers. This has boosted production of new, cellulose-based ecological packaging materials. However, the
52 hydrophilic nature and porous structure of the most common cellulose products (e.g., cardboard) restricts some
53 potential uses ⁴. Nanotechnology has lately emerged as one of the most promising tools for developing new
54 materials. For example, cellulose can be converted into cellulose nanofibers (CNF) and cellulose nanocrystals
55 (CNC), two different types of biomaterials with highly interesting properties ⁵.

56 Cellulose nanocrystals can be obtained from various sources including cotton, cotton linters, kenaf
57 fibre, wheat straw and wood fibre ^{5,6}. The process involves hydrolysis, usually with sulphuric acid, of the
58 amorphous portion, giving rise to crystalline cellulose nanostructures ^{1,7}. The properties of cellulose nanocrystals
59 and the yields in which their derivatives are obtained depend on various factors including the particular raw
60 material and production methods used ⁸, any pretreatment of the cellulose source ⁹ and whether the CNC
61 suspension is post-treated ¹⁰.

62 Cellulose nanocrystals possesses a number of desirable mechanical and chemical properties including a
63 high tensile strength and rigidity, also a large number of surface hydroxyl groups ¹¹ and a high surface area due

64 to the dimensional structure of CNC, allowing a strong interaction with other matrices to form nanocomposites
65 ¹². This has promoted research into the production and characterization of films obtained from CNC suspensions
66 ^{13,14}.

67 Cellulose nanocrystals can thus be an effective choice for advantageously circumventing some
68 problems of porous packaging materials. However, its limited ability to form three-dimensional networks can
69 restrict their use for obtaining versatile materials (Aulin, Gällstedt, & Lindström, 2010; Herrera et al., 2017).
70 CNC films are highly rigid and brittle, and hence difficult to handle. These shortcomings have been addressed by
71 previously mixing CNC with a plasticizer, the most common being sorbitol and glycerol ^{4,5,16-18}. The surface of
72 cellulose nanocrystals contains easily accessed hydroxyl groups that may interact with those in plasticizers,
73 thereby altering the morphology of the crystals and conferring them new properties ⁵. However, it remains
74 unclear which is the most suitable additive and its dose to be used as plasticizer in order to improve the film
75 formation of CNC and its mechanical and barrier properties, and also, how plasticizers affect the structure of
76 CNC films. In this study, we compared the effects of various additives on the properties of CNC films with a
77 view to identifying the proper amount and type of plasticizer that is more compatible with nanocellulose.
78 Plasticizers are low molecular weight compounds that are added to the polymer matrix to improve the film
79 flexibility and workability. There is a wide range of plasticizers ^{4,5,16,18-31}, but their effectiveness will depend on
80 the type of polymer network, which in our case will be nanocellulose. In order to achieve good compatibility
81 with nanocellulose seven additives, namely: sorbitol (Sor), glycerol (Gly), maltitol (Mal), xylitol (Xyl), mannitol
82 (Man), gellan gum (Gg) and ethylene glycol (Eg) were selected and tested in CNC-based films. These
83 plasticizers have a structure similar to nanocellulose, with free hydroxyl groups, making them more compatible
84 to join with nanocellulose and form a homogeneous film. The resulting films with different amount of additives
85 were characterized in terms of strength, visual appearance, barrier properties, crystallinity, morphology and
86 biodegradability.

87 The purpose is to establish the most suitable plasticizer to be used in CNC-based films depending on the
88 required film property. To our knowledge, the study and comparison of all these additives in CNC-based films
89 and their biodegradability characterization has not been previously reported.

90 **MATERIALS AND METHODS**

91 **Materials**

92 Cellulose nanocrystals, provided by University of Maine (Maine, United States), were used as main raw
93 material. The cellulose nanocrystals were derived from wood pulp and had dimensions of approximately 5

94 nanometers (nm) in diameter and 150-200 nanometers in length. A 3% suspension was used in our tests. The
95 plasticizers used were: sorbitol, maltitol, xylitol and mannitol from Acros Organics BVBA (Geel, Belgium),
96 glycerol and ethylene glycol from Panreac Quimica Sau (Barcelona, Spain) and gellan gum, Gelzan TM, from
97 Sigma-Aldrich S.A. (Madrid, Spain). Additional information about the additives is shown in supporting
98 information (Table S1).

99 **Preparation of CNC-based films by casting method**

100 13.8 grams of CNC (12.1% wt) were deposited on a polystyrene plastic plate (100 cm²) and allowed to
101 evaporate at controlled humidity (50% RH) and temperature (23°C) conditions, for about 5 days. The film
102 obtained without the addition of any additive, was the control film used throughout this study.

103 In order to overcome the brittle nature of CNC films, plasticizers such as sorbitol, glycerol, maltitol,
104 xylitol, mannitol, gellan gum and ethylene glycol were used and applied in different percentages (10, 15, 20,
105 25%) of the dry weight of CNCs. For accurate homogenization, the mixture was stirred with vigorously shaking
106 for one hour.

107 **Characterization of CNC-based films**

108 **Optical properties**

109 The light absorption was measured at room temperature in steps of 1nm, in the range of 200 to 900 nm
110 with an Evolution 600 UV-visible spectrophotometer. Transmittance of the film at 600 nm was also measured.
111 Specular gloss was measured following the standard ISO 8254-3. The transparency of the films was calculated
112 from the percent transmittance of light at 600 nm, following the equation 1³²:

$$113 \text{ Transparency} = \left(\frac{\log \%T_{600}}{x} \right) \quad (1)$$

114 Where %T600 is the percent transmittance at 600 nm and x is the film thickness (mm).

115 A minimum of five replicates were tested for each film sample and the average values were represented.

116 **Mechanical properties**

117 Mechanical properties of the films such as tensile strength, elongation at break and Young's modulus were
118 carried out by using a Metrotec-quality control instruments T5K equipped with a 500N load cell. The loading

119 speed was 10 mm/min. The films were cut into rectangular shape with 15mm width. A minimum of ten
120 replicates were tested for each film sample and the average values were represented.

121 Structural properties

122 Thickness, basis weight and density were measured according to ISO 534:2011.

123 Porosity is the ratio of pore volume (void volume) to total volume. In this way, theoretical porosity can
124 be calculated according to the equation 2⁵. Theoretical density was calculated from the density values of CNCs,
125 Sor, Gly, Mal, Xyl, Man, Gg and Eg which were 1.57, 1.49, 1.26, 0.6, 1.52, 1.49, 0.8 and 1.1 g/cm³, respectively.
126 The measured density is the bulk density of the films, and it was calculated as the ratio between basis weight and
127 thickness of the material (film) (ISO 534).

$$128 \text{ Porosity (\%)} = \frac{(\text{theoretical density} - \text{measured density})}{\text{theoretical density}} \times 100 \quad (2)$$

129 Roughness of the films was measured following the ISO 8791-2:2013, by the air leakage Bendtsen
130 method. It measures the air volume per minute (ml/min) which has leaked out when the film is clamped between
131 a flat glass plate and a circular metal head.

132 Surface and cross sections of the films were observed by SEM (JSM 7100 F) using a LED filter. All the
133 samples were graphite coated using EMITECH K950X221.

134 A minimum of five replicates were tested for each film sample and the average values were represented.

135 Barrier properties

136 Barrier properties such as resistance to air, water (water absorption and hydrophobicity), oil, oxygen
137 and vapor were tested.

138 Air permeability was measured following the standard ISO 5636-3:2013, by the Bendtsen method. Water
139 absorption (WDT-water drop test) was evaluated using the TAPPI T835, in which a drop of water is deposited
140 on the surface of film and then it is measured the time that it took to disappear the specular gloss of the drop of
141 water. The hydrophobicity was measured by the water contact angle (WCA). WCA measurements were made
142 using a Dataphysics OCA15EC contact angle goniophotometer using an image capture ratio of 25 frame/s. A
143 4μL water drop was delivered to sample surface and at least 5 measurements were made for each sample. Oil
144 resistance was measured in accordance with the standard ISO 16532-3:2010 (turpentine test). In this method a
145 quantity of silica sand is placed on the film and saturated with dyed turpentine, and it is measured the time taken
146 for the dye to penetrate the film. Oxygen permeability was measured using MOCON OX-TRAN® Model 1/50

147 with an atmospheric oxygen concentration of 100% at 23°C temperature and at different relative humidity (20,
148 40, 60 and 80%). Water vapor transmission rate of the films at 25% of plasticizer was measured according to the
149 standard procedure ISO 2528 (2017) at 25° C and at two relative humidities, 50% and 90% RH. The procedure
150 was carried out as follows: an aluminium cup containing CaCl₂ desiccant was sealed by the test film (50 cm²
151 exchange film area) with paraffin wax at 90° C and placed in a climatic chamber for controlling the
152 environmental conditions. All tests were performed in duplicate. The WVTR (g · m⁻² · day⁻¹) was determined
153 using the equation 3:

$$154 \quad WVTR = \frac{m \cdot 24 \cdot 10^4}{S \cdot t} \quad (3)$$

155 where m is the increase in mass, in grams, of the assembly during the time t; S is the area in the tested surface of
156 the test piece in cm² and t is the total duration, in hours, of the last two stable exposure periods.

157 A minimum of five replicates were tested for each film sample and the average values were represented.

158 Surface free energy (SFE)

159 The surface free energy (SFE) was evaluated using the Owens, Wendt, Rabel and Kalble (OWRK)
160 method³³. Briefly, several drops of deionized water, ethylene glycol and diiodomethane were applied to the
161 surface of the samples and the corresponding contact angles were measured by Dataphysics OCA15EC contact
162 angle goniophotometer using an image capture ratio of 25 frame/s. At least five droplets of each liquid were
163 dispensed in different regions. The total surface free energy was computed as the sum of the polar and disperse
164 contributions. The interfacial energy was calculated according to OWRK from the contributions of the liquid and
165 the solid by forming the geometric mean:

$$166 \quad \sigma_l(1 + \cos\theta) = 2\sqrt{\sigma_l^d \sigma_s^d} + 2\sqrt{\sigma_l^p \sigma_s^p} \quad (4)^{33}$$

167 here, θ is the contact angle, σ_l the surface tension of the liquid, σ_l^d and σ_l^p represent the disperse and polar parts
168 of the liquid, while σ_s^d and σ_s^p stand for the respective contributions of the solid. This gives an equation of a
169 straight line which allows calculation of σ_s^p from the slope of the fitted line and σ_s^d from the intersection with the
170 vertical axis. A minimum of five replicates were tested for each film sample and the average values were
171 represented.

172 FTIR spectroscopy

173 FTIR spectra of CNC films were recorded in duplicate at room temperature using an ATR-FTIR
174 spectrophotometer (Spectrum 100, Perkin Elmer, USA). FTIR spectral analyses were conducted within the
175 wavenumber range of 500-4000 cm⁻¹. A total of 64 scans were run to collect each spectrum at a 1 cm⁻¹
176 resolution. The results of the spectra were normalized.

177 X-ray diffraction (XRD)

178 CNC films were subjected to X-ray diffractometry analysis (PANalytical X'Pert PRO MPD Alpha1
179 powder diffractometer in a Bragg-Brentano $\theta/2\theta$ geometry of 240 millimetres of radius). The samples were
180 analysed at the radiation wavelength of 1.5406 Å and 45 kV – 40 mA for the work power. Samples were scanned
181 from 2 to 60°, 2 θ range. The samples were mounted with no support fixed by mean of two polyoxymethylene
182 rings, and analysed in reflection geometry. The crystallinity index (CI) was calculated based on equation 5.³⁴.

$$183 \text{CrI}(\%) = \frac{I_c - I_{am}}{I_c} \times 100 \quad (5)$$

184 where I_c is the maximum intensity of the lattice diffraction and I_{am} is the intensity of the peak at $2\theta = 18^\circ$, which
185 corresponds to the amorphous part of cellulose. The intensity of the peaks was measured as the maximum value
186 obtained for the peak taking into account a baseline.

187 **Biodegradability of CNC-additives films**

188 In order to study the final aerobic biodegradability of the films obtained in the present study, an assay
189 was carried out under controlled composting conditions, during a period of 90 days. The methodology of the
190 UNE-EN ISO 17556 standard was adapted. The test method determines the total biodegradability of the
191 degraded material. It was carried out under conditions of simulation of an intensive aerobic composting process.
192 Ripe derivative of stabilized compost from the composting plant of the 'Parc Ambiental de Bufalvent' (Manresa,
193 Catalonia) was used as inoculum rich in microorganisms.

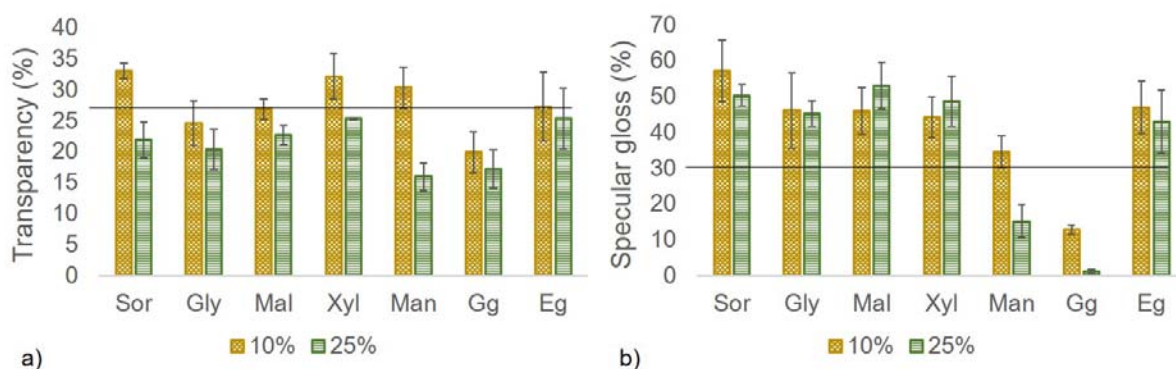
194 The containers with the material tested were agitated weekly and a constant humidity was maintained
195 by spraying deionized water once a week, controlling the good condition of the compost. A constant rate of CO₂-
196 free air entered the containers and swept along CO₂ generated. The CO₂ was collected in an alkaline trap (0.05M
197 NaOH) and the CO₂ produced is calculated from the evaluation of NaOH consumed by titration with HCl 0.05M.
198 After 90 days of testing, from the datum of CO₂ produced, the biodegradability of each of the tested materials
199 was calculated.

200 **RESULTS AND DISCUSSION**

201 Optical properties

202 One of the most interesting properties of bioplastics is transparency. Nanofibrillar and cellulose
203 nanocrystals films are usually translucent³⁵. Figure S1 (A) (supplementary material) shows photographs of the
204 orthogonal projection of CNC films (25% additive dose) and control film. A comparison with Figure S1 (B),
205 which corresponds to an oblique projection, reveals differences in colour and specular gloss. According to Liu et
206 al. 2017 this kind of coloration, which changes with the observing angle, is deemed structural colour.

