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Stability of *Lactobacillus rhamnosus* GG incorporated in edible films: Impact of anionic biopolymers and whey protein concentrate

Christos Soukoulis <sup>a</sup>, Solmaz Behboudi-Jobbehdar <sup>b</sup>, William Macnaughtan <sup>b</sup>, Christopher Parmenter <sup>c</sup> and Ian D. Fisk <sup>b\*</sup>

<sup>a</sup> Environmental Research and Innovation, Luxembourg Institute of Science and Technology (LIST), 5. avenue des Hauts-Fourneaux, L-4362, Esch sur Alzette, LUXEMBOURG

<sup>b</sup> Division of Food Sciences, School of Biosciences, University of Nottingham, Sutton Bonington Campus, Loughborough, LE12 5RD, Leicestershire, UNITED KINGDOM

<sup>c</sup> Nottingham Nanotechnology and Nanoscience Centre, University of Nottingham, University Park, Nottingham, NG7 2RD, UNITED KINGDOM

\* To whom correspondence should be sent

E-mail address: Ian.Fisk@nottingham.ac.uk

Phone number: 0044 (0) 115 951 6037

- Whey protein concentrate (WPC) inclusion enhanced survival during drying and storage.
- WPC inclusion reduced water vapour permeability and T<sub>g</sub>.
- Cell viability was greatest in pectin/WPC films during drying.
- Cell viability was greatest in composite carrageenan/locust bean gum/WPC films during storage.

1 ABSTRACT

2 The incorporation of probiotics and bioactive compounds, via plasticised thin-layered  
3 hydrocolloids, within food products has recently shown potential to functionalise and  
4 improve the health credentials of processed food. In this study, choice of polymer and the  
5 inclusion of whey protein isolate was evaluated for their ability to stabilise live probiotic  
6 organisms. Edible films based on low (LSA) and high (HSA) viscosity sodium alginate, low  
7 esterified amidated pectin (PEC), kappa-carrageenan/locust bean gum ( $\kappa$ -CAR/LBG) and  
8 gelatine (GEL) in the presence or absence of whey protein concentrate (WPC) were shown to  
9 be feasible carriers for the delivery of *L. rhamnosus* GG. Losses of *L. rhamnosus* GG  
10 throughout the drying process ranged from 0.87 to 3.06 log CFU/g for the systems without  
11 WPC, losses were significantly reduced to 0 to 1.17 log CFU/g in the presence of WPC.  
12 Storage stability (over 25d) of *L. rhamnosus* GG at both tested temperatures (4 and 25°C), in  
13 descending order, was  $\kappa$ -CAR/LBG>HSA>GEL>LSA=PEC. In addition, supplementation of  
14 film forming agents with WPC led to a 1.8- to 6.5-fold increase in shelf-life at 4°C  
15 (calculated on the WHO/FAO minimum requirements of 6 logCFU/g), and 1.6 to 4.3-fold  
16 increase at 25°C. Furthermore probiotic films based on HSA/WPC and  $\kappa$ -CAR/LBG/WPC  
17 blends had both acceptable mechanical and barrier properties.

18 KEYWORDS: probiotic; edible film; alginate; pectin; carrageenan; dairy protein

19 1. INTRODUCTION

20 According to the FAO/WHO (2002) probiotics are “viable microorganisms which when  
21 administered in adequate amounts ( $>10^6$ - $10^7$  CFU/g of ingested product) may confer health  
22 benefits to the human host”. Reported health-associated benefits of probiotics include  
23 modulation of the gastrointestinal system, reduction in rotavirus and antibiotic induced  
24 diarrhoea, stimulation of the immune system and reduction of lactose intolerance and irritable  
25 bowel symptoms (Saad, Delattre, Urdaci, Schmitter, & Bressollier, 2013). Due to the  
26 sensitivity of probiotics to common processing conditions such as heat treatment, low pH  
27 environments, high osmotic pressure and high redox potentials, the design of effective  
28 physicochemical barriers to stabilise the organisms is essential to their full commercial  
29 exploitation in a wide range of food categories (Burgain, Gaiani, Linder, & Scher, 2011;  
30 Jankovic, Sybesma, Phothirath, Ananta, & Mercenier, 2010; Meng, Stanton, Fitzgerald, Daly,  
31 & Ross, 2008a). Anhydrobiotics technology i.e. the encapsulation of living cells in low  
32 moisture (glassy) matrices fabricated via spray or freeze drying, remains to date the most  
33 popular approach to ensure maximal viability of probiotics (Behboudi-Jobbehdar, Soukoulis,  
34 Yonekura, & Fisk, 2013; Burgain et al., 2011; Meng et al., 2008; Soukoulis, Behboudi-  
35 Jobbehdar, Yonekura, Parmenter, & Fisk, 2014a; Tripathi & Giri, 2014). Nevertheless, the  
36 use of edible films (plasticised thin layered biopolymer structures) to embed viable probiotic  
37 cells is increasingly being studied (Gialamas, Zinoviadou, Biliaderis, & Koutsoumanis, 2010;  
38 Kanmani & Lim, 2013; López de Lacey, López-Caballero, Gómez-Estaca, Gómez-Guillén, &  
39 Montero, 2012; López de Lacey, López-Caballero, & Montero, 2014; Romano et al., 2014;  
40 Soukoulis, Behboudi-Jobbehdar, Yonekura, Parmenter, & Fisk, 2014c; Soukoulis, Singh,  
41 Macnaughtan, Parmenter, & Fisk, 2016). Edible films have the potential to stabilise food  
42 structures at multiple scale lengths whilst creating bespoke structures (enhanced mechanical  
43 properties, prolonged shelf-life, maintenance of structural integrity) and be used to deliver

44 nutritional enhancements through probiotic inclusion. On the downside, inclusion of  
45 plasticisers may increase the lethality of entrapped bacterial cells due to osmolysis, inability  
46 to completely repress the cellular metabolic activity and increased exposure to oxygen, but  
47 are essential for the formation of edible films. To overcome this, the inclusion of compounds  
48 that scavenge free radicals, promote cells adhesion properties and suppress the matrix's glass  
49 transition temperature are often proposed (Burgain et al., 2013a). Edible films could offer  
50 significant benefits for intermediate moisture foods (IMF) when compared to conventional  
51 dehydrated microcarriers, this is mainly due to their ability to retain their physical state and  
52 biological activity throughout IMF storage, where dehydrated microcarriers, as opposed to  
53 edible films, in most cases experience structural collapse due to physical state transitions  
54 (glassy to rubbery) resulting in reduced cell viability. Hence, a vast number of applications  
55 have been investigated for edible film and coating technologies, these include bakery  
56 products, fishery products, dried fruits, olives, cereal bars (Altamirano-Fortoul, Moreno-  
57 Terrazas, Quezada-Gallo, & Rosell, 2012; De Prisco & Mauriello, 2016; López de Lacey,  
58 López-Caballero, Gómez-Estaca, Gómez-Guillén, & Montero, 2012b; López de Lacey,  
59 López-Caballero, & Montero, 2014b; Soukoulis, Yonekura, et al., 2014a; Tavera-Quiroz et  
60 al., 2015a).

61 To understand the potential of edible films as vehicles for probiotics inclusion, parameters  
62 such as the biopolymer and plasticiser type and amount, the presence of oxygen scavenging  
63 agents and prebiotics have been recently evaluated (Gialamas et al., 2010; Kanmani & Lim,  
64 2013; López de Lacey et al., 2014; Piermaria, Diosma, Aquino, Garrote, & Abraham, 2015;  
65 Romano et al., 2014; Soukoulis, Yonekura, et al., 2014; Soukoulis, Behboudi-Jobbehdar, et  
66 al., 2014b; Soukoulis et al., 2016). In a previous work, we demonstrated that the inclusion of  
67 *L. rhamnosus* GG in edible films, comprising whey protein concentrate and sodium alginate,  
68 assisted bacterial cells to withstand heat and osmotic stress upon bread production and

69 storage whereas it also enhanced their survival throughout ingestion and gastrointestinal  
70 passage (Soukoulis, Yonekura, et al., 2014). In the present work, we aim to further  
71 investigate the technological feasibility of edible films comprising selected biopolymers with  
72 established good film forming properties (namely low esterified amidated pectin (PEC), low  
73 (LSA) and high (HSA) viscosity sodium alginate, porcine skin gelatine (GEL) and kappa-  
74 carrageenan/locust bean gum ( $\kappa$ -CAR/LBG)), in the presence or absence of whey protein  
75 concentrate (WPC) as potential vehicles for *L. rhamnosus* GG. Selection of the biopolymers  
76 and compositional design of the edible film forming solutions was based on previous  
77 formulations for effective films and are constrained by practical and biopolymer specific  
78 requirements. Both protein and polysaccharide based films and binary films containing two  
79 polysaccharides are included to expand the range of the study (Galus & Lenart, 2013; Martins  
80 et al., 2012; Ramos, Fernandes, Silva, Pintado, & Malcata, 2012; Rivero, García, & Pinotti,  
81 2010). Ultimately the aims was to explain the interplay between the survivability of *L.*  
82 *rhamnosus* GG and the structural and physicochemical properties of the embedding  
83 biopolymer substrate.

## 84 2. MATERIALS AND METHODS

### 85 2.1 *Materials*

86 For the purposes of this work a *Lactobacillus rhamnosus* GG strain (E-96666, VTT, Espoo,  
87 Finland) of established probiotic functionality was used. Low ester content (<50%) amidated  
88 pectin (LM-101 AS, Genu®, CPKelco, UK), low viscosity sodium alginate (LFR5/60,  
89 Protanal®, 65-75% guluronic acid units, 25-35 % mannuronic acid, units, 35-60 kDa,  
90 Drammen, Norway), high viscosity sodium alginate (RF6650, Protanal®, 45-55% guluronic  
91 acid units, 45-55 % mannuronic acid, units, ~100 kDa, Drammen, Norway), locust bean gum  
92 (Sigma Aldrich, UK), kappa-carrageenan (Sigma Aldrich, UK) and bovine skin gelatin B

93 (Sigma Aldrich, UK) were used as film forming agents. Whey protein concentrate ( $81 \pm 2\%$   
94 whey protein, 9% lactose, Lacprodan® DI-8090) was used as a co-structuring component,  
95 glycerol (97% purity, Sigma Aldrich, UK) was used as the plasticiser.

## 96 *2.2 Preparation of the film forming solutions*

97 Ten film forming solutions were prepared by dispersing the biopolymers and WPC (as listed  
98 in Table 1) in distilled water at 25°C under agitation for 1h. Then, glycerol accounting for the  
99 50% (w/w) of the film forming agent total solids was added and the obtained biopolymer  
100 aliquots were heated to 80°C for 30min. Heat treatment assisted the full desolution and  
101 hydration of the biopolymers, induced whey protein denaturation (>95%) and reduced  
102 residual microbial load. Eventually, the film forming solutions were cooled to 37°C to be  
103 inoculated with *L. rhamnosus* GG.

## 104 *2.3 Stock culture preparation and growth conditions of L. rhamnosus GG*

105 Stock culture preparation of *L. rhamnosus* GG was carried out according to the procedure as  
106 previously described by Soukoulis et al. (2014a). Six frozen culture beads were placed in  
107 MRS broth (Oxoid Ltd., Basingstoke, UK) and incubated at 37 °C (48 h) under anaerobic  
108 conditions in plastic jars containing AnaeroGen® (Oxoid Ltd., Basingstoke, UK). The final  
109 broth was transferred under aseptic conditions into 50 mL sterile centrifuge tubes (Sarstedt  
110 Ltd., Leicester, UK) and centrifuged at 3000 g for 5 min. Pellets were washed twice with  
111 phosphate buffer saline (PBS), Oxoid Ltd. Basingstoke, UK.

