

1 **Effect of amino acid, pH and mineral salts on glass transition and flow behaviour**  
2 **of soy protein concentrate**

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14

**Abstract**

15 The objective of this study was to assess the effect of proline, mineral salts (NaCl and  
16 Na<sub>2</sub>SO<sub>4</sub>) and pH combined with moisture content on the glass transition temperature  
17 (T<sub>g</sub>) and flow-starting temperature (T<sub>f</sub>) of soy protein concentrate (SPC). Initial screening  
18 of the variables based on fractional factorial design showed insignificant effect of NaCl  
19 on T<sub>g</sub> and T<sub>f</sub>. The design was extended to a face-centred central composite design  
20 (CCD) excluding NaCl and data evaluated by use of response surface methodology. The  
21 established model for T<sub>g</sub> (R<sup>2</sup> = 0.824) shows significant negative first-order effects of  
22 moisture, proline and Na<sub>2</sub>SO<sub>4</sub>, and a positive interaction effect of moisture and Na<sub>2</sub>SO<sub>4</sub>.  
23 The T<sub>f</sub> model (R<sup>2</sup> = 0.937) shows significant negative first-order effects of moisture and  
24 proline, a positive first-order and negative square effect of pH, and a negative interaction  
25 effect of moisture and proline. The main effect on T<sub>g</sub> and T<sub>f</sub> were 2.2 and 1.3 times  
26 higher, respectively, for moisture compared to proline. The study confirms that proline  
27 (or other free amino acids) can replace moisture as protein plasticizer in the extrusion  
28 process. Minor effects can also be obtained by reduction of pH.

29

30 **Keywords:** Amino acids, extrusion, plasticizer, protein hydrolysates, soybean products,  
31 thermal processing, viscosity.

## 32 **Introduction**

33 The extrusion process involves use of high temperature achieved by steam injection and  
34 mechanical energy dissipation, and transforms the biopolymers into a plasticized and  
35 flow-able melt with establishment of new intra- and intermolecular bindings. To reduce  
36 the plasticization temperature and avoid undesirable thermal degradation effects, a  
37 plasticizer is added (Matveev et al., 2000; Verbeek & van den Berg, 2010). Plasticizers  
38 are low molecular weight compounds that penetrate into the polymer matrix and reduce  
39 the glass transition ( $T_g$ ) by weakening of the intermolecular forces and increase of the  
40 free volume and chain mobility (di Gioia & Guilbert, 1999; Abiad et al., 2009). Moisture is  
41 the universal plasticizer used in feed and food processing; however, there is a lack of  
42 information regarding the efficiency of other approved plasticizer in such systems. The  
43 reduction in and exchange of moisture by other plasticizers will be of advantage with  
44 respect to the extrusion process and reduce the need to remove water in subsequent  
45 drying operation.

46 The replacement of fishmeal with plant proteins in commercial fish feed formulations  
47 demands use of a higher moisture level (around 30%) and thermomechanical energy in  
48 the extrusion process to achieve target pellet durability and density specifications  
49 (Draganovic et al., 2011, 2014). A low effect of moisture addition on thermomechanical  
50 transformation in the extrusion processing of plant proteins compared to fishmeal may  
51 explain these observations (Bengoechea et al., 2007; Oterhals & Samuelsen, 2015).  
52 The addition of a higher moisture level in the extrusion process gives rise to increased  
53 drying cost before final oil coating of the pellet. Compared to plant proteins, fishmeal  
54 contains high levels of low molecular weight water soluble compounds (solubles) that act  
55 as plasticizers and give increased temperature effect on viscosity reduction in the  
56 rubbery phase (Oterhals & Samuelsen, 2015). Possible plasticizer candidates suggested  
57 by the authors include free amino acids, peptides, putrefaction products and mineral  
58 salts (Oterhals & Samuelsen, 2015). However, it is yet to be confirmed which of these  
59 are the most effective plasticizers for proteins.

60 Amphiphilic compounds have been shown to be effective plasticizers in biopolymer  
61 systems due to resemblance in chemical structure and good miscibility properties (Stein  
62 & Greene, 1997; di Gioia & Guilbert, 1999; Stein et al., 1999; Selmin et al., 2015).

63 Proline used in this study has been shown to be effective in starch-based, however, not  
64 documented in a protein-based systems. Starches are modified by breaking the intra-  
65 and intermolecular bonds, allowing the hydroxyl groups to engage with water or other  
66 plasticizers (Selmin et al., 2015). In comparison, proteins are destabilized by weakening  
67 of hydrogen bonds as well as hydrophobic interactions (Kokini et al., 1994; di Gioia &  
68 Guilbert, 1999; Matveev et al., 2000).

69 Mineral salts and pH might influence the glass transition temperature ( $T_g$ ) of proteins by  
70 screening off and change of electrostatic interactions (Anker et al., 1999; Moreau et al.,  
71 2009). The combined effect of amino acids, low molecular peptides, mineral salts and  
72 pH have also been shown to impact the thermomechanical behaviour in the extrusion  
73 process and final physical product quality (Samuelsen et al., 2013).

74 The Phase Transition Analyser (PTA) has been used in several studies to assess the  
75 effect of recipe formulation and addition of plasticizers on polymer transformation in the  
76 extrusion process (Strahm et al., 2000; Bengoechea et al., 2007; Oterhals & Samuelsen,  
77 2015; Samuelsen & Oterhals, 2016). The instrument enable to measure  $T_g$ , and a flow-  
78 starting temperature ( $T_f$ ) at elevated moisture and high temperatures above  $T_g$  relevant  
79 for the extrusion process. The  $T_f$  can be defined as the temperature where the apparent  
80 viscosity of the biopolymer reaches a critical level initiating flow through a standardized  
81 die orifice at a defined pressure (Fujio et al., 1991; Hayashi et al., 1993; Igura et al.,  
82 1997). The viscosity in the glassy state is approximately  $10^{12}$  Pa s and is dramatically  
83 reduced during transition from glassy to rubbery state (Baeurle et al., 2006; Abiad et al.,  
84 2009). The PTA flow starting temperature is equivalent to a viscosity of approximately  
85  $10^5$  Pa s and reduced by the inclusion of plasticizers (Oterhals & Samuelsen, 2015).

86 Soy protein concentrate (SPC) used as a model system in this study is the most  
87 prominent vegetable protein alternative to fishmeal in fish feed formulations. Due to its  
88 high protein and low carbohydrate and fibre content, it can replace more than 75% of  
89 fishmeal without influencing on fish health and growth performance (Burr et al., 2012;  
90 Kousoulaki et al., 2012; Metochis et al., 2013). SPC contains 65-70 % crude protein and  
91 is produced by ethanol or acidic water extraction of defatted soybean meal (Lusas &  
92 Riaz, 1995). The extraction process removes soluble oligosaccharides (fiber) and  
93 saponins with negative impact on health and growth performance in salmonid fish

94 (Bureau et al., 1998; van den Ingh et al., 1996). The physicochemical properties differs  
95 from fishmeal and SPC is known to be a challenging ingredient requiring high moisture  
96 content to achieve proper thermomechanical transformation in the extrusion process  
97 (Bhattacharya et.,1986; Draganovic et al., 2011. 2014). Knowledge related to the  
98 optional use of amino acids, mineral salts and pH instead of moisture to obtain a  
99 satisfactory SPC plasticization might give the industry new formulation and processing  
100 tools.

101 The objectives of this study were to (i) assess the plasticizing effect of free amino acid  
102 (proline), pH and minerals salts (NaCl, Na<sub>2</sub>SO<sub>4</sub>) in a SPC model system, (ii) quantify the  
103 effect of the tested variables compared to moisture, and (iii) assess the temperature  
104 effect on viscosity reduction in the rubbery phase. The results are interpreted and  
105 discussed in terms of thermal and rheological properties of SPC in the fish feed  
106 extrusion process, however, will be of general relevance for the processing of food and  
107 bioplastic formulations (Chinma et al., 2013).