207 The optical properties of CNC films can be examined from their transmittance as measured by UV–Vis
208 spectrophotometry [usually at 600 nm, a wavelength in the middle of the visible spectral region³⁷], and also
209 from their specular gloss. Transparency values of Sor, Xyl or Man (at 10%) were higher than those of control
210 film [Figure 1a)]. The additives leading to the lowest transparency were Gg at both 10 and 25%, and Man at
211 25%, also showing the lowest specular gloss values [Figure 1b)]. Murrieta-Martínez et al. 2019 also obtained
212 low transparency when mannitol was applied as a plasticizer on squid protein in comparison with glycerol,
213 sorbitol, maltitol, and xylitol. Cazón et al. 2018 reported transparency levels of 13.67–36.25% for cellulose–
214 glycerol–polyvinyl alcohol composite films, and 15–20% for low-density polyethylene films. Also, Lee, Son, &
215 Hong (2008) obtained polypropylene films of 38.2% transparency and Park et al. 2020 reported transparency
216 level of 26.2% and 30.4% for CNF/epoxy films. As can be seen, the transparency values of our CNC-based films
217 are similar to those reported for some synthetic polymers.



218

219 **Fig. 1.** Transparency [a), as calculated from eq. 2] and specular gloss [b)] of CNC-based films containing
220 additives at a dose of 10 or 25% as compared to the additive-free control film (line).

221 Light absorption measurements were used to assess the ability of the films to protect from UV radiation.
222 Figure S2 in supplementary material shows that absorption in the 200–400 nm range (UV region) was higher in
223 the films containing an additive. The highest light absorption was found in those films that provided the lower
224 specular gloss (Gg followed by Man). Then, Sor, Gly, Mal, Xyl and Eg showed similar light absorption

225 behavior. The plasticizers thus increased film transparency and UV protection, so they might be useful for food
226 packaging purposes. Similar results were previously reported by Cazón et al. (2018), who found cellulose–
227 glycerol films to have a UV protective effect. Glycerol also proved an effective UV protector in
228 hydroxypropylmethyl cellulose films (Imran et al., 2012).

229 **Mechanical properties**

230 The industrial usefulness of CNC-based films is severely limited by their brittleness and difficult
231 handling. Adding a plasticizer, however, decreases interactions between nanocellulose crystals, thereby making
232 films more flexible and less brittleness, and preventing breakage during handling. Film plasticity is mainly
233 governed by the mechanical properties like tensile strength (TS) and elongation (ϵ)⁴².

234 The effect of the additives was assessed by characterizing resulting films in terms of TS, ϵ and Young's
235 modulus (E) for comparison with a control film (Table S2 in supporting information). The high dispersion in the
236 data may have arisen by internal tensions that occur during the drying process of film formation. Tardy et al.
237 2019 reported that capillary stresses take place during the casting process of CNC films, producing structural
238 defects and deforming the substrate. Baez et al. 2014 investigated how the drying method of the CNF films
239 affected tensile data scatter. The films containing no additive (control film) were brittle and poorly resistant
240 compared to other types of films. They had a tensile strength of 15 MPa and a tensile index of 15 Nm g⁻¹. Gao
241 et al. 2017 reported a TS value of 38.5 MPa for alginate films with no additive, and Fillat et al. 2018 obtained
242 tensile index values around 18 Nm g⁻¹ for bacterial nanocellulose films. As can be seen from Figure 2a), most
243 of the additives increased the tensile strength with respect to the control film. In fact, all films containing an
244 additive were more easily handled; with the exception of those containing Gg which were also more difficult to
245 peel off the cast owing to their high stickiness.

246 The influence of plasticizer amount was found to depend on the type of additive [Figure S3 a)], and
247 most additives decreased TS when used above a given dose. This occurred because the plasticizer is placed
248 between the polymer molecules, leading to greater intermolecular spacing of the cellulose chains. Talja et al.
249 2007 and Ili Balqis et al. 2017 also obtained a diminution in TS with the increase in plasticizer concentration in
250 carraggenan films and potato starch-based films, respectively. Csiszár and Nagy 2017 studied how Sor and Gly
251 and their concentrations affected the tensile strength of CNC films and they proved the optimal amount was 15%
252 for both plasticizers, although sorbitol provided significantly higher TS than glycerol. Yang et al. 2016 studied
253 the effect of Sor and Gly in protein films and also found that Sor formed stronger films than Gly, due to the

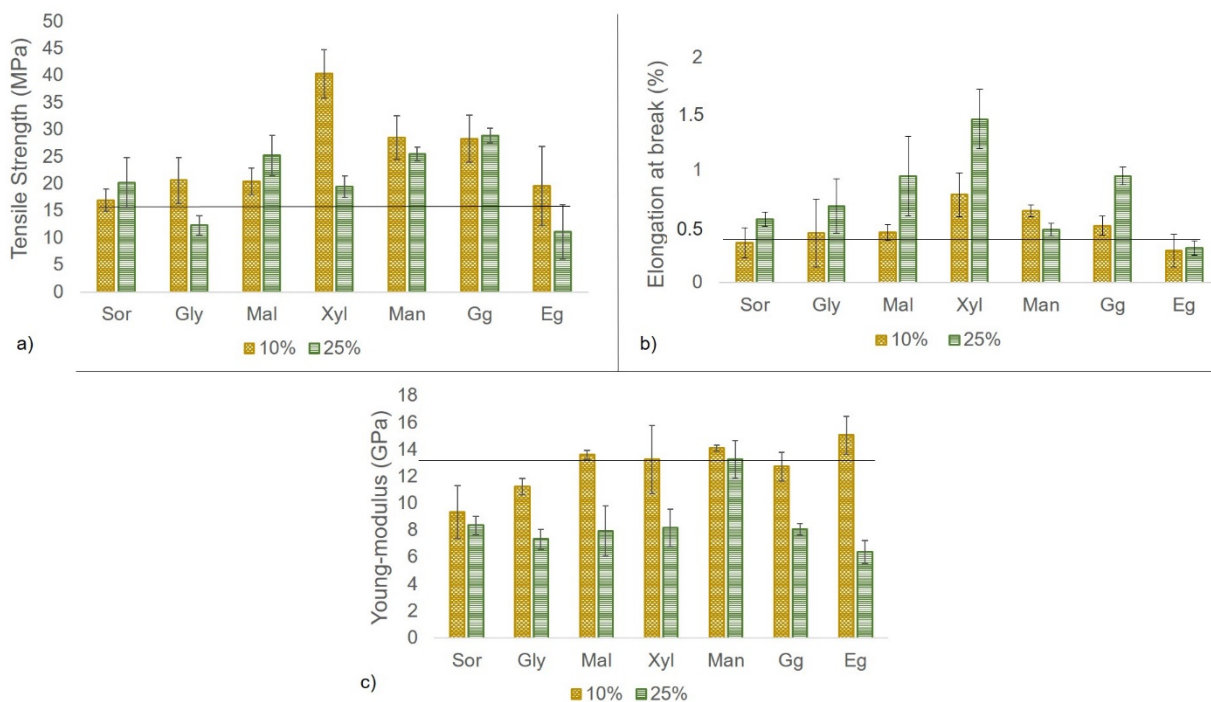
254 lower molecular weight of Gly. Mathew and Dufresne 2002 obtained better results with Sor than with Gly in
255 maize starch films, but Mal was the most efficient at higher RH levels in terms of tensile index. Navarro-
256 Tarazana et al. 2008 found Man increased TS of hydroxypropyl methylcellulose-beeswax film to a greater extent
257 than Gly. In our CNC-based films xylitol and maltitol showed better tensile strength properties than sorbitol and
258 glycerol at 15%, and in addition xylitol provided the highest TS value with only an amount of 10% [Figure S3
259 a)].

260 As can be seen from Figure 2b), all additives except Man and Eg improved elongation at break (ϵ) as
261 the amount was increased. These results are consistent with other works reported by Csiszár & Nagy, 2017; Ili
262 Balqis et al., 2017 and Talja et al., 2007, who added sorbitol and glycerol to CNC, carrageenan and potato starch,
263 respectively.

264 Ili Balqis et al. 2017, stated that glycerol and sorbitol made the films more stretchable and flexible,
265 since they contributed to increasing the mobility of polymer chains. Xyl was the most efficient plasticizer as it
266 reached to provide an elongation 3 times higher than the control film [Figure S3 b)].

267 Young's modulus (E) results decreased with increasing additive dose [Figure 2c)]. This behaviour was
268 also reported by Talja et al. 2007 and Gao et al. 2017 in potato starch and alginate films, respectively.

269 At the highest additive dose, all films had a smaller E value than the control sample [Figure S3 c)].
270 However, Mal, Man and Eg at the lowest dose increased the moduli of the films relative to the control sample. In
271 fact, the obtained E values were greater than others previously reported for CNC-based films. Thus, Csiszár et al.
272 (2017) obtained E values below 6.5 and 3 GPa for CNC films containing sorbitol and glycerol, respectively,
273 whereas our values covered the ranges 7.3–9.3 and 9.1–11.2 GPa, respectively.



274

275 **Fig. 2.** Tensile strength [a)], Elongation at break [b)] and Young-modulus [c)] of the control film (line) and the
 276 films containing an additive (columns).

277 Thus, as the results show, the addition of a plasticizer in a CNC film improved the plasticity and
 278 handling of the film, preserving its tensile strength. Xylitol is shown as the most suitable additive for the
 279 production of CNC films in terms of mechanical properties.

280 **Film structure and morphology**

281 Theoretical porosity

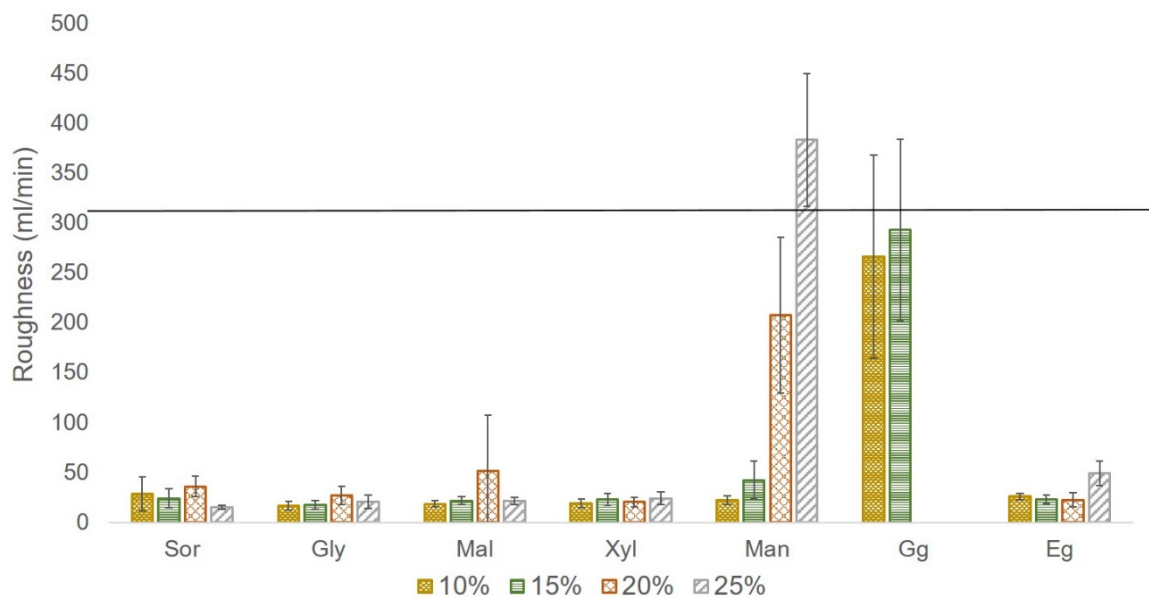
282 The values of basis weight, thickness and apparent density of the films used to measure the theoretical
 283 porosity are shown in table S3 (supporting information). Changes in film morphology by effect of the additive
 284 were examined in terms of theoretical porosity. As can be observed from the porosity results of control= $25.38 \pm$
 285 5.93% and plasticizers at 25% (Gly= $28.61 \pm 4.17\%$, Xyl= $20.95 \pm 2.10\%$, Eg= $20.89 \pm 2.83\%$, Gg= $19.05 \pm$
 286 6.28% , Sor= $17.90 \pm 1\%$, Man= $11.78 \pm 2.10\%$ and Mal= $7.11 \pm 1.44\%$), all additives except Gly decreased
 287 porosity to a greater or smaller extent. Csiszár & Nagy (2017) also calculated theoretical porosity of CNC films,
 288 however they did not find a remarkable difference when glycerol or sorbitol were added as plasticizers.

289 Roughness

290 Film roughness was also studied because it can restrict the use of films for purposes such as electronic
291 circuit printing. The control film had a slightly less roughness (315 ± 89 ml/min, Figure 3) than for example
292 conventional printing papers but higher than bacterial nanocellulose films (24-30 ml/min, Fillat et al. 2018).
293 Also, all additives except Man and Gg decreased film roughness to values below 50 ml/min. Therefore, adding a
294 plasticizer generally increases film smoothness.

295 High roughness, and a dose-dependent increase in roughness was obtained when Gg and Man were
296 used. As can be observed in Figure S4 (supplementary material), the films containing Gg or Man exhibited a
297 less uniform and compact structure. This result along with morphological differences observed in the films, may
298 be indicative of a lower interaction within CNC, by virtue of the presence of such additives. For example, these
299 compounds provided the lowest film transparency and gloss, which could be due to a less cohesive structure,
300 promoting light scattering. The decreased CNC-plasticizer interaction is evident in the case of Gg. When high
301 doses were used (i.e. 20% and 25%), an embrittlement was observed, producing the film rupture, and making
302 impossible to measure the roughness. Also, the casting suspensions with Gg and Man showed higher viscosity,
303 with respect to the rest of the additives. The increase on viscosity was visually observed and was so evident that
304 even complicated the handling of the suspension. The increased viscosity produces a greater resistance to
305 spreading and may increase surface roughness, as observed previously⁴⁸.

306 Since the chemical formula of Man and Sor is the same, we could have expected similar behaviors for
307 these two compounds. However, there is an important difference in the hydroxyl group of the second carbon,
308 which has different configuration. Thus, these two compounds are epimers, and present different chemical
309 properties. The main differences are in their melting points, and that sorbitol is considered very hygroscopic,
310 while mannitol is considered non-hygroscopic^{49,50}. Given that the cohesion of a CNC film is achieved upon -HO
311 interactions with water, the presence of a non-hygroscopic compound like Man, may have hindered the hydrogen
312 bond interactions, resulting in a less-cohesive structure.

