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Gougeon, Thomas Karbowiak

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- 1 Unravelling CO₂ transfer through cork stoppers for Champagne and sparkling wines 2
- 3 Kevin Crouvisier Urion^{*a,b*}, Jean-Pierre Bellat^{*a*}, Gérard Liger-Belair^{*c*}, Régis D. Gougeon^{*b,d*},

and Thomas Karbowiak^{b,*}

- ^aUniv. Bourgogne Franche-Comté, ICB UMR 6303 CNRS, 9 avenue Alain Savary, B.P. 47870, 21078 Dijon,
 France
- ^bUniv. Bourgogne Franche-Comté, Agrosup Dijon, UMR PAM A 02.102, 1 Esplanade Erasme, 21000 Dijon,
 France
- 9 c Univ. Reims Champagne-Ardenne, Equipe Effervescence, Champagne et Applications (GSMA), UMR CNRS
 10 7331, BP 1039, 51687 Reims Cedex 2, France
- 11 ^dUniv. Bourgogne Franche-Comté, Inst. Univ. Vigne & Vin, 1 Rue Claude Ladrey, F-21078 Dijon, France
- 12

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13 Corresponding Author*

- 14 Professor Thomas Karbowiak
- 15 thomas.karbowiak@agrosupdijon.fr
- 16 Phone: +33 (0)3 80 77 23 88

17 Abstract

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The diffusion of CO₂ through macro- and micro-agglomerated cork stoppers for sparkling 19 wine was studied by a manometric technique. The effective diffusion coefficients for each 20 part of the stopper (cork body, cork disc and adhesives) were determined for the first time. 21 The results show that a small particle size along with a high adhesive content and level of 22 compression favor the gas barrier properties of the cork stopper. Although the cork discs 23 placed at one end of the stopper present no resistance to gas transfer, the adhesive film 24 between them constitutes a high barrier to gas transfer. The mechanism that controls the gas 25 transfer is the solution-diffusion process through the polymeric chains of the adhesive. 26 Although the aging of the cork stopper and the gas transfer at the glass/stopper interface were 27 not considered, results clearly showed that the cork stoppers studied were capable of 28 maintaining a CO₂ concentration in the bottle that is sufficient for conserving a good 29 effervescence of sparkling wines over several years. 30

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Keyword: Agglomerated cork stopper, CO₂, diffusion, gas transfer

- 1. Introduction
- 34 35

Cork has been used for centuries as corking material for wine conservation, from the 36 amphora to the glass bottle. Agglomerated cork stoppers, made of cork particles with 37 adhesives, were developed at the beginning of the twentieth century[1], first for sparkling 38 wines and then extended to still wines. Cork particles, calibrated as a function of their mean 39 diameter, form the "body" of the sparkling wine stopper. Since the 1970s, the agglomeration 40 41 of cork particles has been made with polyurethane (PU) adhesives[2] to replace casein glue, which was initially used. In addition, two cork discs are usually glued with an aqueous 42 43 dispersion of PU on one end of this agglomerated body, thus forming the "mirroir", which is in contact with the wine (Fig. 1). 44

Such agglomerated cork stoppers are used for the conservation of sparkling wines, 45 such as Champagne, Crémant, Cava, Prosecco, Sekt, but also ciders and beers. Stoppers are 46 highly compressed in the bottleneck. In the case of Champagne wine, this leads to a reduction 47 in diameter of 45 % (from 31 mm to 17.5 mm diameter)[3], which corresponds to a reduction 48 of 70 % in volume. After alcoholic fermentation has produced a still "base wine", these 49 sparkling beverages are obtained either from a second fermentation step (using mainly 50 Saccharomyces cerevisiae) or from carbonation, both leading to the presence of CO₂ 51 dissolved in the liquid phase. Dissolved CO₂ concentrations range from 5 g.L⁻¹ for ciders and 52 beers[4] up to 12 g.L⁻¹ for carbonated and sparkling wines[5]. When these beverages are 53 bottled, the thermodynamic equilibrium between the gas-phase and dissolved CO₂ causes a 54 partial pressure of gas-phase CO₂ in the headspace ranging from about 0.3 to 0.6 MPa 55 (considering a Henry's constant value of 4.4 x 10⁻⁴ mol.m⁻³.Pa⁻¹ at 12 °C)[6]. Consequently, 56 the high partial pressure gradient of gas-phase CO₂ between the inside and outside of the 57 bottle leads to a CO₂ transfer through the stopper, which causes a progressive loss of 58 dissolved CO₂ from the liquid phase. Nevertheless, below a partial pressure close to 0.13 MPa 59

in the headspace (at 12 °C)[6], corresponding to a critical concentration of dissolved CO_2 close to 2.5 g.L⁻¹, a sparkling wine becomes thermodynamically unable to promote effervescence. The precise knowledge of the permeability of a cork stopper with regard to gas-phase CO_2 becomes therefore crucial to understand how a bottle of sparkling wine progressively loses its dissolved CO_2 content, and therefore its bubbling potential.

The first study dealing with gas transfer through the cork stopper was conducted in the 65 mid-1990s[7]. Since then, numerous studies have investigated the gas transfer through wine 66 stoppers, in particular to the O₂ transfer, because of its impact on wine oxidation[8]. Several 67 techniques have been developed to study gas transfer through stoppers, such as coulometric 68 detection, manometric devices, chemiluminescence, SO₂ titration, and colorimetric method. 69 Synthetic stoppers exhibit the highest oxygen transfer rate (from 10^{-6} to 10^{-4} mmol O₂.m⁻².s⁻¹), 70 followed by natural cork (10^{-7} to 10^{-3} mmol O₂.m⁻².s⁻¹), screwcaps (10^{-8} to 10^{-4} mmol O₂.m⁻².s⁻¹ 71 ¹) and technical stoppers (10^{-7} to 10^{-5} mmol O₂.m⁻².s⁻¹), at room temperature for an oxygen 72 73 partial pressure gradient of 0.21 MPa[9]. However, only a few studies have addressed the issue of CO₂ transfer[10-13], and only two deal with sparkling wine stoppers[5, 6]. Based on 74 the CO₂ concentration decrease in sparkling wine bottles and using modeling (based on 75 Henry's and Fick's laws), the effective CO₂ diffusion coefficient has recently been estimated 76 to be between 5 x 10^{-11} and 3 x 10^{-10} m².s⁻¹[5, 6]. However, to date, there has been no direct 77 and accurate experimental measurement of the effective diffusion coefficient of CO₂ through 78 composite materials such as agglomerated stoppers, in which each part constitutes an 79 individual resistance to gas transfer. 80

