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Abstract: Novel ternary films have been realized by using poly(vinyl alcohol) (PVA) as polymeric matrix, nanostructured starch as reinforcement phase and hydroxytyrosol (HTyr), a low-molecular phenolic compound present in olive oil, as antioxidant agent. Nanostructured starch, in the form of starch nanocrystals (NC) and nanoparticles (NP) obtained by acid hydrolysis and ultrasound irradiation of starch derived from the bread wheat variety Cadenza (WT, amylose content 33%) and a derived-high amylose line (HA, amylose content 75%), was considered. The developed multifunctional films (named PVA/NCWT/HTyr, PVA/NCHA/HTyr, PVA/NPWT/HTyr, PVA/NPHA/HTyr) were characterized in terms of morphological, thermal and optical properties, water absorption capacity, overall and specific migration into a food simulant and antioxidant properties. Experimental data showed that HTyr was released in a controlled manner from all ternary films and the released HTyr still retained a strong antioxidant activity. The release profiles, compared to those of PVA/HTyr binary films, demonstrated the key role of nanostructured starch in the ternary formulations in promoting a controlled release of HTyr. Overall, PVA/NPWT/HTyr resulted as the most promising ternary formulation for food packaging applications.

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Terni, 22/12/2017

Editorial Board
Carbohydrate Polymers

Dear Editor,

Please find enclosed the manuscript entitle “**Nanostructured starch combined with hydroxytyrosol in poly(vinyl) alcohol based ternary films as novel food active packaging solutions**” by Francesca Luzi, Elena Fortunati, Alessandro Di Michele, Elisa Pannucci, Ermelinda Botticella, Luca Santi, José Maria Kenny, Luigi Torre, Roberta Bernini, that I would like to submit for possible publication in Carbohydrate Polymers

In the present work, we have realized novel ternary films by using poly(vinyl alcohol) (PVA) as polymeric matrix, nanostructured starch as reinforcement phase and hydroxytyrosol (HTyr), a low-molecular phenolic compound present in olive oil, as antioxidant agent. Nanostructured starch, in the form of starch nanocrystals (NC) and nanoparticles (NP) obtained by acid hydrolysis and ultrasound irradiation of starch derived from two varieties (WT, amylose content 33% and HA, a high amylose line, 75%) was considered. Results of morphological, thermal and optical properties, water absorption capacity, overall and specific migration into a food simulant and antioxidant properties for the developed multifunctional films proved that HTyr was released in a controlled manner from all ternary films and the released HTyr still retained a strong antioxidant activity. The release profiles, compared to those of PVA/HTyr binary films, demonstrated the key role of nanostructured starch in the ternary formulations in promoting a controlled release of HTyr. Overall, PVA/NP_{WT}/HTyr resulted as the most promising ternary formulation for food packaging applications.

I declare that all the authors mutually agree that it should be submitted to CARBPOL, that this is the original work of the authors and that the manuscript was not previously submitted to CARBPOL.

I look forward to receiving your comments at your earliest convenience.

Sincerely,

Prof. Luigi Torre

A handwritten signature in black ink, appearing to read 'Luigi Torre'.

Highlights

1. Nanostructured starch (nanocrystals (NC) and nanoparticles (NP)) were obtained by acid hydrolysis and ultrasound irradiation.
2. Starch with amylose content 33% (WT) and a derived-high amylose line (HA, amylose content 75%), were considered.
3. Solvent cast films were prepared including hydroxytyrosol (HTyr) and starch nanostructures into PVA.
4. Nanostructured starch in ternary formulations promoted a controlled release of HTyr and a tuned antioxidant activity.

1 Nanostructured starch combined with hydroxytyrosol in poly(vinyl) alcohol based ternary 2 films as novel food active packaging solutions

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15 16 Abstract

17 Novel ternary films have been realized by using poly(vinyl alcohol) (PVA) as polymeric matrix,
18 nanostructured starch as reinforcement phase and hydroxytyrosol (HTyr), a low-molecular phenolic
19 compound present in olive oil, as antioxidant agent. Nanostructured starch, in the form of starch
20 nanocrystals (NC) and nanoparticles (NP) obtained by acid hydrolysis and ultrasound irradiation of
21 starch derived from the bread wheat variety Cadenza (WT, amylose content 33%) and a derived-
22 high amylose line (HA, amylose content 75%), was considered. The developed multifunctional
23 films (named PVA/NC_{WT}/HTyr, PVA/NC_{HA}/HTyr, PVA/NP_{WT}/HTyr, PVA/NP_{HA}/HTyr) were
24 characterized in terms of morphological, thermal and optical properties, water absorption capacity,
25 overall and specific migration into a food simulant and antioxidant properties. Experimental data
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31

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33 food active packaging, antioxidant properties.

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1. Introduction

A recent study carried out from the Food and Agriculture Organization of the United Nations (FAO) reported that every year about one-third of food produced for human consumption, consisting in about 1.3 billion tons, is globally wasted or lost (<http://www.fao.org/news/story/it/item/196458/icode;http://www.fao.org/docrep/018/i3347e/i3347e.pdf>). These data are alarming in many respects: first from an ethical point of view, because more than 870 million people worldwide are suffering from hunger; secondly from an economic point of view, because this represents a loss of 750 billion dollars every year; and finally, from an environmental point of view, because food production has an impact on climate, soil and biodiversity even if food is not consumed.

In this scenario, all strategies aiming to maximise the amount of food available for human consumption, to minimise the environmental burden, to reduce the economic impact and to improve food safety are encouraged. Among them, the measures focused on food preservation play an important role. Food preservation consists in preventing all aspects involved in food deterioration which ultimately are cause of loss in nutritional value and safety of food. Among these, the most relevant are the oxidative processes, which are responsible, for example, for degradation of vitamins, for alteration of flavour and for visual deterioration of food such as the browning of fruits, vegetables and meat. In this respect, food active packaging solutions represent strategies spanning through the entire food chain from producers and distributors to consumers (Lee, Lee, Choi, & Hur, 2015). In fact, polymeric films used to prepare food packaging, can incorporate ingredients active in preventing degradations by slowing down such processes. Recently, several phenolic compounds (Agustin-Salazar, Gamez-Meza, Medina-Juàrez, Soto-Valdez, & Cerruti, 2014; Castro López, López de Dicastillo, López Vilariño, & González Rodríguez, 2013) and natural extracts (Ambroggi et al., 2011; Cerruti, Malinconico, Rychly, Matisova-Rychla, & Carfagna, 2009) have been investigated for this purpose and, in this respect, we selected and reported on the use of hydroxytyrosol (HTyr), a natural low-molecular phenol present in olive oil, olive leaves and olive oil by-products (Bernini, Merendino, Romani, & Velotti, 2013; Gambacorta, Tofani, Bernini, & Migliorini, 2007; Romani, Pinelli, Ieri, & Bernini, 2016) and hydroxytyrosol methyl carbonate (HTyr-MC), a synthetic HTyr-derived compound (Bernini et al., 2017; Bernini, Gilardini Montani, Merendino, Romani, & Velotti, 2015), both known for their potent antioxidant activity. In particular, we successfully developed a panel of binary formulations based on poly(vinyl alcohol) (PVA) incorporating HTyr or HTyr-MC by solvent casting method (Fortunati, Luzi, Dugo, et al.,

