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1 **Enterocin A-based antimicrobial film exerted strong antilisterial activity in sliced**
2 **dry-cured ham immediately and after 6 months at 8 °C.**

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22 **Abstract**

23 To minimize the survival of *Listeria monocytogenes* on ready-to-eat (RTE)-products,
24 active antimicrobial packaging based on polyvinyl alcohol films with Enterocin A or
25 ethyl-lauroyl-arginate (LAE) have been designed and its antimicrobial activity assessed
26 in vacuum-packed sliced dry-cured ham stored under refrigeration.

27 The Enterocin A-based antimicrobial film exerted a strong antilisterial activity, causing
28 an immediate reduction of *L. monocytogenes* counts of 1 log units compared with the
29 control without antimicrobial. Besides, Enterocin A film enhanced (4-fold higher) the
30 die-off rate along the 6 months of storage at 8 °C. The antilisterial effect of Enterocin A
31 film applied on dry-cured ham complies with the performance criteria requirement of
32 Alternative 1 of the US Listeria rule regarding the control of *L. monocytogenes*. Films
33 made with LAE did not exert an immediate bactericidal effect but slightly increased the
34 die-off rate of the pathogen and reduced its counts during the shelf life compared to the
35 control batch.

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39 **Keywords:** active packaging, Enterocin A, bacteriocin, LAE, dry-cured ham,
40 antilisterial.

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42 1. Introduction

43 *Listeria monocytogenes* has become one of the major food safety concerns,
44 particularly in ready-to-eat (RTE) food. Although the reported morbidity, as the total
45 number of cases, is not high compared to other foodborne pathogens, *L.*
46 *monocytogenes* has one of the highest reported mortality rates, 17.6% in European
47 Union 2019 (EFSA-ECDC, 2021). Dry-cured ham is not considered a high-risk product
48 for *L. monocytogenes* because it does not support the growth of the pathogen, mainly
49 due to its low final water activity (FSIS, 2005; Serra-Castelló et al., 2020).
50 Nevertheless, the pathogen could recontaminate the product from the food-processing
51 environment, e.g., during the preparation of convenient formats of commercialization as
52 RTE sliced and packaged product. Indeed, the ubiquity of the pathogen on food
53 industries environment and presence on the product at low levels, usually < 100
54 CFU/g, has been reported (Nolan et al., 1992, Gómez et al., 2012; Martin et al., 2014).
55 This level of contamination does not represent a problem for the accomplishment of the
56 EU criterion of *L. monocytogenes* (< 100 CFU/g during the product shelf life, European
57 Commission, 2005). However, to assure the accomplishment of the more conservative
58 “zero tolerance” policies for RTE foods (not detected in 25 g) as applied for the United
59 States Department of Agriculture - Food Safety Inspection Service (USDA-FSIS) (FSIS,
60 2015), some post-processing intervention technologies to decontaminate the final
61 product could be needed if exportation to those countries is considered.

62 Active packaging with natural and Generally Recognized as Safe (GRAS) chemical
63 additives could represent one of the alternatives to control *L. monocytogenes*,
64 guaranteeing the accomplishment of zero tolerance requirements. Antimicrobial
65 packaging has the advantage that the antimicrobial substances are not directly added
66 to the food product, thus the antimicrobials can be stabilized and gradually released on
67 the surface of the product, maintaining an adequate concentration along the shelf life,
68 where they are mostly needed (Coma, 2008). Some factors such as the chemical