Sparkling wine stoppers, made of a body of agglomerated cork particles with two cork discs fixed on one end with two films of adhesive can be considered as an equivalent system composed of five resistances to mass transfer connected in series (Fig. 2). This macroscopic view could obviously be more detailed depending on the scale that is considered. Cork itself

is an alveolar material composed of empty closed cells of about 30 µm characteristic 85 dimension with a cell wall around 1 µm thickness. It also contains macroscopic pores called 86 lenticels with a diameter in the millimeter scale. In the case of agglomerated cork stopper, 87 cork particles are surrounded by polyurethane. There is also an intergranular porosity between 88 these particles, which may be either opened or closed. Therefore, it is essential to identify the 89 limiting step for gas transfer and the associated diffusion mechanism. Three mass transfer 90 mechanisms can occur in such a material[9]: (i) the molecules move in macropores according 91 to Darcy's law, when the mean free path of the diffusing molecule is lower than the pore 92 diameter; (ii) the molecules diffuse in mesopores following a Knudsen's regime, when the 93 mean free path of the diffusing molecule is larger than the pore diameter; and (iii) the 94 molecules move by jumping from one sorption site to another one in a phenomenon called 95 surface diffusion or solution-diffusion process in the case of polymeric networks [14]. 96

The objective of this study was to measure the effective diffusion coefficient of gas-phase 97 CO2 through an agglomerated cork stopper and then to identify the limiting step to gas 98 transfer depending on the composite material structure. To that purpose, it was necessary to 99 experimentally determine the gas transfer through each part of the sparkling wine stopper. 100 Furthermore, the different parameters that can control the gas transfer, such as the cork 101 particle size, the adhesive content, the presence of cork discs, and the effect of the 102 compression were investigated. The results of CO₂ transfer through sparkling wine stoppers 103 are critically analyzed in order to better understand the gas barrier properties of stoppers and 104 to estimate their impact on the shelf life of sparkling wines. 105

2. Materials and methods

109 110 2.1. Material: Cork stoppers

Agglomerated cork stoppers were supplied by the Relvas (Mozelos, Portugal) and 111 Prats & Bonany (Reims, France) companies. Two types of stoppers were studied: stoppers 112 composed of a macro-agglomerated body with two cork discs at one end (referred to as 113 MA2D) and stoppers composed only of a micro-agglomerated cork body (referred to as MI). 114 Two cork particle size distributions, determined according to the NP ISO 2031:2015 standard, 115 were used to formulate macro-agglomerated (2.5-8 mm diameter) and micro-agglomerated 116 (0.5-2.8 mm diameter) stoppers. An aromatic glue, composed of toluene diisocyanate (TDI) 117 isomers (2,6-TDI and 2,4-TDI), was used at mass ratios (w_{glue}/w_{cork}) of 8 % and 15 % for 118 macro-agglomerated and at 20 % and 25 % for micro-agglomerated stoppers. Agglomerated 119 cork bodies were obtained after polymerization at 120 °C for 45-65 min using an industrial 120 scale processing, based on individual molding. Two cork discs (6 mm thick) were glued at 121 one end of the agglomerated cork body with an aqueous dispersion of PU. They are referred 122 to as "aromatic adhesive for cork body" and "cork disc adhesive", respectively, in the present 123 paper. The resulting stoppers were then sanded down and chamfered to obtain the final cork 124 stopper for sparkling wine. The diameter was reduced to 30 mm to meet the requirements of 125 126 the bottling machine (TDD Grillat, BM 800).

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2.2. Gas transfer measurement

The gas transfer through the samples was measured using a homemade manometric device. The equipment and the procedure used to determine the effective diffusion coefficient were previously detailed in Chanut *et al.* (2020)[15]. It is based on the pressure measurement in two compartments separated by the sample. For the present work, the initial pressure was fixed at 0.6 MPa of pure CO₂ in the first compartment, corresponding to the pressure of CO₂

inside a Champagne wine bottle at the end of the fermentation step. The second compartment 133 of the device was maintained under dynamic primary vacuum (0.1 hPa). The pressure drop in 134 the first compartment, due to CO₂ transfer through the sample, was recorded over time. The 135 temperature was kept constant at 25 °C. The accuracy of the pressure sensor was 0.01 MPa. 136 As the calculation of the effective diffusion coefficient requires the knowledge of the 137 solubility of CO_2 in the materials, the sorption isotherms of CO_2 on the agglomerated cork 138 and on the adhesives were previously determined from 0 to 5 MPa, at 25 °C, using a magnetic 139 suspension balance (Rubotherm GmbH). Rectangular samples (~ 150 mm³) were first 140 outgassed at 25 °C under primary vacuum until mass equilibrium. The gas pressure in the 141 balance was then increased step-by-step (once mass equilibrium was reached for each 142 pressure step). A specific module allowed measuring the gas phase density in order to take 143 into account the buoyancy effect. For each sample, the sorption and desorption isotherms of 144 CO₂ were determined, as displayed in Fig. 3, and allows to determine the partition coefficient 145 ψ , defined as the ratio between the concentration of CO₂ sorbed on the material (mol.m⁻³) and 146 the concentration of CO_2 in the gas phase in contact with the film (mol.m⁻³) at equilibrium. 147

The different geometries used to determine the effective diffusion coefficient of CO₂ 148 according to the sample are summarized in Table 1. To reduce the experimental time, gas 149 transfer was not measured on full-length stoppers, but on reduced-thickness samples. To 150 determine the gas transfer on a full-length stopper, an extrapolation model was applied, 151 following the procedure detailed in Lagorce-Tachon et al. (2016) and Chanut et al (2020)[15, 152 16], as shown in Fig. 4 for a macro-agglomerated cork body containing 8 % aromatic 153 adhesive. CO₂ transfer measurements were carried out on agglomerated corks, both 154 compressed and non-compressed, on the different adhesive films composing the stopper 155 (~700 µm thickness films obtained by polymerization at 20 °C) and on the cork discs. The 156 compressed samples were obtained using a corking machine (TDD Grillat, BM 800) equipped 157

with a special homemade device, which allowed insertion of the cork slice in a sample holder of 17.0 (\pm 0.5) mm diameter (corresponding to a Champagne bottleneck).