2016; Fortunati, Luzi, Fanali, et al., 2016). These films appeared homogeneous and the overall migration levels of each active ingredient were lower than the migration limits permitted by the current legislation for food contact materials (European, 2011). In addition, antioxidants assays performed on the HTyr and the HTyr-MC released from the binary films into a hydrophilic food simulant offered a clear evidence of strong activity. However, in both cases their release from the films was not carried out in a controlled fashion but reproducibly reached the maximum level the first day of contact, thus representing a considerable limitation for food packaging applications. Over the last decades, nanostructured materials have been intensely investigated for improving drug delivery and films performances in industrial applications (Domingues et al., 2015; Luzi et al., 2016; Stark, Stoessel, Wohlleben, & Hafner, 2015; Wang et al., 2015). As a matter of fact, the nanometric size grants to these materials a greater surface area per mass and this feature may permit a slower and thus more controlled release of an active ingredient from a film matrix (Acevedo-Fani, Soliva-Fortuny, & Martín-Belloso, 2016; Siró et al., 2006). Among the possible polymers suitable for the production of nanomaterials, our attention has been turned on starch, a natural, renewable and biodegradable polymer. Structurally, it consists of two macromolecules, amylose and amylopectin. Amylose is a linear polymer of α -D-glucose units linked by α -1,4-glycosidic bonds; amylopectin is a highly branched polymer consisting of α -D-glucose units linked by α -1,4-glycosidic bonds and α -D-glucose units by α -1,6-glycosidic bonds. The ratio of these two polymers is generally related to the botanic origin of starch (LeCorre, Bras, & Dufresne, 2011) and in turn is responsible for the shape, size and crystalline organization of starch granules. In this light, with the objective of developing novel ternary multifunctional films for food active packaging that could perform a release of the antioxidant (HTyr) in a controlled manner, we included, by solvent casting technique, starch nanocrystals (NC) or starch nanoparticles (NP) into the PVA film matrix. In particular, for the preparation of the two types of nanostructures, we used starch extracted from the bread wheat variety Cadenza (WT, amylose content 33%) and from a derived-high amylose line (HA, amylose content 75%) produced by Botticella et al (Botticella; E.; Sestili, F.; Sparla, F.; et al. Plant Biotech. J. submitted). All formulations, namely PVA/NC_{WT}/HTyr, PVA/NC_{HA}/HTyr, PVA/NP_{WT}/HTyr and PVA/NP_{HA}/HTyr, were investigated in terms of optical, morphological, thermal and mechanical properties. Moreover, in order to evaluate the kinetic of release of HTyr from each film, overall and specific migration tests were performed using a food simulant according to the current European legislation.

100

101 **2. Experimental part**

102 **2.1 Materials**

103 All chemicals including high purity grade poly(vinyl alcohol) (average M_w 124-146 kg mol⁻¹, 99%
104 hydrolyzed) were purchased by Sigma-Aldrich® (Italy). Silica gel 60 F254 plates and silica gel 60
105 (230-400 mesh) were provided by Merck (Germany).

106

107 **2.2 HTyr synthesis and characterization**

108 HTyr was synthesized according to a procedure already optimized by Bernini et al. (Bernini,
109 Mincione, Barontini, & Crisante, 2008; Bernini et al., 2007) and characterized by proton and carbon
110 nuclear magnetic resonance using a 400 MHz Spectrometer Avance III (Bruker, Germany).

111

112 **2.3 Starch extraction**

113 Starch was obtained from the bread wheat variety Cadenza (WT, amylose content 33%) and from a
114 derived high amylose line (HA, amylose content 75%) as described by Botticella et al (Botticella;
115 E.; Sestili, F.; Sparla, F.; et al. Plant Biotech. J. submitted). Briefly, starch was isolated from whole
116 flour of the WT and HA wheats by the dough ball method (Wolf, M. (1964). 50 g of whole flour
117 were mixed with 60% of water and hand kneaded until optimal dough development. Starch was
118 washed from the dough with water (300 mL) and, after centrifugation at 1500 rpm, the starch pellet
119 was washed twice with 20 mL of water. The thin yellow-gray layer deposited on the surface of the
120 starch pellet was scraped off by a spatula. Starch pellet was subsequently let to dry for two days at
121 25 °C.

122

123 **2.4 Starch nanocrystal synthesis and characterization**

124 Starch granules, both WT or HA (25 g), were mixed with 200 mL of 3.16 M sulfuric acid for 5 days
125 at 40 °C, with a stirring speed of about 100 rpm as previously reported (Angellier, Choisnard,
126 Molina-Boisseau, Ozil, & Dufresne, 2004). After the hydrolysis, the obtained suspension was
127 diluted with distilled water, centrifuged (4000 rpm for 20 min) and filtered (filter mesh 2 µm) in
128 order to eliminate residual unreacted material. The resultant starch nanocrystal aqueous suspensions
129 were ultrasonicated by means of a tip sonicator (Vibracell, 750) for 10 min. The final yield for both
130 WT and HA obtained starch nanocrystals was calculated as % of initial weight of the used raw
131 material.

132 The obtained starch NC were characterized by Field Emission Scanning Electron Microscopy
133 (FESEM) using a Field Emission Gun Electron Scanning Microscopy LEO 1525 (Zeiss); the
134 morphology was observed after metallization with Cr.
135 X-ray powder diffraction (XRD: PANalytical X'Pert Pro, Cu Ka radiation) operating at 40 kV and
136 40 mA, step size 0.0170 2 θ and step scan 20 s was used to evaluate the change in starch
137 crystallinity in NC structures.

139 **2.5 Starch nanoparticle synthesis and characterization**

140 A high power ultrasound generator titanium horn type 750 W (VCX 750 Sonic and Materials), 20
141 kHz, with a tip diameter of 13 mm, was used for the synthesis of starch NP. 1 g of WT and 1 g of
142 HA starch were placed in a fused bottle with 100 mL of pure water. The bottle was hermetically
143 sealed to the horn and then subjected, for 50 minutes at 8 °C, under argon flow (100 mL/min), to
144 high power ultrasound irradiation (50% amplitude). After ultrasonication, each colloid suspension
145 was centrifuged at 4000 rpm for 20 min. The resulting concentration of the aqueous WT suspension
146 was 0.13 mg/mL, while HA suspension was 0.35 mg/mL. The obtained starch NP were
147 characterized by Field Emission Scanning Electron Microscopy (FESEM) and by XRD using the
148 same procedure described above for NC characterization.

150 **2.6 Preparation of the ternary formulations**

151 PVA binary and ternary based formulations were prepared by solvent casting technique. The
152 concentration of active HTyr was fixed at 5 wt% (concentration selected on the basis of previous
153 results) (Fortunati, Luzi, Fanali, et al., 2016), while two different concentrations, 1 and 3 wt % of
154 starch nanostructures (NC and NP), were selected for the preparation of binary based formulations
155 (**Table 1**). The ternary based films were produced combining HTyr at 5 wt% and only one
156 concentration of starch nanostructures, specifically 1 wt% (this concentration was selected on the
157 base of results coming from PVA binary based formulations here reported). PVA based
158 formulations were prepared by using the procedure described by Fortunati and co-authors
159 (Fortunati, Luzi, Dugo, et al., 2016; Fortunati, Luzi, Fanali, et al., 2016). Firstly, 0.5 g of PVA was
160 dissolved in 10 mL of distilled water under magnetic stirring for 2 h at 80 °C. The polymeric
161 solution was kept under magnetic stirring to reach room temperature (RT).