69 nature of the antimicrobial and the food, storage and distribution conditions, application
70 mode, interactions between the antimicrobial and the film polymer, diffusion from the
71 packaging material to the food and/or inactivation by interaction with the food matrix
72 determine the antimicrobial effectiveness to prolong the shelf life or enhance safety
73 (Appendini and Hotchkiss, 2002; Aymerich et al., 2008; Bastarrachea et al., 2010;
74 Suppakul et al., 2003). Considering all these factors, the efficacy of specific strategies
75 aiming at controlling *L. monocytogenes* in RTE food need to be validated (FSIS, 2015)
76 in a product-specific oriented approach (Hereu et al, 2012). The objective of this study
77 was to assess the potential of biodegradable active films prepared with Enterocin A, a
78 type IIa bacteriocin from lactic acid bacteria, recognized as a potent antilisterial
79 compound (Aymerich et al., 1996; Eijsink et al., 1998) and ethyl-lauroyl-arginate, (LAE),
80 a GRAS (notice n° 000164) synthetic surfactant and EU authorised additive (code E-
81 243) with wide antimicrobial spectrum, as effective intervention strategies to
82 accomplish zero tolerance of *L. monocytogenes* in a RTE meat product such as
83 packaged sliced dry cured ham.

84 **2. Material and methods**

85 ***2.1. Dry-cured ham and its physico-chemical characterisation***

86 A block of deboned vacuum-packed Spanish dry-cured ham was purchased directly
87 from the producer and stored under refrigeration until use. Water activity was
88 measured with an Aqualab™ equipment (series 3, Decagon Devices Inc., Pullman,
89 WA, USA). pH was assessed by direct measurement with a penetration probe (52-32,
90 Crison Instruments SA, Alella, Spain) connected to a portable pH-Meter (pH25,
91 CRISON Instruments). Protein, fat, and moisture content were determined according to
92 the AOAC official method 2007.04 (Anderson, 2007), using a near-infrared
93 spectrophotometer system (FoodScan™Lab device, FOSS Analytic, Hillerod,
94 Denmark). The salt content was measured according to ISO 1841-2:1996 method by

95 analyzing the chloride content with a potentiometric titrator 785 DMP Titrino (Metrohm
96 AG, Herisau, Switzerland). Analyses were performed in triplicate.

97 **2.2. Antimicrobials and antimicrobial packaging (film) preparation**

98 The antimicrobial compound, Enterocin A was obtained from an overnight culture of
99 *Enterococcus faecium* CTC492 (Aymerich et al. 1996). The centrifuged supernatant
100 (8,000 x g 10 min) was purified through an ionic interchange resin (CM Sephadex™ C-
101 25, GE Healthcare Bio Sciences AB, Uppsala, Sweden) (Abriouel et al., 2003). The
102 bacteriocin was eluted from the column with 0.4 M NaCl in 10 mM phosphate buffer.
103 The active fraction was dialyzed at refrigerated temperature (4 °C) with 3 complete
104 buffer changes (10 ml volume, cut off membrane, 500 Da MWCO, Float-A-lyzer G2,
105 Spectrum Labs, Indiana, USA) and lyophilised for 24 h (CHRIST ALPHA 1-4 with LDC-
106 1M controller, Martin Christ Gefriertrocknungsanlagen GmbH, Osterode am Harz,
107 Germany). The purified dry extract of the bacteriocin Enterocin A was applied to the
108 film matrix (see below) to obtain a maximum of 9 µg/g (13,000 AU/g) equivalent to 2.25
109 µg/cm² (3,250 AU/cm²) of the antimicrobial onto the food matrix if 100% migration is
110 considered. For LAE, a commercial preparation, Mirenat® DC (Vedeqsa, Grupo
111 Lamirsa, Barcelona, Spain) containing 8.5% of the active substance was used. An
112 estimated maximum final concentration of 160 µg/g (equivalent to 66.6 µg/cm² on the
113 product if 100% migration) was considered, representing the maximum permitted
114 concentration of the antimicrobial in Europe for heat-treated meat products (i.e., 160
115 mg/kg). In the USA, a maximum of 200 mg/Kg is permitted.