108

## 109 **Materials and methods**

### 110 **Materials**

111 Soy protein concentrates (SPC; Table 1) was obtained from Sementes Selecta (Goiania,  
112 Brazil). Proline (purity, 98-101%) was purchased from Applichem (GmbH, Darmstadt,  
113 Germany). Sodium chloride (NaCl), sodium sulphate (Na<sub>2</sub>SO<sub>4</sub>), sodium hydroxide  
114 (NaOH) and hydrochloric acid (HCl) were obtained from Merck KGaA (Darmstadt,  
115 Germany). All solvents and reagents for the sample preparation and analyses were of  
116 analytical grade.

117

### 118 **Sample preparation**

119 ~~SPC~~ Soy protein concentrate was ground in a Retch SR-3 centrifugal mill (Retsch  
120 GmbH, Haan, Germany) with a ring sieve aperture of 0.5 mm. To secure an even  
121 distribution of plasticizers, the tested compounds (Table 2) were fully dissolved in water  
122 and mixed with SPC to a slurry before adjustment of pH by adding of NaOH or HCl. The  
123 slurry was frozen over night at -20 °C and lyophilized for 48 hours in a GAMMA 1-16  
124 LSC dryer (MARTIN CHRIST GmbH, Osterode, Germany). The dried sample were

125 conditioned against air at ambient temperature for two days before ground on a Retch  
126 ZM-1 Centrifugal mill (Retsch GmbH, Haan, Germany) with ring sieve aperture 0.5 mm.  
127 Moisture contents of dried samples were measured and samples rehydrated to the  
128 predetermined moisture level (Table 2) by the addition of finely crushed ice according to  
129 Oterhals & Samuelsen (2015). The samples were stored in closed containers at 4-5 °C  
130 overnight for conditioning and homogenized in a Warring MC3 container (Warring,  
131 Torrington, USA) before measurement of moisture contents. Prepared samples were  
132 stored in the freezer until used.

133

### 134 **Chemical analyses**

135 Moisture level in the samples were analysed according to ISO 6496. Crude protein (N x  
136 6.25) was analysed by Dumas methods (ISO 16634-1) and water soluble protein by hot  
137 water extraction using Kjeldahl method (ISO 5983-2) as described in Oterhals &  
138 Samuelsen (2015). The starch content was determined using a glucoamylase method  
139 (Chiang & Johnson, 1977) according to Samuelsen & Oterhals (2016). Total ash content  
140 was determined according to (ISO 5984) and salt (NaCl) content based on water soluble  
141 chloride using AOAC (2000) method 937.09. The fat content was determined based on  
142 chloroform-methanol extraction (Bligh & Dyer, 1959). The pH of the samples was  
143 measured in a dispersion based on 5 g sample in 45 g of distilled water at room  
144 temperature using a Mettler-Toledo Ag digital pH meter (Schwerzenbach, Switzerland).  
145 The chemical analyses were carried out at Nofima Bio-Lab (accredited according to ISO  
146 17025) based on duplicate measurements. Moisture analyses were performed in  
147 triplicate.

148

### 149 **Measurement of phase transition temperatures and apparent viscosity**

150 A phase transition analyser (PTA; Wenger Manufacturing, Sabetha, KS) (Strahm et al.,  
151 2000) was used for  $T_g$ ,  $T_g$  endpoint ( $T_{gEnd}$ ) and  $T_f$  measurements as described in the  
152 study of Oterhals & Samuelsen (2015). The principle is based on the measurement of  
153 change in displacement (sample volume) with respect to temperature increase (8  
154 °C/min) at constant pressure (100 bars). After  $T_g$  and  $T_{gEnd}$  measurements, a blank die is  
155 replaced with a die opening of 1.75 mm and  $T_f$  is defined as the temperature level

156 initiating start of flow through the die opening. The standard deviation based on  
157 duplicate measurements for  $T_g$ ,  $T_{gEnd}$  and  $T_f$  was calculated to be 0.22, 0.92 and 1.03,  
158 respectively. Apparent viscosity at  $T_f$  was calculated based on the applied pressure,  
159 capillary die radius (0.000875 m) and capillary die length (0.025 m) as described in the  
160 study of Oterhals & Samuelsen (2015).

161

## 162 **Experimental design**

163 A fractional factorial screening design (FFD) with resolution V ( $2^{5-1}$ ) was used to assess  
164 the significance of the studied variables: moisture (MC), proline, NaCl and  $Na_2SO_4$   
165 content, and pH. In the design, the main factors were confounded with four-factor  
166 interactions and two-factor interactions were confounded with three-factor interactions  
167 (Myers & Montgomery, 2002). Nineteen experiments (ENo 1-19; Table 2) including three  
168 centre points were performed. The design was extended to a face-centred central  
169 composite design (CCD) based on four significant variables by adding 8 points (ENo 20-  
170 27), giving a total of twenty-seven experiments (Table 2).

171

## 172 **Statistical analyses**

173 The experimental data based on the FFD was fitted to a first order linear model with two-  
174 factor interactions (Eqn (1)) by means of multiple linear regressions (MLR). The  
175 experimental data based on the face-centred CCD was fitted to a second order model  
176 (Eqn (2)) by means of MLR and response surface methodology. The statistical analyses  
177 were performed using STATISTICA 12 (StatSoft, Tulsa, OK, USA).

$$178 \quad y = B_0 + \sum_{i=1}^5 B_i x_i + \sum_{i=1}^4 \sum_{j=i+1}^5 B_{ij} x_i x_j + E \quad (1)$$

$$179 \quad y = B_0 + \sum_{i=1}^4 B_i x_i + \sum_{i=1}^4 B_{ii} x_i^2 + \sum_{i=1}^3 \sum_{j=i+1}^4 B_{ij} x_i x_j + E \quad (2)$$

180 In the models,  $y$  is the response variable,  $B_0$  is the intercept and  $B_i$ ,  $B_{ij}$  and  $B_{ii}$  are  
181 regression coefficients of each variables ( $x_i$ ,  $x_j$ ), interaction between them and each  
182 squared term, respectively, and  $E$  is the residual error.

183 All design variables (predictors) were coded before performance of the statistical  
184 analysis (Myers & Montgomery, 2002):

$$185 \quad X_c = \frac{X_0 - [(\text{Max}(X_0) + \text{Min}(X_0))/2]}{[(\text{Max}(X_0) - \text{Min}(X_0))/2]} \quad (3)$$

186 Where  $X_c$  is the coded variable and  $X_0$  is the variable in the natural scale. In case of  
187 moisture and pH, the max and min values in Eq. (3) were defined based on the  
188 average of the respective experimentally obtained levels. The established response  
189 surface models with best subset of regressor variables were identified by backward  
190 elimination of insignificant variables ( $P$ , remove  $>0.05$ ). The quality of the models was  
191 assessed by  $F$ -statistics and coefficient of multiple determinations ( $R^2$ ). The general  
192 linear regression module in STATISTICA 12 was used to estimate the main effect of the  
193 predictor variables. Comparison of the relative difference between main effects was  
194 based on coefficients converted back to natural scale values based on Eqn (3).

195

## 196 **Results and discussion**

197 The present study reports for the first time the effect of proline, mineral salts (NaCl,  
198  $\text{Na}_2\text{SO}_4$ ) and pH in combination with moisture on  $T_g$  and  $T_f$  in a plant protein (SPC)  
199 matrix using PTA as a measuring tool. The used PTA instrument is able to measure  
200 phase transition temperatures in the range 5-180 °C. A moisture content of 194.7 to  
201 324.5 g  $\text{kg}^{-1}$  dry matter (DM) (Table 2; equivalent to 163 to 245 g  $\text{kg}^{-1}$  wet basis) was  
202 selected based on initial trials to enable the measurements of both  $T_g$  and  $T_f$  in the same  
203 sample.

204 Proline was selected due to its high plasticizing effect in starch-based systems (Stein &  
205 Greene, 1997; Stein et al., 1999; Selmin et al., 2015). At comparable moisture contents,  
206 SPC has higher  $T_g$  and  $T_f$  than fishmeal (Oterhals & Samuelsen, 2015), probably  
207 attributed to globular structure of soy proteins, lower levels of water-soluble constituents  
208 and high level of non-starch polysaccharides (Table 1).