## 112 *2.4 Preparation and storage of the probiotic edible films*

113 Film forming solutions (100 mL) were inoculated with three pellets (corresponding to ca. 10  
114 logCFU/g of film forming solution, expressed in a dry basis) and successively degassed using  
115 a vacuum pump at 40 °C for 10 min. Then, 30 mL of the aliquots were aseptically transferred

116 using a serological pipette to sterile petri dishes (inner diameter 15.6 cm; polystyrene;  
117 101VR20, Sarstedt Ltd., Leicester, UK). The cast solutions were dried for 24h in a ventilated  
118 incubator at 37°C and ca. 50% RH (Sanyo Ltd., Japan). After air drying, the probiotic edible  
119 films were peeled off intact from the petri dishes and conditioned either at room temperature  
120 (25°C) or chilling conditions (4°C) for microbiological testing under controlled relative  
121 humidity conditions (ca. 54 and 59% RH respectively) using a saturated magnesium nitrate  
122 solution (Sigma Aldrich, Basingstoke). Separate systems conditioned for at least three days at  
123 25 °C and 54 % RH were used for physicochemical, mechanical and structural  
124 characterisation.

### 125 *2.5 Enumeration of the bacteria*

126 One mL of the probiotic film forming solutions was suspended in 9mL sterile PBS and  
127 vortexed for 60s to ensure adequate mixing. For the recovery of *L. rhamnosus* GG from the  
128 probiotic edible films the method described by (Soukoulis, Behboudi-Jobbehdar, et al.,  
129 2014)) was adopted. Specifically, 1g of the film containing *L. rhamnosus* GG was mixed with  
130 9mL of PBS and vortexed for 2 min to ensure sufficient dissolution of the film. Enumeration  
131 of the bacteria was performed in triplicate following the standard plating methodology  
132 (Champagne, Ross, Saarela, Hansen, & Charalampopoulos, 2011) and the total counts of the  
133 viable (TVC) bacteria were expressed as log colony forming units per gram (log CFU/g) by  
134 taking into account the density (g/mL) of the film forming solutions calculated  
135 gravimetrically.

136 The survival rate of the bacteria throughout the air drying of the film forming solutions was  
137 calculated according to the following equation:

$$138 \quad \% \text{ viability} = 100 \times \frac{N}{N_0} \quad (7)$$



139 where  $N_0$  and  $N$  represent the number of viable bacteria (expressed by total solids amount at  
140 the beginning and end of the air drying process respectively.

141 *L. rhamnosus* GG inactivation upon storage was expressed as the logarithmic value of the  
142 relative viability fraction ( $\log N/N_0$ ). Viability was fitted to a first order reaction kinetics  
143 model as described by the formula:

$$144 \log N_t = \log N_0 - k_T t \quad (8)$$

145 where  $N_0$ , represents the initial number of the viable bacteria and  $N_t$  the number of viable  
146 bacteria after a specific time of storage (CFU/g),  $t$  is the storage time (day), and  $k_T$  is the  
147 inactivation rate constant ( $\log\text{CFU}\cdot\text{day}^{-1}$ ) at temperature,  $T$  ( $^{\circ}\text{C}$ ).

148

#### 149 *2.6 Moisture content and water activity*

150 Residual water content was calculated according to AACC method 44-1502. Water activity  
151 of the edible films after preconditioning at 54% RH for 72 days was determined using an  
152 AquaLab water activity meter (AquaLab, 3TE, Decagon, USA).

#### 153 *2.7 Scanning electron microscopy (SEM)*

154 A small film specimen was carefully deposited onto carbon tabs (Agar Scientific, Stansted,  
155 UK) and coated with carbon (Agar turbo carbon coater) to improve conductivity. Scanning  
156 electron microscope analysis (SEM) was performed on a FEI Quanta 3D 200 dual beam  
157 Focused Ion Beam Scanning Electron Microscope (FIB-SEM). The images were acquired  
158 using secondary electron imaging at an accelerating voltage of 5-15kV.

#### 159 *2.8 Thickness measurement*

160 A digital micrometer (Mitutoyo, Tokyo, Japan) was used for the measurement of the  
161 thickness (mm) of the probiotic edible films. Eight measurements were taken from different  
162 parts of the films.

### 163 *2.9 Water vapour permeability*

164 Water vapour permeability (WVP) of the probiotic edible films was determined  
165 gravimetrically. Samples were placed between two rubber rings on the top of glass cells  
166 containing silica gel (0% RH) to 1/6 of cell height, exposed film area was  $2.9 \times 10^{-3} \text{ m}^2$ . The  
167 glass cells were transferred to a ventilated chamber maintained at 100% RH (pure water) and  
168  $25^\circ\text{C}$ , water vapour pressure difference is 3169 Pa. WVP was calculated according to the  
169 formula:

$$170 \quad \text{WVP} = \frac{\Delta m \cdot e}{A \cdot \Delta t \cdot \Delta p} \quad (6)$$

171 Where: WVP = water vapour permeability ( $\text{g} \cdot \text{mm} \cdot \text{m}^{-2} \cdot \text{d}^{-1} \cdot \text{kPa}^{-1}$ )  $\Delta m / \Delta t$  = the moisture uptake  
172 rate (g/d) from silica gel, A = the film area exposed to moisture transfer ( $\text{m}^2$ ), e = the film  
173 thickness (m), and  $\Delta p$  = the water vapour pressure difference between the two sides of the  
174 film (Pa).

### 175 *2.10 Colour characteristics and opacity*

176 Colour characteristics of the edible films were determined using a Hunterlab (Reston, USA)  
177 colourimeter. The CIELab color scale was used to measure the  $L^*$  (black to white),  $a^*$  (red to  
178 green), and  $b^*$  (yellow to blue) parameters. Film samples ( $2 \text{ cm} \times 2 \text{ cm}$ ) were carefully  
179 deposited on a standard white tile ( $L^* = 92.59$ ,  $a^* = -0.78$ ,  $b^* = 0.67$ ).

180 Opacity measurements were made according to the method described by Núñez-Flores et al.  
181 (2012). Film samples were cut into rectangles ( $0.7 \times 1.5 \text{ cm}$ ) and placed carefully on the  
182 surface of the plastic cuvette and on the spectrophotometer cell after calibration with an air

183 blank sample. Absorbance at 550 nm ( $A_{550}$ ) was measured using a UV-VIS  
184 spectrophotometer (Jenway Ltd., UK) and film opacity was calculated according to the  
185 formula:

$$186 \quad \text{Opacity} = \frac{A_{550}}{\text{thickness}} \quad (2)$$

187 Where: thickness is expressed in mm

### 188 2.11 Mechanical characterisation

189 Mechanical characterisation (tensile strength (TS), elongation percentage (% E) at break, and  
190 Youngs modulus (E), calculated as the slope of the linear region of the stress-strain curve) of  
191 the films was conducted using a TA-XT2i texture analyser (Stable Micro Systems Ltd,  
192 Surrey, UK). Pre-conditioned edible films (54% RH, 25 °C for 72h), cut in 20 × 80 mm  
193 rectangular shapes were placed between the tensile grips giving a grip separation distance of  
194 50 mm. For tensile tests a 5 kg load cell was used with a cross-head speed of 1 mm/s. The  
195 following properties were calculated from the stress – deformation curves:

$$196 \quad \text{TS} = \frac{F_{\max}}{A} \quad (3)$$

$$197 \quad \% E = 100 \times \frac{L}{L_0} \quad (4)$$

$$198 \quad E = \frac{\Delta\zeta}{\Delta\varepsilon} = \quad (5)$$

199

200 Where:  $F_{\max}$  = the force at break (N), A = the film cross-sectional area (mm<sup>2</sup>),  $L_0$  = the initial  
201 film length (mm),  $L_t$  = the film length at time t (linear region) (mm), L = the film length at  
202 break (mm), strain =  $\varepsilon = (L_t - L_0) / L$ , stress =  $\sigma = F/A$  (MPa).

### 203 2.12 Dynamic mechanical analysis (DMA)

204 The dynamic mechanical measurements were carried out using a Perkin Elmer DMA8000  
205 (Coventry, UK) operating in the tension mode. The film samples were prepared and then cut  
206 in  $0.5 \times 2$  cm rectangular strips and conditioned at  $54 \pm 1\%$  RH and  $25 \pm 1^\circ\text{C}$  for 72h before  
207 analysis. The film samples were clamped in the tension geometry attachment and analysis  
208 was conducted by heating the samples at  $2^\circ\text{C min}^{-1}$  from  $-80$  to  $180^\circ\text{C}$ . From experimental  
209 data, the storage modulus ( $E'$ ), loss modulus ( $E''$ ) and  $\tan\delta$  ( $E''/E'$ ) were calculated, glass  
210 transition temperature ( $T_g$ ) was defined as the peak value of  $\tan\delta$ . All analyses were  
211 conducted in duplicate.

### 212 2.13 DSC measurements

213 A Mettler Toledo DSC823 (Leicester, UK) was used for the measurement of the glass  
214 transition temperature of the edible films. A small amount of plasticised pre-weighed edible  
215 film (6-10 mg) was placed in a high-pressure, stainless steel pan and subjected to the  
216 following cooling – heating protocol: 1) cool from 25 to  $-120^\circ\text{C}$  at  $50^\circ\text{C min}^{-1}$ , 2) hold  
217 isothermally at  $-120^\circ\text{C}$  for 10 min, 3) heat from  $-120$  to  $200^\circ\text{C}$  at  $5^\circ\text{C min}^{-1}$  and 4) cool from  
218 200 to  $-120^\circ\text{C}$  at  $50^\circ\text{C min}^{-1}$  5) hold isothermally at  $-120^\circ\text{C}$  for 10 min, 6) heat from  $-120$  to  
219  $200^\circ\text{C}$  at  $5^\circ\text{C min}^{-1}$  and 7) cool from 200 to  $25^\circ\text{C}$  at  $50^\circ\text{C min}^{-1}$ . The onset ( $T_{g,on}$ ) and  
220 midpoint glass transition temperature ( $T_{g,mid}$ ) were calculated from the second heating step.

### 221 2.14 Statistical analyses

222 Two-way ANOVA joint with Duncan's post hoc means comparison ( $p < 0.05$ ) test was  
223 performed to evaluate the main effects of the investigated factors (film forming agent,  
224 addition of WPC) on the microbiological, physicochemical and mechanical data. Repeated  
225 measures ANOVA was used to evaluate the impact of storage time on survival rates of *L.*  
226 *rhamnosus* GG. Principal component analysis (PCA) and Pearson's correlation tests were  
227 carried out to investigate the interrelationships of the film's compositional profile and their

228 respective microbiological, physicochemical and mechanical properties. All statistical  
229 treatments were performed using the MINITAB release 16 statistical software (Minitab Inc.,  
230 PA, USA).