116 Three different types of polyvinyl alcohol-based films were prepared: a control (without
117 antimicrobials), an antimicrobial active film containing Enterocin A (Enterocin A-film)
118 and an antimicrobial active film containing LAE (LAE-film). The films were prepared
119 from a suspension matrix of 13% w/v powdered polyvinyl alcohol (PVOH, Sigma
120 Aldrich, St. Louis, MO, USA) in distilled water. To melt the polymer, the solution was
121 autoclaved at 120°C for 30 min. The melted biodegradable plastic was cooled to 50 °C

122 and then, each antimicrobial (i.e., Enterocin A or LAE) was added at the concentration
123 stated above and mixed with the matrix. The films were extended by casting (20 x 20
124 cm) with a thin layer chromatography coater (CAMAG, Switzerland) and air-dried for 20
125 h under the flow of a Biosecurity cabinet (BIO-II-A, Telstar, Terrassa, Spain). The film
126 thickness was determined with an electronic digital micrometer (0 - 150 mm digital
127 caliper, Mitutoyo, Japan) with 0.01 mm resolution. Three thickness measurements
128 were randomly taken on each test sample. The films were maintained in food-grade
129 hygienic sealed polyamide/polyethylene (PA/PE) plastic bags (Sacoliva, Barcelona,
130 Spain) at room temperature until use.

131 The antimicrobial activity of the films against *L. monocytogenes* was verified *in vitro*
132 accordingly to the agar spot test (Tagg et al., 1976). A piece of a 2 x 2 cm of the active
133 film was placed on a seeded layer of an overnight culture of the indicator
134 microorganism (*L. monocytogenes* strain pool, Table 1) in TSAYE soft made of tryptic
135 soy broth (Merck, Darmstadt, Germany) with 6 g/L of bacteriological Agar (Merck) and
136 0.6% Bacto™ yeast extract (BD, Becton, Dickinson and Company, Erembodegem,
137 Belgium). The plates were incubated at 37 °C and the inhibition halo was verified at
138 24h and 48h. The assay was performed immediately after film preparation, before the
139 challenge test (after a week of storage at room temperature) and at each sampling time
140 during the storage in order to assess the stability of the active films.

141 **2.3. Inoculum, sample preparation and storage**

142 Four different *L. monocytogenes* strains previously isolated from dry-cured ham (Table
143 1, Ortiz et al, 2010) and stored at - 80 °C with 20 % glycerol, were consecutively grown
144 in tryptic soy broth (Merck) with 0.6% Bacto™ yeast extract (Becton, Dickinson and
145 Company) for 24 h 30 °C and for 4 days at 8 °C to pre-adapt cells to the refrigeration
146 temperature (EURLLm, 2021) until the stationary growth phase was reached. The

147 strains were mixed at equal concentrations in a cocktail used to inoculated dry-cured
148 ham as generally recommended for challenge tests studies (NACMCF, 2010).

149 The dry-cured ham was aseptically sliced at 2 mm thickness. Slices were cut in pieces
150 of 4 x 4 cm (ca. 4 g) for the challenge test with the active films containing Enterocin A
151 (lab-scale extract) and in pieces of 9 x 9 cm (ca. 15 g) for challenge with active films
152 containing LAE (commercial product) and the control film (without antimicrobial).

153 To quantify the lethal effects (inactivation) of the active films on *L. monocytogenes*,
154 high inoculum level was used as recommended by the National Advisory Committee on
155 Microbiological Criteria for Food guidelines (NACMCF 2010). Therefore, the surface of
156 the dry-cured ham slices was inoculated with 1 % v/w of the *L. monocytogenes* cocktail
157 (described above) to reach ca. 6 Log CFU/g. The inoculum was distributed over the
158 surface of the product with a sterile *Digrasliki* spreader until absorbed. Afterwards,
159 samples were covered with active antimicrobial film of 5 x 5 cm for Enterocin A-films
160 and 10 x 10 cm for LAE-films and control-films, respectively. Finally, the samples were
161 vacuum-packed (EV-15-2-CD, Tecnotrip, Terrassa, Spain) in PA/PE (Sacoliva) plastic
162 bags and stored at 8 °C (7.86 °C ± 0.36). Along the storage, temperature was recorded
163 by a wireless temperature sensor connected to the Evisense-labguard® system
164 (BioMérieux, France).