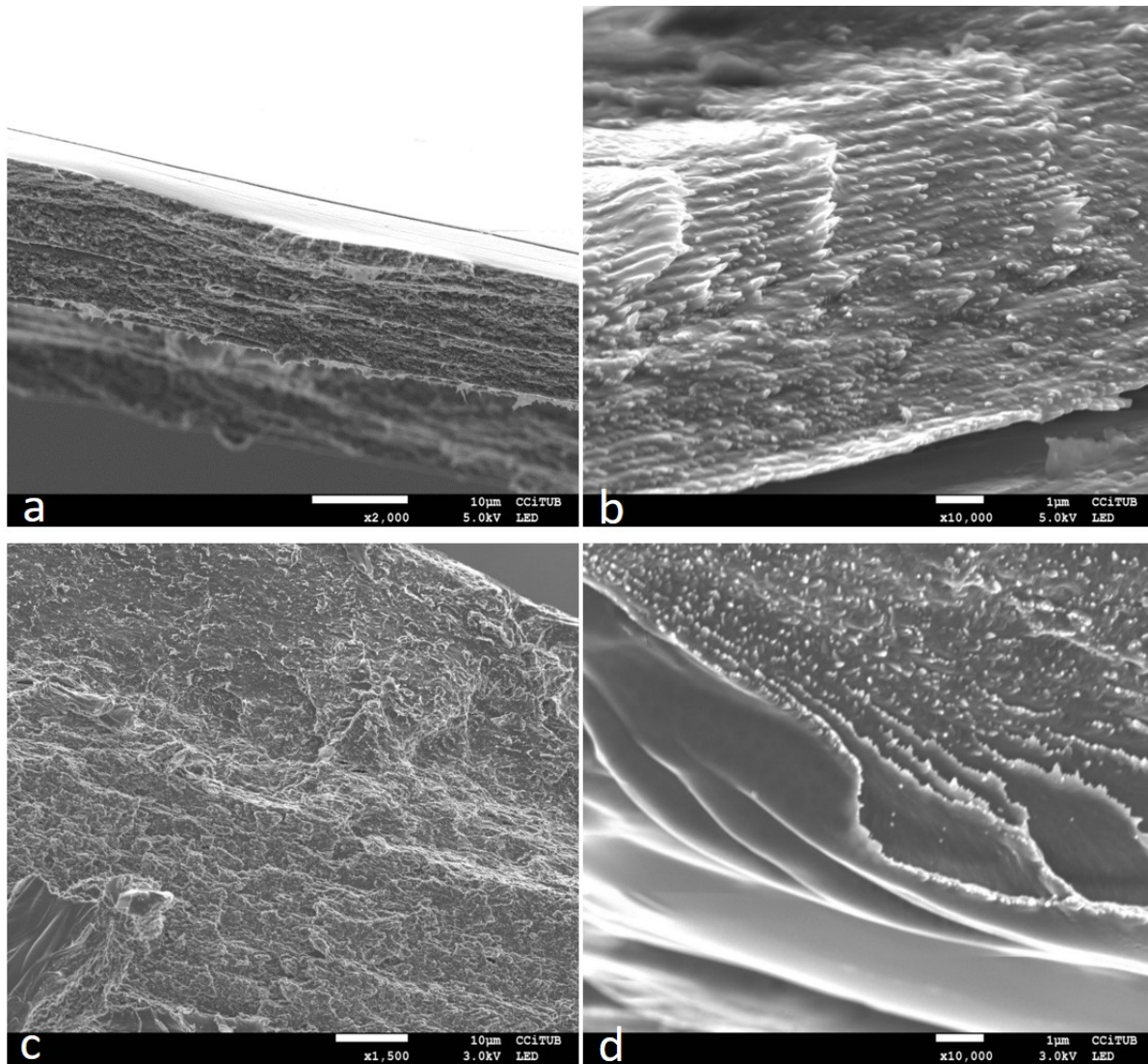


313

314 **Fig. 3.** Effect of the type of plasticizer and its dose on roughness (%) relative to the control film (line).

315 Film morphology by SEM

316 The effect of the additives on film morphology and structure was also examined from cross-sectional
 317 scanning electron micrographs. The micrographs for the films containing no additive (Figure 4a and 4b)
 318 exhibited a fairly ordered nanocrystal arrangement and a highly linear layered structure. Similar layered
 319 structures were previously observed in other CNC films that retained the self-assembling ability of suspended
 320 cellulose nanocrystals after evaporation^{36,51}.



321

322 **Fig. 4.** Scanning electron micrographs of the control film (a and b) and the films containing 25% Sor (c and d).

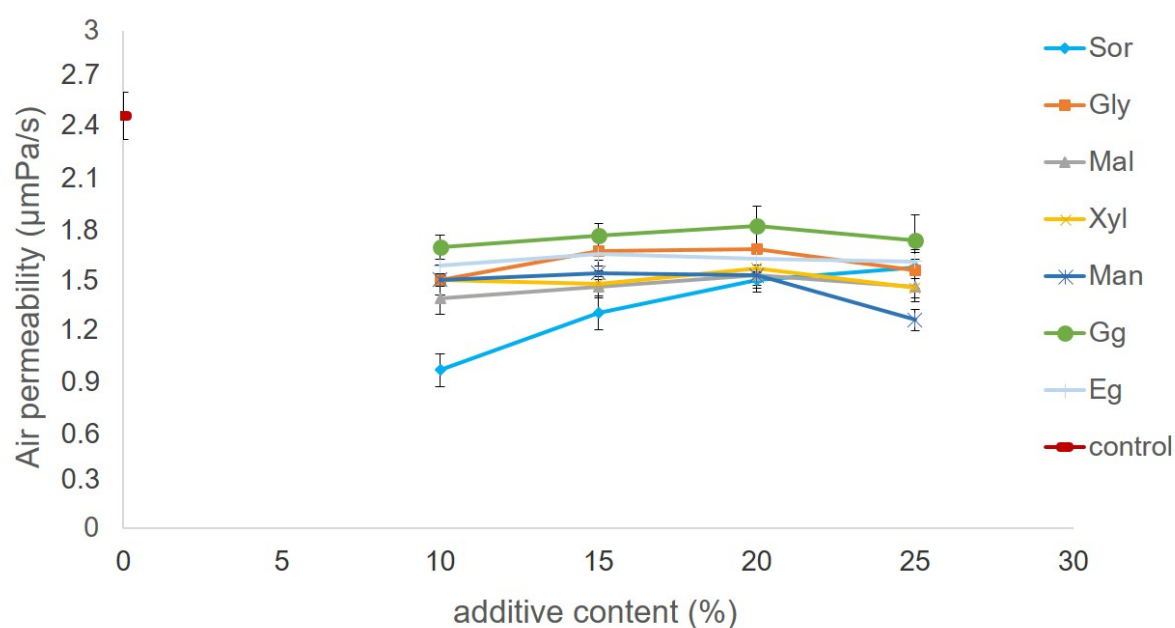
323 The effect of the additives is illustrated with the film containing 25% Sor in Figure 4c and 4d (all others
 324 behaved similarly). As can be seen from the micrographs, there were no appreciable differences from the control
 325 film. However, the presence of a plasticizer led to smoother layers or surfaces, producing a more compact and
 326 uniform film. Bardet et al., 2015 investigated CNC–poly(ethyleneglycol) interactions and found the resulting
 327 films retained the self-assembling ability of CNC and had smoother surfaces. According to Tyagi, Hubbe, Lucia,
 328 & Pal (2018), a compact matrix can provide an effective barrier against gases and moisture.

329 **Barrier properties**

330 Many food packaging materials are petroleum-derived polymers. These are inexpensive, easy to handle
331 and impermeable, but pose serious environmental problems. Hence the existing interest in improving the barrier
332 properties of nanocellulose films.

333 Air permeance

334 Air permeance is one interesting barrier property to maintain the quality of packaged foods and increase
335 shelf-life. The permeance of the additive-free film ($2.03 \pm 0.14 \mu\text{m Pa}^{-1} \text{s}^{-1}$, Figure 5) was much lower than that
336 of wood fibre paper but slightly higher than that of bacterial nanocellulose films ($1.3 \pm 0.1 \mu\text{m Pa}^{-1} \text{s}^{-1}$, Fillat et
337 al. 2018). All additives decreased air permeance to values from 0.95 ± 0.10 to $1.82 \pm 0.12 \mu\text{m Pa}^{-1} \text{s}^{-1}$, however
338 the dose of plasticizer did not influence this property. Higher resistance to air penetration was expected as
339 plasticizers decreased the theoretical porosity of the films. The lowest permeance was that of the film containing
340 10% Sor and the highest that of the Gg-containing films.



341

342 **Fig. 5.** Air permeance ($\mu\text{m Pa}^{-1} \text{s}^{-1}$) of the CNC-based films, at different doses of additive.

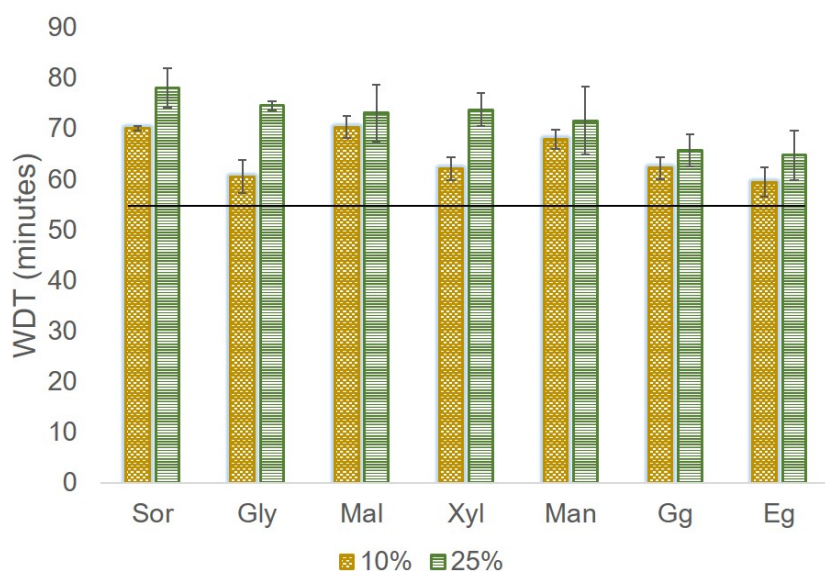
343 Oil resistance

344 Oil resistance is one of the most important properties of films with a view to their use as food packaging
345 materials. We measured oil resistance in the films containing a 10% and 25% dose of each additive and in the
346 control film for comparison (the methodology performed to carry out the essay is shown in supporting
347 information, video “oil_resistance”). All CNC samples showed no penetration of oil through the films (relative

348 rate of oil penetration higher than 1800 s) therefore they were oil-proof. Neither the presence of an additive nor
349 its dose altered the oil resistance of the films. Tyagi et al. 2018 also found an improvement of oil resistance when
350 different packaging base papers were coated with CNC and sodium montmorillonite as a co-additive. In fact, oil
351 resistance is strongly influenced by air permeability^{52,53}. The lower the air permeability, the greater the oil
352 resistance. And as it is shown in Figure 5, air permeance of CNC-based films was actually very low.

353 Water permeance

354 The high affinity of cellulose for water restricts its use in liquid containers. Figure 6 shows the time
355 needed by each film to absorb a drop of water as measured with the water drop test (WDT). As can be seen, the
356 control film exhibited a substantial water absorption resistance clearly exceeding that of paper fibre-based
357 materials, which is typically less than 1 min. Moreover, the additives further decreased the water absorption
358 capacity of the films, and this effect was more pronounced when the additive dose was increased.



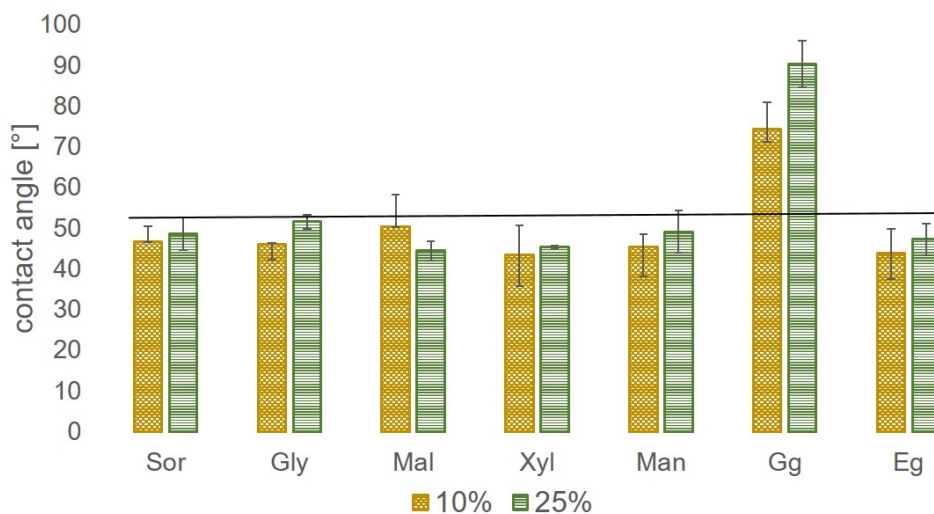
359

360 **Fig. 6.** WDT (min) of the CNC-control film (line) and CNC-based films additives (columns).

361 Hydrophobicity

362 The hydrophobicity of the films was evaluated by measuring the water contact angle. The WCA value
363 for the control was $53.2^\circ \pm 0.10$ (Figure 7) similar to those of cotton linter-based CNC films obtained by
364 Beltramino et al. (2015). Moreover, all additives except for Gg caused a slight decrease in WCA. Xia et al.
365 (2018) reported similar WCA values for cellulose nanofibers (CNF) films. They succeeded in increasing WCA
366 up to 88° by a heating treatment, which caused an increase in surface roughness due to the fibril shrinkage by the
367 dehydration of surface hydroxyl groups⁵⁵. Our Gg-containing films had a WCA of $90.45^\circ \pm 5.68$ which

368 indicated the increase in hydrophobicity. This behaviour might be related with the highest surface roughness
369 (Figure 3), but especially with the decrease in surface free energy, which we will discuss later.



370

371 **Fig. 7.** Contact angle (°) of the control film (line- with a confidence interval of ± 0.10) and the films containing
372 additives (columns).

373 Water vapor transmission rate (WVTR)

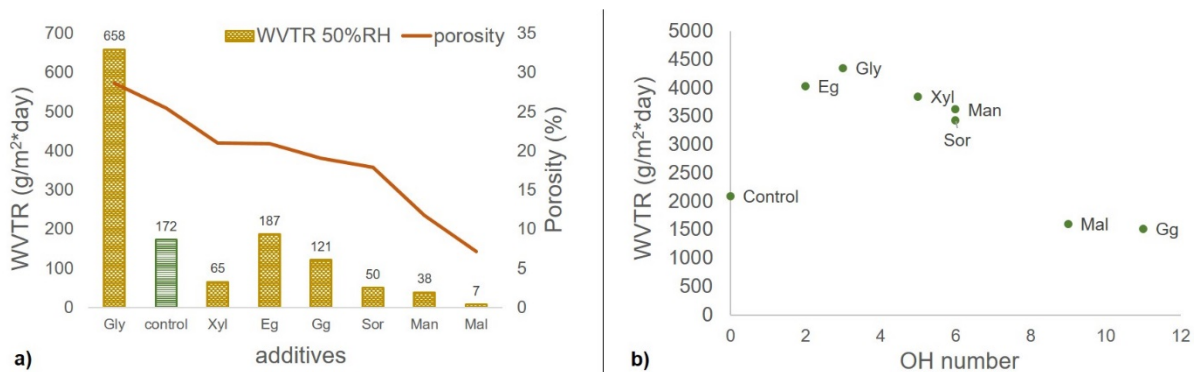
374 One of the most important drawbacks of polysaccharide-based films is their high water sensibility. This
375 clearly limits their real life application, particularly in food packaging. Incorporation of biodegradable additives
376 could improve barrier properties by making a network very hard for the molecules to pass through, due to an
377 increased tortuosity. The WVTR was measured at 50% and 90% RH in those films that contained 25% of
378 additives and all of them (except Gly and Eg) reached lower WVTR values at 50% RH than the un-plasticized
379 film ($172 \text{ g} / \text{m}^2 * \text{day}$, Fig. 8a). The lowest WVTR was recorded for films that contained Maltitol.

380 One of the most dominant factors in gas permeation is the rate of molecule diffusion in the film ^{56,57}.
381 The transport phenomena into the film also depend on whether the gas interacts with cellulose or not ⁵⁸.
382 However, the porosity is an aspect that should also be taken into account. It is known that gas permeability
383 closely relates to the porosity or the ratio of void volume of the material. The volume of fluid (gas) will flow
384 through the connected pores in the material or film. All films with plasticizers showed a lower theoretical
385 porosity than the control, with the exception of the Gly which presented the highest water vapor permeation and
386 also the highest theoretical porosity (Fig. 8a).