162 PVA/HTyr was obtained mixing, under magnetic stirring, the polymeric solution with a specific
163 amount of HTyr previously dispersed in distilled water (0.1 g of HTyr in 10 mL of distilled water)

for 1 h at RT. Uniform dispersion of HTyr in aqueous solution was obtained applying a magnetic stirring and a sonication bath, both at RT for 1 h. PVA/NC or PVA/NP were obtained mixing the amount of nanostructures in aqueous solution with polymeric aqueous suspensions under magnetic stirring for 1h at RT.

Ternary based formulations were obtained mixing firstly the amount of NC or NP with HTyr in aqueous suspension for 1 h at RT, to obtain an uniform dispersion of nanofillers and active ingredient, then the obtained solution was added to PVA. PVA/HTyr/NC or PVA/HTyr/NP in aqueous solution were mixed under magnetic stirring for 1h at RT. The polymeric solutions of neat film, binary and ternary films were cast in a Teflon® mold and evaporated at RT.

Films 0.10 mm thick were obtained: the relevant material formulations are shown in **Table 1**.

Table 1: Material formulations for binary and ternary films

Formulations	PVA (wt%)	Starch NC/NP (wt%)	HTyr(wt%)
PVA	100	-	-
BINARY FORMULATIONS			
PVA/HTyr	95	-	5
PVA/1NC _{WT}	99	1	-
PVA/3NC _{WT}	97	3	-
PVA/1NC _{HA}	99	1	-
PVA/3NC _{HA}	97	3	-
PVA/1NP _{WT}	99	1	-
PVA/3NP _{WT}	97	3	-
PVA/1NP _{HA}	99	1	-
PVA/3NP _{HA}	97	3	-
TERNARY FORMULATIONS			
PVA/NC _{WT} /HTyr	94	1	5
PVA/NC _{HA} /HTyr	94	1	5
PVA/NP _{WT} /HTyr	94	1	5
PVA/NP _{HA} /HTyr	94	1	5

Different characterization methods were used to select the appropriate content of starch nanofillers, both NC and NP, to produce ternary based formulations, taking into account the final possible application in the packaging field. Thermal properties were investigated by a differential scanning calorimeter (DSC-TA Instrument, Q200), with the aim of verifying the effect of nanostructured starches on PVA crystallization phenomena and crystallinity degree. DSC measurements were performed in the temperature range from -25 to 240 °C, at a heating rate of 10 °C min⁻¹. Three samples were used to characterize each material.

183 The crystallinity degree was calculated according to the following Equation 1:

$$\chi = \frac{1}{(1 - m_f)} \left[\frac{\Delta H}{\Delta H_0} \right] * 100 \quad (\text{Eq. 1})$$

185 where ΔH is the enthalpy for melting or crystallization; ΔH_0 is enthalpy of melting for a 100%
186 crystalline PVA sample, taken as 161.6 J g^{-1} (Luzi et al., 2017; Roohani et al., 2008) and $(1 - m_f)$ is
187 the weight fraction of PVA in the sample. Moreover, tensile tests of neat PVA and PVA based
188 binary systems were performed to evaluate the effect of the nanostructured starch based fillers on
189 the mechanical response of the PVA matrix. The test was performed on rectangular samples ($50 \times$
190 10 mm^2) on the basis of UNI ISO 527 with a crosshead speed of 5 mm min^{-1} , a load cell of 500 N
191 and an initial gauge length of 25 mm. Average tensile strength (σ_B), elongation at break (ϵ_B), and
192 Young's modulus (E) were calculated from the resulting stress-strain curves. The measurements
193 were done at room temperature and at least five samples for each formulation were tested.

194 2.7 Characterization of ternary films

195 The microstructure of the produced PVA/NC_{WT}/HTyr, PVA/NC_{HA}/HTyr, PVA/NP_{WT}/HTyr,
196 PVA/NP_{HA}/HTyr ternary film fractured surfaces was investigated by scanning electron microscope
197 (FESEM, Supra 25-Zeiss) after gold sputtering of the surfaces to provide enhanced conductivity and
198 observed using an accelerating voltage of 2.5 kV. The optical properties of neat PVA and ternary
199 films were investigated by UV-Vis spectroscopy using a Perkin Elmer Lambda 35 in the range 250-
200 900 nm.

201 Thermal characterization of PVA/NC_{WT}/HTyr, PVA/NC_{HA}/HTyr, PVA/NP_{WT}/HTyr,
202 PVA/NP_{HA}/HTyr systems was performed by both differential scanning calorimetric (DSC) and
203 TGA. TGA (Seiko Exstar 6300) experiments were performed for each sample from 30 to 600 °C at
204 10 °C min^{-1} under a nitrogen atmosphere (250 mL min^{-1}) in order to evaluate the effect of both
205 starch fillers and HTyr addition on the thermal stability of PVA matrix. The first degradation
206 temperature (T_d), the second/maximum degradation rate temperature ($T_{d\text{Imax}}$) and its onset (T_{onset}
207 *main peak*), the third ($T_{d\text{III}}$) and the residual mass at 600 °C were obtained from the weight loss and its
208 derivative curves. DSC measurements were carried out on a TA Instruments DSC Q200 (TA
209 Instruments Inc., USA) equipped with Universal Analysis 2000 software under nitrogen atmosphere
210 in the range of -25 to 240 °C at 10 °C min^{-1} , carrying out two heating and one cooling scans. The
211 glass transition temperature (T_g) was investigated during both heating and cooling scan; the melting

temperature and enthalpy (T_m and ΔH_m) were determined from the second heating scan, while crystallization temperature and enthalpy (T_{cc} and ΔH_{cc}) were determined from the cooling scan. The crystallinity degree was calculated according to the Equation (1).

Tensile tests of PVA/NC_{WT}/HTyr, PVA/NC_{HA}/HTyr, PVA/NP_{WT}/HTyr and PVA/NP_{HA}/HTyr films were performed at RT, as previous described, according to UNI ISO 527.

Water absorption capacity (WAC) of neat PVA and ternary films was measured on rectangular plastic probes of 10 mm x 20 mm. Specimens were first dried in a vacuum oven at 40 °C for 72 h, then cooled down in a desiccator and immediately weighted. Conditioned systems were fully immersed in a container filled with distilled water. Tests were conducted in triplicate at 4, 20 and 37 °C in order to simulate the practical condition of a packaging material. The samples were removed from the water bath at different times (1, 3, 6, and 24 h) and the surface were blotted using filter paper, and then weighed. The result of each sample represents the average of three tests.

Water absorption capacity was calculated according to the Equation (2):

$$WAC\% = (W_A - W_I) / W_I \times 100 \quad (\text{Eq. 2})$$

where W_A is the weight of the specimen at the adsorbing equilibrium and W_I is the initial dry weight of the specimen.

The overall migration analysis of ternary films was also performed, in order to simulate the use of proposed package formulations with food simulant. The test was run in triplicate in simulant A (10% (v/v) ethanol water solution) according to current legislation Commission Regulation (EU) No 10/2011. Rectangular strips of 10 cm² in 10 mL of food simulant were used (European, 2011). Samples were kept in a controlled chamber at 40 °C, removed after 10 days according to EN-1186 standard, and the simulant was evaporated (European, 2002). Residues were weighed with an analytical balance (Sartorius ATILON) with ± 0.01 mg precision and the migration values in mg kg⁻¹ of the/each simulant were determined.

Specific migration tests were performed into ethanol 10% v/v as food simulant according to European Standard EN 13130-2005 (UNE-EN 13130-1: 2005) and European Commission Regulation 10/2011 (European, 2011). Double-sided, total immersion migration tests were carried out with 12 cm² of films and 20 mL of simulant (area-to-volume ratio around 6 dm² L⁻¹) in triplicate at 40 °C in an oven (J. P. Selecta, Barcelona, Spain). Samples were taken at 1, 3, 7, 10, 21 days in triplicate. A blank test for the simulant was also included. The migrated simulant was recovered after removal of samples and stored at -4 °C before analysis.