209

## 210 **Screening design**

211 A screening experiment (FFD) was initially performed to eliminate possible insignificant  
212 variables before performance of the full face-centred CCD. The  $T_g$  model showed  
213 significant negative first-order effects of moisture content (MC;  $P < 0.001$ ), proline ( $P =$   
214 0.018) and  $\text{Na}_2\text{SO}_4$  ( $P = 0.024$ ). Insignificant negative first-order effect of pH ( $P = 0.501$ )  
215 and insignificant positive first-order effect of NaCl ( $P = 0.248$ ) were observed. Only a  
216 positive MC  $\times$   $\text{Na}_2\text{SO}_4$  interaction effect was significant ( $P = 0.028$ ). The  $T_f$  model

217 showed significant negative first-order effects of MC ( $P < 0.001$ ) and proline ( $P < 0.001$ ),  
218 and positive effects of pH ( $P = 0.024$ ) and  $\text{Na}_2\text{SO}_4$  ( $P = 0.040$ ). The negative effect of  
219 NaCl was not significant ( $P = 0.109$ ). Only a negative MC  $\times$  Proline interaction effect was  
220 significant ( $P = 0.004$ ).

221 Based on the screening design, NaCl did not show significant effect on neither  $T_g$  nor  $T_f$   
222 and was excluded from the face-centred CCD. The result confirms the hypothesis in  
223 Oterhals & Samuelsen (2015) that the plasticizing effect of fish solubles can be  
224 attributed to the content of low molecular N-compounds and not NaCl. The insignificant  
225 effect of NaCl on  $T_g$  at the chosen moisture content ( $>195 \text{ g kg}^{-1} \text{ DM}$ ) is in line with other  
226 studies based on starch model system (Farahnaky et al., 2009; Moreau et al., 2009).  
227 Contradicting, Chuang et al. (2015) observed an increase in  $T_g$  of condensed potato  
228 starch at increased NaCl level. The mechanistic understanding of the plasticising effect  
229 of NaCl is limited and no relevant comparative studies in protein systems are known.  
230 Starch molecules contains hydroxyl groups and in potato starch also phosphorylated  
231 groups, giving stabilization by hydrogen bond and electrostatic interactions, respectively.  
232 Protein structures is more complex and contains in addition to the peptide (amide)  
233 bonds, hydrophobic and positive and negatively charged side groups giving hydrophobic  
234 and electrostatic interactions (di Gioia & Guilbert, 1999; Matveev et al., 2000; Verbeek &  
235 van den Berg, 2010). At the intermediate moisture level used in this study ( $195\text{-}325 \text{ g}$   
236  $\text{kg}^{-1} \text{ DM}$ ), there will be no free water phase (i.e. water activity  $< 0.9$ ; Pan, 2003). The  
237 addition of salts will reduce the water activity and the availability of water molecules for  
238 plasticising of proteins. According to lower moisture starch-based studies (Farahnaky et  
239 al.2009; Chuang et al., 2015), we assume no crystalline NaCl in the used model system  
240 and that some of the NaCl will not be dissociated to ions and act as other small  
241 molecules as plasticizer. Sodium ions can also be complexed to polar C-O-H and C-O-C  
242 groups of carbohydrates (Ma et al., 2007) and similar complexing segments might be  
243 possible in proteins. Combined, the complexing and reduced water activity caused by  
244 NaCl addition might give an anti-plasticizing effect that counteracts the possible  
245 plasticizing effect of un-dissociated NaCl.

246

247



## 248 **Glass transition temperature**

249 To explore in more detail any square effect of the significant variables MC, proline, pH  
250 and Na<sub>2</sub>SO<sub>4</sub>, the design was extended to a face-centred CCD by adding eight  
251 experiments (ENo 20-27; Table 2). A face-centred CCD was chosen instead of a  
252 rotatable CCD due to use of a low level of zero for the variables proline and Na<sub>2</sub>SO<sub>4</sub> in  
253 the screening design (Myers & Montgomery, 2002).

254 The measured T<sub>g</sub> values varied from 7.8 to 14.1 °C (Table 2), and the established  
255 response surface model shows significant negative first-order effects of MC, proline and  
256 Na<sub>2</sub>SO<sub>4</sub> and a positive MC × Na<sub>2</sub>SO<sub>4</sub> interaction effect (Table 3 and Fig. 1a-c). A good  
257 correlation between observed and predicted values was obtained with R<sup>2</sup> = 0.824 (Table  
258 3 and Fig. S1). No significant square terms were observed, confirming a linear  
259 relationship between the variables and T<sub>g</sub>. The main effects on weight basis shows that  
260 moisture was 2.22 and 1.24 times more effective than proline and Na<sub>2</sub>SO<sub>4</sub> respectively,  
261 and Na<sub>2</sub>SO<sub>4</sub> was 1.78 times more effective than proline. However, the positive MC ×  
262 Na<sub>2</sub>SO<sub>4</sub> interaction effect will null the Na<sub>2</sub>SO<sub>4</sub> effect at higher moisture levels (Fig. 1b).  
263 The higher effect of water compared to proline and Na<sub>2</sub>SO<sub>4</sub> on weight basis may be  
264 attributed to the low molecular weight and the ability to form a larger number of  
265 hydrogen bonds with protein molecules. di Gioia & Guilbert (1999) and Pommet et al.  
266 (2005) also reported higher effect of water compared to various plasticizers with different  
267 functional groups and degree of hydrophobicity. Proline is an amphiphilic cyclic amino  
268 acid with a secondary amine group embedded in the ring structure, a molecular  
269 conformation documented to be highly effective as plasticizer in starch-based blends  
270 (Stein et al., 1999). A lower effect of proline compared to water and Na<sub>2</sub>SO<sub>4</sub> may be  
271 attributed to the amphiphilic nature of proline. Soy protein has a globular structure with  
272 most of the hydrophobic region buried inside the tertiary structure (Sun, 2005). At the  
273 observed T<sub>g</sub> (7.8 – 14.1 °C; Table 2), the hydrophobic region of SPC may not be fully  
274 exposed resulting in lower hydrophobic interactions between proline and SPC  
275 molecules.

276 The positive MC × Na<sub>2</sub>SO<sub>4</sub> interaction caused a reduced effect of Na<sub>2</sub>SO<sub>4</sub> with increased  
277 level of moisture and became ineffective at moisture level of approx. 300 g kg<sup>-1</sup> DM (Fig.  
278 1b). The effect of moisture also decreased with increased concentration of Na<sub>2</sub>SO<sub>4</sub>,

279 however to a lesser degree due to the higher first order effect (Table 3 and Fig. 1B). The  
280 results show that Na<sub>2</sub>SO<sub>4</sub> only acts as a plasticizer at low moisture level. Compared to  
281 chloride ions, the sulphate ion has the ability to interact with water and amino acids  
282 through hydrogen bonding. At higher moisture contents, the sulphate ions (SO<sub>4</sub><sup>2-</sup>) may  
283 preferentially interact with water (i.e. reduce the water activity), giving a reduced effect  
284 on protein plasticization.

285 The face-centred CCD (Table 3) confirmed the insignificant effect of pH in the screening  
286 design. Based on earlier observations (Samuelsen et al., 2013), it was hypothesized that  
287 pH induced change in electrostatic interactions may influence T<sub>g</sub> and extruded pellet  
288 hardness. However, effect on T<sub>g</sub> could not be confirmed in this study.

289 The T<sub>gEnd</sub> - T<sub>g</sub> represents half of the glass transition range. The observed range (8.9 to  
290 40.8 °C; Table 2) is in agreement with the range reported for fishmeal (10.7 to 47.6 °C;  
291 Oterhals & Samuelsen, 2015) and food polymers (up to 50 °C; Yildiz & Kokini, 2001).

292

### 293 **Flow transition temperature**

294 The T<sub>f</sub> model shows significant negative first order effects of MC and proline, a positive  
295 first order and negative pH square effect, and a negative MC × Proline interaction effect  
296 (Table 3 and Fig. 2a-c). Na<sub>2</sub>SO<sub>4</sub> was found to be significant in the screening design  
297 (confer above); however, this was not confirmed in the CCD. The measured range of T<sub>f</sub>  
298 was 111.4 -171.6 °C (Table 2). High correlation between observed and predicted values  
299 was obtained with R<sup>2</sup> = 0.937 (Table 3 and Fig. S2).