387 Higher values for WVTR were obtained under drastic humidity conditions (90%) (Fig. 8b). It has been
 388 reported that at 70% of relative humidity the hygroscopicity of these additives increases⁵⁹. Mal was still the
 389 additive that presented the lowest WVTR value. In fact, only Mal and Gg were below the control. Zhang & Han,
 390 2006 also obtained lower WVTR in pea starch films plasticized with Mal in comparison with those films
 391 plasticized with Gly and Sor. They stated that glucose in the Mal structure increased interactions between starch
 392 and Mal resulting in a more compact structure.

393 Although it was expected an increase in WVTR with the number of OH, the inverse effect was obtained
 394 (Figure 8b). The WVTR was higher with those plasticizers that had lower amount of OH groups. Zumbé et al.,
 395 2001 obtained that Xyl (5 OH) had higher hygroscopicity at 90°C than Sor (6 OH), Man (6 OH) and Mal (9 OH).
 396 The highest WVTR was obtained with Gly (3 OH). Gly has also been reported to provide higher WVTR than
 397 other additives when it was applied in pea starch films⁶⁰, in pullulan-based blend films⁶¹. Sothornvit and
 398 Krochta 2001 and Lee et al. 2015 reported that Gly presents higher WVTR values because it is more
 399 hygroscopic. Ili Balqis et al. 2017 obtained that the WVTR decreased when sorbitol and glycerol were added to
 400 carrageenan films, but started to increase with increasing plasticizer concentration, except in the case of sorbitol
 401 that maintained the WVTR values even at the highest concentration. They attributed this behaviour to the higher
 402 hygroscopicity of glycerol, which increased the moisture content producing an increase in the effective diffusion
 403 coefficient.

404 In fact, Gly is a small molecule (3C) with three OH groups oriented in the same direction, which makes
 405 diffusion of water easier. Contrariwise, Sor is bigger (6C) and has its 6 OH groups oriented in different
 406 directions (mostly to one side), which is why it may be more difficult for water to diffuse³⁸. Finally, a
 407 relationship between WVTR and molecular weight (Table S1) of plasticizers was also appreciated (as higher the
 408 molecular weight, lower the WVTR).



409

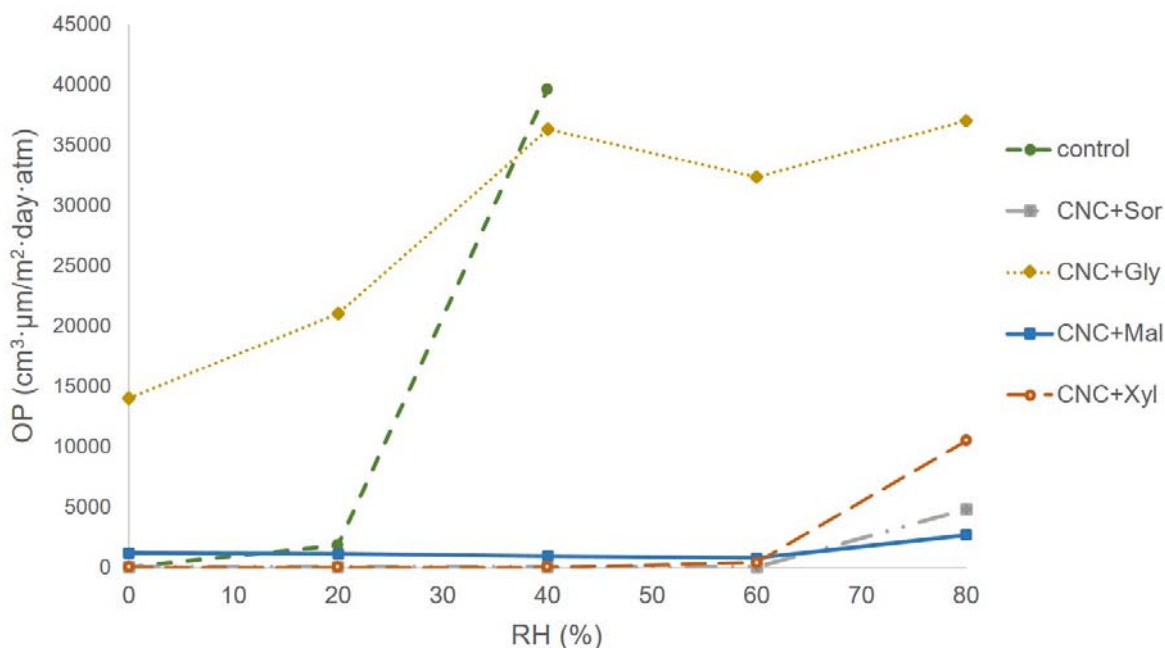
410 **Fig. 8.** Water vapor transmission rate (WVTR) a) at 50% RH and theoretical porosity, b) at 90% RH and the OH
411 group content.

412 Oxygen permeability (OP)

413 The development of low oxygen transmission films is important in order to design barrier materials of
414 great interest in the field of food packaging. At 20% RH, control film presented OP values of 1,806
415 $\text{cm}^3 \cdot \mu\text{m}/\text{m}^2 \cdot \text{day} \cdot \text{atm}$, being even higher ($40,000 \text{ cm}^3 \cdot \mu\text{m}/\text{m}^2 \cdot \text{day} \cdot \text{atm}$) at 40% RH. Belbekhouche et al., 2011
416 obtained that CNC-based film were much more permeable to gases than microfibrillated cellulose (MFC) films.
417 They explained that the lower packing of CNC particles increased mobility of gas molecules through the film, in
418 comparison with the MFC structure which increased the tortuosity of the diffusion pathway.

419 OP was measured with those additives that provided the most interesting properties measured
420 previously (CNC-Gly, CNC-Xyl, CNC-Sor and CNC-Mal at 25%). With the exception of Gly, additives
421 provided films with better barrier properties compared to CNC control film (Figure 9). As in the case of WVTR,
422 the higher oxygen permeability of the film with Gly can be related to its greater theoretical porosity. CNC-Gly
423 film showed more theoretical porosity than the control, indicating that it had a more open structure that
424 facilitated gas flow through the film.

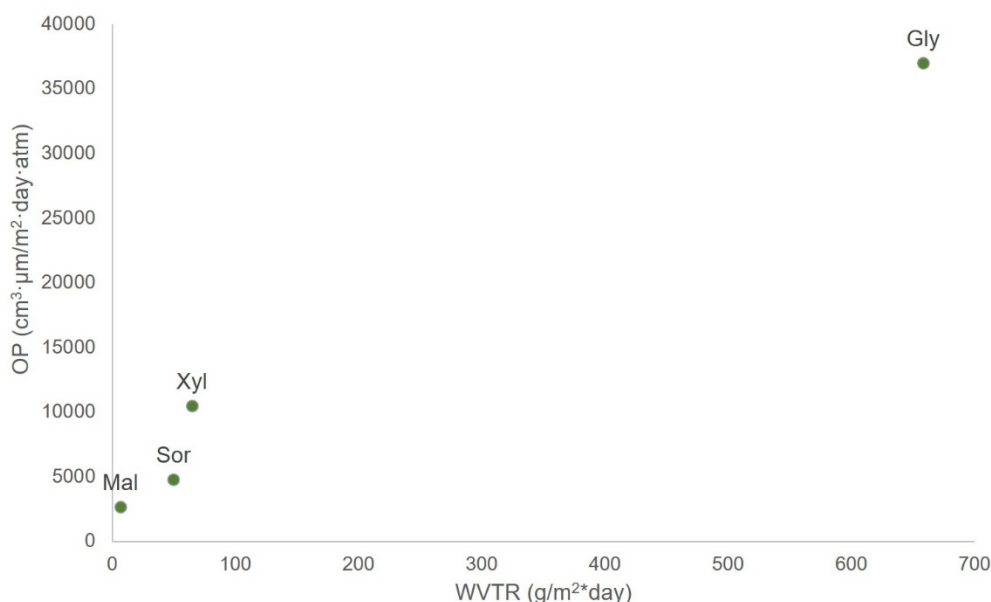
425 Interestingly, CNC-Xyl, CNC-Sor and CNC-Mal films showed a totally resistance to oxygen from 20%
426 RH until 60% RH. From then on, the OP started to increase, but always remained at values below the control at
427 40% RH. Recently, Gao et al. 2020 obtained oxygen permeability values for microfibrillar cellulose and chitosan
428 films higher than those obtained with our films ($566.73 \text{ cm}^3/\text{m}^2 \cdot \text{day}$ and $246.03 \text{ cm}^3/\text{m}^2 \cdot \text{day}$ when the amount of
429 chitosan increased). And also Jung et al. 2020 reported values for a clean PLA film (without the addition of
430 another compound) of $32.26 \text{ cc} \cdot \text{mm}/\text{m}^2 \cdot \text{day} \cdot \text{atm}$ at 0% RH. Wang et al., 2018, stated, as high grade of oxygen
431 permeability, values below $40 \text{ cm}^3 \cdot \mu\text{m}/\text{m}^2 \cdot \text{day} \cdot \text{atm}$, and also published OP values at 90% RH for polypropylene
432 (PP) of $100,000 \text{ cm}^3 \cdot \mu\text{m}/\text{m}^2 \cdot \text{day} \cdot \text{atm}$ and for polyethylene (PE) of $200,000 \text{ cm}^3 \cdot \mu\text{m}/\text{m}^2 \cdot \text{day} \cdot \text{atm}$; those values
433 are greater than the values that were obtained from our additive-containing CNC films.



434

435 **Fig. 9.** Oxygen permeability (OP) of control and additive-containing films (Sor, Gly, Mal and Xyl).

436 It is well-known that high barriers towards oxygen and water vapor permeation are the most important
 437 limiting factors considered for modified atmosphere packaging (MAP)⁵⁷. There was a correlation between the
 438 WVTR (50% RH) and OP (80% RH) results (figure 10). The different additives acted in coherence for both
 439 properties. This confirms the relationship between the number of OH in each additive and their behaviour for
 440 these properties. We can see that to higher number of OH, lower OP, as has been described in the previous
 441 section regarding WVTR. Gas barrier is usually obtained with the use of aluminium or a synthetic polymer. The
 442 polymer to choose depends on the type of barrier required: some can protect against water vapor but are
 443 permeable to oxygen, such as polyethylene (PE)⁶⁶. Our films are proposed as a material with good barrier
 444 properties to both oxygen and water vapor, which makes it very interesting for possible packaging applications.
 445 Oxygen transmission between 40-400 cm³·μm/m²·day·atm are required for a high oxygen barrier film⁶⁴.
 446 Considering the low OP values obtained, our films could be suitable as packaging material for foods such as
 447 fresh meat, peanuts and instant coffee since the required OP values are below 70 cm³/m²·day, 50 cm³/m²·day and
 448 1 cm³/m²·day, respectively (Wang et al. 2018, Gao et al. 2020). Furthermore, the Mal film would also meet the
 449 requirements in terms of WVTR.



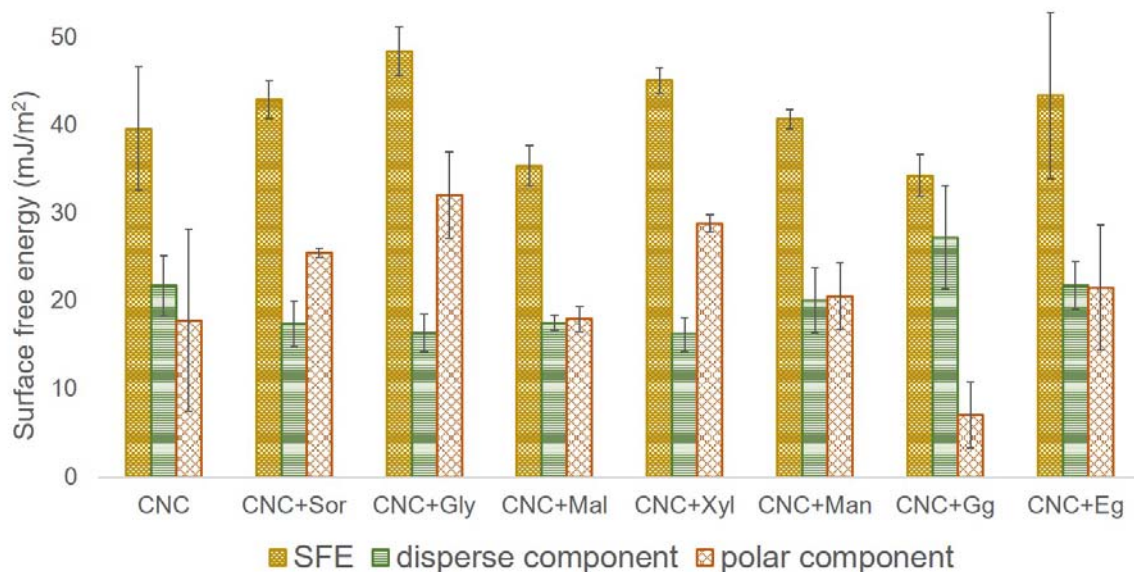
450

451 **Fig. 10.** Oxygen permeability (OP) at 80% RH and water vapor transmission rate (WVTR) at 50% RH of
 452 control and additive-containing films (Sor, Gly, Mal and Xyl).

453 **Surface free energy (SFE)**

454 The surface free energy represents a very interesting information regarding industrial implementation of
 455 the films, i.e. in predicting which liquids or adhesives may successfully interact with our films. As shown in
 456 Figure 11, values of SFE go from 34.32 mJ/m² to 48.47 mJ/m². Results obtained of SFE are in accordance with
 457 previous values described for CNC-based films. Sun et al. 2018 obtained higher values (from 42.55 mJ/m² to
 458 53.87 mJ/m²) for CNC-CNF films. They stated that SFE increased with the content of CNF. This may be the
 459 reason of the lower value obtained in our films (that did not contain CNF). Similar than our results, Nagy et al.
 460 2018 did not observe significant differences in the SFE when glycerol or sorbitol were added to CNC films.
 461 However, they obtained higher SFE values (around 76 mJ/m²).

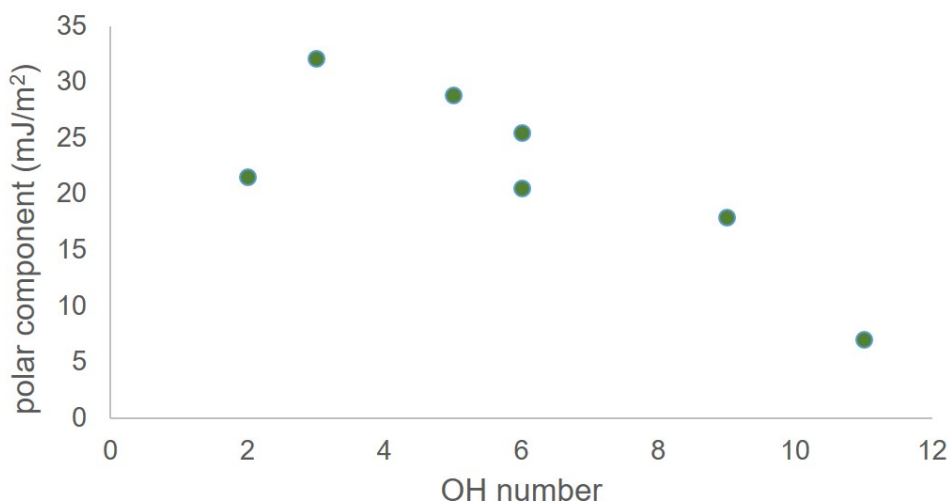
462 The CNC films containing additives show different energy states depending on the additive. Thus, their
 463 interaction with other compounds will differ, and a specific behaviour was identified for each additive. Sor, Gly
 464 and Xyl films showed an increased polar component, indicating their polar nature. The polar and dispersive
 465 components of the films containing Mal, Eg and Man were quite balanced. Finally, the film containing Gg was
 466 mainly dispersive, presenting also the lowest polar component.



