
Contents

Foreword	xxi
Preface.....	xxiii
Author	xxv
1 Background and Context	1
1.1 Introduction	1
1.2 Terminology	6
1.3 Active Ingredients and the Need for Encapsulation	7
1.3.1 Flavors and Colors	7
1.3.2 Antioxidants	8
1.3.3 Antimicrobials	8
1.3.4 Bioactive Lipids	8
1.3.5 Bioactive Carbohydrates	9
1.3.6 Bioactive Proteins	9
1.3.7 Bioactive Minerals	10
1.4 Challenges to Incorporating Active Ingredients in Foods	11
1.4.1 Low Solubility	11
1.4.2 Inappropriate Physical State.....	11
1.4.3 Poor Physicochemical Stability	12
1.4.4 Poor Biochemical Stability.....	12
1.4.5 Poor Flavor Profile	12
1.4.6 Poor Handling Characteristics.....	13
1.5 Fabrication of Delivery Systems.....	13
1.5.1 Surfactant-Based Systems	15
1.5.2 Emulsion-Based Systems.....	18
1.5.3 Biopolymer-Based Systems.....	21
1.5.4 Hybrid Systems.....	22
1.5.5 Nature-Inspired Systems.....	22
1.6 Desirable Characteristics of Delivery Systems.....	23
1.6.1 Food-Grade	23
1.6.2 Economic Production	24

1.6.3	Food Matrix Compatibility	24
1.6.4	Protection against Chemical Degradation	24
1.6.5	Loading Capacity, Encapsulation Efficiency, and Retention	24
1.6.6	Delivery Mechanism	24
1.6.7	Bioavailability/Bioactivity	25
1.7	Release Mechanisms	25
1.7.1	Diffusion	25
1.7.2	Dissolution	26
1.7.3	Erosion	26
1.7.4	Fragmentation	26
1.7.5	Swelling	27
1.7.6	Designing Release Profiles	27
1.8	Summary	29
	References	29
2	Active Ingredients	37
2.1	Introduction	37
2.2	Lipid-Based Ingredients	37
2.2.1	Neutral Oils	41
2.2.2	Flavor and Essential Oils	41
2.2.3	Oil-Soluble Colorants	42
2.2.4	Lipophilic Nutraceuticals	43
2.2.4.1	Polyunsaturated Lipids	44
2.2.4.2	Fat-Soluble Antioxidants	45
2.2.4.3	Fat-Soluble Vitamins	46
2.2.4.4	Fat-Soluble Nutraceuticals	49
2.2.5	Challenges to Delivery of Lipid-Based Ingredients	51
2.3	Protein-Based Ingredients	52
2.3.1	Proteins	53
2.3.2	Peptides and Amino Acids	54
2.3.3	Challenges to Delivery of Proteins, Peptides, and Amino acids	55
2.4	Carbohydrate-Based Ingredients	56
2.4.1	Polysaccharides	57
2.4.1.1	Digestible Polysaccharides	57
2.4.1.2	Indigestible Polysaccharides	58
2.4.2	Monosaccharides and Oligosaccharides	59
2.4.3	Challenges to Delivery of Carbohydrates	59
2.5	Mineral-Based Ingredients	60
2.5.1	Iron	60
2.5.2	Zinc	61

2.5.3	Calcium.....	61
2.5.4	Challenges to Delivery of Minerals.....	61
2.6	Microorganisms.....	62
2.6.1	Probiotics.....	63
2.6.2	Challenges to Delivery of Probiotics.....	64
2.7	Summary.....	65
	References.....	65