231

### 232 3. RESULTS and DISCUSSION

#### 233 3.1 *Survival of L. rhamnosus GG throughout drying process*

234 Edible films are a promising route for the control and enhancement of functional and  
235 technological aspects of processed food (Falguera, Quintero, Jiménez, Muñoz, & Ibarz, 2011;  
236 Ramos et al., 2012). Edible film based strategies could also be used for the delivery of  
237 bioactive compounds and beneficial cells into staple food items. The chemistry of the film  
238 and film forming procedure is of paramount importance as it is directly associated with  
239 bacterial survival post-processing (exposure to low pH and low redox environments, presence  
240 of oxygen) and post-ingestion (exposure to digestive enzymes and bile salts, low pH). The  
241 TVCs of *L. rhamnosus* GG 1h after inoculation of the film forming aliquots ( $10.2 \pm 0.2$  log  
242 CFU/g) showed no acute toxic effects of the biopolymer type or WPC on cell viability either  
243 during film production or over shelf life (Fig 1, Fig 2, Table 2) which is important to note as  
244 in our previous studies, we observed that cells belonging to the *L. rhamnosus* and *L.*  
245 *acidophilus* strains when injured due to osmotic and heat stress during film forming,  
246 exhibited a higher lethality throughout storage and under *in vitro* pre-absorptive digestion  
247 conditions (Soukoulis, Behboudi-Jobbehdar, et al., 2014a; Yonekura, Sun, Soukoulis, & Fisk,  
248 2014).

249 Although there was no overall toxic effects on the survival of the *L. rhamnosus* GG  
250 throughout the air drying process (37° C, 50% RH, 24h) viability was significantly ( $p < 0.05$ )  
251 influenced by the compositional characteristics (hydrocolloid type, WPC addition) of the film  
252 forming solutions (Fig. 1), which is in agreement with the findings from our previous studies

253 (Soukoulis, Yonekura, et al., 2014a; Soukoulis, Behboudi-Jobbehdar, et al., 2014c; Soukoulis  
254 et al., 2016). As a general trend, polysaccharide based films (PEC, LSA, HSA and  $\kappa$ -  
255 CAR/LBG) exerted the highest cell lethality (96.2 to 99.9%, please note that numbers in  
256 Figure 1 represent survival rates), compared to the one including protein (85.7%). On  
257 supplementation with WPC, a 2.4 to 10-fold increase in *L. rhamnosus* GG survivability was  
258 observed for film forming solutions comprising alginates, GEL and the  $\kappa$ -CAR/LBG binary  
259 blend, whilst interestingly in the case of PEC/WPC film forming systems *L. rhamnosus* GG  
260 underwent mild growth. Whilst monitoring water activity during the drying process (data not  
261 shown), it was observed that during the stage of constant rate drying (ca. 6h) water activity  
262 was higher than the minimum threshold required for the growth of *Lactobacilli* ( $a_{w,opt} = 0.91$ )  
263 therefore favouring the growth of *L. rhamnosus* GG. During the falling rate drying stage,  
264 water evaporation gives rise to osmotic pressures that can induce osmolytic sub-lethal effects  
265 on bacterial cells. And if the temperature is sufficient, heat shock related cellular injuries may  
266 be also experienced by the bacterial cells, yet this is strictly dependent on the drying  
267 temperature. We believe that the stability, of the lack of stability is a function of the  
268 biopolymer chemistry, with certain biopolymers hampering osmolysis and inducing  
269 protection to heat shock sub-lethal effects via several mechanistic pathways including  
270 modulation of adhesion properties, scavenging free radicals, supplying micronutrients (e.g.  
271 free amino acids) and maintenance of the native physical state of cell membranes (Barriga &  
272 Piette, 1996; Burgain et al., 2013a; Deepika & Charalampopoulos, 2010; Fu & Chen, 2011;  
273 Ghandi, Powell, Chen, & Adhikari, 2012; Tripathi & Giri, 2014). It may also be true that  
274 other intrinsic parameters such as the pH ( $pH_{opt} = 5.7$ , VTT, Espoo, Finland), low redox  
275 potential, and the surface tension of the substrate may modulate *L. rhamnosus* GG viability in  
276 the tested films by enhancement cell mobility and spreading. With regards the optimum pH  
277 for growth of *L. rhamnosus*, the low pH of the pectin film solution without WPC (pH 3.9-4.2)

278 could explain the acute lethality observed in the pectin based systems, the pH of the alginate  
279 solution was higher at pH 5.4-5.7, the  $\kappa$ -CAR/LBG and GEL had comparable pH values of  
280 6.3-6.7.

281 It has been previously reported that *L. rhamnosus* cells are negatively surface charged over a  
282 broad pH range (3-10) and therefore their adhesion properties are governed by either  
283 electrostatic interactions (with positively charged biopolymers or protonated side carbon  
284 chain groups) or more probably, for most of the anionic polysaccharides used in the present  
285 study, via hydrogen bonding (Deepika, Green, Frazier, & Charalampopoulos, 2009). In  
286 general, the polysaccharides we tested were negatively surface charged and possess no  
287 tensioactive properties and therefore bear no evident bacteria adhesion ability. Gelatine, is a  
288 predominantly negatively charged protein and is generally considered as having a modest  
289 tensioactive perperties (surface tension ca. 50 dyn/cm) and has exposed hydrophobic groups  
290 that could promote bacteria adhesion via hydrophobic interactions. This may explain why  
291 gelatin (without WPC) is the most stable during air drying.

292 The addition of WPC was associated with a slight increase in the pH of the film forming  
293 solutions, this was most significant in the PEC/WPC system (pH 5.4-5.6). Furthermore, in  
294 recent comparative studies on milk protein adhesion properties, it was demonstrated that  
295 whey proteins possessed the highest adhesion properties with *L. rhamnosus* GG cells via  
296 electrostatic and hydrophobic binding (Burgain, Gaiani, Francius, et al., 2013a; Burgain,  
297 Gaiani, Cailliez-Grimal, Jeandel, & Scher, 2013). The peculiar behaviour observed in the  
298 PEC/WPC may also be attributed to phase separation between the pectin and whey protein  
299 forming localised microdomains enriched in either component (Tolstoguzov, 2003). It is  
300 therefore hypothesised that the buffering capacity of WPC in combination with water activity  
301 suitable for growth and its other intrinsic properties, phase separation and cellular adhesion

302 may account for the enhanced survival rates of *L. rhamnosus* GG in the PEC-WPC system  
303 during drying.

304 Finally, biopolymer entanglement taking place via the physical entrapment of probiotic cells  
305 and retention of water in hydrogel interspaces may aid *L. rhamnosus* GG cells to maintain  
306 their native physical cell structure, this may explain the better performance of biopolymers  
307 with good hydrogel forming ability e.g. HSA and  $\kappa$ -CAR/LBG.

### 308 *3.2 Microstructure of film cross-section*

309 Structural conformation, cross-sectional homogeneity and encapsulation efficiency of the  
310 probiotic cells was evaluated by focused ion beam scanning electron microscopy (Fig. 3).  
311 Corroborating our previous findings (Soukoulis et al., 2014b), FIB-SEM allowed the  
312 successful visualisation of the cells of *L. rhamnosus* GG embedded in the biopolymer  
313 matrices.

314 As illustrated in Fig. 3, the biopolymer type had a governing role on the development of the  
315 main microstructural aspects, with films fabricated with  $\kappa$ -CAR/LBG exhibiting the most  
316 compact structures, generally void of cracks, fissures or hollow micro-domains. On the  
317 contrary, the rest biopolymer samples had a reticular, honeycomb-like microstructure with  
318 bud-like protrusions; however, in all cases the films did not have a highly perforated structure  
319 suggesting the development of rather dense and tightly-packed biopolymer networks  
320 indicating good mechanical durability and barrier properties (Lacroix, 2009).

321 The addition of WPC (Fig. 2) did not modify the overall film structure; however, according  
322 to micrographs, the presence of whey proteins had an interplaying role with the film forming  
323 agent leading a more compact structure. In addition, whey proteins induced the formation of a  
324 finer and less coarse reticular structure similar to that observed in acid whey gels (van den



325 Berg, Rosenberg, van Boekel, Rosenberg, & van de Velde, 2009). In the case of  $\kappa$ -CAR/LBG  
326 no detectable structural changes were identified on the addition of WPC.

### 327 *3.3 Physical characteristics*

328 As aforementioned, two distinct drying phases (data not shown) were verified throughout the  
329 film forming process: first, a constant drying rate (ranging from 285 to 310 min) and a falling  
330 drying rate (from 6 to 18h). Equilibrium moisture contents for all films were achieved during  
331 the last 4h of the drying process. No significant differences in the drying kinetics were  
332 observed and water evaporation rates during the constant rate drying phase ranged from 0.106  
333 to 0.113 g min<sup>-1</sup>.

334 Residual moisture content of the films at the end of the drying process (before the RH  
335 preconditioning step), was significantly affected by the type of film forming agent and  
336 presence of whey proteins (Table 3). In general, the concentration, water holding capacity  
337 and structuring ability of the biopolymers, in conjunction with the type and amount of  
338 plasticising agents, have previously been proposed as being the major parameters affecting  
339 equilibrium moisture levels in edible films (Thakhiew, Devahastin, & Soponronnarit, 2010).  
340 PEC-based films exhibited the highest moisture content whilst HSA and  $\kappa$ -CAR/LBG the  
341 lowest, as high moisture contents samples also had high thicknesses and the greater solids  
342 contents is assumed to be due to this. The addition of WPC also resulted in a significant  
343 increase ( $p < 0.05$ ) in equilibrium moisture content (ranging from ca. 5 to 110% for GEL and  
344  $\kappa$ -CAR/LBG systems respectively) compared to the WPC-free films, although on an  
345 individual basis there was only a significant increase for the HSA and  $\kappa$ -CAR/LBG based  
346 films. Whey protein powders are well known for their very good water holding capacity  
347 compared to milk or caseinate powders; this is mainly to the ability of whey proteins to

348 interact with water molecules via hydrogen bonding and to the hygroscopicity of lactose and  
349 salts present at residual levels in WPC (Kinsella, Fox, & Rockland, 1986).

350 HSA and  $\kappa$ -CAR/LBG based films (but not their WPC based analogues) were thinner than  
351 the PEC, LSA and GEL systems which presumably could be attributed to their lower total  
352 solids content. The average thickness of the films was not affected by WPC addition,  
353 although there was an increase in thickness in the HSA (0.04  $\rightarrow$  0.09 mm) and  $\kappa$ -CAR/LBG  
354 0.04  $\rightarrow$  0.10mm) based films which again could be due to the relative enhancement in total  
355 solids being greater.

#### 356 *3.4 Water vapour permeability (WVP)*

357 Probiotic films containing LSA had lower WVP values compared to that of PEC and GEL,  
358 WVP of the probiotic edible films was significantly ( $p < 0.05$ ) lower in the WPC based  
359 systems (Figure 5) and WVPs of HSA and  $\kappa$ -CAR/LBG was strongly WPC dependent. In  
360 general, the affinity of a film forming agent to water may explain the differential permeability  
361 of the films, specifically the poor barrier properties of PEC and GEL films which could be  
362 attributed to their high water affinity which is also supported by the residual moisture data  
363 (Table 3). The improvement of barrier properties through the inclusion of whey protein in  
364 film composites has previously been reported for several food film forming agents including  
365 gelatine, sodium alginate, LM pectin and carboxymethylcellulose (Murillo-Martínez,  
366 Pedroza-Islas, Lobato-Calleros, Martínez-Ferez, & Vernon-Carter, 2011; Wang, Auty, &  
367 Kerry, 2010). The ability of whey proteins to reduce intermolecular spacing due to hydrogen  
368 bonding with the film forming agent, subsequent hindrance of water mobility may explain the  
369 lowered water vapour permeability in the WPC based films. The lowest WVP was observed  
370 in the low residual moisture content thin HSA / WPC and  $\kappa$ -CAR/LBG/WPC films indicating

371 that a combination of water affinity and reduced water mobility due to WPC inclusion may  
372 drive WVP.