2.8 HTyr release studies in food simulant (specific migration)

HTyr released by each ternary system (PVA/NC_{WT}/HTyr, PVA/NC_{HA}/HTyr, PVA/NP_{WT}/HTyr, PVA/NP_{HA}/HTyr) in food simulant for every contact time (1, 3, 7, 10 and 21 days) was analyzed by UV-2600 spectrophotometer (Shimadzu, Kyoto, Japan). Absorbance values were measured at $\lambda=280$ nm and the concentration of the antioxidant released into the simulant was determined by a calibration curve for HTyr (range: 50-400 μ M) as previously described (Fortunati, Luzi, Dugo, et al., 2016; Fortunati, Luzi, Fanali, et al., 2016).

2.9 Antioxidant activity

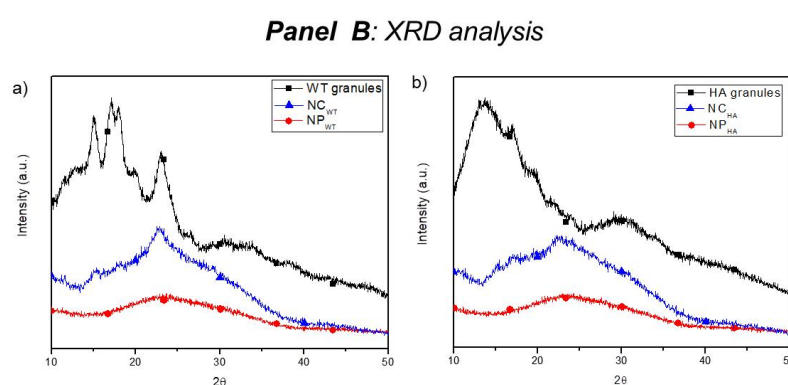
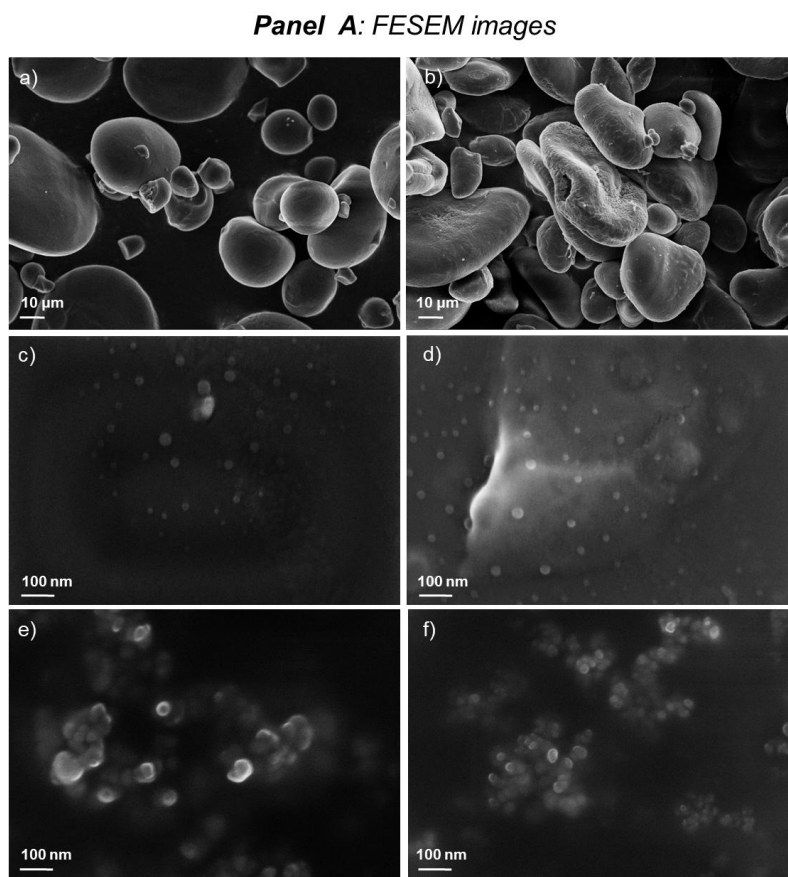
Antioxidant activities of HTyr-released from each ternary formulation were evaluated as reported by Pellegrini *et al.* (Re et al., 1999) with modifications (Fortunati, Luzi, Dugo, et al., 2016; Fortunati, Luzi, Fanali, et al., 2016). Briefly, the ABTS radical was generated by mixing ABTS (7 mM) and potassium persulfate (2.5 mM) in phosphate buffer (pH=7.4). The mixture was kept in the dark overnight at room temperature. Finally, the ABTS obtained solution was diluted in ethanol in order to reach an absorbance at $\lambda=734$ nm of about 0.70. A volume of 10 μ L of each sample was added to a 96-multiwell plate (Greiner Bio-one, Germany). The reaction was initiated by the addition of 190 μ L of ABTS solution. Absorbance readings were taken at $\lambda=734$ nm for 90 s in a microplate reader (Infinite[®], 200 Pro multimode reader, TECAN, Italy). The activity of each sample was determined using Trolox as a standard (range: 50-700 μ M), and the antioxidant activity was expressed as Trolox Equivalent Antioxidant Capacity (TEAC). All determinations were carried out in triplicate.

3. Result and discussion

3.1. HTyr and nanostructured starch synthesis and characterization

HTyr (98% pure) was synthesized on a gram scale - according to a high-yielding procedure optimized by Bernini et al. (Bernini et al., 2008; Bernini et al., 2007). Granules, starch nanocrystals (NC_{WT}, NC_{HA}) and starch nanoparticles (NP_{WT}, NP_{HA}) were obtained, respectively, by acid hydrolysis and ultrasound irradiation of native starch extracted from WT and HA wheats. In order to understand the effects of the different treatments (acid hydrolysis and ultrasound irradiation) on the morphologies of native WT and HA starch, FESEM analysis was performed, by depositing a drop of both native starch, starch colloid suspension after ultrasonic irradiation and starch colloid suspension after acid hydrolysis, on a silicon wafer. The results, showed in **Figure 1, Panel A**

276 evidenced that after both acid hydrolysis (**Figure 1, Panel A c, d**) and ultrasonic treatment (**Figure**
 277 **1, Panel A e, f**) the micrometric starch granules were indeed fragmented to reach nanometer size
 278 (20-50 nm). Specifically, acid hydrolysis was successfully performed and crystals with spherical
 279 shape and dimensions ranged 20-50 nm were obtained with a 4.5 and 5 of yield for WT and HA raw
 280 starch, respectively.



281
 282 **Figure 1: *Panel A*:** FESEM images of starch particles. (a) Native WT starch; (b) native HA starch;
 283 (c) WT starch after acid hydrolysis treatment; (d) HA starch after acid hydrolysis treatment; (e) WT

284 starch after ultrasound treatment; (f) HA starch after ultrasound treatment. *Panel B*: XRD
285 diffraction patterns of dried starch particles. (a) WT starch; (b) HA starch.

286

287 Concerning the ultrasound based treatment, their chemical effects on starch structure arise from
288 acoustic cavitation, that is the formation, growth and implosive collapse of the bubbles in a liquid
289 (Suslick, 1990). Because of the high speed, caused by bubbles collapse, the starch particles are
290 driven together and collide violently, causing surface damage that leads to a decrease in size (Zuo,
291 Hébraud, Hemar, & Ashokkumar, 2012).