300 The main effects on weight basis showed that moisture was 1.30 times more effective  
301 than proline. The comparatively higher effect of proline on T<sub>f</sub> compared to T<sub>g</sub> may be  
302 attributed to the difference of system temperature. Increase of temperature above T<sub>g</sub> in  
303 the rubbery phase significantly increases the molecular chain mobility. This gives a  
304 weakening of intramolecular hydrogen bonds with unfolding of the biopolymers and  
305 exposure of embedded hydrophobic sites (Verbeek & van den Berg, 2010). This  
306 phenomenon enables a greater interaction of an amphiphilic amino acid like proline with  
307 increased plasticizing effect. The results are in agreement with observations reported in  
308 the literature (di Gioia & Guilbert, 1999; Pommet et al., 2005). The finding also confirms

309 that the plasticizing effect of fish solubles can be attributed to the content of low  
310 molecular N-compounds (Oterhals & Samuelsen 2015; Samuelsen & Oterhals, 2016).  
311 Proline was used in this model study to assess the potential effect of amino acids as a  
312 protein plasticizer. In industrial manufacturing practice, it will not be cost effective nor  
313 compatible with product formulation constraints to use a single free amino acid to obtain  
314 the desired plasticization effect. Protein hydrolysates (e.g. fish silage and peptones) with  
315 a high degree of hydrolysatation will contain high levels of free amino acids and small  
316 peptides (Aspevik et al., 2016). Such products can be utilized as both a nutrient and a  
317 plasticizer in food and feed formulations. The negative MC × Proline interaction gives an  
318 additional reinforcing effect on  $T_f$ -reduction at high level of moisture (Table 3 and Fig.  
319 2a).

320 A reduction in  $T_f$  of SPC was observed when pH changed from neutral to acidic or  
321 alkaline environment as indicated by positive first order and negative square effect of pH  
322 (Table 3 and Fig. 2b,c). Soy protein concentrate has an isoelectric point of 4.5 to 5 at  
323 room temperature (Lee et al., 2003). This is equivalent to the lowest pH-level in this  
324 study (Table 2) and a minimum intermolecular electrostatic interaction between the  
325 proteins at ambient temperature. The pK values of ionisable residues in a protein  
326 change with temperature and peptide chain length and can be calculated based on the  
327 Gibbs-Helmholtz equation (Steinhardt & Beychok, 1964). A temperature change of 20  
328 °C can shift the pK value of an amino acid group upward by 0.45 units (Adler-Nissen,  
329 1986). It can be hypothesized that the isoelectric point of SPC might be changed to  
330 neutral pH at the high temperature observed for  $T_f$  in this study (Table 2), explaining the  
331 observed maximum  $T_f$  value around pH 6.8 (Fig. 2b,c). At level below and above this pH  
332 the change in inter and intramolecular electrostatic interactions might improve the  
333 mobility of the biopolymer and reduce the energy needed for unfolding and the  $T_f$ . The  
334 observed increased pellet hardness with decreasing pH reported by Samuelsen et al.  
335 (2013) may be attributed to such effects causing reduced viscosity and improved  
336 biopolymer network formation.

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339

### 340 **Apparent viscosity at $T_f$**

341 The established response surface model for temperature difference between  $T_f$  and  $T_g$   
342 ( $T_f - T_g$ ) have the same significant variables as  $T_f$  with  $R^2 = 0.922$  (Table 3). The model  
343 shows good correlation between observed and predicted values (Fig. S3). This is in good  
344 agreement with the study of Oterhals & Samuelsen (2015) who documented equal  
345 variable effects on  $T_f - T_g$  and  $T_f$  in a fishmeal based system.

346 The PTA instrument can be considered as a constant pressure capillary viscometer.  
347 Apparent shear stress, shear rate and viscosity of the material can be calculated based  
348 on the initial displacement speed at  $T_f$  when the rubbery material starts to flow through  
349 the die orifice at the applied pressure. The initial displacement speed at  $T_f$  was  
350 equivalent to a shear rate of  $0.4 - 7 \text{ s}^{-1}$ ; giving an apparent viscosity in the range of  $0.2 -$   
351  $4 \times 10^5 \text{ Pa s}$ . This is in good agreement with the apparent viscosity of  $3-8 \times 10^5 \text{ Pa s}$  for  
352 fishmeal reported by Oterhals & Samuelsen (2015) and confirms that the apparent  
353 viscosity at  $T_f$  does not depend on the type of material tested but is defined by the  
354 capillary die geometry and applied pressure. The  $T_f - T_g$  reflects the temperature  
355 required to reduce the viscosity of the material from  $10^{12} \text{ Pa s}$  at  $T_g$  to a critical level of  
356 approx.  $10^5 \text{ Pa s}$  at  $T_f$ . A material with high  $T_f - T_g$  requires higher temperature increase  
357 to reach this critical value. The observed large variation in  $T_f - T_g$  indicates a significant  
358 effect of the studied plasticizers on the viscosity reduction of temperature increase in the  
359 rubbery phase.

360

### 361 **Conclusions**

362 The plasticization effects of the amino acid proline, mineral salt (NaCl and  $\text{Na}_2\text{SO}_4$ ), pH  
363 and moisture has been studied by factorial design experiments using SPC as a model  
364 system. Addition of proline has a plasticizing effect on SPC and reduces both  $T_g$  and  $T_f$ .  
365 Addition of  $\text{Na}_2\text{SO}_4$  has a negative effect on  $T_g$ , however, no effect on  $T_f$ . A positive MC  
366  $\times \text{Na}_2\text{SO}_4$  interaction null the effect on  $T_g$  at higher moisture level. Adjustment of pH has  
367 no effect on  $T_g$ , however, significant effect on  $T_f$  and  $T_f - T_g$ . NaCl has no plasticizing  
368 effect within the tested moisture range from 194.7 to  $324.5 \text{ g kg}^{-1} \text{ DM}$ . The apparent  
369 viscosity at  $T_f$  ( $3-8 \times 10^5 \text{ Pa s}$ ) is equivalent to levels observed in fishmeal. The study  
370 confirms that proline can replace moisture as protein plasticizer in the extrusion process.

371 The effect may be extended to other free amino acids, small peptides and organic acids.  
372 In industrial manufacturing practice a protein hydrolysates with a high degree of  
373 hydrolysis may be a cost effective processing aid that will act as both nutrient and  
374 plasticizer in food and feed formulations. A reduced pH will give some additive effects.  
375 The studied mineral salts are inherent constituents in protein ingredients, however, less  
376 suited as a processing aid in feed applications due to formulation constraints.

377

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383

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525 **Table 1** Chemical composition of soy protein concentrate on dry matter (DM) basis.

Constituent	g kg <sup>-1</sup> DM
Crude protein	652
Salt (NaCl)	<1
Fat	28
Ash	67
Starch	14
Water soluble protein	74
Non-starch polysaccharides <sup>a</sup>	237

526 <sup>a</sup> Non-starch polysaccharides were calculated by difference.

527  
528

**Table 2** Natural and coded levels of variables in the experimental designs (FFD ENo 1-19; face-centred CCD ENo 1-27) and measured phase transition temperatures.