### 373 *3.5 Colour and optical characteristics*

374 Colour and light transmission properties are of major importance for edible film fabrication  
375 as they directly impact appearance and liking of the packaged/coated food product. HSA and  
376  $\kappa$ -CAR/LBG based edible films had higher  $L^*$  compared to the other resulting films which  
377 could be attributed to their lower solids contents and subsequently lower thicknesses. (Table  
378 1). The addition of WPC induced a significant increase ( $p < 0.05$ ) of red and yellow hues  
379 (Table 4), which confirms previous findings (Ramos, Fernandes, Silva, Pintado, & Xavier  
380 Malcata, 2012) and may be due to the occurrence of maillard chemistry during drying;  
381 however, it did not impact the luminosity of the probiotic films.

382 Film opacity was not significantly ( $p > 0.05$ , data not shown) affected by the presence of  
383 probiotic cells in line with our previous findings (Soukoulis et al., 2014b), furthermore  $\kappa$ -  
384 CAR/LBG and HSA based films exhibited the highest opacity which is presumably due to the  
385 lower solids contents of the  $\kappa$ -CAR/LBG and HSA based forming solutions. Film opacity  
386 significantly ( $p < 0.05$ ) increased in the presence of WPC.

### 387 *3.6 Tensile and thermo-mechanical characteristics*

388 In general, edible films must possess good mechanical properties (strength to fracture,  
389 extensibility) in order to withstand the stress involved under common processing, handling  
390 and storage conditions. The major mechanical aspects of probiotic edible films are given in  
391 Table 5. Of the polysacchide films HSA,  $\kappa$ -CAR/LBG and PEC exhibited similar mechanical  
392 profile i.e. intermediate tensile strength, good elongation properties, and low stiffness, LSA  
393 based systems were characterised by high tensile strength, this is presumably due to a lower

394 Mw of the LSA compared to the HSA. Films containing GEL had a high tensile strength,  
395 were more extensible and had a higher tensile strength compared to LSA which is  
396 presumably due to its protein based network compared to LSA and the other films. From this  
397 standpoint, LSA probiotic films may be a less feasible packaging solution in the case where  
398 resistance to high mechanical stresses due to product processing and handling operations is  
399 required.

400 Considering the impact of whey protein, the WPC based film composites had significantly  
401 lower mean tensile strength (18.6 vs 96.8 MPa) and lower mean elasticity (6.8 vs 14.8 MPa)  
402 than the hydrogel based films.

403 For the determination of the thermophysical properties of the plasticised, preconditioned  
404 films both DSC and DMA analysis was carried out (Table 6). In both analyses, a major peak  
405 for stiffness factor ( $\tan\delta$ ) and loss module ( $E''$ ) at low subzero temperatures was observed (-  
406 70 to -35°C), and in several cases a second pronounced (frequency independent) peak at the  
407 temperature range of 70 to 100°C was detected, representing structural changes taking place  
408 due to water evaporation (Soukoulis et al., 2015). DSC thermograms revealed solely the  
409 existence of a single second order phase transition at very low temperatures (-80 to -40°C)  
410 corroborating the DMA curves but no phase transition phenomenon was observed in the  
411 entire above-zero temperature region (0-150°C). Similar results have been also reported in  
412 previous studies (Denavi et al., 2009; Ogale, Cunningham, Dawson, & Acton, 2000; Christos  
413 Soukoulis et al., 2016). According to Denavi et al. (2009) this is indicative of  $\beta$ -relaxation  
414 associated with the presence of plasticiser (i.e. glycerol) rich micro-domains. Regarding the  
415 impact of the film components. Biopolymer type had a significant impact on the glass  
416 transition values of the films, with the films made with alginates having the highest average  
417  $T_g$ . No significant differences in  $T_g$  of the PEC, GEL and  $\kappa$ -CAR/LBG films was found  
418 therefore the films can be directly compared with the assumption of no major differences in

419 physical state. WPC significantly ( $p < 0.05$ ) depressed the glass transition temperature ( $T_g$ )  
420 which could be attributed to the increased molecular mobility due to the plasticising agents  
421 (water and glycerol).

### 422 3.7 Inactivation of *L. rhamnosus GG* during edible films storage

423 The inactivation of probiotic cells during storage is governed by several factors including  
424 species/strain dependency, storage exposure conditions (temperature,  $a_w$ , RH), presence of  
425 protective agents, occurrence of physical state transitions and oxidative damage (Tripathi &  
426 Giri, 2014).

427 Inactivation of *L. rhamnosus GG* during storage was tested at two temperatures (4 and 25°C)  
428 under controlled relative humidity (59% and 54% respectively) as shown in Fig. 2. The  
429 inactivation of *L. rhamnosus GG* followed first order kinetics (Table 2 and Fig. 2) which  
430 was in accordance with previous studies (Kanmani & Lim, 2013b; Romano et al., 2014b;  
431 Soukoulis et al., 2016). Both storage conditions and film composition (biopolymer type and  
432 WPC supplementation) had a significant impact ( $p < 0.05$ ) on inactivation rates of *L.*  
433 *rhamnosus GG*. As expected, the inactivation rate of *L. rhamnosus GG* was lower in films  
434 stored at chilling conditions ( $0.099 \log \text{CFU day}^{-1}$ ) than those kept at ambient temperature  
435 ( $0.363 \log \text{CFU day}^{-1}$ ). In previous studies, it has been shown that the dependency of survival  
436 rate on storage temperature follows Arrhenius kinetics for systems that do not experience  
437 phase transitions throughout storage e.g. glassy to rubbery state (Soukoulis, Behboudi-  
438 Jobbehdar, et al., 2014a; Ying, Sun, Sanguansri, Weerakkody, & Augustin, 2012). According  
439 to the DSC and DMA analysis results, all systems exerted a fairly rubbery physical state  
440 ( $T_g \ll T_{\text{storage}}$ ) and therefore, storage under controlled RH conditions is presumed not to  
441 induce physical state transitions. It is therefore assumed that the enhanced storage stability of  
442 *L. rhamnosus GG* under chilling conditions is associated with the slowing of its metabolic

443 activity (Fu & Chen, 2011). In addition, it should be mentioned that low temperatures slow  
444 sub-lethal enzymatic and chemical reactions such as lipid oxidation and protein denaturation.

445 Films fabricated with  $\kappa$ -CAR/LBG or HSA were most effective at maintaining maximal  
446 biological activity of the probiotic cells (0.167 and 0.218 log CFU day<sup>-1</sup> in average)  
447 compared to films made of PEC, GEL and LSA (0.251, 0.252 and 0.268 log CFU day<sup>-1</sup>  
448 respective means) this may be explained by the low Tg, and low VWP of the binary system.  
449 Although individually these are not significantly different from some other systems together  
450 they may partially explain the enhanced stability.

451 Supplementation of the film forming solutions with WPC resulted in an enhanced *L.*  
452 *rhamnosus GG* storage stability (0.279 and 0.183 log average CFU day<sup>-1</sup> for systems with and  
453 without the addition of WPC respectively). It is well established that proteins can maintain  
454 the biological activity of *Lactobacilli* via free radical scavenging which inhibits the  
455 peroxidation of membrane lipids, and surface adhesion properties that assist bacterial cells un  
456 overcoming physical stresses during storage. In addition, depending on solute composition of  
457 the embedding substrate, proteins can modulate their molecular mobility and therefore, the  
458 occurrence rate of deteriorative enzymatic and chemical reactions taking place during  
459 storage. The bioprotective role of WPC could be primarily associated with its ability to  
460 reduce the osmolytic cell injuries arising throughout the dehydration process and their  
461 excellent cell adhesion properties as recently confirmed by Burgain, et al., (2013; 2014). In  
462 addition, whey protein hydrolysis compounds (e.g. peptides and aminoacids) naturally  
463 occurring in WPC, but also produced by the proteolytic action of *L. rhamnosus GG*, possess  
464 very good reducing and free radical scavenging activity preventing lipid autoxidation (Peng,  
465 Kong, Xia, & Liu, 2010) and residual lactose may further enhance stability by enhancement  
466 of membrane stability by partially mitigating osmotic stress. Focusing on the individual  
467 interactions of WPC with the biopolymer substrate, it should be noted that the sodium

468 alginate systems (LSA and HSA) exhibited the highest responsiveness to WPC addition (ca.  
469 2.1-fold improvement of *L. rhamnosus* GG survival) compared to the other film forming  
470 agents (survival enhancement was ca. 1.4 to 1.7-fold for PEC, GEL and  $\kappa$ -CAR/LBG  
471 respectively). With the exception of the PEC/WPC system, the *L. rhamnosus* GG survival  
472 enhancement throughout storage is in line with the TVC losses during dehydration i.e.  
473 alginate systems exerted the highest responsiveness in the presence of WPC (ca. 6 to 10-fold  
474 for LSA and HSA respectively) compared to GEL and  $\kappa$ -CAR/LBG (4- and 2-fold  
475 respectively). Sodium alginate has been reported as possessing fair bioadhesive functionality  
476 which is driven by the formation of hydrogen bonds (Khutoryanskiy, 2011). In the presence  
477 of WPC, anionic polysaccharides can undergo ionotropic gelation, induced by the presence of  
478  $\text{Ca}^{2+}$  leading to the formation of strong molecular networks that could immobilise and  
479 stabilise the bacterial cells (Corona-Hernandez et al., 2013) and may explain enhanced  
480 stability in the HSA over the LSA based systems.

481 To sum up, the development of edible films as carriers for the delivery of probiotics appears  
482 to be a plausible strategy. Although, maintenance of the biological activity of the probiotic  
483 cells is the governing parameter for the selection of the substrate compositional aspects other  
484 technological parameters such as the mechanical and barrier properties are essential to ensure  
485 adequate processibility and shelf life. In an attempt to identify the most promising systems,  
486 the obtained experimental dataset (microbiological, mechanical and physicochemical) was  
487 subjected to principal components analysis (Fig. 5). The PCA biplot confirmed the  
488 complexity of the mechanisms describing the inactivation of *L. rhamnosus* GG throughout  
489 storage, in general PCA analysis revealed that  $\kappa$ -CAR/LBG and HSA were the best  
490 performing systems and that WPC addition enhanced the biological activity of *L. rhamnosus*  
491 GG, these systems are also technologically viable formulations as they have soft, less  
492 fracturable and less rigid films. While  $T_g$  (glassy to rubbery), moisture content and

493 extensibility were not correlated with survivability; low E' and low TS and high opacity  
494 showed directional correlation with increasing survivability.

#### 495 4. CONCLUSION

496 Overall, this work suggests that the inclusion of whey protein isolate increased *L. rhamnosus*  
497 GG stability and that cell counts were greatest after drying in pectin + WPC films, and during  
498 storage composite carrageenan/locust bean gum/WPC films offered the greatest stability,  
499 overall stability in an edible films is therefore proposed to be a composite function of thermal  
500 and oxidative stability, in combination with molecular mobility and WVP.