292 Furthermore, X-ray diffraction was used to study the change in starch crystallinity caused by acid
293 hydrolysis and ultrasonic treatment of WT and HA native starch. XRD diffraction patterns of dried
294 samples of starch are shown in **Figure 1, Panel B**. As expected, the WT native starch exhibited
295 typical diffraction pattern of cereal starch, with the peaks at Bragg angles (2θ) 15° , 17° , 18° and 23°
296 (Zobel, H. F. (1964)) (**Figure 1, Panel B, a**). While HA native starch exhibited a different XRD
297 spectrum due to the much higher content of amylose which resulted in a clear decrease of
298 crystallinity (Cheetham & Tao, 1998) (**Figure 1, Panel B, b**). After acid hydrolysis both starch
299 showed an change of crystallinity, in fact the diffraction peaks drastically decreased. While after
300 ultrasound treatment the spectra shown a typical amorphous character. In fact, after high power
301 ultrasound irradiation, at 8°C , acoustic cavitation causes the fragmentation of crystalline structure
302 of clustered amylopectin leading to NPs with low crystallinity or an amorphous character (Haaj,
303 Magnin, Pétrier, & Boufi, 2013).

304

305 **3.2. Preparation of ternary films PVA/NC_{WT}/HTyr, PVA/NC_{HA}/HTyr, PVA/NP_{WT}/HTyr and** 306 **PVA/NP_{HA}/HTyr: optimization procedure from binary systems**

307 Binary PVA based films reinforced with 1 or 3 % wt of NC_{HA} or NC_{WT} and NP_{HA} or NP_{WT} were
308 firstly produced, in order to select the best content of starch nanocrystals or nanoparticles to use in
309 the ternary films. The results of the optimization procedure, conducted by performing DSC analysis
310 and tensile tests, are summarized in **Table 2**. An evident increase in crystallinity degree values, both
311 during the cooling and second scan ($X_c\%$ and $X_m\%$, respectively) was induced by the presence of
312 starch nanocrystals, that acted as nucleation agents for PVA matrix. This effect was more evident
313 for NC_{HA} based film and no significant enhancements were induced by the addition of 3 %wt of
314 starch nanocrystals respect to the lower content (1 %wt). Moreover, the incorporation of starch
315 nanocrystals caused an increase in Young's modulus and a consequent decrease of the elongation at

break of the films, that was particular evident in PVA/3NC_{WT} based systems. Similar results were also detected for starch nanoparticles based formulations.

318

Table 2: Thermal and mechanical properties of PVA and PVA based binary films

Formulations	DSC		Mechanical properties		
	X _c (%)	X _m (%)	σ _B (MPa)	ε _B (%)	E _{Young} (MPa)
PVA	15.0±0.9	7.8±0.9	70±10	200±40	300±80
PVA/1NC _{WT}	23.8±1.4	18.2±1.3	51±4	172±9	647±19
PVA/3NC _{WT}	25.2±2.8	21.5±1.3	43±2	110±20	878±66
PVA/1NC _{HA}	32.0±2.2	28.2±2.1	50±5	135±24	1126±153
PVA/3NC _{HA}	36.6±0.2	32.8±0.2	52±10	161±35	1048±203
PVA/1NP _{WT}	19.6±4.1	11.9±2.5	27±6	152±26	392±34
PVA/3NP _{WT}	6.4±1.0	5.7±1.0	35±5	170±15	570±70
PVA/1NP _{HA}	21.7±0.1	14.3±1.7	29±5	176±5	301±56
PVA/3NP _{HA}	19.4±2.8	13.9±1.2	32±8	190±30	500±60

320

A general increase, although less evident respect to NC based systems, was detected for starch nanoparticles based films (with the exception of PVA/3NP_{WT} film) that showed a decrease of both X_c% and X_m% values respect to the PVA matrix. Moreover, an increase in Young's modulus values were also here detected, although less evident respect to that induced by NC in PVA matrix, confirming the thermal data. Finally, starch NP were able to maintain the elongation at break values of PVA matrix.

On the base of the previous discussed results, and taking into account the final possible application of the produced formulations in packaging sector (for which barrier behaviour, directly related to the crystallization characteristics and mechanical responses of the films, represent a target property), the ternary nanocomposite films were prepared by adding 1% wt of NC_{HA} or NC_{WT} and NP_{HA} or NP_{WT} combined with 5 %wt of active HTyr (selected on the base of our previous work activity (Fortunati, Luzi, Fanali, et al., 2016) in polyvinyl alcohol matrix, by solvent casting technique (see **Table 1**, Ternary film section). The obtained multifunctional formulations, about 0.10 mm thick, were deeply characterized.

335

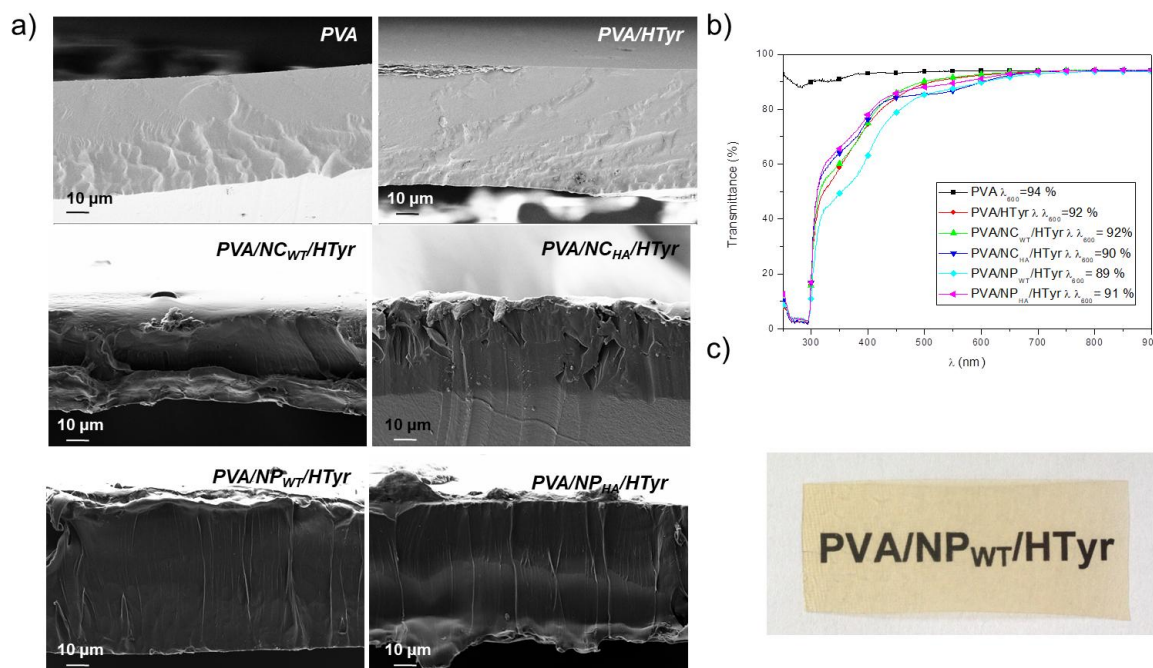
3.3. Characterization of ternary multifunctional nanocomposite films