160 2.3. Helium pycnometry

The porosity of the samples has been measured by helium pycnometry with a homemade manometric device. Prior to the measurement, the sample was outgassed under primary vacuum at room temperature. A cork body sample of known apparent volume V_{app} (measured with a caliper) was introduced in the helium pycnometer and the real volume of the sample V_s was determined from pressure measurements. The porous fraction V_p is defined as the ratio of the volume accessible to helium over the apparent volume, according to the following equation:

$$V_p(\% V/V) = \left(\frac{V_{app} - V_s}{V_{app}}\right) \times 100 \tag{1}$$

Helium pycnometry was performed at 25 °C on 10 macro- and micro-agglomerated cork bodies (with an apparent diameter of 3.00 ± 0.01 cm and a length of 4.80 ± 0.02 cm, which corresponds to an apparent volume of 34.4 ± 0.3 cm³.

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2.4. Scanning electron microscopy (SEM)

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Agglomerated cork stoppers for sparkling wine were observed by SEM using a Jeol JSM 7600F instrument. Prior to imaging, samples were cut with a razor blade and coated with 15-20 nm carbon. A vacuum of 9 x 10^{-6} Pa was applied with an accelerating voltage of 15 kV.

3. Results and discussion

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3.1. Effect of particle size and adhesive concentration of the cork body

Fig. 5 displays the extrapolated distribution for CO₂ effective diffusion coefficients 182 (D) obtained for non-compressed macro- and micro-agglomerated cork bodies with two 183 different amounts of aromatic adhesive. The mean values of effective diffusion coefficients 184 are also indicated in Table 2. It is noteworthy that the distribution of effective diffusion 185 coefficient values is very large. This is due to the heterogeneity of the porosity of such 186 agglomerated materials, which are composed of cork particles having various sizes and 187 geometries. Both the increase in adhesive concentration and the reduction in the cork particle 188 size lead to a decrease in the mean value of D. A decrease by a factor of 3 (from 3×10^{-5} to 9 189 x 10^{-6} m².s⁻¹) is observed for the macro-agglomerated cork body with an increase in the 190 adhesive content from 8 % to 15 %, and by a factor of 4 (from 8 x 10^{-8} to 2 x 10^{-8} m².s⁻¹) 191 when the adhesive content increases from 20 % to 25 % for the micro-agglomerated cork 192 body (Table 2). Regarding the cork particle size, the reduction from macro (2.5-8 mm) to 193 micro (0.5-2.8 mm) leads to a decrease in the CO_2 effective diffusion coefficient by a factor 194 of 375 (from 3 x 10^{-5} to 8 x 10^{-8} m².s⁻¹). This clearly highlights that within the investigated 195 range, particle size is a predominant factor in the reduction of effective diffusion coefficient 196 compared with the increase in adhesive concentration. Nevertheless, the effect of these two 197 factors cannot be fully separated, the micro-agglomerated cork formulation requiring a higher 198 adhesive concentration to obtain an agglomerated body suitable for stopper application. 199

The decrease in the CO_2 effective diffusion coefficient in agglomerated cork with increasing adhesive concentration may be due to the barrier property of the adhesive used for agglomeration. The aromatic PU glue used in sparkling wine stoppers has an average CO_2 effective diffusion coefficient value of 8 x 10⁻¹¹ m².s⁻¹ (Table 2). This value is in agreement with those found in the literature. Depending on the nature of the monomer used and its content, there is a variation in D values from 7×10^{-11} to 1×10^{-10} m².s⁻¹[17].

Our results show that the higher the adhesive content, the better the CO₂ barrier 206 property. This effect is probably due to the presence of a continuous adhesive film 207 surrounding the cork particles, which is favored when the particles are small. In addition, the 208 intergranular porosity decreases in the micro-agglomerated cork body with smaller particle 209 size. Moreover, in the latter case, the cork particles are smaller and more spherical in shape 210 than those used for the macro-agglomerated cork. This modification in size and shape induces 211 a reduced intergranular porosity[18, 19]. For a deeper understanding of the difference 212 between the macro- and micro-agglomerated cork bodies, it is thus necessary to measure the 213 intergranular porosity. For this purpose, tests were carried out using helium pycnometry on 214 macro-agglomerated (8 % aromatic adhesive) and micro-agglomerated (20 % aromatic 215 adhesive) cork bodies. These measurements give an open porosity of 1.8 % (v/v) for macro-216 agglomerated cork. However, the open porosity was not measurable with this technique in the 217 case of micro-agglomerated cork. This means that micro-agglomerated cork is either 218 nonporous or the porosity is not accessible to helium. This confirms the decrease in porosity 219 observed by SEM when smaller cork particles are used. In macro-agglomerated cork, an 220 important intergranular porosity is visible (Fig. 6a). By contrast, for micro-agglomerated cork, 221 this porosity appears to be absent and the adhesive is obstructing the residual porosity 222 between the cork particles (Fig. 6b), thus contributing to increase the barrier property of 223 agglomerated cork. 224

225

226 3.2. Effect of compression

The CO_2 barrier properties of agglomerated cork bodies presented above were determined for non-compressed samples (Table 1). In fact, considering the oenological application, the stoppers are compressed in the bottleneck (17 mm diameter). This leads to a total volume reduction of 70 %, and can thus strongly impact the gas transfer. The effect of such a compression level on the CO_2 effective diffusion coefficient is reported in Fig. 7 for the macro- and micro-agglomerated corks.