ENo	MC (g kg <sup>-1</sup> )		Proline (g kg <sup>-1</sup> )		Na <sub>2</sub> SO <sub>4</sub> (g kg <sup>-1</sup> )		NaCl (g kg <sup>-1</sup> )		Coded values <sup>a</sup>			T <sub>g</sub> (°C)	T <sub>gEnd</sub> (°C)	T <sub>gEnd</sub> - T <sub>g</sub> (°C)	T <sub>f</sub> (°C)	T <sub>f</sub> - T <sub>g</sub> (°C)
	DM)	pH	SPC DM)	SPC DM)	SPC DM)	SPC DM)	MC	pH	Proline	Na <sub>2</sub> SO <sub>4</sub>	NaCl					
1	254.7	6.7	50	25	25	25	-0.055	0.123	0	0	0	10.8	31.3	20.5	149.9	139.2
2	317.5	8.3	100	50	50	50	0.959	0.989	1	1	1	7.8	19.4	11.5	122.0	114.2
3	197.6	4.7	0	50	0	0	-0.977	-0.995	-1	1	-1	11.2	51.0	39.9	164.8	153.7
4	319.3	4.7	100	0	50	50	0.988	-1.005	1	-1	1	7.8	16.7	8.9	112.3	104.5
5	194.7	4.7	0	0	50	50	-1.023	-1.011	-1	-1	1	14.1	46.5	32.4	162.3	148.2
6	324.5	8.3	0	50	0	0	1.072	0.962	-1	1	-1	9.4	25.3	15.8	152.5	143.1
7	196.2	4.7	100	0	0	0	-1.000	-1.000	1	-1	-1	11.4	36.8	25.3	153.2	141.7
8	321.0	4.7	0	50	50	50	1.016	-1.000	-1	1	1	9.5	24.7	15.1	136.6	127.0
9	196.2	8.2	0	50	50	50	-1.000	0.891	-1	1	1	10.1	50.9	40.8	171.6	161.5
10	319.3	4.7	0	0	0	0	0.988	-1.011	-1	-1	-1	9.1	21.6	12.5	147.1	138.0
11	194.7	8.3	100	0	50	50	-1.023	0.973	1	-1	1	12.5	37.9	25.4	159.7	147.2
12	321.0	8.3	0	0	50	50	1.016	0.989	-1	-1	1	9.9	22.5	12.6	143.7	133.8
13	196.2	8.4	0	0	0	0	-1.000	1.022	-1	-1	-1	11.6	51.8	40.2	168.1	156.5
14	253.1	6.7	50	25	25	25	-0.080	0.112	0	0	0	10.4	31.5	21.1	150.5	140.1
15	321.0	4.7	100	50	0	0	1.016	-0.967	1	1	-1	7.9	17.5	9.6	122.8	114.9
16	196.2	4.7	100	50	50	50	-1.000	-1.011	1	1	1	10.5	42.9	32.4	154.1	143.6
17	254.7	6.7	50	25	25	25	-0.055	0.123	0	0	0	10.6	30.6	20.0	149.8	139.2
18	196.2	8.5	100	50	0	0	-1.000	1.082	1	1	-1	10.7	40.7	30.0	161.1	150.3
19	317.5	8.6	100	0	0	0	0.959	1.109	1	-1	-1	8.3	17.7	9.4	111.4	103.1
20	197.6	6.8	50	25	-	-	-0.977	0.139	0	0	-	10.8	45.2	34.3	161.0	150.1
21	319.3	6.7	50	25	-	-	0.988	0.123	0	0	-	9.0	21.3	12.3	138.7	129.7
22	256.3	4.7	50	25	-	-	-0.029	-0.967	0	0	-	9.8	30.2	20.4	147.0	137.2
23	254.7	8.0	50	25	-	-	-0.055	0.820	0	0	-	10.1	31.2	21.1	155.2	145.0
24	257.9	6.7	0	25	-	-	-0.004	0.123	-1	0	-	11.6	37.9	26.3	168.3	156.7
25	261.0	6.7	100	25	-	-	0.047	0.117	1	0	-	10.1	28.9	18.8	147.7	137.6
26	256.3	6.7	50	0	-	-	-0.029	0.123	0	-1	-	10.8	28.8	18.0	155.9	145.1
27	254.7	6.8	50	50	-	-	-0.055	0.128	0	1	-	10.6	32.5	21.9	155.9	145.3

529 Eno, Experiment number; DM, dry matter; T<sub>g</sub>, glass transition temperature; T<sub>gEnd</sub>, Upper glass transition range; T<sub>f</sub>, flow-starting temperature.

530 <sup>a</sup> The design was coded using Eqn 3. Variation in the coded levels for moisture content (MC) and pH is due the deviation from the theoretical design  
531 levels.

532 **Table 3** Phase transition temperature (°C) response surface models based on coded  
 533 variables (Table 2).

Parameter	T <sub>g</sub>	T <sub>f</sub>	T <sub>f</sub> - T <sub>g</sub>
Intercept	10.219***	152.991***	142.526***
MC	-1.345***	-14.896***	-13.549***
MC × MC			
pH		2.263*	2.315*
pH × pH		-6.497**	-6.129**
Proline	-0.534**	-9.444***	-8.917***
Proline × Proline			
Na <sub>2</sub> SO <sub>4</sub>	-0.414*		
MC × Proline		-4.667***	-4.384**
MC × Na <sub>2</sub> SO <sub>4</sub>	0.426*		
Multiple R <sup>2</sup>	0.824	0.937	0.922

534 Regression coefficients of significant variables and R<sup>2</sup> after backward elimination of  
 535 insignificant ( $P > 0.05$ ) variables. MC, moisture contents; T<sub>g</sub>, glass transition temperature;  
 536 T<sub>f</sub>, flow starting temperature.

537 \* $P < 0.05$ ; \*\* $P < 0.01$ ; \*\*\* $P < 0.001$ .

538 **Legends to Figures**

539 **Fig. 1** Glass transition temperature ( $T_g$ ) response surface plots based on model given in  
540 Table 3: (A) Moisture content (MC) vs. proline; (B) Moisture content (MC) vs.  $\text{Na}_2\text{SO}_4$ ; (C)  
541 Proline vs.  $\text{Na}_2\text{SO}_4$ . The level of the respective constant design variable represents the  
542 average value in the design.

543

544 **Fig. 2** Flow starting temperature ( $T_f$ ) response surface plots based model given in Table 3:  
545 (A) Moisture contents (MC) vs. proline; (B) Moisture content (MC) vs. pH; (C) pH vs.  
546 proline. The level of the respective constant design variable represents the average value  
547 in the design.

548

549 **Fig. S1** Observed vs predicted values for  $T_g$  based on MLR model given in Table 2 and 3.

550

551 **Fig. S2** Observed vs predicted values for  $T_f$  based on MLR model given in Table 2 and 3.

552

553 **Fig. S3** Observed vs predicted values for  $T_f - T_g$  based on MLR model given in Table 2  
554 and 3.