3.3.1. Morphological and transparency properties

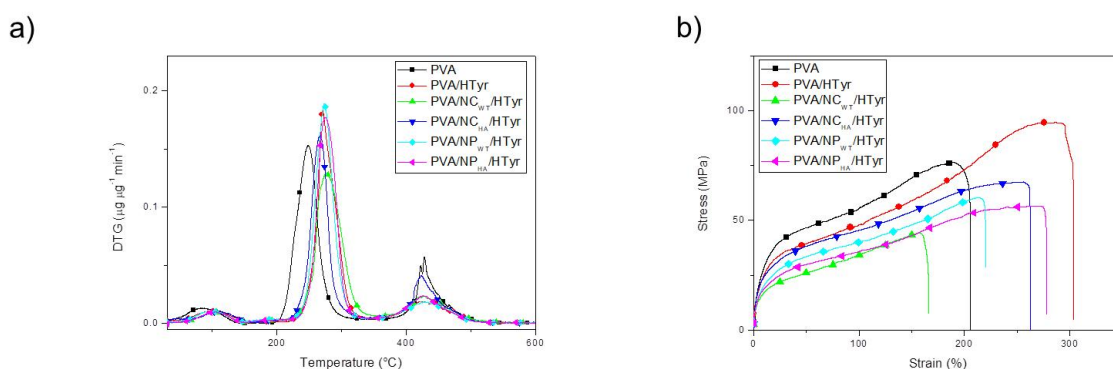
337

338 The fractured surfaces of PVA binary films with active agent and ternary nanocomposite
 339 formulations were investigated by FESEM (**Figure 2 Panel A, a**), with the aim of evaluating the
 340 influence of both nanostructured starch (nanocrystals and nanoparticles) and active agent on PVA
 341 microstructure.

Panel A: FESEM and transparency investigations



Panel B: Thermal and mechanical investigations



342
 343 **Figure 2:** Panel A: FESEM investigation of fractured surface (a) and UV-Vis analysis (b) of PVA,
 344 PVA/HT_{yr}, PVA/NC_{WT}/HT_{yr}, PVA/NC_{HA}/HT_{yr}, PVA/NP_{WT}/HT_{yr} and PVA/NP_{HA}/HT_{yr}, visual
 345 image of PVA/NP_{WT}/HT_{yr} (c). Panel B: derivative curves (DTG) (a) and stress-strain curves (b) of
 346 PVA, PVA/HT_{yr}, PVA/NC_{WT}/HT_{yr}, PVA/NC_{HA}/HT_{yr}, PVA/NP_{WT}/HT_{yr} and PVA/NP_{HA}/HT_{yr}.
 347

348 A smooth and homogeneous fractured surface was observed for neat PVA film sample. As
349 previously reported (Fortunati, Luzi, Fanali, et al., 2016), no alterations were induced by the
350 addition of 5 %wt of HTyr into the PVA matrix. The FESEM images underlined, in fact, no
351 separation phases or holes, highlighting that homogeneous dispersion of the antioxidant agent in the
352 polymeric compound was obtained and guaranteed by the solvent casting process in water.
353 Rougher fractured surfaces were instead observed for NC based ternary formulations, as
354 consequence of the addition of starch nanocrystals, confirming the reinforcement effect exerted by
355 these nanostructured fillers and confirmed by previously discussed thermal and mechanical results
356 for NC based binary formulations. Finally, no alternations were detected for PVA/NP/HTyr based
357 films, that showed smooth and homogeneous fractured surfaces for both NP_{HA} and NP_{WT} based
358 ternary films.

359 Visual aspect and transparency of PVA and PVA ternary films were also analyzed. The results from
360 UV-Vis spectra of the different produced films (**Figure 2 Panel A, b**) confirmed that the
361 transparent nature of PVA (transmittance of 94% at a wavelength of 600 nm) was slightly affected
362 by the addition of both active agent and nanostructured starches at this wavelength. Transmittances
363 between 92% and 90% were, in fact, detected for PVA/HTyr binary films and all the produced
364 ternary systems, highlighting the possibility of using these formulations to realize transparent
365 packaging in the wavelength range of 600-900 nm. Furthermore, the transparency behavior rapidly
366 decreased from 600 nm to lower wavelength and all the studied systems showed a visible
367 absorption band centered at 280 nm, due to the presence of HTyr as previously reported (Fortunati,
368 Luzi, Fanali, et al., 2016). This different transparency vs. wavelength could modulate the
369 employment of packaging films in different applications, in relation to specific requests, such as the
370 increase of food shelf life, or simply to shield against a specific wavelength. Finally, visual
371 observations (**Figure 2 Panel A, c**) confirmed the UV-Vis results, clearly showing the transparent
372 nature of PVA based ternary films with a uniform color distribution, homogenous dispersion of the
373 active ingredient and no significant alterations induced by the presence of nanostructured starch
374 fillers.

375

376 3.3.2. Thermal analyses

377 Thermal properties of PVA and PVA based nanocomposite films were evaluated by differential
378 scanning calorimetry (DSC) and thermogravimetric analysis (TGA) under nitrogen atmosphere,

with the goal of evaluating the effect of both HTyr and nanostructured starch fillers on the thermal stability of PVA matrix.

Table 3 summarizes the values of parameters related to glass transition, crystallization and melting phenomena of PVA and PVA based ternary films, measured during the cooling and the second heating scans.

Table 3: DSC analysis of PVA and PVA ternary nanocomposites

<i>Cooling</i>				
<i>Formulations</i>	<i>T_g(°C)</i>	<i>ΔH_c'(Jg⁻¹)</i>	<i>T_c'(°C)</i>	<i>X_c(%)</i>
PVA	70.3±0.8	24.3±1.4	168.3±1.6	15.0±0.9
PVA/HTyr	71.2±0.6	51.9±1.7	196.1±1.8	30.5±1.0
PVA/NC_{WT}/HTyr	77.6±1.0	52.0±2.8	197.0±0.3	32.2±1.8
PVA/NC_{HA}/HTyr	79.1±0.1	51.4±0.3	194.5±1.5	31.8±0.2
PVA/NP_{WT}/HTyr	75.1±0.1	51.4±3.3	197.6±0.1	31.8±2.0
PVA/NP_{HA}/HTyr	77.3±1.6	53.0±0.6	197.4±1.6	32.8±0.4
<i>Second heating</i>				
	<i>T_g(°C)</i>	<i>ΔH_m(Jg⁻¹)</i>	<i>T_m(°C)</i>	<i>X_m(%)</i>
PVA	84.1±1.2	12.6±1.5	206.1±3.4	7.8±0.9
PVA/HTyr	79.9±1.1	46.5±2.6	222.1±1.1	27.3±1.5
PVA/NC_{WT}/HTyr	81.3± 0.1	57.7±1.0	225.1±0.2	35.7±0.6
PVA/NC_{HA}/HTyr	80.7±0.3	55.2±0.3	223.7±0.8	34.1±0.2
PVA/NP_{WT}/HTyr	79.3±1.9	58.1±0.4	226.2±2.0	36.0±0.2
PVA/NP_{HA}/HTyr	80.2±0.6	52.1±3.6	225.1±1.3	32.3±2.2