467

468 **Fig. 11.** Surface free energy (SFE) of the control film (CNC) and additive-containing films.

469 A relationship between the polar component and the number of OH groups in the chemical structure of
 470 the additive was observed (Figure 12). Thus, the higher the number of OH, the lesser the polar component. If we
 471 look at the nature of the additive having an increased number of OH, the Gg, we can observe (Figure 12) that it
 472 is more dispersive. This might be related to the contact angle results, where the largest contact angle was
 473 observed in the film containing Gg (90.45°); this could be attributed to the polarity of water (the liquid used in
 474 the determination of the contact angle). Thus, since Gg is a more dispersive compound, it results in a greater
 475 contact angle. The lack of interaction between water and Gg, may be associated to the large number of OH
 476 groups in the latter, resulting in an extended interaction (through H-bonding) with CNC and, therefore,
 477 decreasing the number of free -OH that may interact with water. Moreover, a correlation with the WVTR, when
 478 films were submitted at extreme humidity conditions can be appreciated (Figure 8b). The additive with the
 479 lowest polarity (the most dispersive), the Gg, showed the lowest values of WVTR. On the other hand, Gly, one
 480 of the most polar additives, showed the highest value for WVTR.

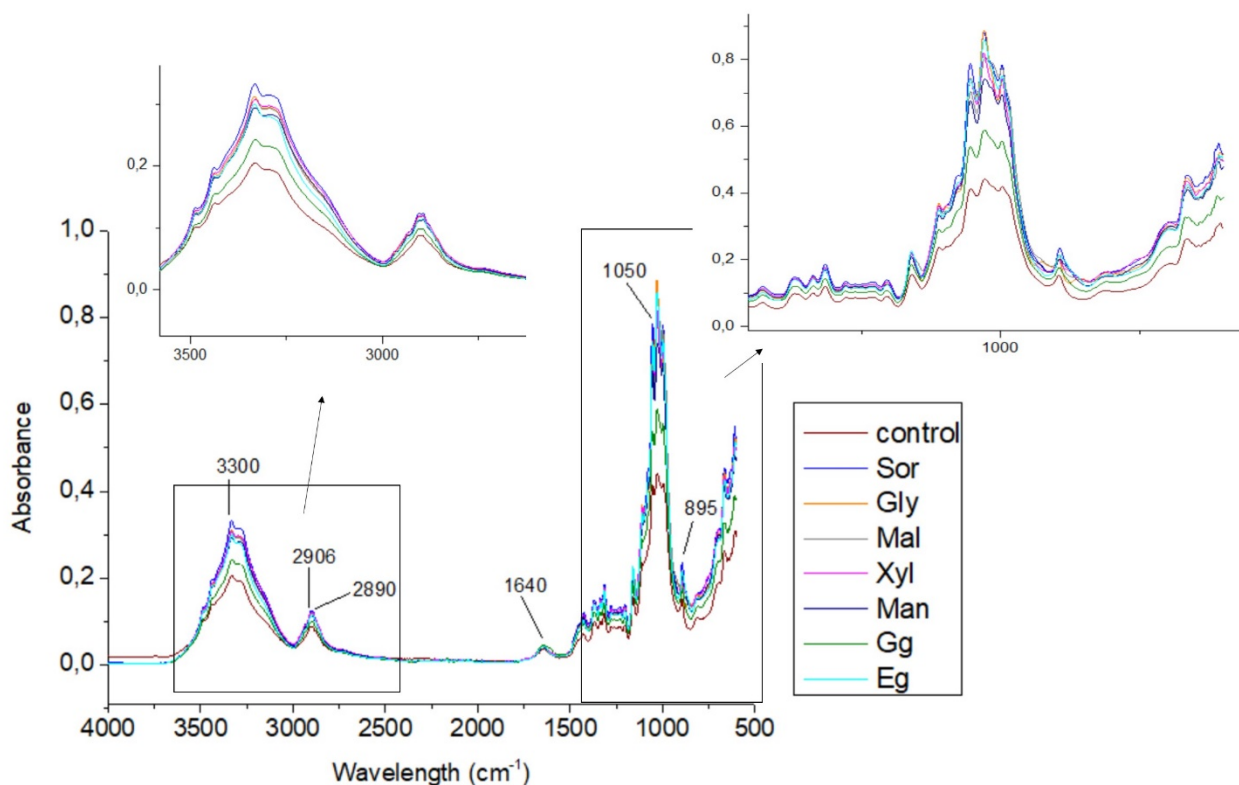


481

482 **Fig. 12.** Polar component and OH number of the additive-containing films.

483 **Chemical structure of the films by FTIR**

484 Figure 13 shows the Fourier transform infrared (FTIR) spectra for the control film and those containing
 485 an additive, which were used to detect specific, major chemical groups. Bands in the wavenumber region 3700–
 486 3000 cm^{-1} are typically assigned to stretching vibrations in hydroxyl groups¹⁷, which are influenced by
 487 hydrogen bonds. Gao et al. 2017 previously found the strength of the band at 3258 cm^{-1} to peak with glycerol by
 488 effect of its high content in hydroxyl groups. Cazón et al. 2018 observed a similar behaviour in cellulose–
 489 glycerol–PVA films, and so did Rouhi et al. 2017 in PVA–glycerol films. As also obtained by these authors, the
 490 fact that our spectra exhibited no absorption band for free OH groups at 3600 cm^{-1} suggests that hydroxyl groups
 491 largely formed inter- and intramolecular hydrogen bonds. The bands at 2906 and 2890 cm^{-1} , can be assigned to
 492 aliphatic C–H bond stretching in alkyl groups, and the absorbance peak at 1640 cm^{-1} was assigned to H–O–H
 493 bending vibrations in adsorbed water. A peak at ca. 1050 cm^{-1} typical of cellulose and due to stretching
 494 vibrations of C–O–C bonds in pyranose rings of primary and secondary alcohols in cellulose was also observed.
 495 The peak at ca. 895 cm^{-1} was due to glycoside bonds in cellulose, and those in the region 800–650 cm^{-1} to O–H
 496 bond vibrations⁶⁹. These results, which are very similar to those previously reported by¹⁷, suggest that the
 497 additives caused no change in the chemical composition of CNC.



498

499 **Fig. 13.** FTIR spectra for the control and additive-containing films.

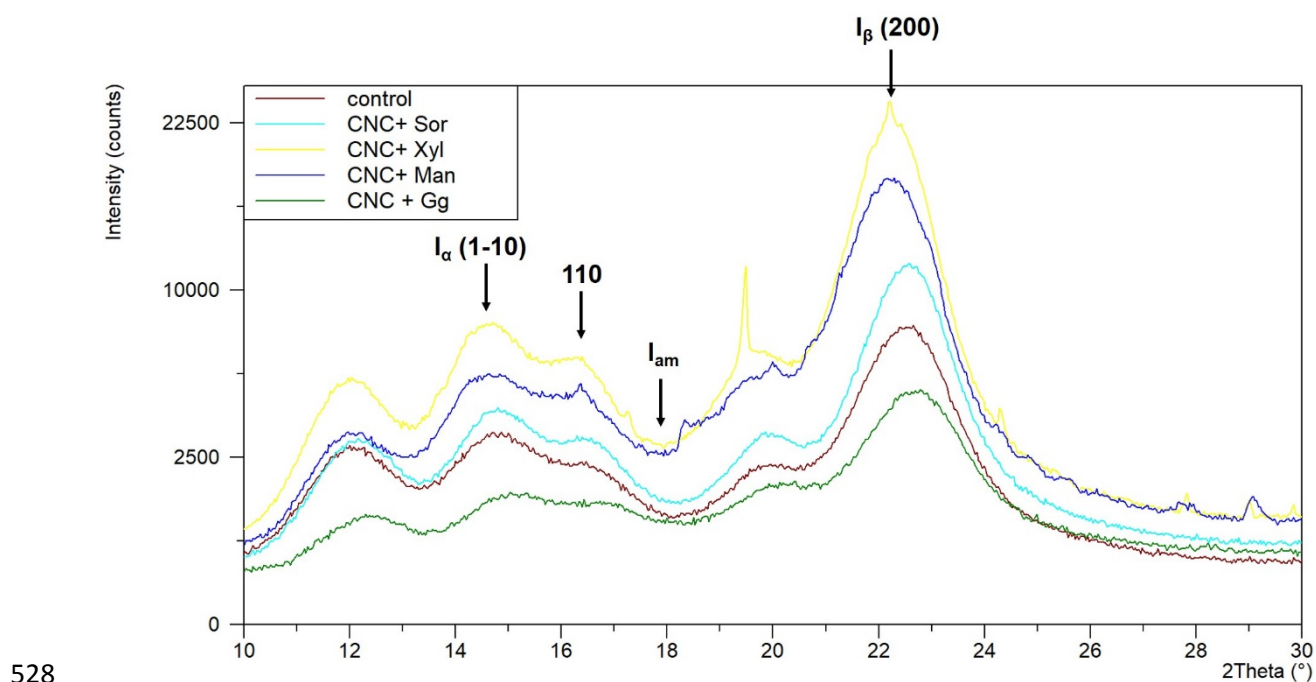
500 In addition to the analysis of films containing CNC and additives, the FTIR measurements of the pure
 501 additives were also performed (Figure S5), to reach a better understanding of their chemical structure and
 502 interaction with CNC. In this regard, we have identified a band in the region around 2900 cm⁻¹ which can be
 503 directly linked to their chemical structure and used to observe differences between additives. The band becomes
 504 double-peaked when hydrocarbon chains are present in the structure of the additive. This is the case of Eg and
 505 Gly additives, which present a well-defined double peak, being also the ones with less -OH groups in their
 506 structure. The rest of the additives had higher number of -OH; thus, their hydrocarbon chains may have been
 507 masked by the presence of -OH groups, resulting in a difficult observation of the double peak (or even not
 508 observed at all, as occurs with Gg -with only one peak- since it has not hydrocarbon chains in its structure). The
 509 peak at 1600 cm⁻¹ observed in Gg additive may be attributed to the carbonyl (C=O) double bond in the carboxyl
 510 group. The band corresponding to the C=O double-bond usually appears at other wavelengths, but may have
 511 been shifted due to H-bond interactions.

512 On the other hand, the FTIR patterns of pure additives and that of the CNC+additive mixtures were
 513 analysed individually for each additive. The height of the broad band appearing at the wavenumber region of
 514 3400 cm⁻¹ provides information about the interaction between the additive and CNC (Figure S6). If the bands are
 515 considered separately, several characteristic peaks corresponding to the pure additive start to appear in the

516 mixture pattern. For instance, in pure Gly [Fig. S6 a)] there is a characteristic double-peak around 2900 cm^{-1} ,
517 which can be slightly identified in the mixture pattern. Similar observation was found at 800 cm^{-1} , in both Gly
518 and Mal spectra [Fig. S6 a) and Fig. S6 b), respectively]. In general, the shape of the spectra of the
519 CNC+additive mixture is strongly linked to that of the pure additive and pure CNC. Characteristic peaks of the
520 pure additive can be slightly identified in the mixed spectra, but not in pure CNC. These observations are
521 restricted to some of the additives and mixtures considered. In the spectra corresponding to additive+CNC
522 mixtures, it is important to take into account that the mixtures only contain 25% additive, meaning that in many
523 cases, CNC may be masking the peaks corresponding to the pure additive.

524 Crystallinity of the films by XRD

525 Figure 14 shows the diffraction patterns for the control and modified films. The main diffraction angles
526 at the 2θ values 14.88° (1-10), 16.58° (110) and 22.61° (200) correspond to primary diffraction in the (1-10),
527 (110) and (200) planes of polymorph cellulose I⁷⁰.



529 **Fig. 14.** XRD patterns for the control film and others containing Sor, Xyl, Man or Gg at a 25% dose.

530 The crystallinity index (CI) of the films was calculated from eq. 5 (Šegal et al. 1959). The results show
531 (Table S4 in supporting information) that crystallinity was higher in the films containing 25% Sor (CI = 88.84
532 %) or 25% Xyl (CI = 88.85 %) than in the control film (CI = 88.75 %). In contrast, crystallinity in the films
533 containing 25% Man or 25% Gg was slightly lower than in the control film (85.66 and 82.1%, respectively). The

534 lower CI of Man and Gg may be explained by its lower interaction with CNC giving rise to a less cohesive
535 structure, as previously stated with roughness results. Similar films were previously found to have CI values
536 from 54 to 88%⁷¹. The CI values from this study fell near the upper end of the typical range and the presence of
537 additives had no adverse effect on crystallinity.

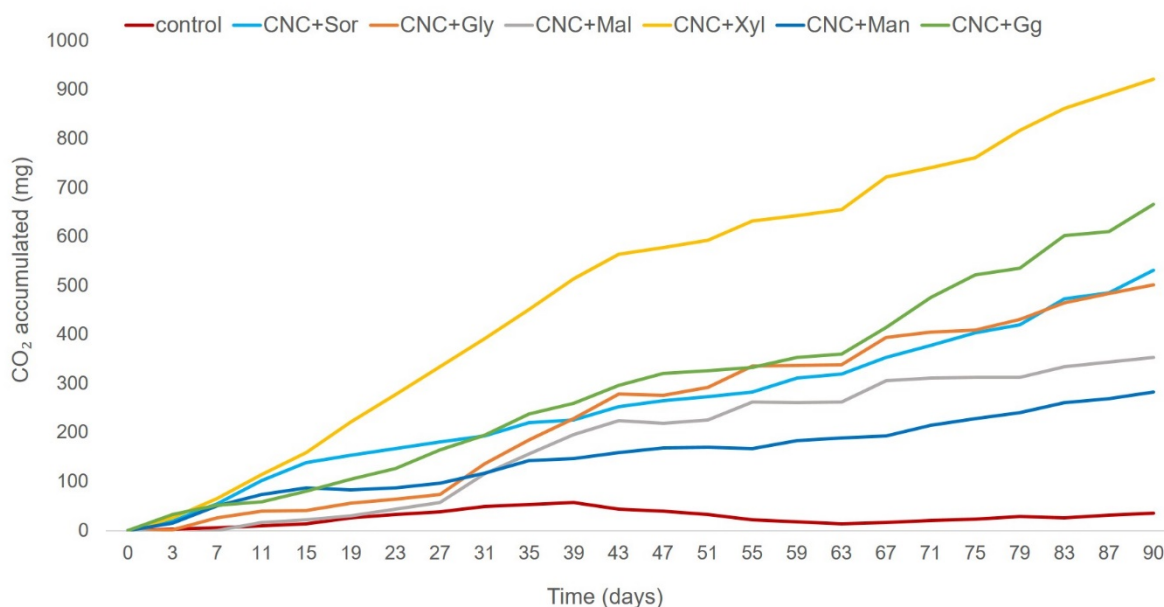
538 The CI values for control film and that containing 25% Sor are consistent with those of other authors,
539 which ranged from 87 to 94%, depending on the particular raw material used to obtain the cellulose nanocrystals
540⁵. Films containing CNC as an additive rather than the main component have much lower CI values (20–35%);
541 also, such values increase with increasing proportion of CNC⁶⁹. Consequently, CNC increases film crystallinity
542 when used as an additive and results in a high crystallinity (up to 87.37%) when used as the main film
543 component.