3 Particle Characteristics and Their Impact on Physicochemical

	Properties of Delivery Systems.....	79
3.1	Introduction.....	79
3.2	Particle Building Blocks.....	80
3.2.1	Molecules, Particles, and Phases.....	80
3.2.2	Molecular and Colloidal Interactions.....	81
3.3	Particle Characteristics.....	81
3.3.1	Composition.....	81
3.3.2	Morphology.....	84
3.3.3	Concentration.....	86
3.3.4	Particle Physicochemical Properties.....	87
3.3.4.1	Density.....	87
3.3.4.2	Rheology.....	87
3.3.4.3	Refractive Index.....	89
3.3.5	Particle Dimensions.....	89
3.3.5.1	Particle Size Distributions.....	90
3.3.5.2	Mean and Standard Deviation.....	91
3.3.5.3	Internal Dimensions.....	92
3.3.6	Particle Charge.....	94
3.3.7	Particle Interactions.....	94
3.3.8	Loading Characteristics.....	96
3.3.9	Release Characteristics.....	98
3.4	Impact of Particle Properties on Physicochemical Properties.....	99
3.4.1	Rheology and Texture.....	99
3.4.2	Optical Properties and Appearance.....	103
3.4.3	Stability and Shelf Life.....	105
3.4.3.1	Gravitational Separation.....	106
3.4.3.2	Particle Aggregation.....	107
3.4.3.3	Ostwald Ripening.....	111
3.4.4	Molecular Partitioning and Transport.....	113
3.4.4.1	Molecular Partitioning.....	113
3.4.4.2	Mass Transport Processes.....	116
3.5	Summary.....	117
	References.....	118

4	Mechanical Particle Fabrication Methods.....	123
4.1	Introduction	123
4.2	Homogenization Methods	124
4.2.1	Higher-Shear Mixers	124
4.2.2	Colloid Mills	125
4.2.3	High-Pressure Valve Homogenizers	126
4.2.4	Ultrasonic Homogenizers	128
4.2.5	Microfluidization.....	130
4.2.6	Membrane and Microchannel Homogenizers.....	131
4.3	Atomization Methods.....	133
4.3.1	Spray Drying	133
4.3.2	Spray Chilling	136
4.3.3	Rotary Disk Atomization.....	137
4.3.4	Electrospraying.....	137
4.4	Milling Methods	137
4.5	Extrusion Methods.....	138
4.6	Coating Methods	140
4.7	Supercritical Fluid Methods	142
4.8	Summary.....	143
	References.....	143
5	Surfactant-Based Delivery Systems	149
5.1	Introduction	149
5.2	Building Blocks: Surfactants.....	149
5.2.1	Molecular Characteristics	150
5.2.2	Physicochemical Properties.....	153
5.2.2.1	Molecular Organization in Solution	153
5.2.2.2	Critical Micelle Concentration	155
5.2.2.3	Krafft Point	156
5.2.2.4	Cloud Point	156
5.2.2.5	Solubilization Capacity.....	157
5.2.3	Surfactant Classification Schemes.....	158
5.2.3.1	Bancroft's Rule	159
5.2.3.2	Hydrophile–Lipophile Balance (HLB)	160
5.2.3.3	Molecular Geometry	161
5.2.3.4	Hydrophilic–Lipophilic Deviation	162
5.2.3.5	Additional Factors	165
5.2.4	Food-Grade Surfactants.....	165
5.2.4.1	Mono- and Diglycerides	166
5.2.4.2	Organic Acid Esters of Mono- and Diglycerides ...	166
5.2.4.3	Polyol Esters of Fatty Acids.....	167
5.2.4.4	Stearoyl Lactylate Salts	168
5.2.4.5	Lecithins.....	168