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- 671 TABLE 1: Compositional aspects of the probiotic film forming solutions
- 672 TABLE 2: Inactivation rates of *L. rhamnosus* GG during storage at chilling (4°C) and room (25°C)  
673 temperature conditions at controlled relative humidity and estimated shelf life (day)
- 674 TABLE 3: Physical properties of edible films containing *L. rhamnosus* GG
- 675 TABLE 4: Colour characteristics and transparency of the probiotic edible films containing *L.*  
676 *rhamnosus* GG
- 677 TABLE 5: Mechanical properties of edible films containing *L. rhamnosus* GG
- 678 TABLE 6: Thermophysical properties of the probiotic edible films containing *L. rhamnosus* GG

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680 FIGURE 1: Changes in the total viable counts of *L. rhamnosus* GG during the film forming  
681 dehydration process. (error bars indicate  $\pm 1$  SD)

682 FIGURE 2: Inactivation curves of *L. rhamnosus* GG embedded in edible films preconditioned at 54%  
683 RH and stored either at chilling (4°C, a,b) or ambient temperature conditions (25°C, c,d) up to 25 and  
684 15 days respectively, without (a,c) and with WPC (b,d).

685 FIGURE 3: SEM micrographs of the probiotic hydrogel-based edible films cross section with (upper)  
686 and without (lower) WPC. (a): Pectin, (b): LV sodium alginate, (c): HV sodium alginate, (d): kappa-  
687 carrageenan/LBG-(8:2). Scale bar = 10 $\mu$ m, the cells of *L. rhamnosus* GG embedded in the biopolymer  
688 matrices are tentatively marked with white circles.

689 FIGURE 4: Water vapour permeability of probiotic edible films at ambient temperature (25°C) and  
690 100% RH gradient rate. (error bars indicate  $\pm 1$  SD)

691 FIGURE 5: Principal component analysis biplot for the display of the interrelationships between the  
692 physicochemical, mechanical and microbiological (total viable counts loss per drying process and  
693 storage) properties.

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695 TABLE 1: Compositional aspects of the probiotic film forming solutions

Edible film	Hydrocolloid (g/100g)	Whey protein concentrate (g/100g)	Glycerol (g/100g)
PEC	4	-	2
LSA	4	-	2
HSA	1	-	0.5
GEL	4	-	2
$\kappa$ -CAR/LBG	1 (0.8/0.2)	-	0.5
PEC/WPC	2	2	2
LSA/WPC	2	2	2
HSA/WPC	1	2	1.5
GEL/WPC	2	2	2
$\kappa$ -CAR/LBG/WPC	1 (0.8/0.2)	2	1.5

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709 TABLE 2: Inactivation rates of *L. rhamnosus* GG during storage at chilling (4°C) and room (25°C)  
 710 temperature conditions at controlled relative humidity and estimated shelf life (day) (R<sup>2</sup> indicates  
 711 squared correlation coefficient)

Edible film	k <sub>4°C</sub> (R <sup>2</sup> )	Shelf-life 4°C	k <sub>25°C</sub> (R <sup>2</sup> )	Shelf-life 25°C
PEC	0.124 ± 0.010 <sup>c</sup> (0.86)	9	0.424 ± 0.034 <sup>b</sup> (0.99)	3
LSA	0.223 ± 0.018 <sup>d</sup> (0.96)	10	0.470 ± 0.038 <sup>c</sup> (0.98)	5
HSA	0.120 ± 0.010 <sup>c</sup> (0.89)	27	0.397 ± 0.032 <sup>b</sup> (0.95)	8
GEL	0.130 ± 0.010 <sup>c</sup> (0.97)	26	0.493 ± 0.039 <sup>c</sup> (0.99)	7
κ-CAR/LBG	0.085 ± 0.007 <sup>b</sup> (0.95)	39	0.330 ± 0.026 <sup>a</sup> (0.99)	10
PEC/WPC	0.073 ± 0.006 <sup>b</sup> (0.88)	60	0.386 ± 0.031 <sup>b</sup> (0.98)	11
LSA/WPC	0.080 ± 0.003 <sup>b</sup> (0.96)	39	0.301 ± 0.024 <sup>a</sup> (0.99)	10
HSA/WPC	0.041 ± 0.003 <sup>a</sup> (0.96)	99	0.314 ± 0.025 <sup>a</sup> (0.92)	13
GEL/WPC	0.074 ± 0.005 <sup>b</sup> (0.98)	50	0.311 ± 0.018 <sup>a</sup> (0.99)	12
κ-CAR/LBG/WPC	0.047 ± 0.001 <sup>a</sup> (0.85)	70	0.205 ± 0.015 <sup>a</sup> (0.99)	16

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713 TABLE 3: Residual water content, water activity and thickness of edible films containing *L. rhamnosus*  
 714 GG. Water content and thickness was measured prior to preconditioning, water activity was measured  
 715 after preconditioning at 54 % RH.

Edible film	Residual water content (g/100g)	Water activity $a_w$	Thickness ( $\mu\text{m}$ )
PEC	8.04 $\pm$ 0.62 <sup>d</sup>	0.53 $\pm$ 0.01 <sup>a</sup>	120 $\pm$ 20 <sup>b</sup>
LSA	5.91 $\pm$ 0.57 <sup>bc</sup>	0.53 $\pm$ 0.00 <sup>a</sup>	130 $\pm$ 20 <sup>b</sup>
HSA	2.75 $\pm$ 0.33 <sup>a</sup>	0.53 $\pm$ 0.01 <sup>a</sup>	40 $\pm$ 10 <sup>a</sup>
GEL	5.98 $\pm$ 0.13 <sup>b</sup>	0.53 $\pm$ 0.00 <sup>a</sup>	140 $\pm$ 20 <sup>b</sup>
$\kappa$ -CAR/LBG	2.44 $\pm$ 0.18 <sup>a</sup>	0.53 $\pm$ 0.00 <sup>a</sup>	40 $\pm$ 10 <sup>a</sup>
PEC/WPC	8.01 $\pm$ 0.60 <sup>d</sup>	0.53 $\pm$ 0.00 <sup>a</sup>	110 $\pm$ 20 <sup>b</sup>
LSA/WPC	7.58 $\pm$ 0.03 <sup>cd</sup>	0.53 $\pm$ 0.01 <sup>a</sup>	120 $\pm$ 10 <sup>b</sup>
HSA/WPC	5.00 $\pm$ 0.57 <sup>b</sup>	0.52 $\pm$ 0.00 <sup>a</sup>	90 $\pm$ 10 <sup>b</sup>
GEL/WPC	6.31 $\pm$ 0.67 <sup>bcd</sup>	0.53 $\pm$ 0.00 <sup>a</sup>	120 $\pm$ 10 <sup>b</sup>
$\kappa$ -CAR/LBG/WPC	5.13 $\pm$ 0.30 <sup>b</sup>	0.52 $\pm$ 0.00 <sup>a</sup>	100 $\pm$ 20 <sup>b</sup>

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718 TABLE 4: Colour characteristics and transparency of the probiotic edible films containing *L.*

719 *rhamnosus* GG

Edible film	L*	a*	b*	Opacity (mm <sup>-1</sup> )
PEC	87.8 ± 0.22 <sup>ab</sup>	-1.11 ± 0.18 <sup>def</sup>	12.03 ± 0.43 <sup>bcd</sup>	2.15 ± 0.14 <sup>b</sup>
LSA	89.4 ± 0.84 <sup>bc</sup>	-1.46 ± 0.04 <sup>ab</sup>	7.39 ± 0.57 <sup>a</sup>	3.31 ± 0.50 <sup>bc</sup>
HSA	91.5 ± 0.56 <sup>d</sup>	-1.50 ± 0.04 <sup>a</sup>	7.22 ± 0.47 <sup>a</sup>	5.08 ± 0.31 <sup>c</sup>
GEL	87.3 ± 0.82 <sup>a</sup>	-1.45 ± 0.11 <sup>ab</sup>	11.54 ± 0.66 <sup>bc</sup>	0.49 ± 0.05 <sup>a</sup>
κ-CAR/LBG	91.2 ± 0.32 <sup>d</sup>	-1.28 ± 0.05 <sup>bcd</sup>	7.12 ± 0.33 <sup>a</sup>	17.21 ± 1.25 <sup>f</sup>
PEC/WPC	90.5 ± 0.92 <sup>cd</sup>	-1.31 ± 0.04 <sup>bcd</sup>	10.04 ± 1.71 <sup>b</sup>	9.39 ± 0.54 <sup>e</sup>
LSA/WPC	89.1 ± 0.54 <sup>bc</sup>	-0.96 ± 0.06 <sup>f</sup>	14.11 ± 0.66 <sup>d</sup>	6.85 ± 0.06 <sup>d</sup>
HSA/WPC	90.5 ± 0.66 <sup>cd</sup>	-1.08 ± 0.15 <sup>ef</sup>	13.32 ± 1.95 <sup>cd</sup>	10.52 ± 0.14 <sup>e</sup>
GEL/WPC	88.9 ± 0.42 <sup>bc</sup>	-1.23 ± 0.11 <sup>cde</sup>	12.13 ± 0.86 <sup>bcd</sup>	2.72 ± 0.31 <sup>b</sup>
κ-CAR/LBG/WPC	90.4 ± 1.22 <sup>cd</sup>	-1.35 ± 0.08 <sup>abc</sup>	9.86 ± 0.27 <sup>b</sup>	9.96 ± 0.27 <sup>e</sup>

720 TABLE 5: Mechanical properties of edible films containing *L. rhamnosus* GG

Edible film	Tensile strength (MPa)	Elongation (%)	Young's modulus (E) (MPa)
PEC	23.1 ± 1.7 <sup>de</sup>	52.5 ± 4.7 <sup>f</sup>	0.8 ± 0.0 <sup>ab</sup>
LSA	133.8 ± 16.2 <sup>g</sup>	8.2 ± 0.9 <sup>a</sup>	44.9 ± 1.5 <sup>h</sup>
HSA	16.5 ± 2.3 <sup>c</sup>	33.3 ± 2.8 <sup>d</sup>	1.3 ± 0.4 <sup>c</sup>
GEL	291.1 ± 38.4 <sup>h</sup>	90.2 ± 3.2 <sup>g</sup>	24.4 ± 2.0 <sup>g</sup>
κ-CAR/LBG	19.6 ± 1.1 <sup>cd</sup>	44.1 ± 3.7 <sup>ef</sup>	2.5 ± 0.1 <sup>e</sup>
PEC/WPC	10.8 ± 0.6 <sup>b</sup>	22.9 ± 3.0 <sup>b</sup>	1.9 ± 0.1 <sup>d</sup>
LSA/WPC	26.8 ± 0.3 <sup>e</sup>	23.7 ± 1.5 <sup>bc</sup>	17.2 ± 0.3 <sup>f</sup>
HSA/WPC	8.7 ± 0.7 <sup>a</sup>	28.3 ± 3.2 <sup>cd</sup>	0.7 ± 0.0 <sup>a</sup>
GEL/WPC	38.2 ± 2.5 <sup>f</sup>	82.7 ± 6.2 <sup>g</sup>	13.3 ± 0.9 <sup>f</sup>
κ-CAR/LBG/WPC	8.5 ± 0.8 <sup>a</sup>	40.5 ± 2.9 <sup>e</sup>	0.9 ± 0.0 <sup>b</sup>

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735 TABLE 6: Thermophysical properties of the probiotic edible films containing *L. rhamnosus* GG