555

Fig. 1a

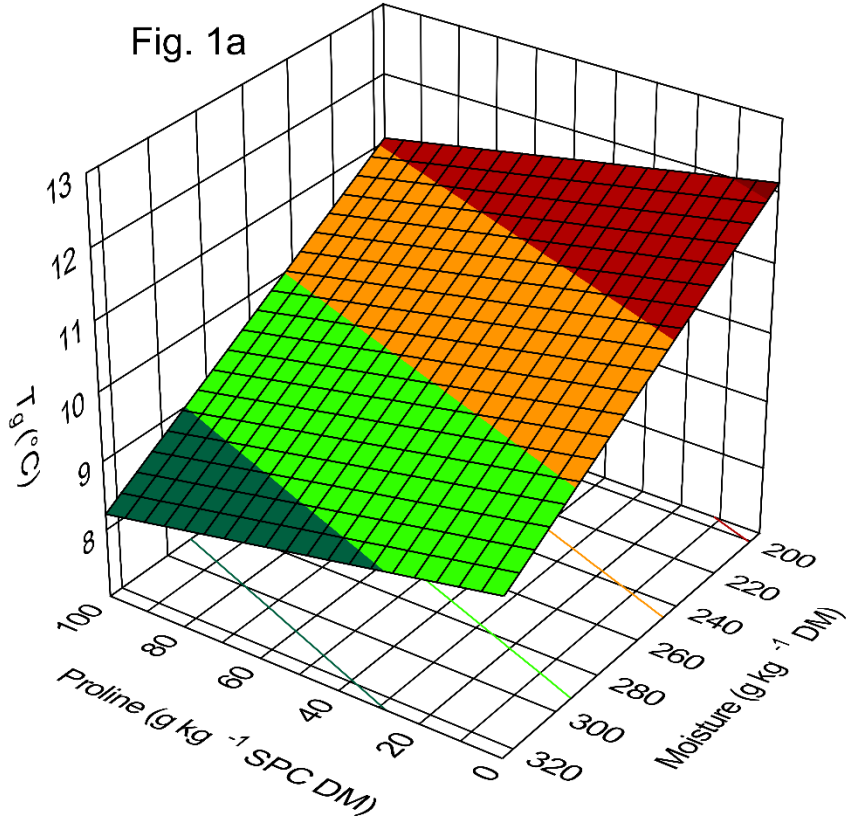
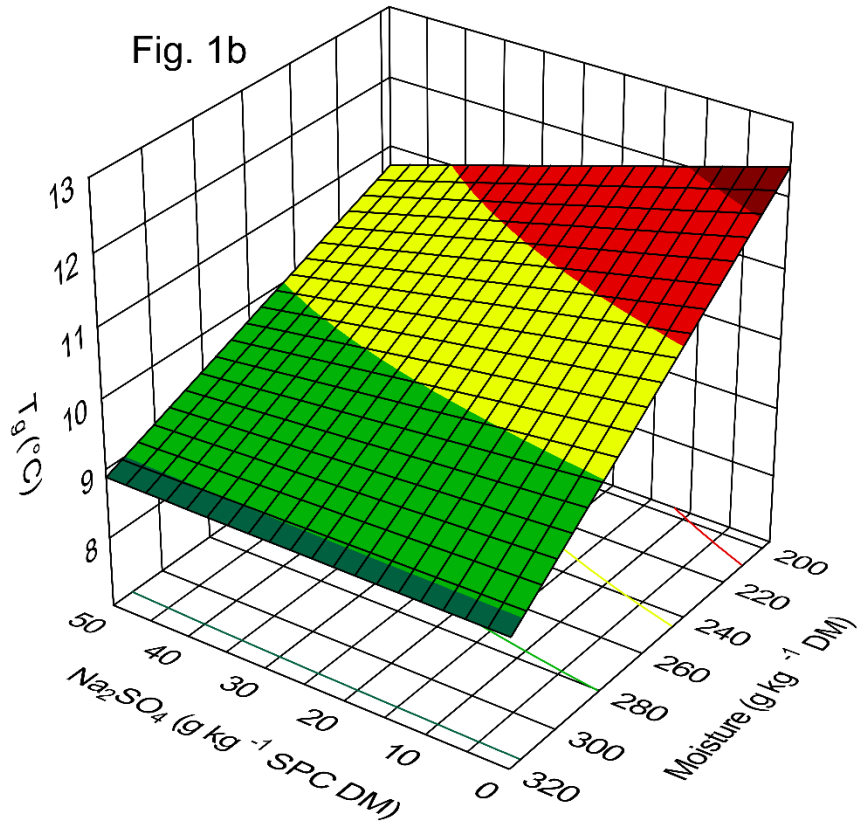