5.3	Micelle and Microemulsion Delivery Systems	168
5.3.1	Composition and Structure	169
5.3.2	Formation.....	170
5.3.3	Properties	171
5.3.3.1	Optical Properties.....	171
5.3.3.2	Rheological Properties	171
5.3.3.3	Stability	172
5.3.3.4	Flavor	173
5.3.4	Applications.....	173
5.4	Liposome Delivery Systems	174
5.4.1	Composition and Structure	174
5.4.2	Formation.....	176
5.4.2.1	Vesicle Fabrication	176
5.4.2.2	Loading	177
5.4.3	Properties	178
5.4.3.1	Optical Properties.....	178
5.4.3.2	Rheological Properties	178
5.4.3.3	Stability	178
5.4.3.4	Flavor	180
5.4.3.5	Release Characteristics.....	180
5.4.4	Applications.....	181
5.4.4.1	Enzymes	181
5.4.4.2	Nutraceuticals and Minerals.....	182
5.4.4.3	Controlling Biological Fate.....	182
5.4.4.4	Taste Masking	182
5.4.4.5	Inhibiting Physicochemical Reactions	183
5.5	Summary.....	183
	References.....	184
6	Emulsion-Based Delivery Systems.....	191
6.1	Introduction	191
6.2	Building Blocks: Fat Droplets.....	192
6.2.1	Droplet Concentration	193
6.2.2	Particle Size	194
6.2.3	Particle Charge	194
6.2.4	Interfacial Characteristics	195
6.2.5	Physical State.....	196
6.2.6	Colloidal Interactions	196
6.2.7	Controlling Droplet Characteristics for Improved Performance	198
6.3	Physicochemical Properties of Emulsions	198
6.3.1	Appearance.....	198
6.3.2	Rheology	200

6.3.3	Stability	201
6.3.4	Molecular Distribution and Release Characteristics	204
6.3.5	Implications for Design of Delivery Systems.....	204
6.4	Emulsion-Based Delivery Systems	205
6.4.1	Emulsions and Nanoemulsions.....	205
6.4.1.1	Composition and Structure	205
6.4.1.2	Formation.....	208
6.4.1.3	Properties	210
6.4.1.4	Applications.....	212
6.4.2	Multiple Emulsions	214
6.4.2.1	Composition and Structure	214
6.4.2.2	Formation.....	215
6.4.2.3	Properties	216
6.4.2.4	Applications.....	219
6.4.3	Multilayer Emulsions.....	220
6.4.3.1	Composition and Structure	220
6.4.3.2	Formation.....	220
6.4.3.3	Properties	224
6.4.3.4	Applications.....	226
6.4.4	Solid Lipid Particles.....	229
6.4.4.1	Composition and Structure	229
6.4.4.2	Formation.....	229
6.4.4.3	Properties	231
6.4.4.4	Applications.....	234
6.4.5	Filled Hydrogel Particles.....	234
6.4.5.1	Composition and Structure	234
6.4.5.2	Formation.....	235
6.4.5.3	Properties	238
6.4.5.4	Applications.....	240
6.4.6	Microclusters	241
6.4.6.1	Composition and Structure	241
6.4.6.2	Formation.....	242
6.4.6.3	Properties	243
6.4.6.4	Applications.....	244
6.4.7	Miscellaneous Systems.....	246
6.4.7.1	Particle-Stabilized Emulsions.....	246
6.4.7.2	Emulsified Microemulsions and Cubosomes ...	246
6.4.7.3	Nanocrystal Suspensions	247
6.5	Summary.....	247
	References.....	247
7	Biopolymer-Based Delivery Systems	265
7.1	Introduction	265