There is a significant reduction in the effective diffusion coefficient for both macro-234 and micro-agglomerated corks when the agglomerated cork body is compressed. The effective 235 diffusion coefficient value decreases by a factor of around 6000 for macro-agglomerated cork 236 (from 3 x 10^{-5} to 5 x 10^{-9} m².s⁻¹) and by a factor of around 1000 for micro-agglomerated cork 237 (from 8 x 10^{-8} to 8 x 10^{-11} m².s⁻¹) (Table 2). The level of compression, as applied in the 238 bottleneck, therefore greatly reduces the transfer of gas through the agglomerated cork body. 239 This improvement in barrier properties can be explained, in a large part, by the very high 240 reduction in volume. By reducing the intergranular porosity and increasing the tortuosity, the 241 compression slows down the diffusion processes of Darcy and Knudsen. This is particularly 242 true for macro-agglomerated cork for which the intergranular porosity is larger than for 243 micro-agglomerated cork. The decrease in the effective diffusion coefficient due to 244 compression was 6 times larger than for micro-agglomerated cork. In addition, there is also a 245 significant reduction in the width of the distribution, which means that the compression also 246 makes the samples more homogeneous from the diffusion point of view. 247

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3.3. Role of the cork discs

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251 Previous investigations have clearly shown that the formulation parameters, as well as 252 the compression, can strongly change the barrier properties of the agglomerated cork body. It

is also important to study the role that the two cork discs attached at one end of the cork body 253 may play in the gas transfer through the sparkling wine stopper. The cork disc is punched in 254 the plane perpendicular to the radial direction, and thus it is sprinkled with lenticels, which are 255 channels oriented in a direction parallel to the gas flow. Permeation tests were carried out on 256 single cork discs, but the gas flow is too fast for being measured with our manometric device. 257 In this case and the CO₂ effective diffusion coefficient is taken equal to the value in air (Table 258 2). Thus, the cork disc alone is not an efficient barrier to the gas diffusion, at least when it is 259 considered non-compressed. 260

Nevertheless, in the cork stopper, these cork discs are glued together with an aqueous 261 dispersion of PUs. The effective diffusion coefficient of CO₂ was measured through a film of 262 ~700 μ m thickness of this adhesive. A mean value of 4 x 10⁻¹¹ m².s⁻¹ was found (Table 2). In 263 order to get closer to the industrial cork manufacturing process, the effective diffusion 264 coefficient of CO₂ was also measured through the two cork discs glued together with a single 265 film of adhesive in between (a sample of ~9 mm thickness was taken from the two discs at the 266 end of a MA2D industrial stopper). In this case, the mean value is 6 x 10^{-13} m².s⁻¹ (Table 2). 267 This is very surprising. Such a difference can be explained by the following reasons. i) As we 268 consider no resistance to gas transfer in cork discs, this effective diffusion coefficient is 269 calculated by taking a thickness of adhesive film of 10 µm, roughly estimated from SEM 270 observation (Fig. 8). ii) During the industrial process, the adhesive layer is deposited in excess 271 and can migrate into the lenticels, causing a local increase in the thickness of the adhesive 272 film. iii) Polymerization under industrial conditions differs considerably from that applied 273 under laboratory conditions to obtain a self-supporting film at 25°C. iv) Reactions occurring 274 at the interface between cork and adhesive may locally create an additional barrier to gas 275 transfer. These effects may also explain the large distribution of effective D values measured 276 on this system (ranging from 9 x 10^{-14} to 3 x 10^{-12} m².s⁻¹). 277

Therefore, it appears that the adhesive film used to glue the two cork discs can act as a significant barrier to the CO_2 transfer, provided that the film is sufficiently thick and homogeneous.

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3.4. Critical discussion of CO₂ transfer in a sparkling wine cork stopper

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This work allows the determination of the effective diffusion coefficient values for the different parts composing a sparkling wine stopper as well as the formulation and processing parameters that can influence the gas transfer. For a deeper understanding, it is essential to couple these data together in order to elucidate the mechanisms involved in the gas diffusion when considering the material as a whole (Fig. 9).

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290 Gas transfer through the agglomerated cork body

For the gas transfer through the cork body, the CO₂ effective diffusion coefficient for a 291 non-compressed macro-agglomerated cork is about 3 x 10⁻⁵ m².s⁻¹. This very high value 292 293 shows that the gas diffusion is very fast, probably because of an important intergranular porosity. As the CO₂ diffusion coefficient in air is $1.39 \times 10^{-5} \text{ m}^2.\text{s}^{-1}$ (at 24 °C and 0.1 294 MPa)[20], it can be assumed that the porosity is totally open along the entire macro-295 agglomerated cork body. In such a case, the diffusion is mainly governed by Darcy's and 296 Knudsen's mechanisms in the intergranular porosity, considering the very high value of D. 297 This is reinforced by the fact that similar effective diffusion coefficients were obtained for O₂ 298 on non-compressed macro-agglomerated cork body (data not shown). However, the solution-299 diffusion mechanism may also still be involved to cross the cork cell walls as well as the 300 adhesive network at some points. For the micro-agglomerated cork, solution-diffusion process 301 is probably the main mechanism involved and acting as the limiting step to gas transfer (even 302

if Darcy's and Knudsen's mechanisms occur), since the porosity is reduced, leading to a 303 lower CO₂ effective diffusion coefficient of around 10⁻⁸ m².s⁻¹ in non-compressed samples. In 304 this case, there is also a difference between O₂ and CO₂ effective diffusion coefficients, 305 indicating that the solution-diffusion process plays a more important role than in the macro-306 agglomerated cork body (data not shown). In conclusion, the three mechanisms coexist 307 simultaneously and in parallel within the stoppers. On the one hand, the higher the 308 interconnected porosity, the greater the permeability will be governed by Darcy's and 309 Knudsen's mechanisms. On the other hand, the smaller the porosity, or the higher the 310 adhesive concentration, the more the permeability will be governed by the solution-diffusion 311 process, and therefore the gas transfer will be slowed down. 312

313

314 **Gas transfer through the cork discs and the adhesive film between them**

For the cork discs, Darcy's mechanism is obviously involved in the lenticels oriented in the transfer direction. As above-mentioned, it is experimentally impossible to determine such a high effective diffusion coefficient value with the manometric method. However, considering the lenticels as macropores, it can reasonably be assumed that the effective diffusion coefficient would be at least of the same order of magnitude as its molecular value in air (~ 10^{-5} m².s⁻¹).