544 **Biodegradability**

545 Although the improved workability, flexibility and barrier properties of the CNC films using additives,
546 its biodegradability preservation is essential in order to make them suitable to be used in different final
547 applications. It has been reported that the addition of nanocellulose in several composites or films with polyvinyl
548 alcohol⁷², starch⁷³, natural and nitrile rubber^{74,75} and PBAT⁷⁶ increases its biodegradability. The additives used
549 are natural and therefore they are supposed to be biodegradable. However, to our knowledge, there are no
550 previous studies that analyse and compare the biodegradability of the plasticizers used combined with
551 nanocellulose films. Thus, the biodegradability of CNC films with additives was evaluated in this work for the
552 first time. This study was carried out using the highest percentage of additive (25%) since we can assume that, if
553 a greater quantity is biodegraded, smaller quantities imitate this behaviour.

554 Interestingly, after 90 days in compost, higher levels of degradation were found for the films which
555 contained additives (Figure 15). No relationship was found in this case between biodegradability and the OH
556 number or molecular weight of the plasticizer. The film that was more easily biodegraded was the one that
557 contained Xyl, followed by Gg, Sor, Gly, Mal and Man. Recently, Gatidou et al. 2020⁷⁷ assessed the
558 biodegradability of twenty food additives. Maltitol and xylitol were selected as natural sweeteners and they
559 exceeded 60% of biodegradation by day 10 for xylitol and day 12.5 for maltitol. Therefore, although both
560 sweeteners were readily biodegradable compounds, xylitol was also easily biodegraded. The evolution of
561 biodegradability tested showed that the control film gives rise to a lower amount of accumulated CO₂, which
562 suggested that the microorganisms have generated less CO₂ during their metabolism. Therefore, the films

563 containing the additives were more easily biodegraded. Although these films were more resistant to the
 564 penetration of water, as observed with the WDT results, the presence of these additives made them more
 565 accessible for the penetration of the enzymes produced by the microorganisms. In fact, it is well described that
 566 the accessibility of enzymes to the cellulose chains is not related by its capacity to retain water ⁷⁸. The
 567 biodegradability results obtained here are considered very important for the environmental justification of the
 568 replacement of plastic materials, which are not biodegradable and entail a big problem both environmentally and
 569 economically.



570
 571 **Fig. 15.** Biodegradability, measured in accumulated CO₂ over time, of the films with the different additives
 572 added in 25%, as well as the control.

573 **CONCLUSIONS**

574 CNC-based films obtained by adding a plasticizer (sorbitol, glycerol, maltitol, xylitol, mannitol, gellan
 575 gum or ethylene glycol) at different concentration were characterized for optical, mechanical and barrier
 576 properties, in addition for their biodegradability, for the first time. Based on the results, the additive dose used
 577 influenced film transparency, which decreased with increasing dose. Thus, the films containing 10% Sor, Xyl or
 578 Man were more transparent than the additive-free film. All additives, but particularly Gg, seemingly had a
 579 protective effect against UV light; also, all increased tensile strength and elongation (except Eg and Man in
 580 elongation), and decreased air and water permeance, to a greater or lesser extent. CNC films with Mal, Sor and
 581 Xyl had better oxygen barrier than the control, showing a total oxygen resistance at RH below 60%. The Mal and

582 the Gg showed values of WVTR below the control, under both, moderate (50%) and drastic (90%) humidity. A
583 correlation has been observed between the number of OH contained in the different additives and their behaviour
584 against water vapor and oxygen. To higher OH number, lower WVTR and lower OP. For moderate humidities,
585 all additives except Gly and Eg have values below the control. These results are very interesting if we think
586 about the applicability of these films in the food packaging industry.

587 The film with a Sor dose of only 10% was the most transparent and least porous, and hence the most
588 resistant to air penetration and water absorption. On the other hand, the films containing Gg were those
589 exhibiting the greatest UV protection and hydrophobicity, whereas those containing Xyl were the most
590 mechanically effective and biodegradable. Finally, those containing Mal provided the best barrier properties to
591 oxygen and water vapor transmission. The analysis of the surface free energy of the films revealed different
592 behavior depending on the additive, providing valuable information regarding the interaction of the films with
593 other compounds i.e. liquids or adhesives. As was stated, the dose and type of additive provide a different effect
594 on the final properties of the film, which allows the most suitable additive to be chosen for the property required
595 in the film. It should be emphasized that all the additives increased the biodegradability of CNC-based films
596 when subjected to a biodegradability test under controlled composting conditions, for a period of 90 days. These
597 biodegradability results highlight the importance of using our films in the food industry, since they would
598 contribute to the reduction of environmental pollution caused by the materials traditionally used in food
599 packaging. Our films are presented as potential material in the organic food market, which is becoming more and
600 more important on a global scale.

601 **SUPPORTING INFORMATION**

602 Orthogonal and oblique projection; absorbance curves; mechanical properties with different percentages of
603 additives; optical micrographs; FTIR spectra of the different additives, FTIR spectra of CNC-based films
604 containing different additives; Chemical structure, OH number and molecular weight of additives; values of
605 mechanical properties; basis weight, thickness and apparent density; crystallinity index values.

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611 Cusola.

612

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834

835 FIGURES

- 836 - **Fig. 1.** Transparency [a], as calculated from eq. 2] and specular gloss [b] of CNC-based films
837 containing additives at a dose of 10 or 25% as compared to the additive-free control film (line).
- 838 - **Fig. 2.** Tensile strength [a)], Elongation at break [b]) and Young-modulus [c)] of the control film (line)
839 and films containing an additive (columns).
- 840 - **Fig. 3.** Effect of the type of plasticizer and its dose on roughness (%) relative to the control film (line).
- 841 - **Fig. 4.** Scanning electron micrographs of the control film (a and b) and others containing an additive (c
842 and d).
- 843 - **Fig. 5.** Air permeance ($\mu\text{m Pa}^{-1} \text{s}^{-1}$) of the CNC-based films, at different doses of additives.
- 844 - **Fig. 6.** WDT (min) of the CNC-control film (line) and CNC-based films additives (columns).
- 845 - **Fig. 7.** Contact angle ($^{\circ}$) of the control film (line- with a confidence interval of ± 0.10) and the films
846 containing additives (columns).
- 847 - **Fig. 8.** Water vapor transmission rate (WVTR) a) at 50% RH and theoretical porosity, b) at 90% RH
848 and the OH group content.
- 849 - **Fig. 9.** Oxygen permeability (OP) of control and additive-containing films (Sor, Gly, Mal and Xyl).
- 850 - **Fig. 10.** Oxygen permeability (OP) at 80% RH and water vapor transmission rate (WVTR) at 50% RH
851 of control and additive-containing films (Sor, Gly, Mal and Xyl).
- 852 - **Fig. 11.** Surface free energy (SFE) of the control film (CNC) and additive-containing films.
- 853 - **Fig. 12.** Polar component and OH number of the additive-containing films.
- 854 - **Fig. 13.** FTIR spectra for the control and additive-containing films.

- 855 - **Fig. 14.** XRD patterns for the control film and others containing Sor, Xyl, Man or Gg at a 25% dose.
- 856 - **Fig. 15.** Biodegradability, measured in accumulated CO₂ over time, of the films with the different
- 857 additives added in 25%, as well as the control.

858

859 SUPPORTING INFORMATION

- 860 - **Fig. S1.** Orthogonal (A) and oblique projection (B) of an additive-free film (a) and others containing
- 861 the following plasticizers: (b) Sor, (c) Gly, (d) Mal, (e) Xyl, (f) Man, (g) Gg and (h) Eg.
- 862 - **Fig. S2.** Absorbance curves for the films containing an additive at a 25% dose.
- 863 - **Fig. S3.** Tensile strength [a)], Elongation at break [b)] and Young-modulus [c)] of the control film (line)
- 864 and others containing an additive.
- 865 - **Fig. S4.** Optical micrographs of the control (a) film and others containing one of the different additives
- 866 at a 25% dose: Sor (b), Gly (c), Mal (d), Xyl (e), Man (f), Gg (g) and Eg (h).
- 867 - **Fig. S5.** FTIR spectra of the additives.
- 868 - **Fig. S6.** FTIR spectra of the additives, control, and additive-containing films.
- 869 - **Table S1**
- 870 Chemical structure, OH number and molecular weight of additives.
- 871
- 872 - **Table S2**
- 873 Mechanical properties of the CNC films.
- 874
- 875 - **Table S3**
- 876 Basis weight, thickness and apparent density of the films.
- 877
- 878 - **Table S4**
- 879 Crystallinity index (CI) as calculated from eq.4 of CNC films containing no additive (control), or a 25%
- 880 dose of Sor, Xyl, Man or Gg.

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882 **Video “Oil_resistance”** about the methodology performed to carry out this essay

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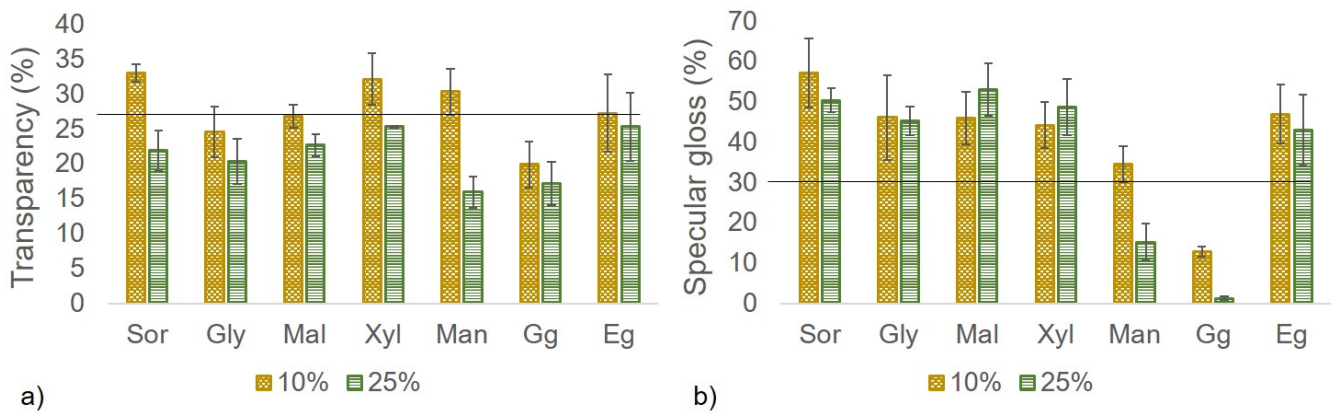
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FIGURE 1



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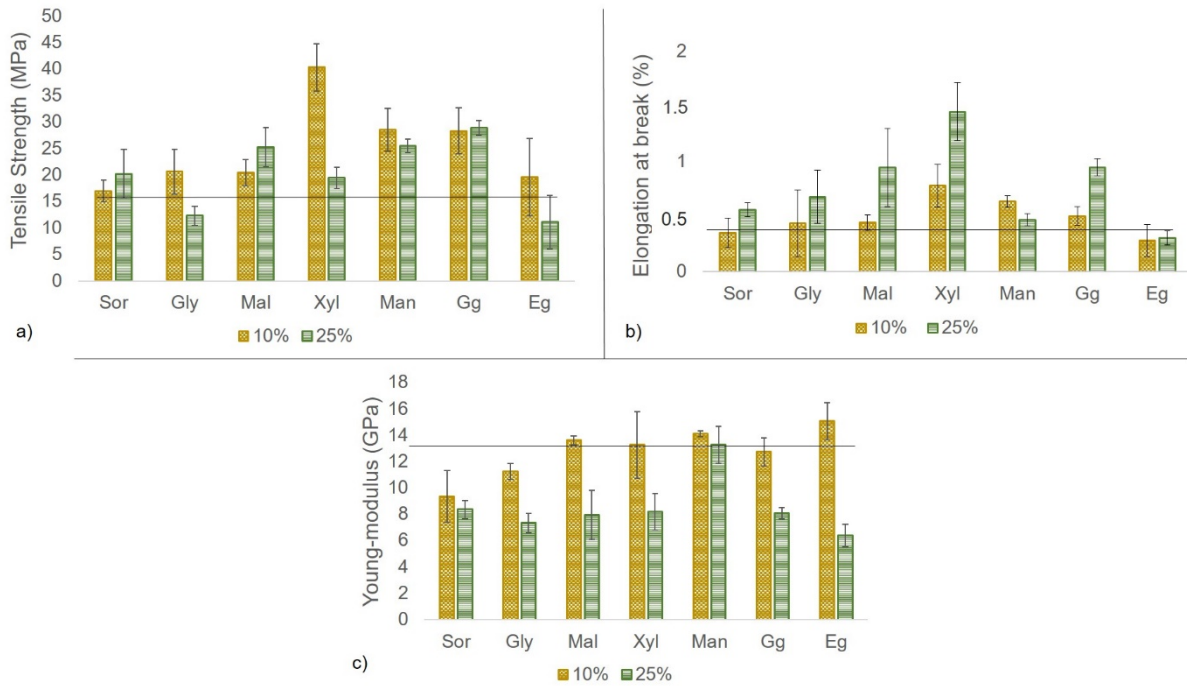
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917 **FIGURE 2**

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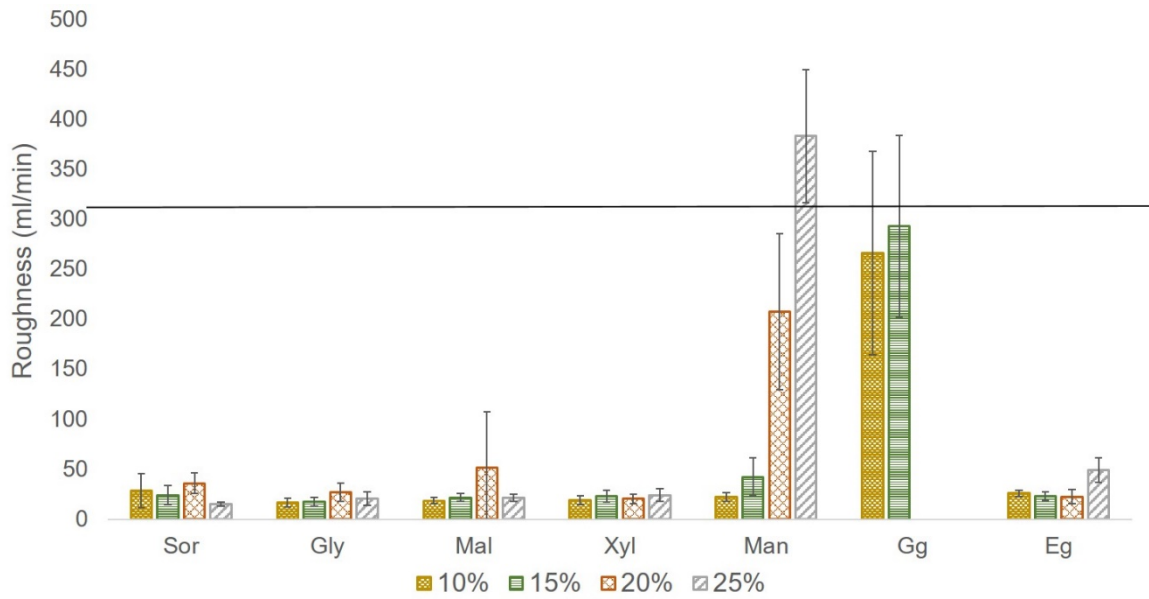
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FIGURE 3