7.2	Building Blocks: Biopolymers.....	265
7.2.1	Proteins	267
7.2.1.1	Molecular Conformation	267
7.2.1.2	Electrical Characteristics	270
7.2.1.3	Hydrophobic Characteristics	271
7.2.1.4	Physical Interactions	272
7.2.1.5	Chemical Reactivity	272
7.2.1.6	Commonly Used Proteins.....	273
7.2.1.7	Protein Selection.....	275
7.2.2	Polysaccharides.....	276
7.2.2.1	Molecular Conformation.....	276
7.2.2.2	Electrical Characteristics	278
7.2.2.3	Hydrophobic Characteristics	279
7.2.2.4	Physical Interactions.....	279
7.2.2.5	Chemical Reactivity	279
7.2.2.6	Commonly Used Polysaccharides	280
7.2.2.7	Polysaccharide Selection	286
7.3	Molecular Interactions.....	287
7.3.1	Electrostatic Interactions	288
7.3.2	Hydrogen Bonding.....	290
7.3.3	Hydrophobic Interactions	290
7.3.4	Excluded Volume Effects	291
7.3.5	Covalent Interactions.....	292
7.3.6	Assembling Biopolymer Structures	293
7.3.6.1	Single Biopolymer Systems	294
7.3.6.2	Mixed Biopolymer Systems.....	295
7.4	Physiochemical Methods for Biopolymer Particle Formation	299
7.4.1	Formation of Molecular Complexes.....	300
7.4.1.1	Individual Biopolymer Molecules	300
7.4.1.2	Biopolymer Molecular Clusters: Single Biopolymer Type	301
7.4.1.3	Biopolymer Molecular Clusters: Mixed Biopolymer Type	302
7.4.2	Formation of Hydrogel Particles	302
7.4.2.1	Hydrogel Particles: Single Biopolymer Type	302
7.4.2.2	Hydrogel Particles: Mixed Biopolymer Type ...	304
7.5	Mechanical Methods for Biopolymer Particle Formation	305
7.5.1	Extrusion Methods.....	306
7.5.2	Microfluidic Methods.....	307
7.5.3	Spray Drying and Other Drying Methods	308
7.5.4	Antisolvent Precipitation.....	309
7.5.5	Emulsion Templating	309
7.5.6	Shearing Methods.....	310

7.5.7	Molding Techniques.....	312
7.6	Biopolymer Particle Properties.....	312
7.6.1	Particle Structure.....	313
7.6.1.1	External Structure: Particle Dimension and Morphology.....	313
7.6.1.2	Internal Structure.....	313
7.6.2	Particle Electrical Characteristics.....	314
7.6.3	Particle Physicochemical Properties.....	316
7.6.3.1	Particle Integrity and Environmental Responsiveness.....	316
7.6.3.2	Optical Properties.....	316
7.6.3.3	Rheological Properties.....	318
7.6.3.4	Stability.....	319
7.6.3.5	Release Characteristics.....	322
7.7	Potential Applications.....	324
7.7.1	Encapsulation and Protection.....	324
7.7.2	Controlled Release.....	325
7.7.3	Lightening Agents.....	325
7.7.4	Texture Modification.....	326
7.7.5	Fat Replacement.....	326
7.8	Summary.....	327
	References.....	327

8 Delivery System Characterization Methods.....341

8.1	Introduction.....	341
8.2	Particle Characteristics.....	342
8.2.1	Particle Concentration.....	342
8.2.2	Particle Morphology and Organization.....	342
8.2.2.1	Optical Microscopy.....	343
8.2.2.2	Electron Microscopy.....	346
8.2.2.3	Atomic Force Microscopy.....	349
8.2.2.4	Practical Considerations.....	349
8.2.3	Particle Size.....	351
8.2.3.1	Static Light Scattering.....	352
8.2.3.2	Dynamic Light Scattering.....	353
8.2.3.3	Optical Pulse Counting.....	354
8.2.3.4	Electrical Pulse Counting.....	355
8.2.3.5	Gravitational Settling and Centrifugation.....	356
8.2.3.6	Miscellaneous Techniques.....	357
8.2.3.7	Practical Considerations.....	357
8.2.4	Particle Charge.....	358
8.2.4.1	Microelectrophoresis.....	359
8.2.4.2	Electroacoustics.....	360
8.2.4.3	Practical Considerations.....	361