The adhesive film between the two cork discs acts as an efficient barrier to gas transfer. The gas transfer through this film is controlled by a solution-diffusion mechanism. As we know the values of the CO₂ effective diffusion coefficient in the adhesive film between the cork discs (D = 6 x 10^{-13} m².s⁻¹), the surface area of the film S taken as the section of the bottleneck (m²) and the temperature T (K), the gas flow J (mol.s⁻¹) can be calculated as a function of the film thickness L (m) with the following equation:

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$$J = D \times S \times \frac{\Delta p \times \psi}{R \times T \times L}$$
(2)

where ψ is determined from the CO₂ sorption isotherm and corresponds to the partition coefficient, defined as the ratio between the concentration of CO₂ sorbed on the material (mol.m⁻³) and the concentration of CO₂ in the gas phase in contact with the film (mol.m⁻³) at equilibrium. A value of 0.3 was experimentally determined from the sorption isotherms for the adhesive (Fig. 3).

The dependence of the gas flow on thickness is shown in Fig. 10. From this plot, a critical 333 thickness (L_{crit}) was determined by applying the tangent method on the hyperbolic curve and a 334 constant thickness (L_{cst}) was defined as the thickness value above which the variation in gas 335 flow becomes less than 5 % for each additional micrometer. Above a L_{cst} of around 20 µm, 336 the gain in barrier property remains very low. By contrast, the gas flow drastically increases 337 for a thickness lower than the L_{crit} value (around 5 µm). In the latter case, each micrometer 338 decrease leads to a 20 to 50 % increase in the gas flow. In addition, SEM observations were 339 performed on a cross-section of the two glued cork discs (Fig. 8). The film separating the two 340 cork discs could be distinguished. In the upper disc, a lenticel is partially obstructed by the 341 adhesive. As the adhesive has been deposited in excess, the excess glue has been evacuated at 342 the periphery of the cork disc or through the open lenticular channels, as previously 343 344 mentioned. Moreover, the adhesive film does not display a homogeneous thickness. It is on average quite thin, around 10 µm thickness (Fig. 8b). It also appears up to three times thicker 345 at some places (Fig. 8c). Furthermore, the average thickness of the film between the two discs 346 lies between L_{crit} and L_{cst} values, as previously defined (Fig. 10), which means that this film 347 globally represents an efficient barrier to gas transfer. 348

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350 Global effective diffusion coefficient through the full cork stopper

The different parts of the sparkling wine stopper are disposed in series as displayed in Fig. 2. Nowadays, two different cork stoppers are mainly used in the market for sparkling wine. (i) stoppers composed of a macro-agglomerated body with two cork discs at one end (MA2D) and (ii) stoppers composed only of a micro-agglomerated cork body (MI). Considering their respective assembly, a global resistance to mass transfer R (s.m⁻¹) and a global effective diffusion coefficient D (m².s⁻¹), can be calculated for these two types of stoppers.

A rather complex case is that of the MA2D stopper, composed of a macro-358 agglomerated cork body of 36 mm, with two cork discs of 6 mm each and two adhesive films 359 of 10 µm each, as shown in Fig. 1. The global resistance to gas transfer is therefore the sum of 360 local resistances corresponding to each part of this stopper (Fig. 2). Unlike the MI stopper, 361 which is considered a homogeneous system with a single effective diffusion coefficient, the 362 MA2D stopper is heterogeneous with, for each part, a corresponding effective diffusion 363 coefficient and a solubility for CO₂. Its global effective diffusion coefficient can therefore be 364 determined according to the following equation: 365

$$\frac{L_{stopper}}{D_{stopper}\psi_{stopper}} = \sum_{i} \frac{L_{i}}{D_{i}\psi_{i}}$$
(3)

366

The values calculated for the global effective diffusion coefficient of each stopper are shown in Table 3, with, for each part composing the stopper, the respective values of thickness, partition coefficient, effective diffusion coefficient and resistance.

In this calculation, the following assumptions have been made. i) The effective diffusion coefficient values used for these calculations are taken from Table 2. It is assumed that that the corresponding effective diffusion coefficient in the cork body is not significantly different for the considered thickness in the cork stopper (as shown in Fig. 4). ii) The D value on one adhesive layer between two cork discs was measured on a non-compressed system. It may be different when compressed. In addition, for the cork disc alone, it was not possible to measure the effective diffusion coefficient on a compressed disc because it breaks during compression. iii) The compression brought by the muselet on the outer part of the stopper is not taken into account. iv) For the cork disc, a partition coefficient of 1 is used as the transfer follows Darcy's mechanism. A value of 0.9 is used for the stopper and 0.3 for the adhesive (Fig. 3). v) The gas transfer that may occur at the cork/bottleneck interface is not considered in this work.