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Edible film	DSC		DMA
	Glass transition temperature $T_g$ (°C)	Change in specific heat capacity $\Delta C_p$ (kJ/mol*K)	Glass transition temperature $T_g$ (°C)
PEC	$-66.1 \pm 1.4^{cd}$	$0.533 \pm 0.034^b$	$-57.3 \pm 0.8^c$
LSA	$-63.0 \pm 1.9^d$	$0.489 \pm 0.037^{ab}$	$-49.6 \pm 4.9^b$
HSA	$-45.2 \pm 0.1^e$	$0.529 \pm 0.007^b$	$-36.4 \pm 0.7^a$
GEL	$-69.0 \pm 0.8^{cb}$	$0.405 \pm 0.013^a$	$-62.9 \pm 1.1^d$
$\kappa$ -CAR/LBG	$-66.6 \pm 0.5^{cd}$	$0.376 \pm 0.000^a$	$-53.1 \pm 0.9^{bc}$
PEC/WPC	$-72.1 \pm 1.8^{ab}$	$0.463 \pm 0.034^{ab}$	$-68.1 \pm 4.0^e$
LSA/WPC	$-63.5 \pm 1.6^d$	$0.483 \pm 0.012^{ab}$	$-56.5 \pm 2.8^c$
HSA/WPC	$-65.0 \pm 0.8^{cd}$	$0.370 \pm 0.031^a$	$-55.0 \pm 2.3^c$
GEL/WPC	$-72.0 \pm 0.7^{ab}$	$0.402 \pm 0.007^a$	$-68.7 \pm 1.8^e$
$\kappa$ -CAR/LBG/WPC	$-75.4 \pm 0.2^a$	$0.392 \pm 0.022^a$	$-69.0 \pm 2.8^e$

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738 TABLE 1: Compositional aspects of the probiotic film forming solutions

Edible film	Hydrocolloid (g/100g)	Whey protein concentrate (g/100g)	Glycerol (g/100g)
PEC	4	-	2
LSA	4	-	2
HSA	1	-	0.5
GEL	4	-	2
$\kappa$ -CAR/LBG	1 (0.8/0.2)	-	0.5
PEC/WPC	2	2	2
LSA/WPC	2	2	2
HSA/WPC	1	2	1.5
GEL/WPC	2	2	2
$\kappa$ -CAR/LBG/WPC	1 (0.8/0.2)	2	1.5

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752 TABLE 2: Inactivation rates of *L. rhamnosus* GG during storage at chilling (4°C) and room (25°C)  
 753 temperature conditions at controlled relative humidity and estimated shelf life (day) (R<sup>2</sup> indicates  
 754 squared correlation coefficient)

Edible film	k <sub>4°C</sub> (R <sup>2</sup> )	Shelf-life 4°C	k <sub>25°C</sub> (R <sup>2</sup> )	Shelf-life 25°C
PEC	0.124 ± 0.010 <sup>c</sup> (0.86)	9	0.424 ± 0.034 <sup>b</sup> (0.99)	3
LSA	0.223 ± 0.018 <sup>d</sup> (0.96)	10	0.470 ± 0.038 <sup>c</sup> (0.98)	5
HSA	0.120 ± 0.010 <sup>c</sup> (0.89)	27	0.397 ± 0.032 <sup>b</sup> (0.95)	8
GEL	0.130 ± 0.010 <sup>c</sup> (0.97)	26	0.493 ± 0.039 <sup>c</sup> (0.99)	7
κ-CAR/LBG	0.085 ± 0.007 <sup>b</sup> (0.95)	39	0.330 ± 0.026 <sup>a</sup> (0.99)	10
PEC/WPC	0.073 ± 0.006 <sup>b</sup> (0.88)	60	0.386 ± 0.031 <sup>b</sup> (0.98)	11
LSA/WPC	0.080 ± 0.003 <sup>b</sup> (0.96)	39	0.301 ± 0.024 <sup>a</sup> (0.99)	10
HSA/WPC	0.041 ± 0.003 <sup>a</sup> (0.96)	99	0.314 ± 0.025 <sup>a</sup> (0.92)	13
GEL/WPC	0.074 ± 0.005 <sup>b</sup> (0.98)	50	0.311 ± 0.018 <sup>a</sup> (0.99)	12
κ-CAR/LBG/WPC	0.047 ± 0.001 <sup>a</sup> (0.85)	70	0.205 ± 0.015 <sup>a</sup> (0.99)	16

756 TABLE 3: Residual water content, water activity and thickness of edible films containing *L. rhamnosus*  
 757 GG. Water content and thickness was measured prior to preconditioning, water activity was measured  
 758 after preconditioning at 54 % RH.

Edible film	Residual water content (g/100g)	Water activity $a_w$	Thickness ( $\mu\text{m}$ )
PEC	$8.04 \pm 0.62^d$	$0.53 \pm 0.01^a$	$120 \pm 20^b$
LSA	$5.91 \pm 0.57^{bc}$	$0.53 \pm 0.00^a$	$130 \pm 20^b$
HSA	$2.75 \pm 0.33^a$	$0.53 \pm 0.01^a$	$40 \pm 10^a$
GEL	$5.98 \pm 0.13^b$	$0.53 \pm 0.00^a$	$140 \pm 20^b$
$\kappa$ -CAR/LBG	$2.44 \pm 0.18^a$	$0.53 \pm 0.00^a$	$40 \pm 10^a$
PEC/WPC	$8.01 \pm 0.60^d$	$0.53 \pm 0.00^a$	$110 \pm 20^b$
LSA/WPC	$7.58 \pm 0.03^{cd}$	$0.53 \pm 0.01^a$	$120 \pm 10^b$
HSA/WPC	$5.00 \pm 0.57^b$	$0.52 \pm 0.00^a$	$90 \pm 10^b$
GEL/WPC	$6.31 \pm 0.67^{bcd}$	$0.53 \pm 0.00^a$	$120 \pm 10^b$
$\kappa$ -CAR/LBG/WPC	$5.13 \pm 0.30^b$	$0.52 \pm 0.00^a$	$100 \pm 20^b$

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761 TABLE 4: Colour characteristics and transparency of the probiotic edible films containing *L.*  
 762 *rhamnosus* GG

Edible film	L*	a*	b*	Opacity (mm <sup>-1</sup> )
PEC	87.8 ± 0.22 <sup>ab</sup>	-1.11 ± 0.18 <sup>def</sup>	12.03 ± 0.43 <sup>bcd</sup>	2.15 ± 0.14 <sup>b</sup>
LSA	89.4 ± 0.84 <sup>bc</sup>	-1.46 ± 0.04 <sup>ab</sup>	7.39 ± 0.57 <sup>a</sup>	3.31 ± 0.50 <sup>bc</sup>
HSA	91.5 ± 0.56 <sup>d</sup>	-1.50 ± 0.04 <sup>a</sup>	7.22 ± 0.47 <sup>a</sup>	5.08 ± 0.31 <sup>c</sup>
GEL	87.3 ± 0.82 <sup>a</sup>	-1.45 ± 0.11 <sup>ab</sup>	11.54 ± 0.66 <sup>bc</sup>	0.49 ± 0.05 <sup>a</sup>
κ-CAR/LBG	91.2 ± 0.32 <sup>d</sup>	-1.28 ± 0.05 <sup>bcd</sup>	7.12 ± 0.33 <sup>a</sup>	17.21 ± 1.25 <sup>f</sup>
PEC/WPC	90.5 ± 0.92 <sup>cd</sup>	-1.31 ± 0.04 <sup>bcd</sup>	10.04 ± 1.71 <sup>b</sup>	9.39 ± 0.54 <sup>e</sup>
LSA/WPC	89.1 ± 0.54 <sup>bc</sup>	-0.96 ± 0.06 <sup>f</sup>	14.11 ± 0.66 <sup>d</sup>	6.85 ± 0.06 <sup>d</sup>
HSA/WPC	90.5 ± 0.66 <sup>cd</sup>	-1.08 ± 0.15 <sup>ef</sup>	13.32 ± 1.95 <sup>cd</sup>	10.52 ± 0.14 <sup>e</sup>
GEL/WPC	88.9 ± 0.42 <sup>bc</sup>	-1.23 ± 0.11 <sup>cde</sup>	12.13 ± 0.86 <sup>bcd</sup>	2.72 ± 0.31 <sup>b</sup>
κ-CAR/LBG/WPC	90.4 ± 1.22 <sup>cd</sup>	-1.35 ± 0.08 <sup>abc</sup>	9.86 ± 0.27 <sup>b</sup>	9.96 ± 0.27 <sup>e</sup>

763 TABLE 5: Mechanical properties of edible films containing *L. rhamnosus* GG

Edible film	Tensile strength (MPa)	Elongation (%)	Young's modulus (E) (MPa)
PEC	23.1 ± 1.7 <sup>de</sup>	52.5 ± 4.7 <sup>f</sup>	0.8 ± 0.0 <sup>ab</sup>
LSA	133.8 ± 16.2 <sup>g</sup>	8.2 ± 0.9 <sup>a</sup>	44.9 ± 1.5 <sup>h</sup>
HSA	16.5 ± 2.3 <sup>c</sup>	33.3 ± 2.8 <sup>d</sup>	1.3 ± 0.4 <sup>c</sup>
GEL	291.1 ± 38.4 <sup>h</sup>	90.2 ± 3.2 <sup>g</sup>	24.4 ± 2.0 <sup>g</sup>
κ-CAR/LBG	19.6 ± 1.1 <sup>cd</sup>	44.1 ± 3.7 <sup>ef</sup>	2.5 ± 0.1 <sup>e</sup>
PEC/WPC	10.8 ± 0.6 <sup>b</sup>	22.9 ± 3.0 <sup>b</sup>	1.9 ± 0.1 <sup>d</sup>
LSA/WPC	26.8 ± 0.3 <sup>e</sup>	23.7 ± 1.5 <sup>bc</sup>	17.2 ± 0.3 <sup>f</sup>
HSA/WPC	8.7 ± 0.7 <sup>a</sup>	28.3 ± 3.2 <sup>cd</sup>	0.7 ± 0.0 <sup>a</sup>
GEL/WPC	38.2 ± 2.5 <sup>f</sup>	82.7 ± 6.2 <sup>g</sup>	13.3 ± 0.9 <sup>f</sup>
κ-CAR/LBG/WPC	8.5 ± 0.8 <sup>a</sup>	40.5 ± 2.9 <sup>e</sup>	0.9 ± 0.0 <sup>b</sup>