8.2.5	Particle Physical State	361
8.2.5.1	Dilatometry	362
8.2.5.2	Differential Scanning Calorimetry	362
8.2.5.3	Nuclear Magnetic Resonance	362
8.2.5.4	Ultrasonics	362
8.2.5.5	X-Ray Analysis	362
8.2.5.6	Microscopy	363
8.2.5.7	Practical Considerations	363
8.3	Bulk Physicochemical Properties	363
8.3.1	Optical Properties.....	363
8.3.2	Rheology	365
8.3.2.1	Shear Testing.....	365
8.3.2.2	Compression Testing.....	366
8.3.2.3	Compression–Shear Testing	366
8.3.3	Flavor	367
8.3.3.1	Analysis of Volatile Flavors	367
8.3.3.2	Analysis of Nonvolatile Flavors.....	369
8.3.3.3	Sensory Analysis	370
8.3.4	Stability.....	371
8.3.4.1	Particle Location Changes: Gravitational Separation.....	371
8.3.4.2	Particle Size Changes: Aggregation, Ostwald Ripening, and Dissociation	377
8.3.4.3	Environmental Stress Tests	377
8.4	Protection, Retention, and Release Characteristics	379
8.4.1	Protection	379
8.4.2	Retention and Release.....	381
8.4.2.1	Nondestructive Methods	381
8.4.2.2	Destructive Methods	382
8.5	Biological Fate	383
8.5.1	In Vitro Approaches	384
8.5.1.1	Passage through GIT.....	384
8.5.1.2	Absorption.....	386
8.5.2	In Vivo Approaches	388
8.5.3	In Vitro versus In Vivo Correlations.....	388
8.5.4	Measurement of Changes in Delivery System Properties ...	389
8.6	Summary.....	391
	References.....	391
9	Selection of Delivery Systems: Case Studies.....	401
9.1	Introduction	401
9.1.1	Design Criteria for Colloidal Delivery Systems.....	401
9.1.1.1	Economics.....	401

9.1.1.2	Ease and Reliability of Fabrication	402
9.1.1.3	Transportation and Storage	402
9.1.1.4	Labeling and Marketing	402
9.1.1.5	Legislation	402
9.1.1.6	Patent Status	403
9.1.1.7	Shelf Life	403
9.1.1.8	Matrix Compatibility	403
9.1.1.9	Loading, Retention, and Release Characteristics	404
9.1.2	Identification of Appropriate Colloidal Delivery Systems...	404
9.2	Nutraceutical-Fortified Soft Drinks	404
9.2.1	Design Criteria	405
9.2.1.1	Loading and Retention Characteristics	405
9.2.1.2	Influence on Physicochemical and Sensory Properties of Product	405
9.2.1.3	Product Stability	406
9.2.1.4	Storage Form	408
9.2.2	Potential Delivery Systems	409
9.2.2.1	Surfactant-Based Delivery Systems	409
9.2.2.2	Emulsion-Based Delivery Systems	410
9.2.2.3	Biopolymer-Based Delivery Systems	411
9.3	Dairy-Based Functional Beverages Designed to Enhance Nutraceutical Bioavailability	411
9.3.1	Design Criteria	412
9.3.1.1	Loading and Retention Characteristics	412
9.3.1.2	Influence on Physicochemical and Sensory Properties of Product	412
9.3.1.3	Product Stability	413
9.3.1.4	Bioavailability Enhancement	414
9.3.2	Potential Delivery Systems	417
9.3.2.1	Surfactant-Based Delivery Systems	417
9.3.2.2	Emulsion-Based Delivery Systems	418
9.3.2.3	Biopolymer-Based Delivery Systems	420
9.4	Delivery of Probiotics to the Colon	421
9.4.1	Design Criteria	422
9.4.1.1	Loading and Retention Characteristics	422
9.4.1.2	Influence on Physicochemical and Sensory Properties of Product	422
9.4.1.3	Product Stability	422
9.4.1.4	Maintain Viability within Foods	423
9.4.1.5	Maintain Viability within the GIT	423
9.4.1.6	Release Probiotics within the Large Intestine	424
9.4.2	Potential Delivery Systems	425