382 From equation 3, the limiting step to the gas transfer is therefore associated with the part having the strongest resistance to gas transfer (Fig. 2). In this case, this is the adhesive 383 films used to glue the two cork discs (Table 2). Assuming that these films have no defect and 384 have sufficient thickness over the entire disc surface, this is the essential part that is 385 responsible for the barrier properties of MA2D stoppers. The global effective diffusion 386 coefficient of MI stopper was also calculated considering a micro-agglomerated cork body of 387 48 mm. When considered as non-compressed materials, the global resistance to gas transfer is 388 higher for MA2D than for MI stoppers (Table 3). 389

However, when used in compressed conditions for sparkling wine conservation, the 390 global effective diffusion coefficient and resistance to mass transfer change. Let us consider a 391 stopper partially inserted in a bottleneck with a penetration depth of 24 mm inside the 392 bottleneck and 16 mm remaining non-compressed outside. The global effective diffusion 393 coefficient D and resistance R calculated in these conditions for the MA2D and MI stoppers 394 are reported in Table 3. Regarding the value obtained, when the stoppers are considered as 395 compressed in the bottleneck, MI stoppers have a resistance to mass transfer 3 times higher 396 than a MA2D stopper. 397

Liger-Belair *et al.* were the first to estimate a CO_2 effective diffusion coefficient through MA2D cork stoppers for sparkling wine, based on the dissolved CO_2 concentration

decrease in different Champagne wine vintages (from 2 months to 35 years of storage)[5, 6]. 400 However, they did not focus in detail on the transfer mechanisms acting in such a composite 401 material. In the present work, the detailed study of the agglomerated cork stoppers allows us 402 to clearly identify the limiting step to gas transfer and thus the parameters responsible for 403 providing good barrier properties. The global effective diffusion coefficient value determined 404 in our study is in the same order of magnitude $(4 \times 10^{-10} \text{ m}^2.\text{s}^{-1})$ as those reported by Liger-405 Belair et al. (from 5 x 10⁻¹¹ to 3 x 10⁻¹⁰ m².s⁻¹) and measured in situ on different aged 406 Champagne wine samples [5, 6]. The global effective diffusion coefficient calculated from the 407 individual effective diffusion coefficients measured on each part is therefore in good 408 agreement with the global effective diffusion coefficient values obtained from their in situ 409 experiments. 410

411

412 <u>Toward the shelf life prediction of corked bottles of sparkling wine based on CO2</u> 413 <u>effective diffusion through the stopper</u>

Bubble formation is indeed the hallmark of sparkling wines. The intensity of effervescence 414 and the bubbles' size, two characteristics of paramount importance for sparkling wines lovers, 415 both depend on the level of dissolved CO₂ found in a sparkling wine[21]. Nevertheless, below 416 a critical level of dissolved CO₂ close to 2.5 g.L⁻¹ (at 12 °C), namely C_L^* , a sparkling wine 417 becomes thermodynamically unable to promote any bubble formation under standard tasting 418 conditions (i.e., in a glass, with micrometric particles or glass anfractuosities acting as bubble 419 nucleation sites), as described by Liger-Belair[22]. The precise knowledge of the permeability 420 of a cork stopper with regard to gas-phase CO₂ becomes therefore crucial to be able to 421 understand how a sparkling wine will age as time proceeds, especially concerning its 422 progressive decrease in dissolved CO₂. In bottles of sparkling wines sealed with cork stoppers, 423 because the partial pressure of gas-phase CO_2 in the bottleneck reaches up to 6 bar (at 12 °C), 424

425 CO_2 slowly diffuses from the bottle to the ambient air, either through the cork bulk or through 426 the cork/bottleneck interface. By combining both Henry's and Fick's laws, an exponential 427 decay-type model was found for the theoretical time-dependent level of dissolved CO_2 found 428 in champagne during aging (in the MKS system of units)[5]:

⁴²⁹
$$\begin{cases} C_L(t) \approx C_0 \exp\left(-\frac{t}{\tau}\right) \\ with \ \tau = \frac{L(V_G + k_H RTV_L)}{DS} \end{cases}$$
(4)

with C_0 the initial level of dissolved CO₂ after corking the bottle, t the aging period of time, 430 τ the timescale of the exponential decay-type model, L the total length of the cork, V_L the 431 volume of the liquid phase in the sealed bottle, k_{H} the temperature-dependent Henry's law 432 constant of CO₂ (conveniently expressed in mol.m⁻³.Pa⁻¹)[22], V_G the volume of gas phase 433 (the headspace) in the sealed bottle, R the ideal gas constant (8.31 J.K⁻¹.mol⁻¹). T the 434 temperature, D the global diffusion coefficient of gas-phase CO₂ through the cork stopper, 435 and S the cross section of the cork stopper (equivalent indeed to the cross section of the 436 bottleneck). The global D values (given in Table 3) are used in this calculation. 437

Following the exponential decay-type law given by equation 4, it becomes therefore possible to predict the shelf life of corked bottles of sparkling wines (i.e., the time beyond which the concentration of dissolved CO₂ fall below the critical concentration of 2.5 g.L⁻¹ required for bubbling)[6]. Replacing $C_L(t)$ in equation 4 by the critical concentration of dissolved CO₂ below which bubble formation would become impossible, and developing, leads to the critical aging period of time, denoted t_B^* , beyond which bubbling would become impossible through lack of dissolved CO₂:

445
$$t_B^* \approx \tau \ln \left(\frac{C_0}{C_L^*} \right)$$
(5)

By replacing in the latter equation each parameter by its numerical value, it becomes therefore 446 possible to approach the maximum period of aging (and therefore a shelf life prediction) 447 beyond which a bottle of sparkling wine could become flat. For a standard 75 cL bottle of 448 sparkling wine initially holding a level of dissolved CO_2 close to 12 g.L⁻¹[21], the theoretical 449 mean shelf life prediction is in the order of 10 years if the bottle is sealed with a MA2D cork 450 stopper. The distribution is rather large, from 2 to 65 years, if we consider the minimum and 451 maximum values for all the parts composing the stopper, and underlines the crucial barrier 452 role of the adhesive film between the discs. If the same bottle of sparkling wine is sealed with 453 a MI cork stopper, its theoretical mean shelf life prediction is increased to about 30 years. In 454 this case, the distribution is reduced, ranging from 20 to 50 years. A shelf life prediction of 30 455 years before the sparkling wine would become flat is nevertheless quite hard to verify in situ, 456 because MI cork stoppers have only been used for about two decades only. In contrast, MA2D 457 cork stoppers have been used to seal bottles of champagne and sparkling wines for several 458 decades. Time series data recordings of dissolved CO₂ were already done in situ with cuvees 459 sealed with MA2D cork stoppers and aged from several years up to several decades[5, 6, 23]. 460 The dissolved CO₂ content found in these bottles having aged for a much longer period of 461 time than the theoretical shelf life prediction of 10 years was found to be still much higher 462 than the critical level of 2.5 g.L⁻¹ required for bubble formation. Moreover, it is worth noting 463 that the global diffusion coefficients determined under compressed conditions in the present 464 work do not take into account the gas transfer that may occur at the cork/bottleneck 465 interface[16, 24]. Taking this into account would even more increase the respective global 466 diffusion coefficients, therefore leading to theoretical shelf life predictions even shorter. We 467 are therefore strongly tempted to conclude that the real storage conditions experienced by the 468 corks are in favor of a much better impermeability with regard to gas-phase CO₂. This is the 469