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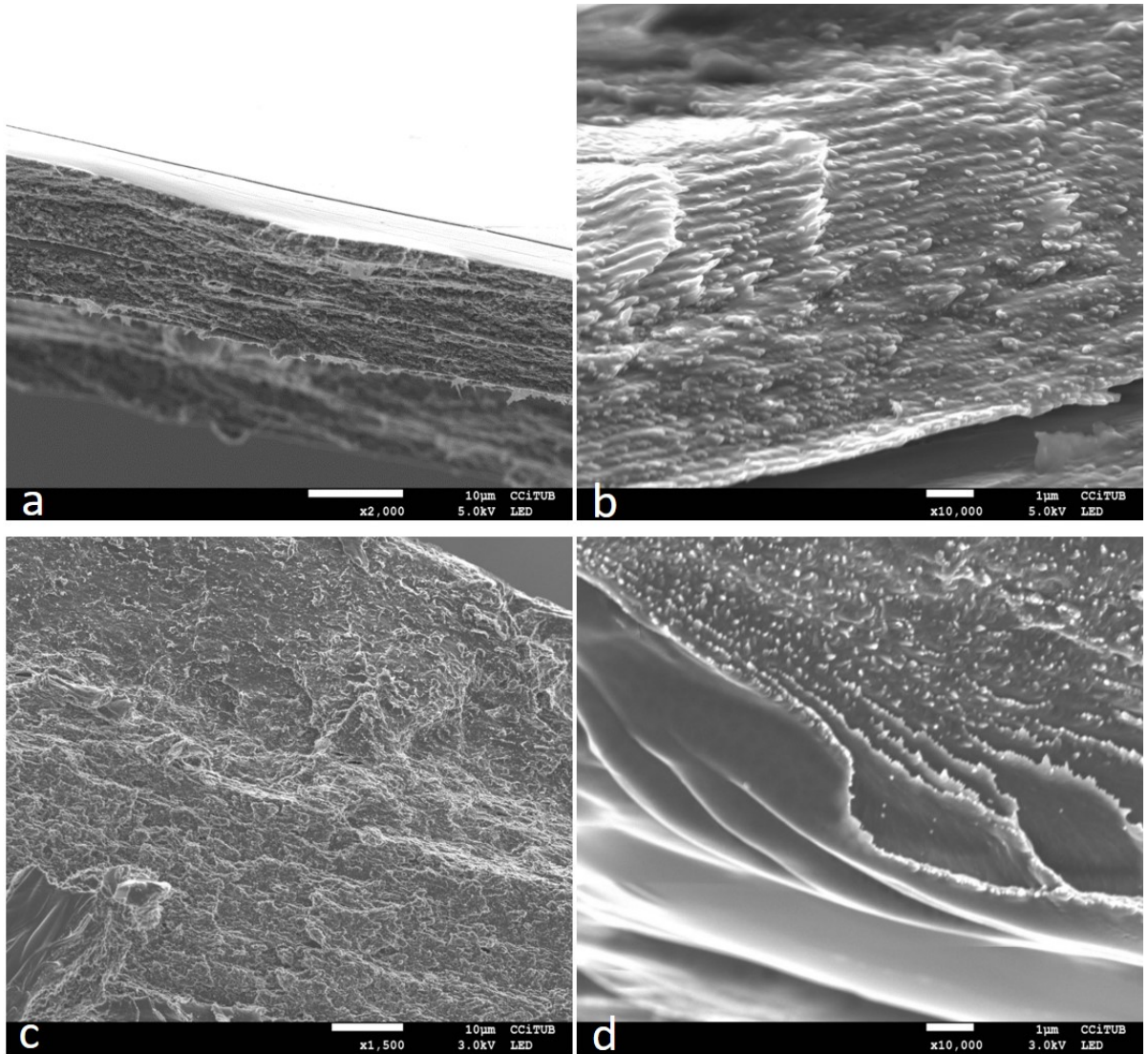
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FIGURE 4



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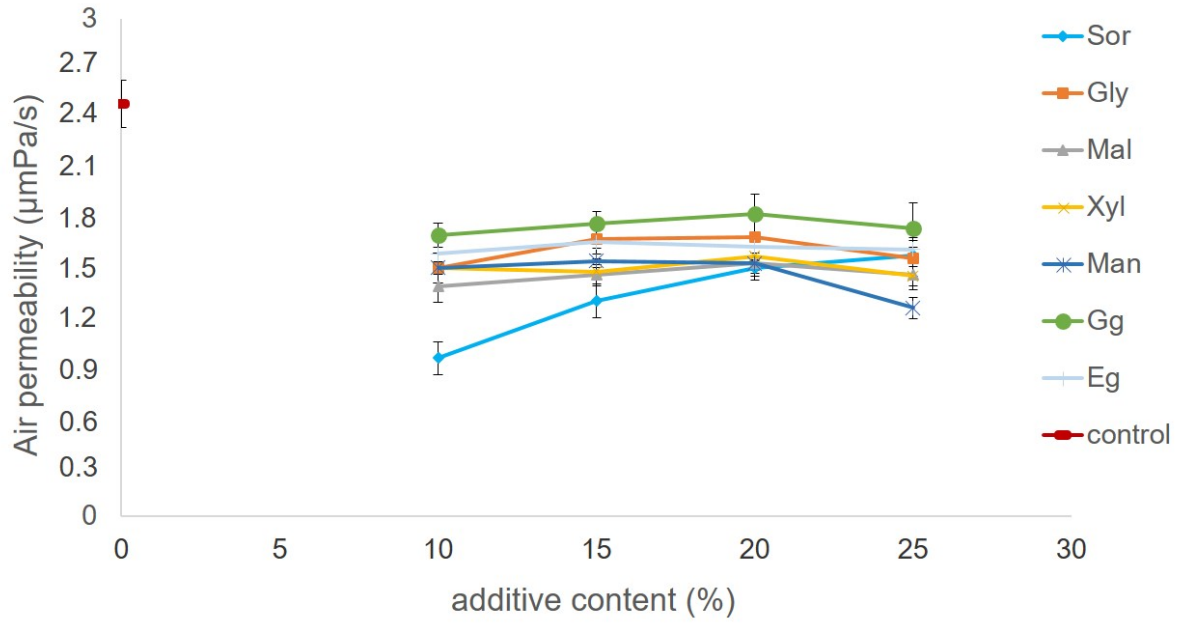
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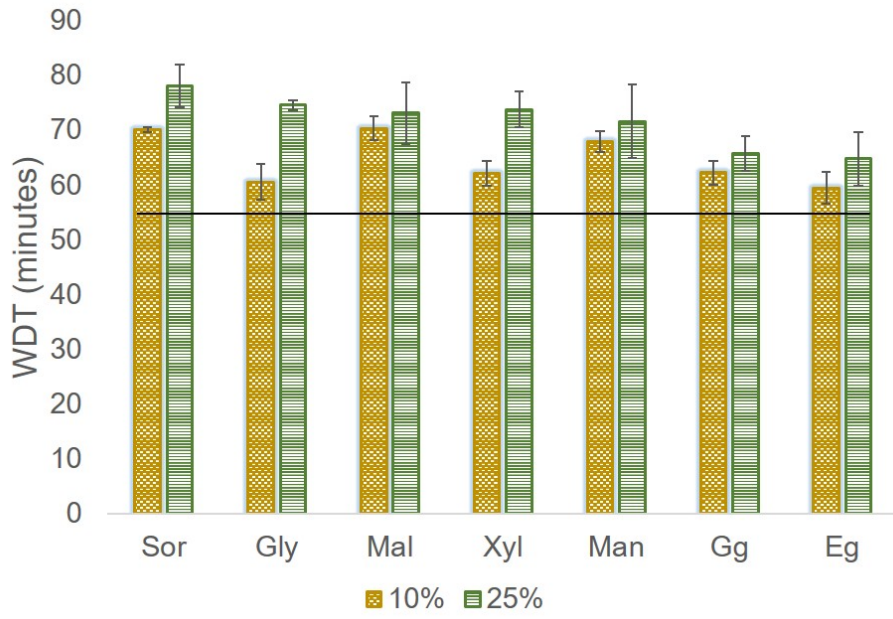
FIGURE 5



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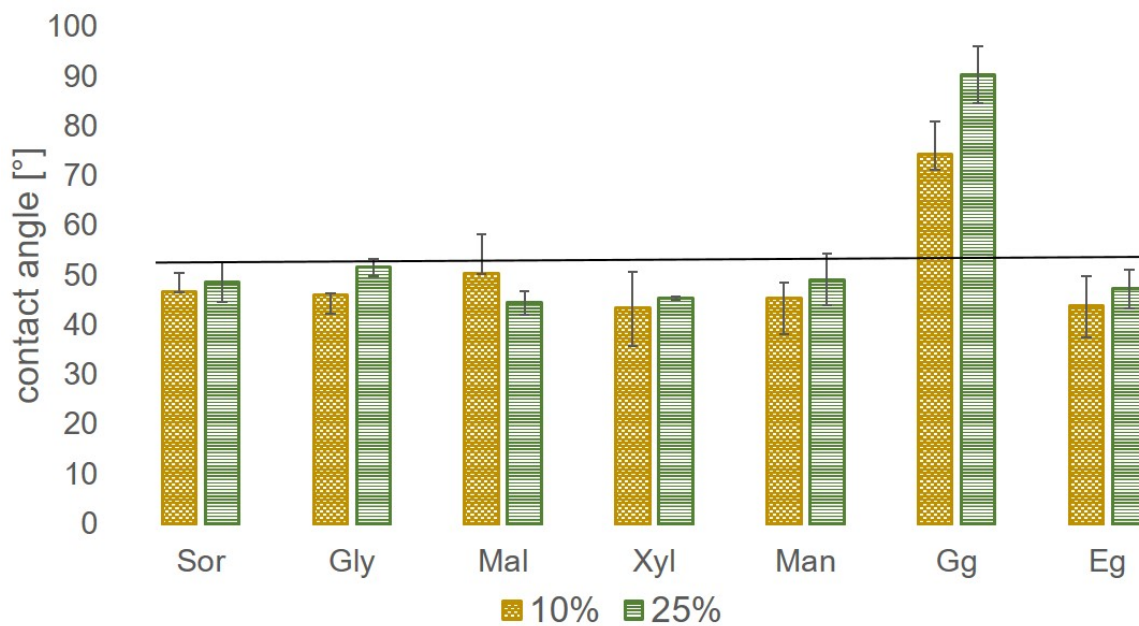
FIGURE 6



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FIGURE 7



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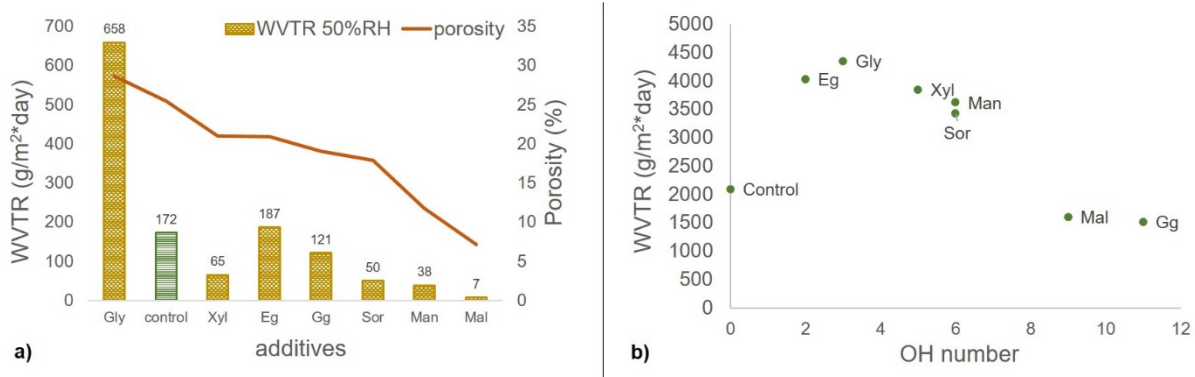
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1035 **FIGURE 8**

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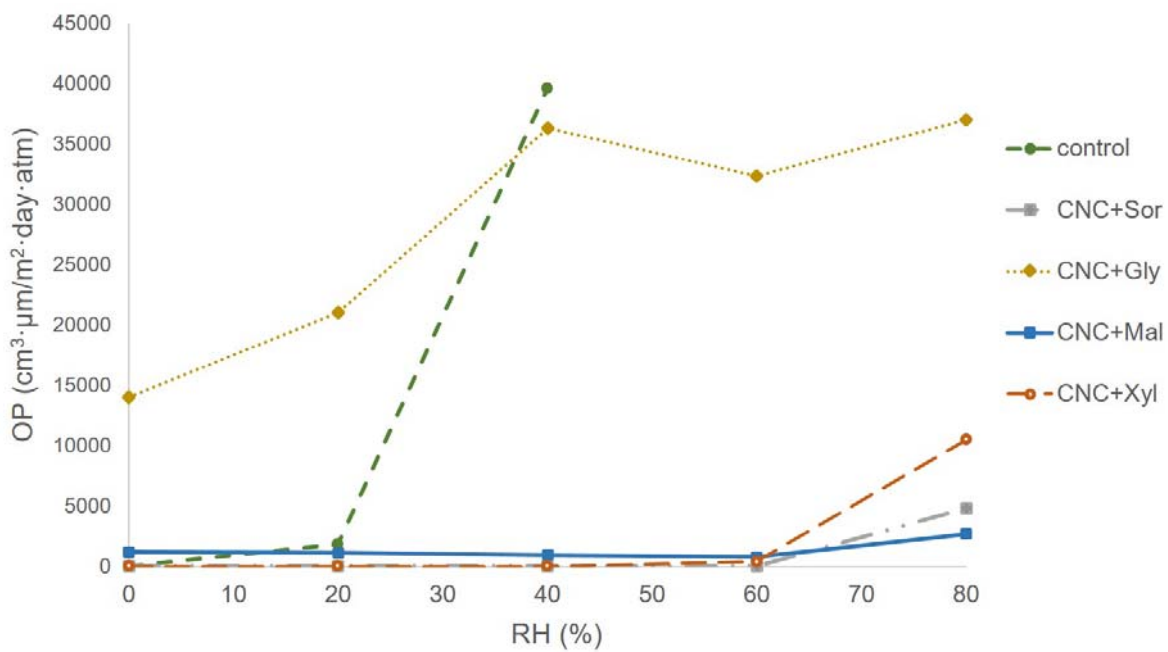
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FIGURE 9