9.4.2.1	Surfactant-Based Delivery Systems	425
9.4.2.2	Emulsion-Based Delivery Systems	425
9.4.2.3	Biopolymer-Based Delivery Systems	426
9.5	Controlled Flavor Release	428
9.5.1	Design Criteria	429
9.5.1.1	Loading and Retention Characteristics	429
9.5.1.2	Influence on Physicochemical and Sensory Properties of Product	429
9.5.1.3	Product Stability	429
9.5.1.4	Flavor Release Profile	430
9.5.2	Potential Delivery Systems	430
9.5.2.1	Surfactant-Based Delivery Systems	431
9.5.2.2	Emulsion-Based Delivery Systems	431
9.5.2.3	Biopolymer-Based Delivery Systems	433
9.6	Protection of Lipophilic Active Agents against Oxidation	434
9.6.1	Design Criteria	435
9.6.1.1	Loading and Retention Characteristics	435
9.6.1.2	Influence on Physicochemical and Sensory Properties of Product	435
9.6.1.3	Product Stability	435
9.6.2	Potential Delivery Systems	437
9.6.2.1	Surfactant-Based Delivery Systems	437
9.6.2.2	Emulsion-Based Delivery Systems	438
9.6.2.3	Biopolymer-Based Delivery Systems	441
9.7	Summary	442
	References	442
10	Key Physicochemical Concepts	453
10.1	Introduction	453
10.2	Physical States and Phase Transitions	453
10.2.1	Physical States	454
10.2.1.1	Thermodynamics	454
10.2.1.2	Practical Implications	454
10.2.2	Crystallization and Melting	456
10.2.2.1	Supercooling	456
10.2.2.2	Nucleation	456
10.2.2.3	Crystal Growth	460
10.2.2.4	Crystal Morphology and Structure	461
10.2.2.5	Melting	463
10.2.3	Crystallization and Dissolution	464
10.2.3.1	Saturation	464
10.2.3.2	Supersaturation	465
10.2.3.3	Dissolution Rate	467

	10.2.3.4 Temperature Dependence of Dissolution.....	468
	10.2.3.5 Dissolution in Multiphase Systems.....	469
	10.2.3.6 Nucleation and Crystal Growth.....	471
10.3	Partitioning Phenomenon.....	472
10.3.1	Equilibrium Partitioning Coefficients.....	472
10.3.2	Solute Partitioning in Delivery Systems.....	474
	10.3.2.1 Solute Partitioning below the Saturation Limit.....	474
	10.3.2.2 Solute Partitioning above the Saturation Level.....	476
	10.3.2.3 Partitioning of Volatile Solutes.....	477
	10.3.2.4 Influence of Particle Size on Solubility.....	479
10.4	Mass Transport Processes.....	480
10.4.1	Diffusion.....	480
10.4.2	Convection.....	482
10.5	Modeling Release Profiles from Colloidal Delivery Systems.....	483
10.5.1	Diffusion.....	483
	10.5.1.1 Release from Homogeneous Spheres.....	483
	10.5.1.2 Release from Homogeneous Spheres Containing Insoluble Active Ingredients.....	487
	10.5.1.3 Release from Porous Polymeric Spheres.....	487
	10.5.1.4 Release from Coated Spheres.....	489
	10.5.1.5 Release from Heterogeneous Spheres.....	490
10.5.2	Particle Dissolution.....	491
10.5.3	Particle Swelling.....	492
10.5.4	Particle Matrix Degradation.....	493
10.5.5	Particle Matrix Fragmentation.....	494
10.5.6	Establishing Release Mechanisms.....	495
10.6	Modeling Particle Aggregation.....	495
10.6.1	Colloidal Interactions.....	495
	10.6.1.1 van der Waals Interactions.....	496
	10.6.1.2 Steric Interactions.....	496
	10.6.1.3 Electrostatic Interactions.....	497
	10.6.1.4 Hydrophobic Interactions.....	498
	10.6.1.5 Depletion Interactions.....	499
	10.6.1.6 Overall Interactions.....	499
10.6.2	Calculation of Aggregation Kinetics.....	501
10.7	Modeling Bioavailability of Bioactives in the GIT.....	502
10.7.1	Release of Bioactive Components.....	502
	10.7.1.1 Mouth.....	504
	10.7.1.2 Stomach.....	504
	10.7.1.3 Small Intestine.....	505
	10.7.1.4 Colon.....	507

10.7.2 Absorption of Bioactive Components	507
10.7.2.1 Absorption of Particles.....	508
10.7.2.2 Bioactive Absorption	511
10.8 Summary.....	514
References.....	514
Index.....	523