reason why Champagne and sparkling wine bottles can age for several decades before theylose their bubbling capacity.

A crucial point also finally unveiled by this work is that, the dry compressed 472 conditions, under which global CO₂ diffusion coefficients have been determined in the present 473 work, are still far from the real conditions found in a bottleneck. In a bottleneck, the cork ages 474 in contact with the wine (if bottles are stored horizontally) or in contact with a vapor phase 475 saturated with water and ethanol (if the bottles are stored vertically). Changes in the structure 476 of the cork during aging could therefore alter the way in which CO₂ molecules move from the 477 headspace of the bottle to the ambient air, either through the cork stopper, or through the 478 interface between the bottleneck and the cork stopper. Moreover, it is possible that prolonged 479 aging could progressively moisturize the cork stopper, thus filling the pores, and reducing in 480 turn the global diffusion coefficient of CO₂ through the cork stopper. Further experiments are 481 needed to fully understand how the global diffusion coefficient of CO₂ through cork stopper 482 could change as time proceeds during aging. 483

484

485 **4.** Conclusion

486

This study clearly identified the parameters that can influence the gas barrier properties 487 through sparkling wine cork stoppers. The parameter having the strongest impact on the 488 barrier properties is the compression of the agglomerated cork body, which drastically reduces 489 the effective diffusion coefficient, when applying a 70 % reduction in volume, corresponding 490 to the compression in the bottleneck. Other parameters with a significant impact on the CO_2 491 effective diffusion are the cork particle size along with the adhesive concentration in the 492 agglomerated cork body. The smaller the cork particles and, correlatively, the higher the 493 adhesive concentration, the higher the CO₂ barrier property. Both of these associated 494

495 parameters result in a decrease of the intergranular porosity. Nevertheless, this effect tends to496 be mitigated when the samples are highly compressed.

The limiting step to gas transfer is the diffusion through the adhesive present both in the network of the agglomerated cork body and in the film between the two cork discs. The diffusion mechanism involved is thus the solution-diffusion process through the adhesive polymeric network. Given these results, it is therefore essential that the adhesive network, particularly that between the two cork discs, is as homogeneous as possible and sufficiently thick to act as an efficient barrier to gases.

Finally, it should be pointed out that the values reported in this study agree rather well 503 with those obtained in real conditions of aging of Champagne wine, even if only the cork 504 stopper is considered. Indeed, the role of the interface between the stopper and the bottleneck, 505 and the surface treatment applied on the stopper were not taken into account. Moreover, the 506 evolution of the mechanical and barrier properties during real bottle aging could also play an 507 important role, in particular when considering the stopper in contact with an hydroethanolic 508 solution. However, this study clearly shows the effectiveness of the cork stopper for the 509 conservation of the sparkling wine and its ability to maintain a sufficient dissolved 510 concentration and partial pressure of CO_2 in the headspace over many years. 511

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579 Gougeon, P. Schmitt-Kopplin, J.P. Bellat, Wine aging: A bottleneck story npj Science of Food 3 (2019) Article 14.



- 2 Fig. 1. Detailed structure of agglomerated cork stoppers used for sparkling wines,
- consisting of macro or micro cork particles, and usually two additional cork discs. The
- 4 reduction in volume when the cork stopper is inserted into a bottleneck is also indicated.



9 the partition coefficient (ψ) of each part of the stopper the gas has to go through.



Fig. 3: Sorption-desorption isotherms of CO₂ on macro-agglomerated cork, aromatic adhesive and adhesive for cork disk, at 25 °C. The quantity of CO₂ sorbed is given in mmol of CO₂ per gram of dry matter.





2 Fig. 4: a) Experimental data and normalized distribution obtained for the CO₂ effective

3 diffusion coefficient values measured on 10 mm slices of macro-agglomerated cork body with

- 4 8 % of aromatic adhesive. b) Extrapolated distribution of the CO₂ diffusion coefficient (-) for
- 5 a full-length stopper (40 mm) obtained from the experimental distribution (-) on 10 mm slices.



Fig. 5: Extrapolated distribution of CO₂ effective diffusion coefficients (D) through noncompressed full-length (40 mm) macro-agglomerated cork body (with 8 % and 15 % m/m of
aromatic adhesive) and micro-agglomerated cork body (with 20 % and 25 % of aromatic
adhesive).



Fig. 6: SEM images of a) macro-agglomerated cork with intergranular porosity and b)
 micro-agglomerated cork with adhesive.



Fig. 7: Extrapolated distribution of CO₂ effective diffusion coefficient (D) through fulllength (40 mm) macro-agglomerated cork body (with 8 % of aromatic adhesive) noncompressed (-) and compressed (- · -) and micro-agglomerated cork body (with 20 % of
aromatic adhesive) non-compressed (-) and compressed (- · -). Sample diameters are
reduced from 30 to 17 mm with the compression.



Fig. 8: SEM observations of: a) the adhesive film (aqueous dispersion of PUs)
separating the two cork discs at the end of a sparkling wine stopper; b) and c) magnified
selected film sections with indication of the thickness.