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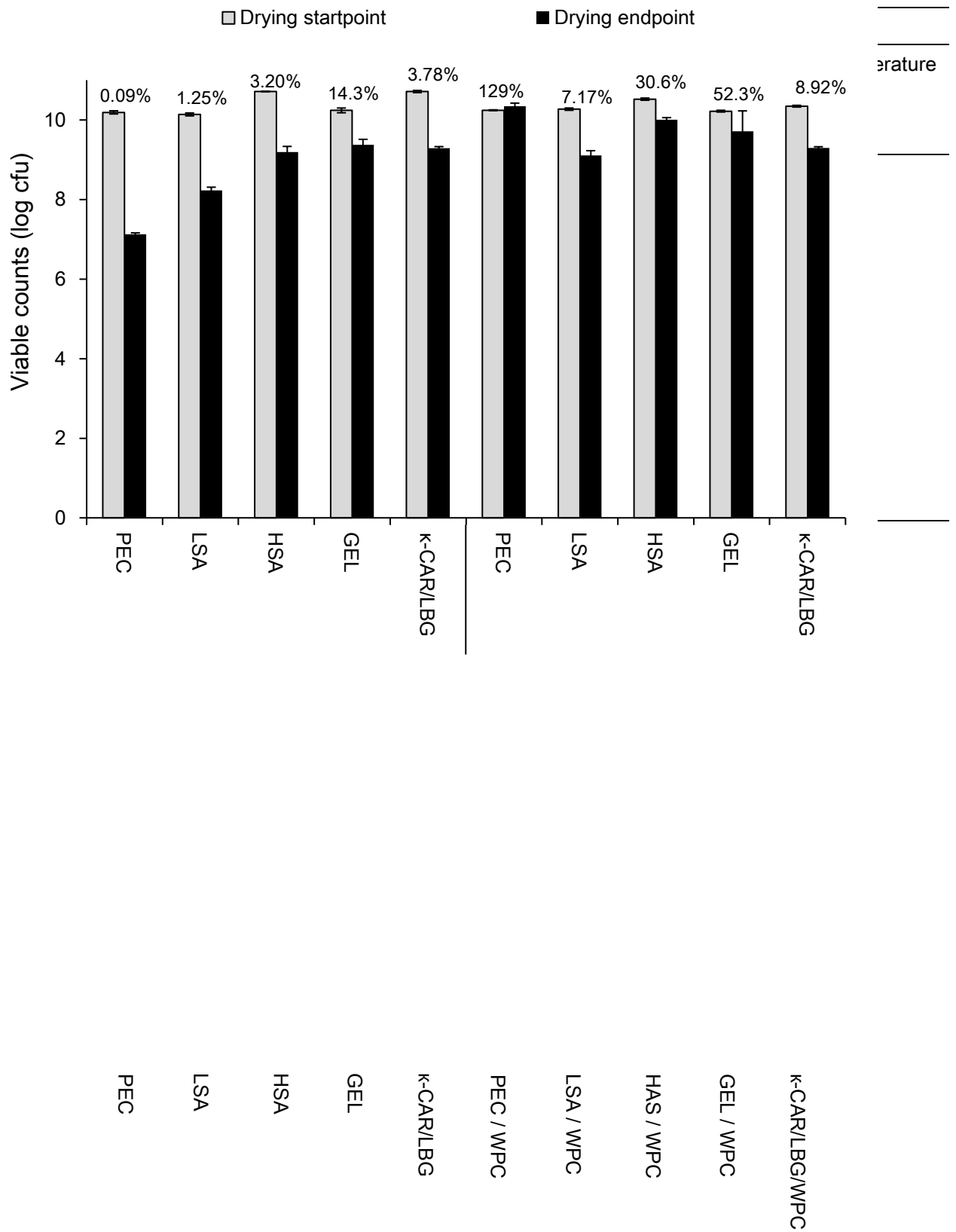
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778 TABLE 6: Thermophysical properties of the probiotic edible films containing *L. rhamnosus* GG

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789  
PEC  
LSA  
HSA  
GEL  
κ-CAR/LBG

790  
PEC/WPC  
LSA/WPC  
HAS/WPC  
GEL/WPC  
κ-CAR/LBG/WPC

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792 FIGURE 1: Changes in the total viable counts of *L. rhamnosus* GG during the film forming  
793 dehydration process. (error bars indicate  $\pm 1$  SD, percentages indicate percentage retention/increase  
794 after drying)

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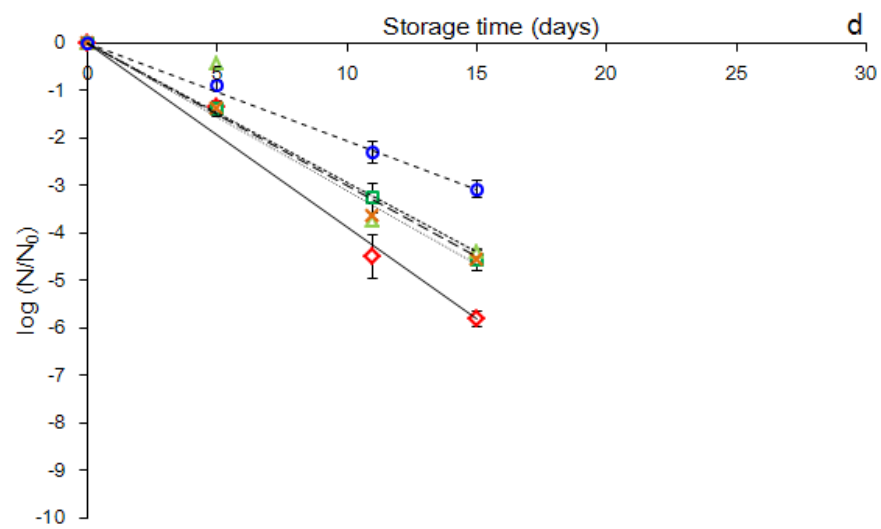
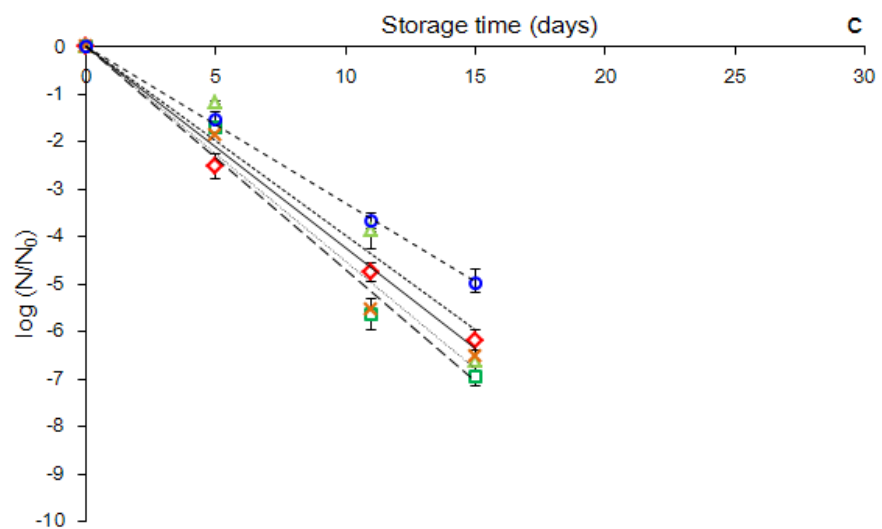
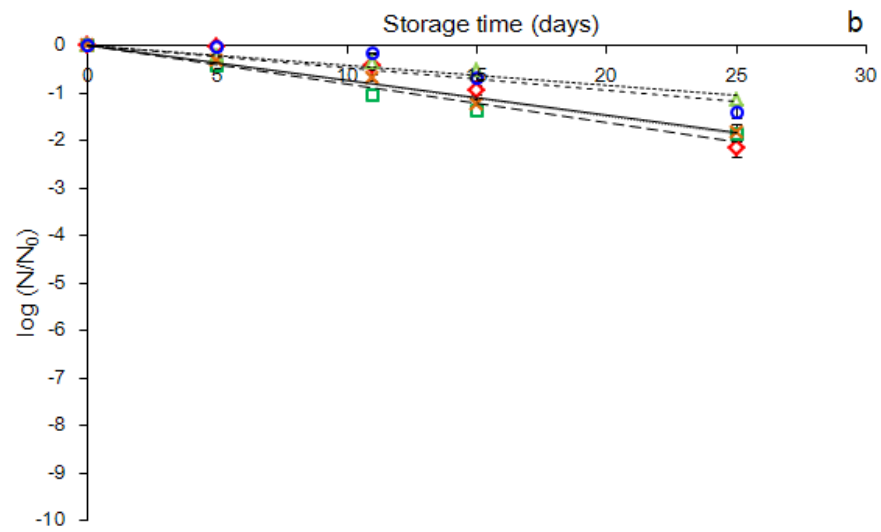
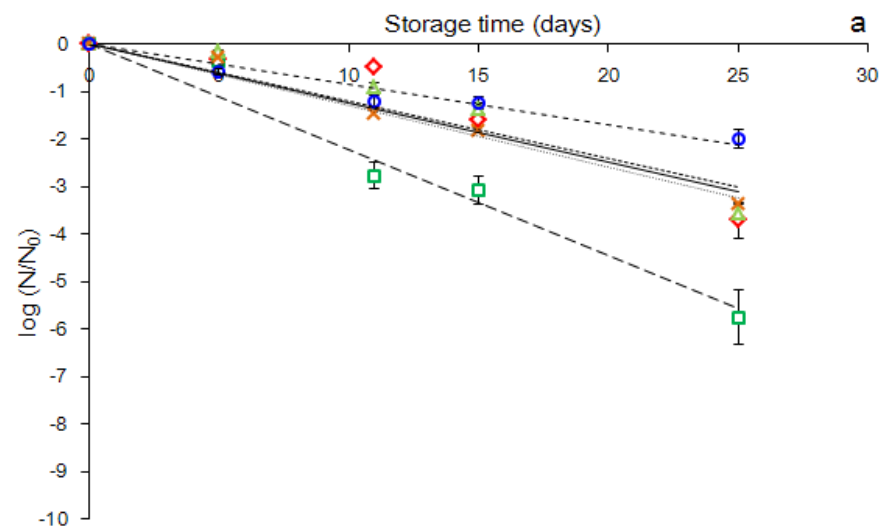
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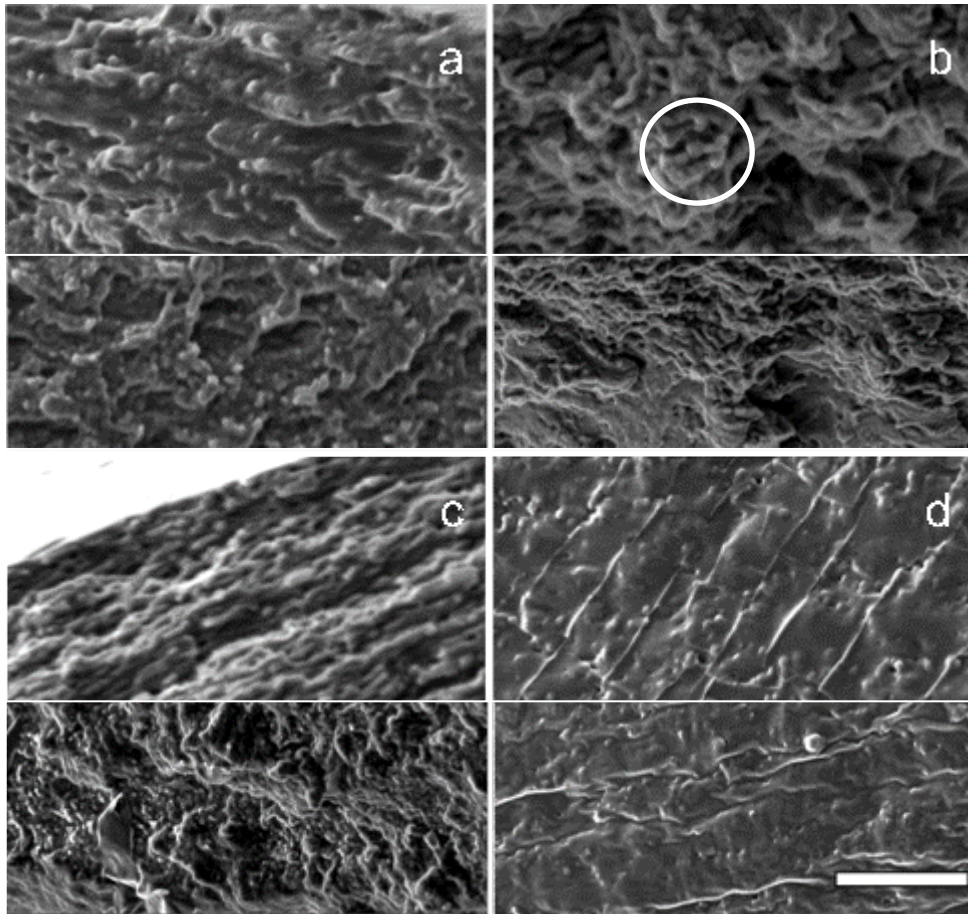
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805 FIGURE 2: Inactivation curves of *L. rhamnosus* GG embedded in edible films preconditioned at 54% RH and stored either at chilling (4°C, a,b) or ambient  
806 temperature conditions (25°C, c,d) up to 25 and 15 days respectively, without (a,c) and with WPC (b,d). (PEC dark solid line; LSA solid dashed line; HSA  
807 dotted line; GEL light solid line; K-CAR/LBG light dashed line).