The incorporation of NC and NP combined with HTyr induced a change in the thermal properties of the different PVA based formulations produced by solvent casting. A slight increase in term of glass transition temperature (T_g) was registered in PVA/NC/HTyr and PVA/NP/HTyr based films in the cooling scan respect to PVA and PVA/HTyr, while no particular variation in terms of T_g were observed during the second heating scan. As previously reported in literature, the presence of HTyr favors the crystallization phenomena of PVA/HTyr (Fortunati, Luzi, Fanali, et al., 2016). The crystallinity degree in ternary films increased both during the cooling and second heating scan (X_c% and X_m%, respectively) as a consequence of the increase in enthalpy values, this phenomenon was previously observed in binary films PVA/NC and PVA/NC based films (**Table 2**). However, the

combination of HTyr and starch nanofiller in PVA matrix did not induce a proportional increase in term of enthalpy, and consequently in terms of crystallinity degree, during cooling and second heating scans. This phenomenon was also confirmed by the observation of crystallization and melting temperature values. A significant shift of about 15–20 °C of the crystallization temperatures (T_c) to higher values was registered for PVA/HTyr respect to the neat PVA ($T_c = 168.3 \pm 1.6$ °C), the combination of active ingredient and starch nanostructure didn't determine a significant increase of this parameter. An increase of the ΔH_c of about 20--25 (J g⁻¹) was registered adding HTyr in PVA matrix, while no variation of ΔH_c was registered combining HTyr and starch nanostructures respect to PVA/HTyr. A similar behavior was also observed for the melting phenomena occurring during the second heating scan. The melting temperatures and enthalpies (T_m and ΔH_m) did not increase, in fact, proportionally combining HTyr and NC or NP in the polymer matrix (**Table 3**). The effect of the different additives on the thermal degradative properties of PVA matrix was also investigated by TGA, derivative curves of weight loss are reported in **Figure 2 Panel B, a**. All the studied formulations were characterized by the presence of a multi-step degradation behavior. The first weight loss, at low temperature centered at around 80–110 °C, corresponds to the evaporation of the water or a weight loss of low molecular weight compounds (Fortunati et al., 2013). The second and the third degradation temperatures correspond to the degradation of neat PVA (Fortunati et al., 2013; Frone et al., 2011; Thomas, Guerbois, Russell, & Briscoe, 2001). In particular, the second/main degradation step of PVA film corresponds to the removal of residual acetate groups, due to the incomplete hydrolysis of PVA that remains in the chains (Li, Yue, & Liu, 2012). It was previously reported, and here confirmed, that the presence of HTyr in the PVA matrix shifted the main degradation temperature to higher values, whereas no alterations in the main degradation temperatures were induced by the presence of different nanostructured starch fillers. Finally, the third degradation step, due to the cyclization reaction and continual elimination of residual acetate groups (Lu, Wilkie, Ding, & Song, 2011), was poorly affected by the presence of both HTyr and starch nanofillers (Fortunati, Luzi, Fanali, et al., 2016).

437

438 3.3.3. Mechanical response

439 The results from tensile test for PVA and PVA ternary nanocomposite formulations are summarized in **Table 4**, whereas **Figure 2, Panel B, b** reports the characteristics stress-strain curves for all the studied films. PVA neat films showed an elongation at break around (200 ± 40)%, confirming the ductile nature of the selected polymer matrix (Kavoosi, Nateghpoor, Dadfar, & Dadfar, 2014; Peng

443 & Kong, 2007). The addition of 5 %wt of HTyr to PVA induced an increase of about 150% respect
 444 to PVA matrix, underlining and confirming the plasticization effect of the selected active
 445 ingredient.

446

447 **Table 4:** Mechanical properties of PVA and PVA ternary nanocomposites

Formulations	σ_B (MPa)	ϵ_B (%)	E_{Young} (MPa)
PVA	70±10	200±40	300±80
PVA/HTyr	80±15	300±50	300±50
PVA/NC _{WT} /HTyr	60±8	195±20	455±55
PVA/NC _{HA} /HTyr	64±8	248±19	480±37
PVA/NP _{WT} /HTyr	60±6	232±24	397±36
PVA/NP _{HA} /HTyr	60±4	265±18	382±36

448

449 This effect was, in part, maintained also in the case of ternary systems, that showed elongation at
 450 break values higher than 230-250%, with the exception of PVA/NC_{WT}/HTyr films, that revealed the
 451 lowest value of elongation (195 ± 20) %. Moreover, highest values of elongation at break were
 452 guaranteed by NP respect to NC. These data were also confirmed by the trend registered for
 453 Young's modulus values. All the produced ternary formulations showed Young's modulus values
 454 higher than neat PVA film, highlighting, as expected, the reinforcement effect exerted by the
 455 selected nanostructured fillers. However, the highest values of Young's modulus were detected for
 456 starch nanocrystal based films, featuring the reinforcement effect of this filler respect to the starch
 457 nanoparticles.

458

459 3.3.4. Water absorption capacity

460 In order to evaluate the effect of different components and their combinations in the polymer
 461 matrix, water absorption capacity (WAC) of PVA based formulations combined with starch
 462 nanofillers and hydroxytyrol was investigated at 4, 20, and 37 °C (**Table 5**). Three different
 463 temperatures (4, 20, and 37 °C) were selected, in order to reproduce and simulate the different
 464 thermal conditions to which the food products are exposed during the transport and the storage. All
 465 the produced and studied formulations (PVA, PVA/HTyr, PVA/NC_{WT}/HTyr, PVA/NC_{HA}/HTyr,
 466 PVA/NP_{WT}/HTyr and PVA/NP_{HA}/HTyr) showed a fast absorption mechanism with a saturation
 467 limit reached within the first 24 h for all the samples (Fortunati, Luzi, Dugo, et al., 2016; Elena
 468 Fortunati, Luzi, Fanali, et al., 2016), due to the hydrophilic nature of the polymer matrix that

justifies this behaviour (Cano, Cháfer, Chiralt, & González-Martínez, 2016; Fortunati et al., 2013; Kavoosi et al., 2014).

Table 5: Water absorption capacity of PVA and PVA based films after 24 h of incubation in water at 4 °C, 20 °C and 37 °C and overall migration values for different formulations.