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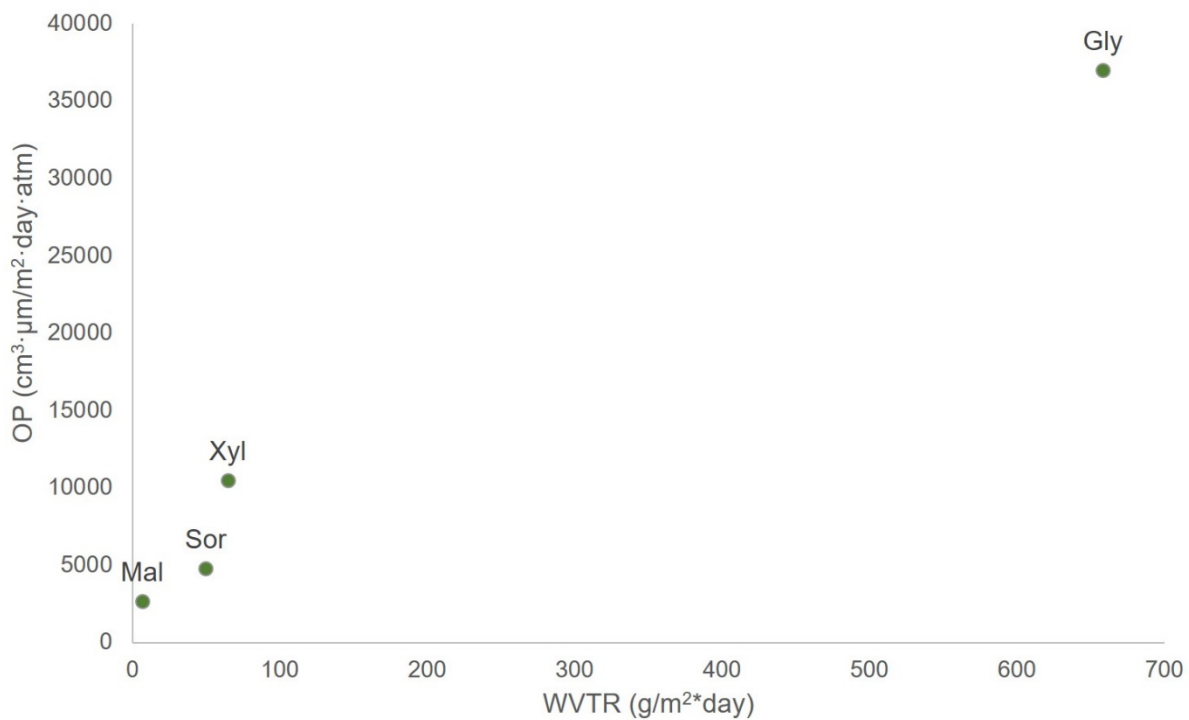
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1081 **FIGURE 10**

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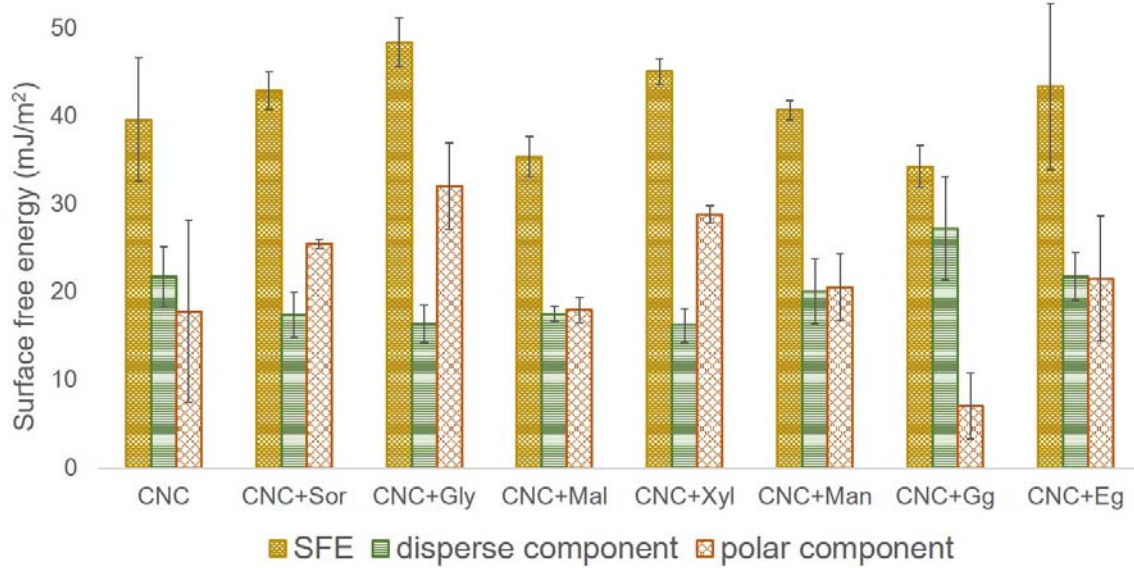
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FIGURE 11



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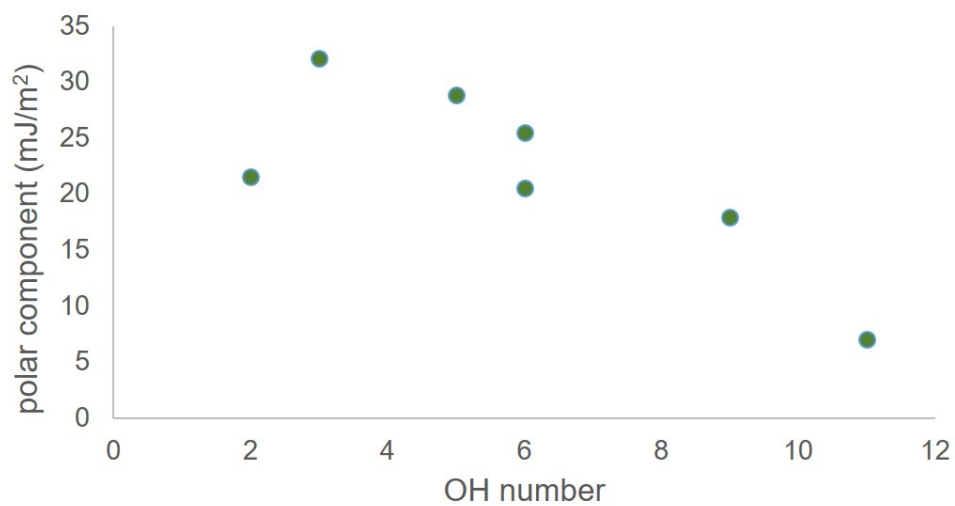
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1122 **FIGURE 12**



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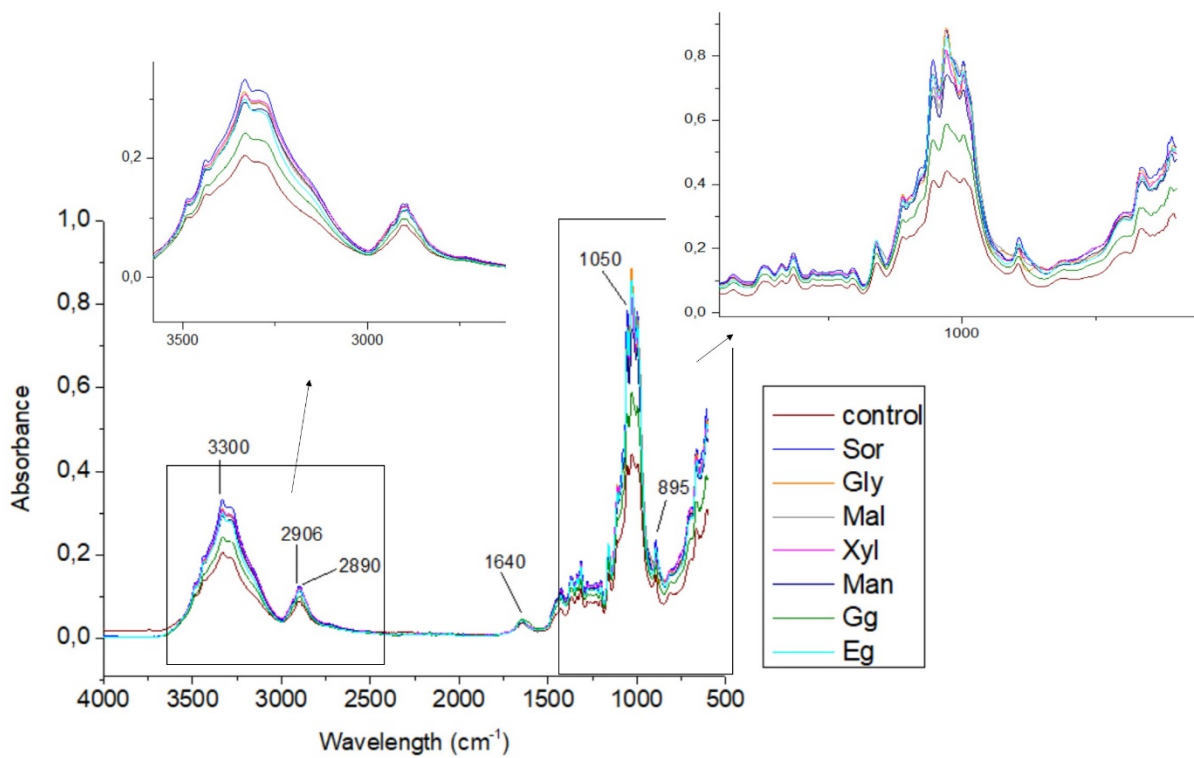
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FIGURE 13



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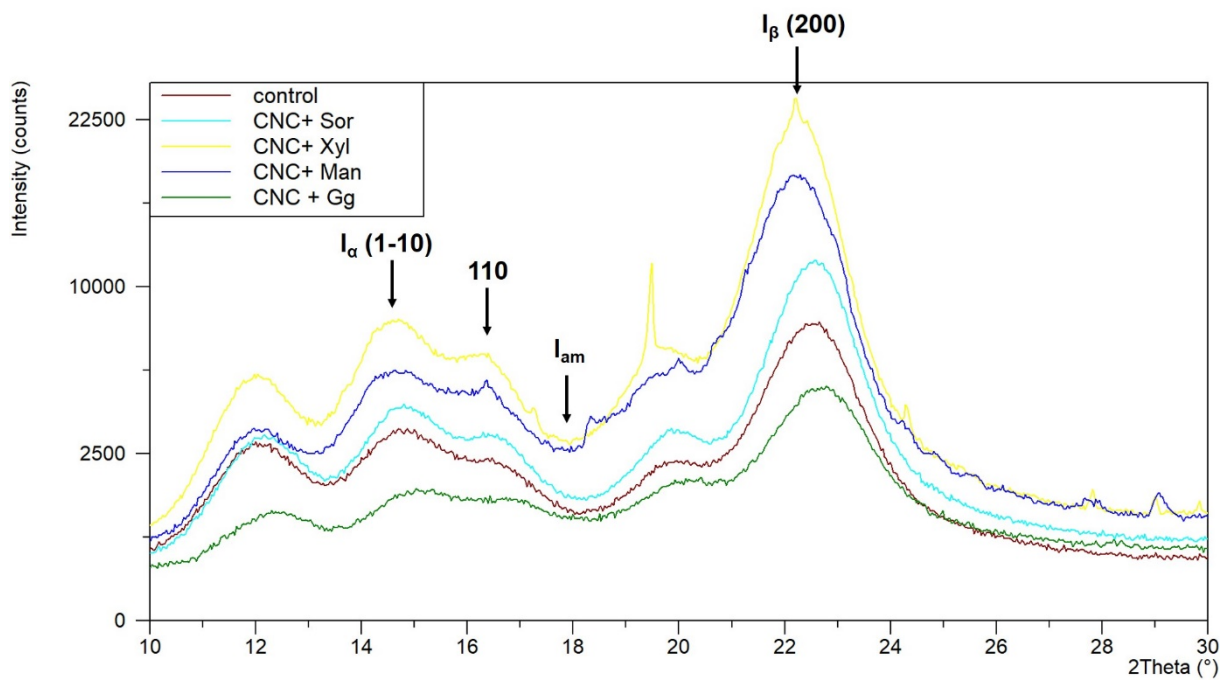
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1164 **FIGURE 14**



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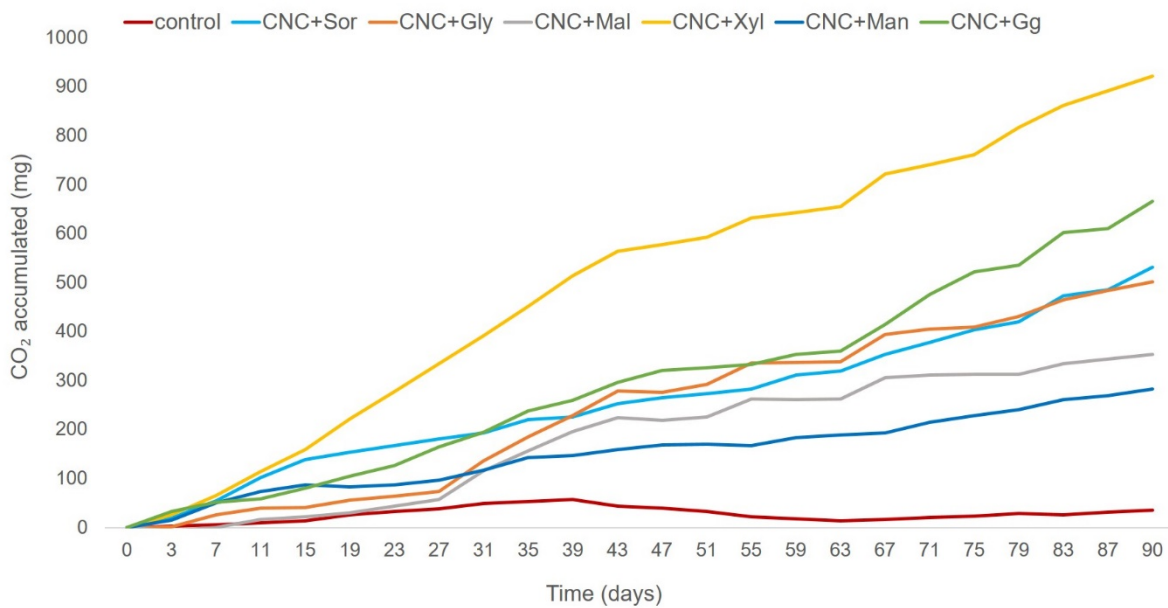
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FIGURE 15



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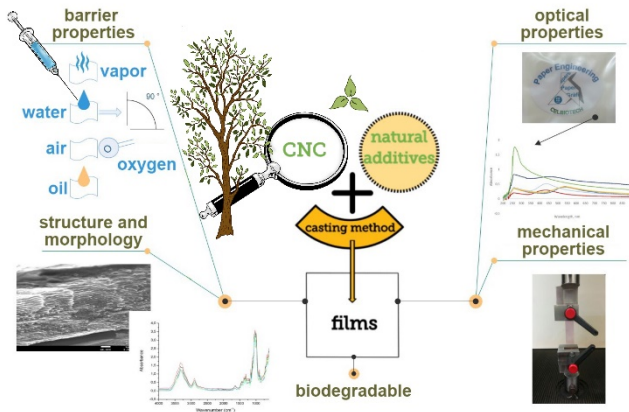
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1205 **FOR TABLE OF CONTENTS USE ONLY**



1206

1207 **Abstract Graphics.** Obtaining sustainable, biobased and biodegradable CNC-based films with natural additives.

1208 Evaluation of barrier, mechanical, optical, structural properties, and morphology.