Fig. 9: Comprehensive overview of CO₂ effective diffusion coefficient values
determined for the different parts comprising a cork stopper for sparkling wine and
depiction of the mechanisms involved in the gas transfer. The diffusing mechanisms are
only represented for the non-compressed macro-agglomerated cork, but occur in a
similar manner in the micro-agglomerated cork and the compressed samples.



Fig. 10: Effect of the film thickness on the CO₂ flow through the adhesive film used
between the two cork discs. The gas flow was calculated from the Equation 2 for a film
thickness from 1 to 60 µm (each point corresponds to 1 µm).

Table 1: Sample geometry and conditions used to determine the effective diffusion
 coefficient of CO₂ in the different parts composing the sparkling wine stopper.

Sample part	Geometry	Extrapolated length	Number of replicates
Agglomerated cork body Non-compressed	Slice of 10 mm thickness Diameter: 30 mm	40 mm	15
Agglomerated cork body Compressed	Slice of 6 mm thickness Diameter: 17 mm	40 mm	10
Adhesive for agglomerated body Non-compressed	Film of ~700 µm thickness	-	10
Adhesive for cork discs Non-compressed	Film of ~700 µm thickness	-	10
Two cork discs with the adhesive layer in between Non-compressed	Slice of 9 mm thickness Diameter: 30 mm	-	15

Table 2: Mean values of CO₂ effective diffusion coefficient, D (m².s⁻¹), at 25 °C,
 obtained from the extrapolated distribution to 40 mm length for the agglomerated cork
 samples or from the experimental distribution for the adhesive film samples. Data in
 brackets are minimum and maximum values including standard deviation from the
 corresponding distribution. (n.d.: not determined)

Sample	Mean D (m ² .s ⁻¹) (Dmin - Dmax)	
Macro-agglomerated 8 % aromatic non-compressed cork body	3 x 10 ⁻⁵ (1 x 10 ⁻⁵ – 7 x 10 ⁻⁵)	
Macro-agglomerated 15 % aromatic non-compressed cork body	9 x 10 ⁻⁶ (3 x 10 ⁻⁶ – 2 x 10 ⁻⁵)	
Micro-agglomerated 20 % aromatic non-compressed cork body	8 x 10 ⁻⁸ (3 x 10 ⁻⁸ – 2 x 10 ⁻⁷)	
Micro-agglomerated 25 % aromatic non-compressed cork body	2 x 10 ⁻⁸ (1 x 10 ⁻⁸ – 3 x 10 ⁻⁸)	
Macro-agglomerated 8 % aromatic compressed cork body	5 x 10 ⁻⁹ (3 x 10 ⁻⁹ – 9 x 10 ⁻⁹)	
Micro-agglomerated 20 % aromatic compressed cork body	8 x 10 ⁻¹¹ (5 x 10 ⁻¹¹ - 1 x 10 ⁻¹⁰)	
Aromatic adhesive for cork body (film of ~700 µm thickness)	8 x 10 ⁻¹¹ (2 x 10 ⁻¹¹ - 3 x 10 ⁻¹⁰)	
Adhesive for cork disc (film of ~700 µm thickness)	$4 \ge 10^{-11}$ (2 \times 10^{-11} - 9 \times 10^{-11})	
Cork disc	n.d. \approx D CO ₂ in air ($\approx 10^{-5}$)	
One adhesive layer in between two cork discs, non-compressed (film of 10 µm estimated thickness, based on SEM pictures)	6 x 10 ⁻¹³ (9 x 10 ⁻¹⁴ - 3 x 10 ⁻¹²)	

Table 3: Values of the global effective diffusion coefficient D (m².s⁻¹) calculated from
the mean effective diffusion coefficient of the different individual parts, their
partitioning coefficient for CO₂ and their respective thickness L (m), considering
various assembly geometries. The global D value (given in bold for each case) was
calculated assuming the global resistance to mass transfer as the sum of the resistances
of all stopper parts.

Stopper	Stopper part	Thickness L (x 10 ⁻³ m)	Partitioning coefficient ψ	Effective diffusion coefficient D (m².s ⁻¹)	Resistance R (s.m ⁻¹)
	Non-compressed macro-agglomerated cork body	36	0.9	3 x 10 ⁻⁵	1 x 10 ³
1. 1. 1. 1. 1. 1. 1. 1. 1. 1. 1. 1. 1. 1	Adhesive layer (x2) *	0.01	0.3	6 x 10 ⁻¹³	6 x 10 ⁷
	Cork disc (x2) **	6	1	1 x 10 ⁻⁵	6 x 10 ²
MA2D non-compressed		48	0.9	4 x 10 ⁻¹⁰	1 x 10 ⁸
	Non-compressed micro-agglomerated cork body	48	0.9	8 x 10 ⁻⁸	7 x 10 ⁵
MI non-compressed		48	0.9	8 x 10 ⁻⁸	7 x 10 ⁵
	Non-compressed macro-agglomerated cork body	16	0.9	3 x 10 ⁻⁵	6 x 10 ²
	Compressed macro- agglomerated cork body	12	0.9	5 x 10 ⁻⁹	2 x 10 ⁶
	Adhesive layer (x2) *	0.01	0.3	6 x 10 ⁻¹³	6 x 10 ⁷
	Cork disc (x2) **	6	0.3	1 x 10 ⁻⁵	6 x 10 ²
MA2D inserted in bottleneck**		40	0.9	4 x 10 ⁻¹⁰	1 x 10 ⁸
	Non-compressed micro-agglomerated cork body	16	0.9	8 x 10 ⁻⁸	2 x 10 ⁵

		Compressed micro- agglomerated cork body	24	0.9	8 x 10 ⁻¹¹	3 x 10 ⁸
	MI inserted in bo	ttleneck***	40	0.9	1 x 10 ⁻¹⁰	3 x 10 ⁸
7	*Value measured on one adhesive layer between two cork discs, non-compressed					
8	** Value taken as D CO ₂ in air					

** Value taken as $D CO_2$ in air

** The gas transfer that may occur at the cork/bottleneck interface was not considered in this work (The bottleneck is only used for illustration purpose of the corresponding case study) 9 10

- 1 Graphical abstract