Fig. 1b



557



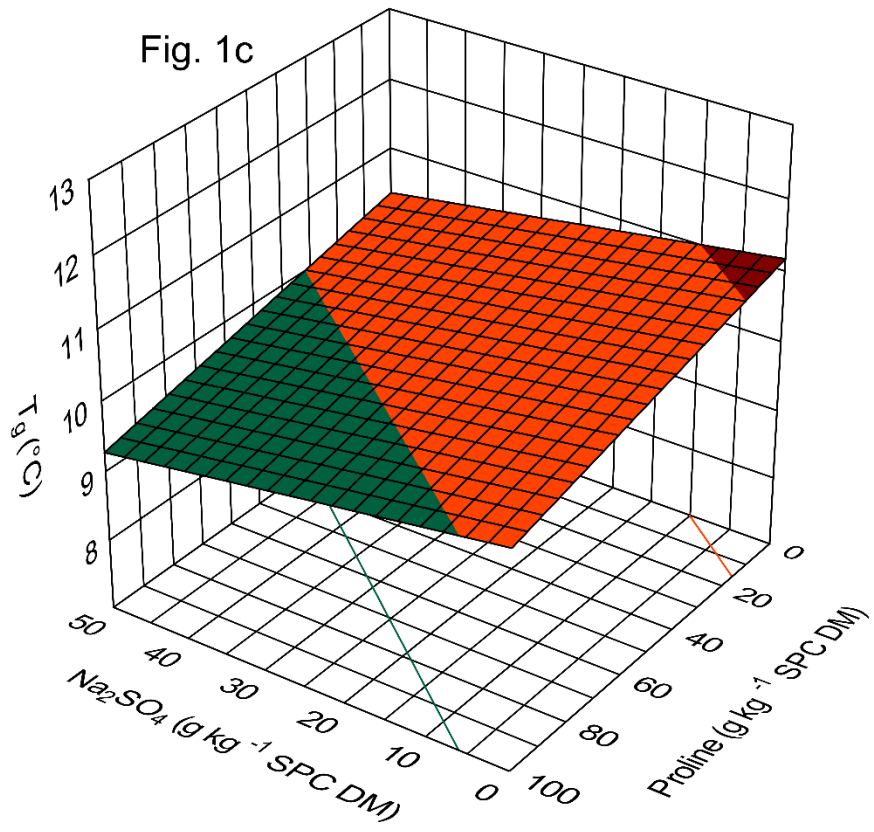


Fig. 2a

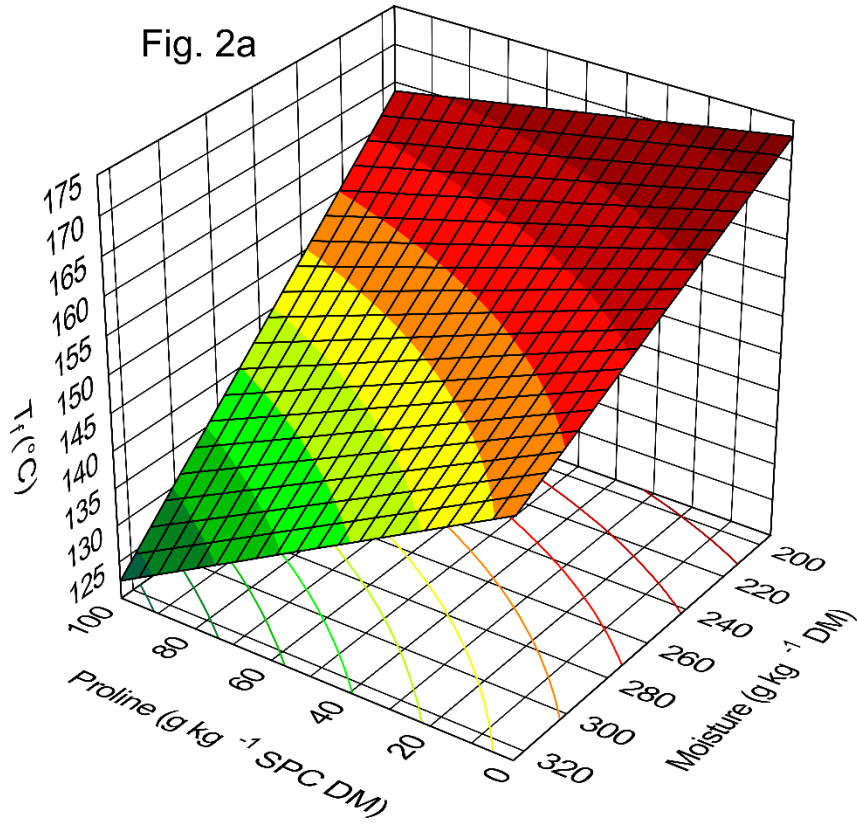
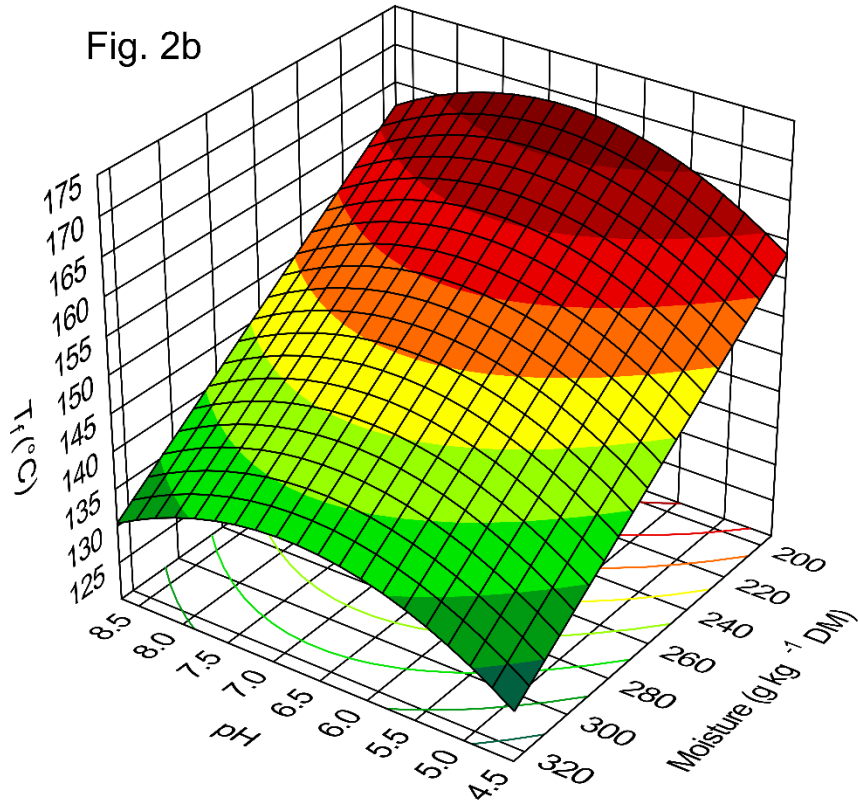
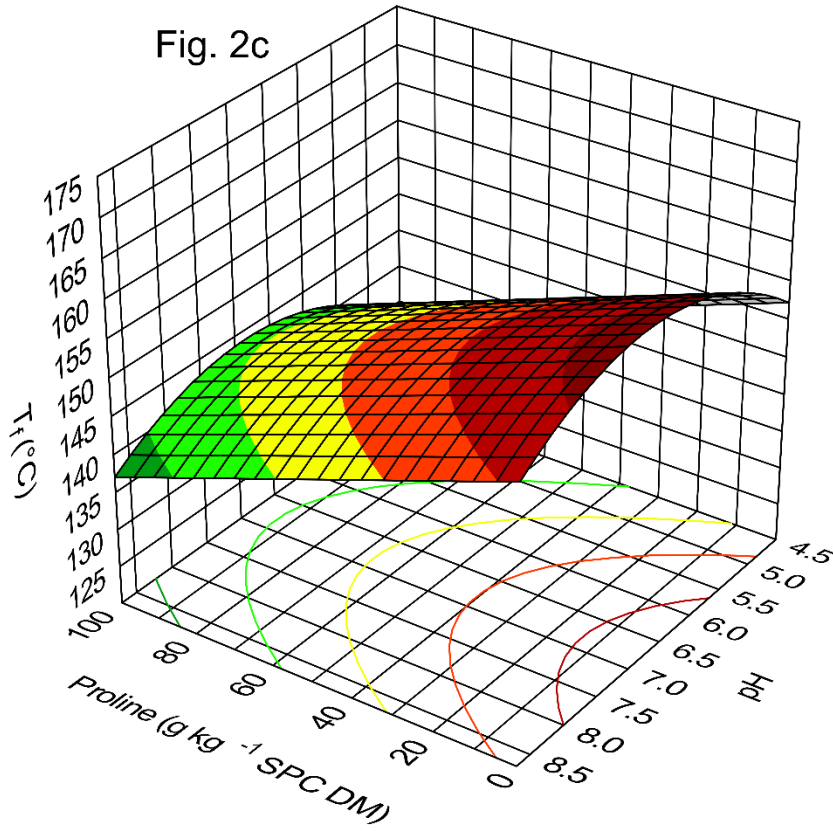


Fig. 2b



560

Fig. 2c



561

562

563 **Supplementary information**

564 **Effect of amino acid, pH and mineral salts on glass transition and flow behaviour of**  
565 **soy protein concentrate**

566

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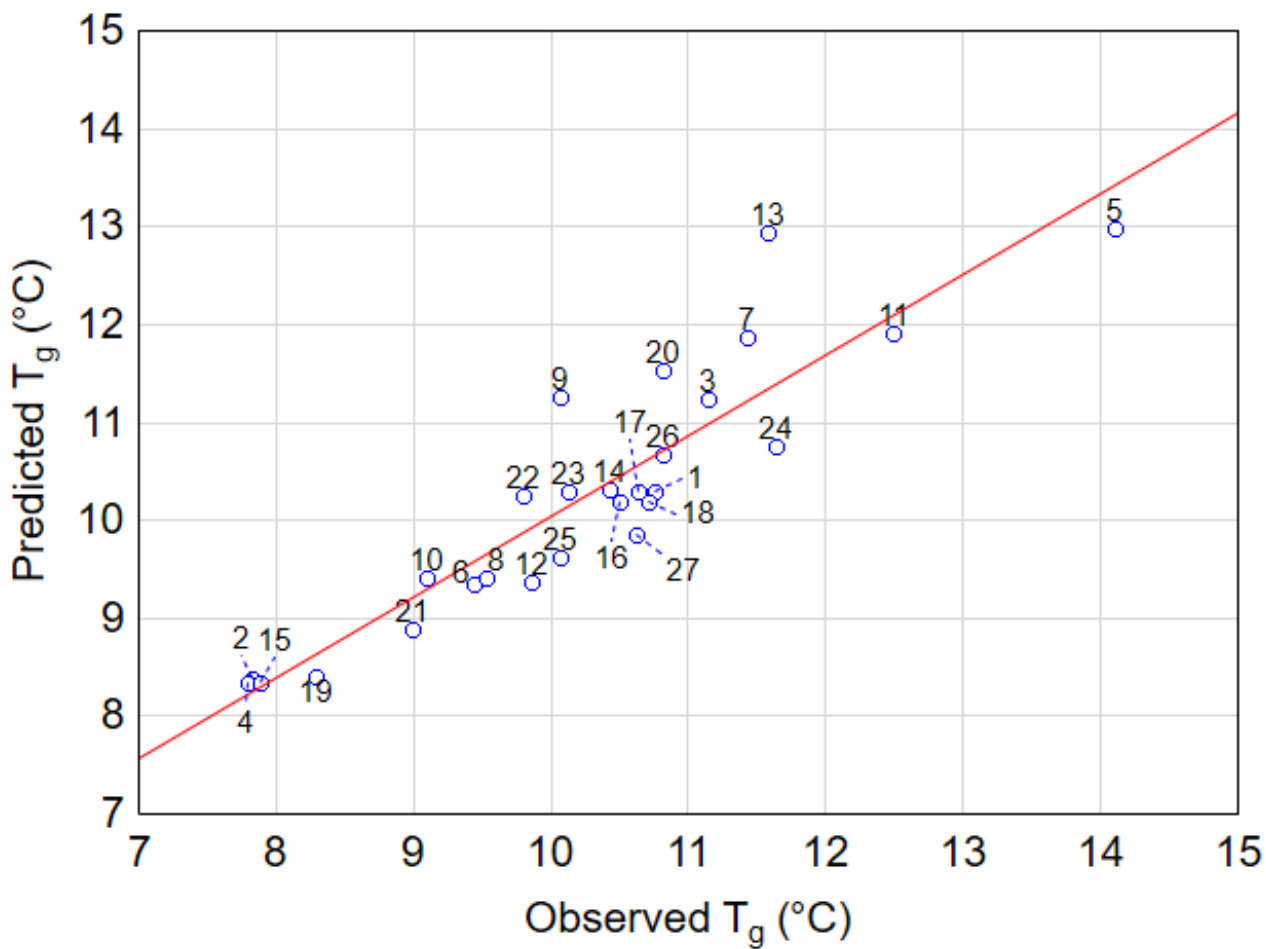
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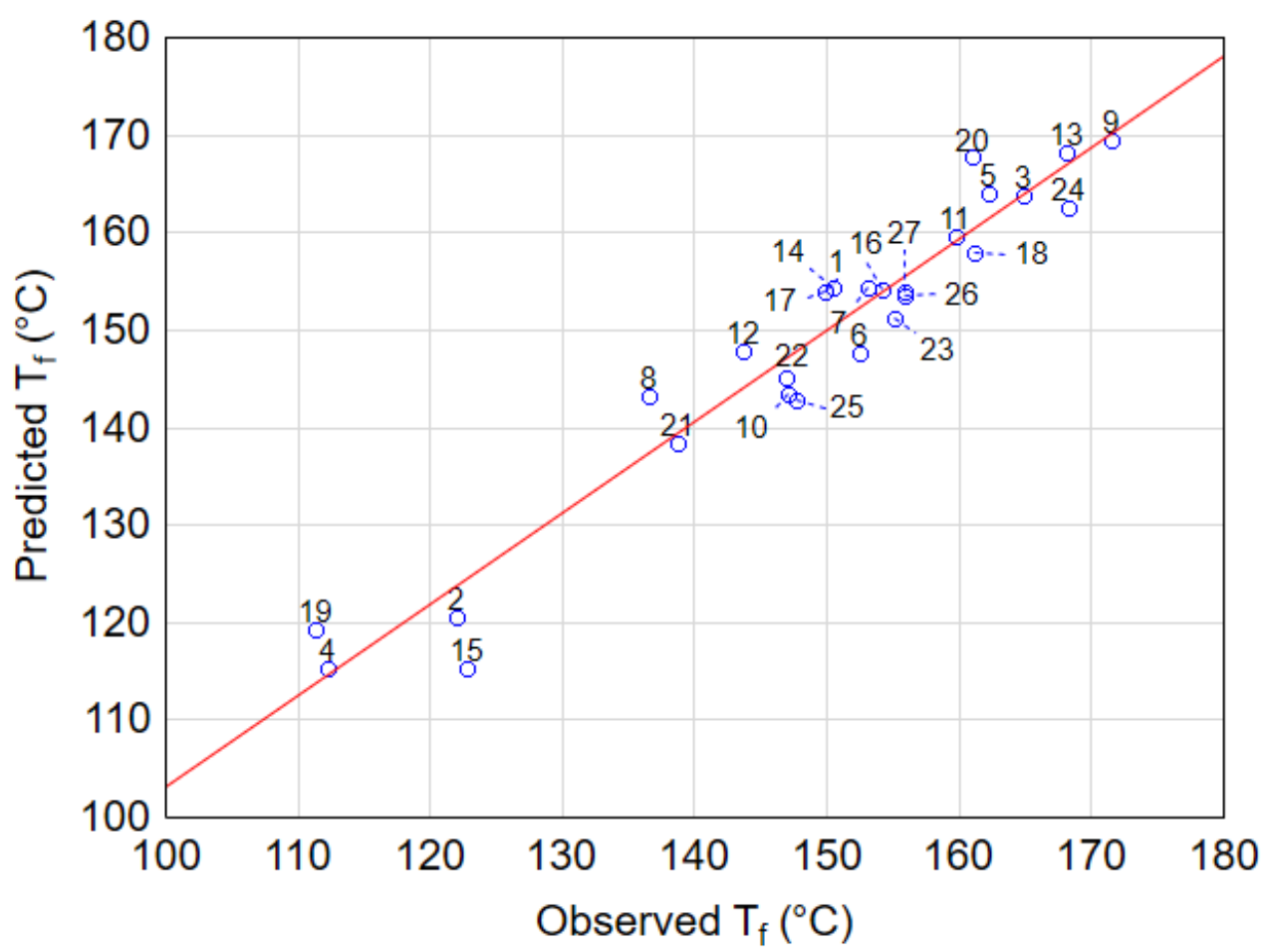
573