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809 FIGURE 3: SEM micrographs of the probiotic hydrogel-based edible films cross section with (upper)  
810 and without (lower) WPC. (a): Pectin, (b): LV sodium alginate, (c): HV sodium alginate, (d): kappa-  
811 carrageenan/LBG-(8:2). Scale bar = 10 $\mu$ m, the cells of *L. rhamnosus* GG embedded in the biopolymer  
812 matrices are tentatively marked with white circles.

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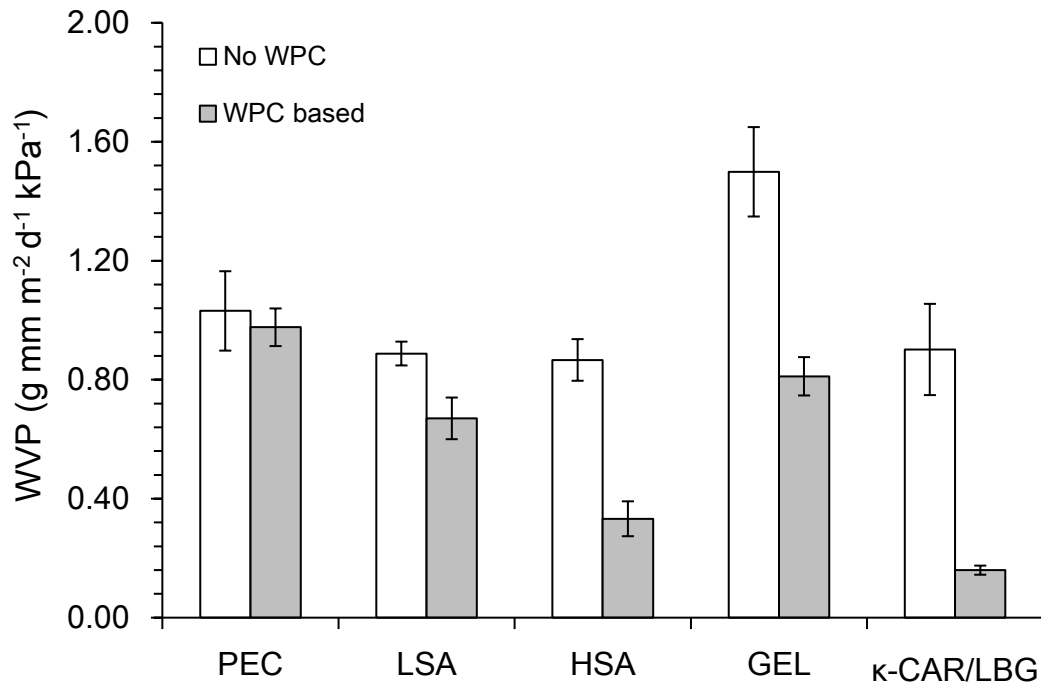
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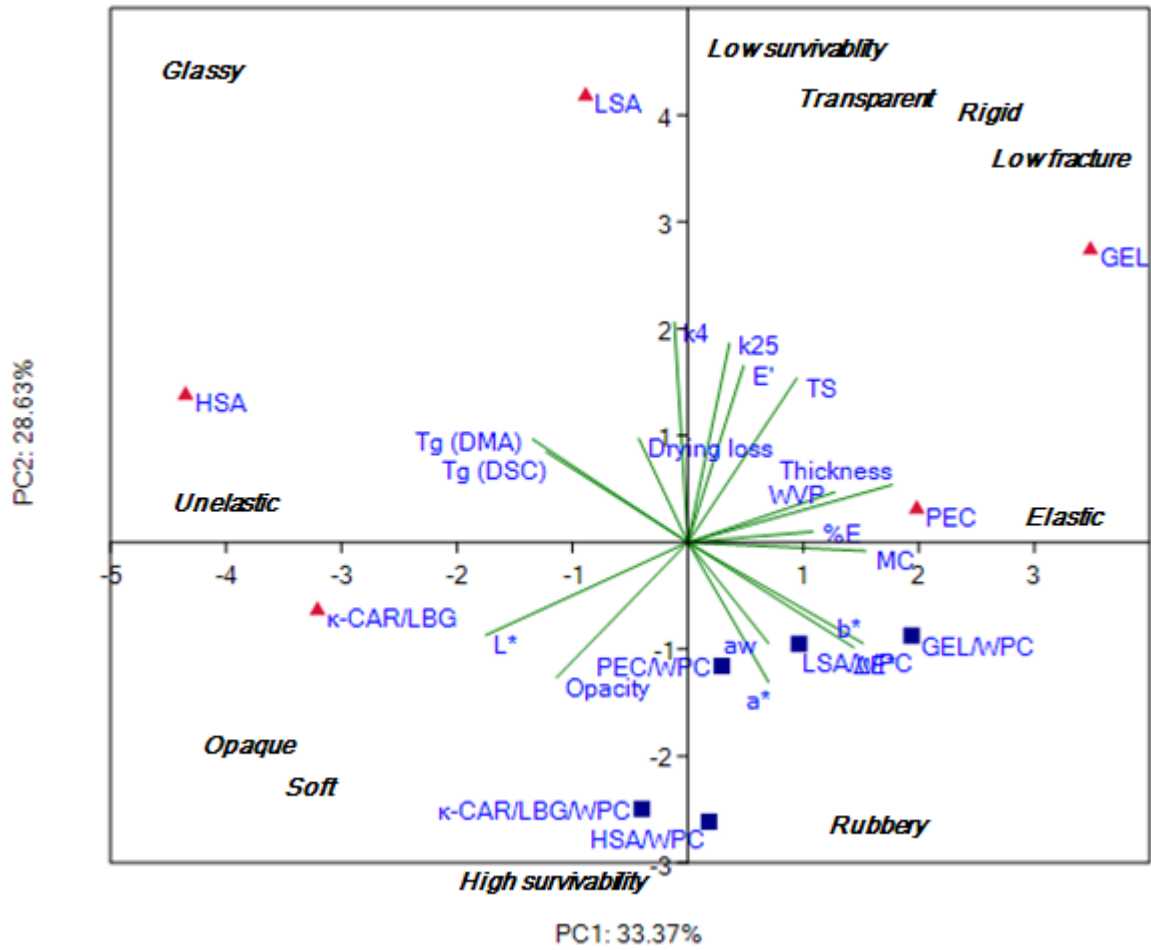


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823 FIGURE 4: Water vapour permeability of probiotic edible films at ambient temperature (25 °C) and  
824 100% RH gradient rate. (error bars indicate ± 1 SD)

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828 FIGURE 5: Principal component analysis biplot for the display of the interrelationships between the  
 829 physicochemical, mechanical and microbiological (total viable counts loss per drying process and  
 830 storage) properties.

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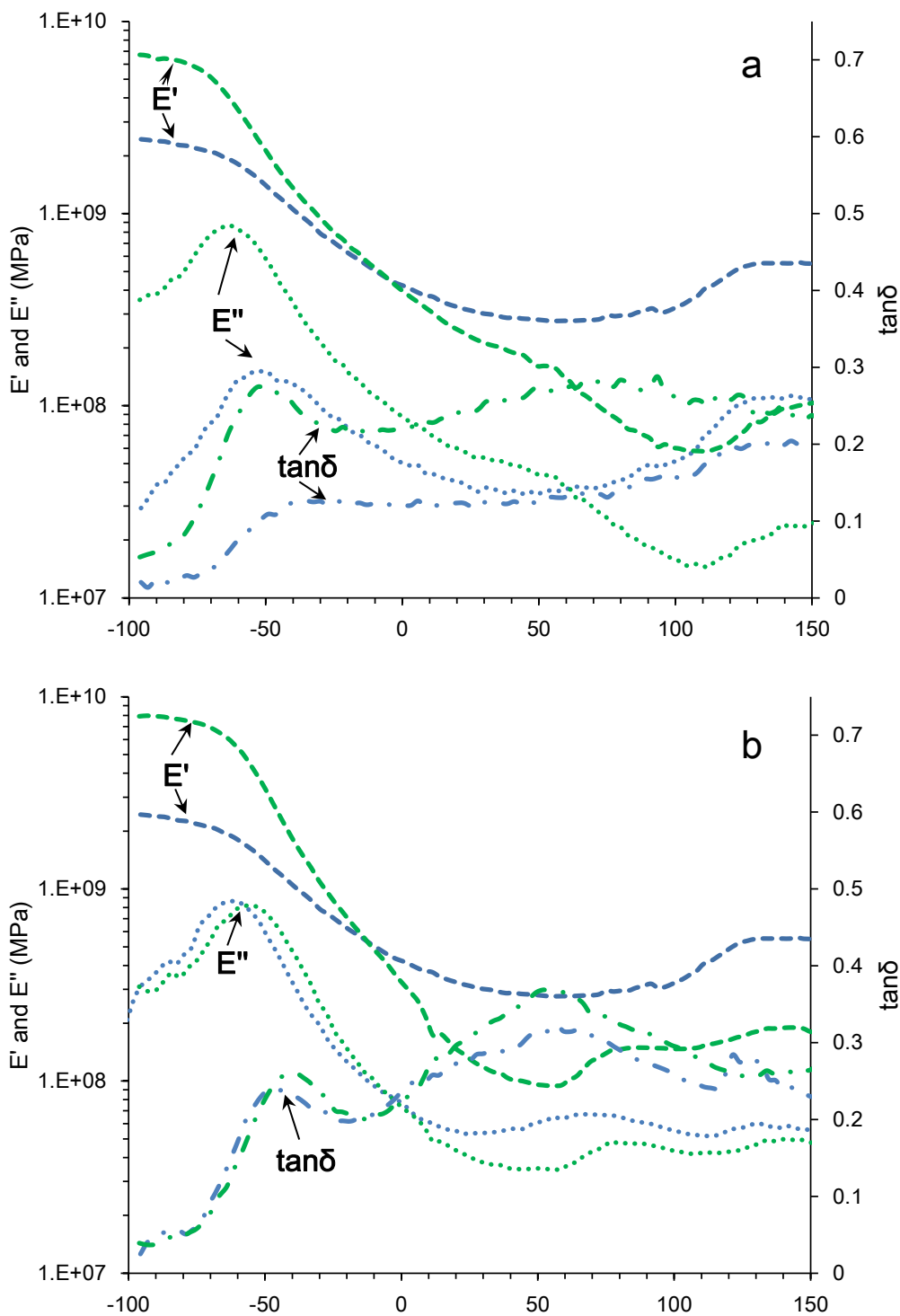
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841 FIGURE A.1 Indicative DMA spectra of probiotic films with (green/light) or without (blue/dark) whey  
 842 protein concentrate. a: kappa-CAR/LBG, b: LSA.

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