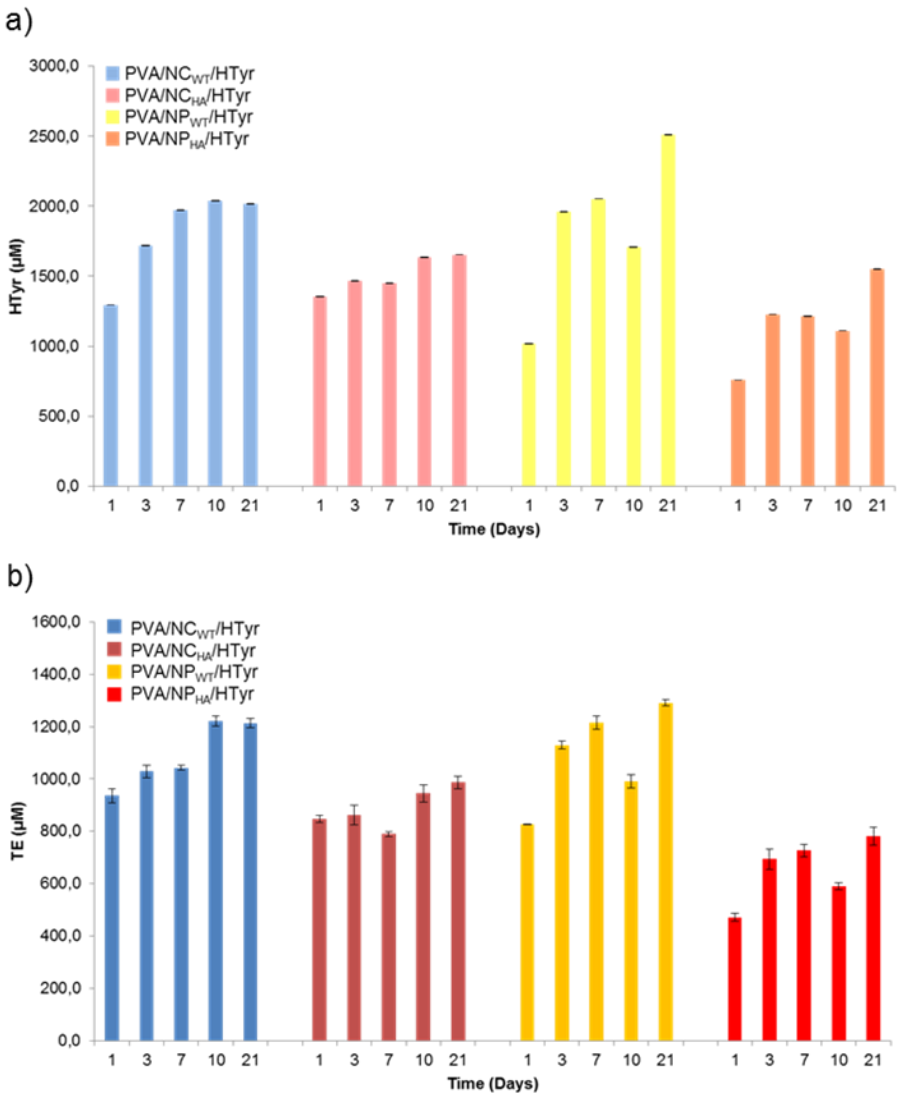
Formulations	WAC (%) after 24 h			Overall Migration in ethanol 10 (v/v)% (mg kg ⁻¹)
	4 °C	20 °C	37 °C	
PVA	235.7 ± 5.9	282.8±4.3	336.6±26.6	2.4±0.1
PVA/HTyr	200.0±26.7	258.6±10.0	244.7±15.6	2.5±0.1
PVA/NC _{WT} /HTyr	315.6±2.1	363.3±28.9	332.1±29.3	3.3±0.1
PVA/NC _{HA} /HTyr	284.7±16.3	334.5±12.8	321.8±0.2	3.5±0.1
PVA/NP _{WT} /HTyr	320.5±12.0	418.2±15.0	377.3±11.5	3.4±0.1
PVA/NP _{HA} /HTyr	277.1±13.0	325.4±13.8	324.4±15.6	3.5±0.2

The WAC % for PVA film, and generally for PVA based formulations, was higher at 37 °C (**Table 5**), being related to temperature effect on polymer chain mobility. The temperature at 37 °C is closer to the glass transition temperature of the PVA based film ($T_g = 70.3 \pm 0.8$ °C). Finally, in PVA ternary based films, the presence of starch nanofillers influence the WAC%, specifically their presence determined an increase of swelling phenomena, due to the hydrophilic nature of PVA and starch nanostructures (Cano et al., 2016; Fortunati et al., 2013; Luzi et al., 2017). Finally, verifying the data obtained from ternary based formulations, it is possible to observe that no particular differences were experimentally obtained by using NC or NP (**Table 5**) in the polymer matrix in terms of WAC % at different temperature of test. A slight increase in terms of WAC% were registered only in the case of PVA ternary based films combined with NC or NP extracted from WT starch granules. It is widely known that the increase in amylose limits the water absorption capacity of starch due to the tight interaction among its linear glycosidic chains (Graner, and Frison, 2014; Sestili, Botticella, & Lafiandra, 2014)

3.3.5. Overall migration and release tests in food simulant

Overall migration tests with food simulant of PVA ternary formulations were performed on the base of European Union Regulation no. 10/2011, which defines the limits at which additives can migrate into food during the storage, transport and commercialization period of foodstuff. The results are summarized in **Table 5**. The migrated values for all the studied formulations were lower than the

495 migration limits for food contact materials, 60 mg kg⁻¹ simulant, established by the current
 496 European legislation (European, 2011), demonstrating the possible practical application of the
 497 produced films in contact with the foods. Release tests were performed according to European
 498 Standard EN 13130-200522 and European Commission Regulation 10/2011 (European, 2011).
 499 Each formulation (PVA/NC_{WT}/HTyr, PVA/NC_{HA}/HTyr, PVA/NP_{WT}/HTyr, PVA/NP_{HA}/HTyr) was
 500 placed into the simulant for water-based foods (ethanol 10% v/v) for 21 days. All samples were
 501 analyzed at 1, 3, 7, 10 and 21 days in terms of HTyr release (**Figure 3, a**).



503
 504 **Figure 3:** HTyr released from the ternary films PVA/NC_{WT}/HTyr, PVA/NC_{HA}/HTyr,
 505 PVA/NP_{WT}/HTyr, PVA/NP_{HA}/HTyr in food simulant (expressed as μM) (a); antioxidant activity of
 506 food simulant solutions after specific migration tests of ternary films PVA/NC_{WT}/HTyr

507 PVA/NC_{HA}/HT_{yr} PVA/NP_{WT}/HT_{yr} PVA/NP_{HA}/HT_{yr} evaluated by ABTS assay and expressed as
508 Trolox Equivalents (TE, μ M) (b).

509

510 As showed in **Figure 3, a**, each formulation allowed a controlled-HTyr release during the 21 days.
511 In fact, an increasing trend of HTyr released was observed for all formulations reaching the
512 maximum value at day 21. In particular, HTyr concentrations in the stimulant solutions ranged from
513 756.41 μ M when released from PVA/NP_{HA}/HTyr, to 1351.28 μ M from PVA/NC_{HA}/HTyr at day 1
514 and from 1549.35 μ M for PVA/NP_{HA}/HTyr to 2511.53 μ M from PVA/NP_{WT}/HTyr at day 21.
515 Among all formulations, PVA/NP_{WT}/HTyr resulted the most efficient, guaranteeing a progressive
516 HTyr release during the 21 days of the test.

517

518 **3.3.5. Antioxidant activity**

519 The antioxidant activity of the ternary formulations PVA/NC_{WT}/HTyr, PVA/NC_{HA}/HTyr,
520 PVA/NP_{WT}/HTyr, PVA/NP_{HA}/HTyr was evaluated at different times (1, 3, 7, 10 and 21 days), in
521 details the food simulant solutions previously tested for the specific migration were subjected to the
522 ABTS assay. The experimental data, showed in **Figure 3,b**, confirmed that all samples exhibited a
523 remarkable antioxidant activity. In addition, the effect of the different formulations was in
524 agreement with the experimental data of the specific migration. In fact, the antioxidant activity
525 increased during the 21 days, ranging from 471.30 μ M for PVA/NP_{HA}/HTyr to 935.46 μ M for
526 PVA/NC_{WT}/HTyr at day 1, and from 780.74 μ M (PVA/NP_{HA}/HTyr) to 1291.21 μ M for
527 PVA/NP_{WT}/HTyr at day 21.

528

529 **4. Conclusions**

530 Experimental data reported in this paper give a solid evidence that ternary films based on PVA,
531 nanostructured starch and a strong antioxidant compound such as HTyr, represent very promising
532 novel combinations for active food packaging applications. HTyr was released in the food simulant
533 in a controlled manner from all films and the resulting solution exhibited the antioxidant activity all
534 along the 21 days of the test. These release profiles confirmed the hypothesis that nanostructured
535 starch-based formulations were able to tune the release of HTyr from the films over the time.
536 Among all films, PVA/NP_{WT}/HTyr showed the most efficient and sustained release of HTyr and as
537 consequence also the related antioxidant capacity on food simulant.

538

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543

544

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Graphical abstract

PVA + Starch NC or NP + HTyr