574 **Supplementary Fig 1.** Observed vs Predicted values for  $T_g$  based on MLR model given in  
575 Table 2 and 3.



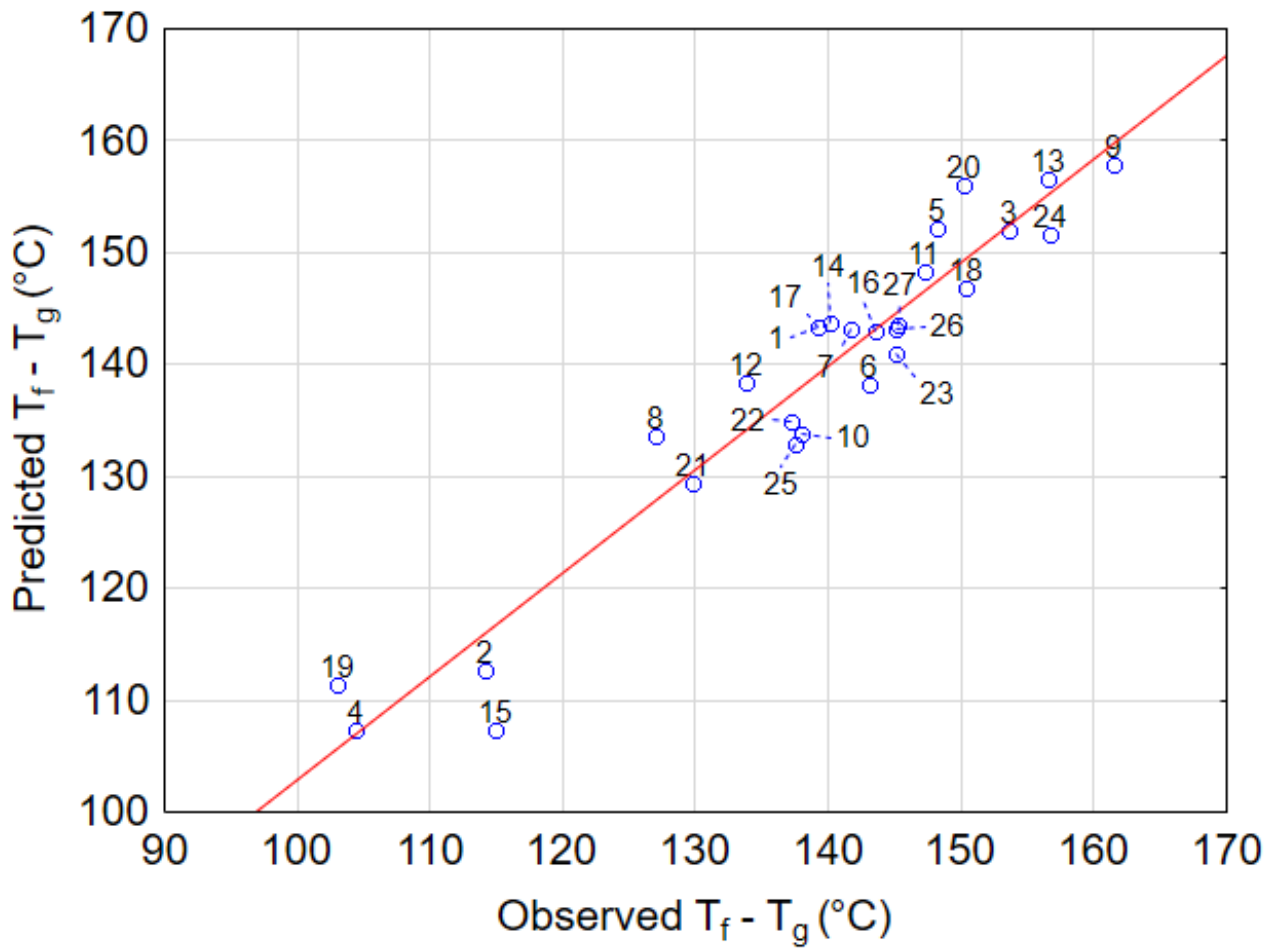
576  
577  
578

579 **Supplementary Fig 2.** Observed vs Predicted values for  $T_f$  based on MLR model given in  
580 Table 2 and 3.



581  
582

583 **Supplementary Fig 3.** Observed vs Predicted values for  $T_f - T_g$  based on MLR model  
584 given in Table 2 and 3.



585  
586