165 Samples of each treatment together with the control batch were analysed in duplicate
166 at 10 different times: 0, 5, 9, 16, 30, 49, 69, 86, 114, 141 and 177 days, during
167 refrigerated storage. The experiment was performed in two independent batches.

168 **2.4. Microbiological analysis**

169 Each sample was 10-fold diluted and homogenized in a Masticator blender (IUL, S.A.,
170 Barcelona, Spain) for 60 s. Afterwards, 10-fold serial dilutions were performed in
171 physiological saline water with 0.85% NaCl (Merck, Mollet del Vallés, Spain) and 0.1%
172 Bacto peptone (BD). Enumeration of *L. monocytogenes* was performed on

173 Chromogenic Listeria Agar (CLA, Oxoid Ltd., Basingstoke, UK) after incubation at
174 37 °C for 48 - 72 h. To increase limit of detection to 10 CFU/g, 1 ml of the 10-fold
175 diluted sample homogenate was spread on CLA plates of 14 cm diameter. When
176 counts were below the plate detection limit, the presence of the pathogen was
177 investigated by sample enrichment in TSBYE at 37°C for 48 h and streaking the
178 enriched broth on CLA. Detection of *L. monocytogenes* in the enriched sample was
179 recorded as 0.9 log CFU/g for fitting purposes.

180 **2.5. Estimation of inactivation kinetic parameters**

181 Inactivation kinetic models were fitted to the log count data to estimate the inactivation
182 kinetic parameters. In particular, log-linear model was used for data from control and
183 LAE active film batches, while log-linear with tail was used for the Enterocin A active
184 film batch. The goodness of fit indexes RSS, RMSE and R_{adj}^2 were recorded. Model
185 fitting was implemented using the packages nls2, and nls tools and the functions nls2,
186 nls and confint2 of R software (<http://www.R-project.org/>).

187 **3. Results and discussion**

188 The antilistericidal activity of Enterocin A active films, with an average thickness of 0.5
189 ± 0.1 mm, was confirmed *in vitro*, either after film preparation, before the challenge test
190 and during the whole period of the product storage study by the presence of an
191 inhibition growth halo around the film on the *L. monocytogenes* grown plate. This result
192 indicates that the added antimicrobial concentration in the active film was stable
193 enough to support a release of the antimicrobial to the surface all over the storage
194 period, which is a necessary for an efficient antimicrobial packaging (Quintavalla and
195 Vicini, 2002). The LAE films, with an average thickness of 0.5 ± 0.2 mm did not present
196 an halo of inhibition around the film, similarly to what was reported for nisin films in a
197 cellulose polymer by dos Santos Pires et al. (2008) and Scannell et al. (1997). The
198 formation of a zone of inhibition depends on the diffusion capacity of the antimicrobial

199 compound from the film into the culture media and the indicator microorganism growth
200 rate. Similarly, in the current study, the antimicrobial film could have exerted its action
201 by migration or by direct contact of the active substance to the matrix. Due to the
202 importance of the matrix effect, a product-specific approach is needed to validate the
203 antilisterial activity in real food.

204 In this study, the antilisterial activity of the active films was assayed on sliced dry-cured
205 ham with the following physico-chemical characteristics: 16.7% (standard deviation, SD
206 =5.07) fat, 28.0% (SD= 3.1) protein, 45.3% (SD= 3.0) moisture, 5.7% (SD= 0.02) salt, a
207 water activity of 0.890 (SD= 0.005) and pH 5.93 (SD= 0.1). These values, mainly water
208 activity, make dry-cured ham a product that does not support the growth of *L.*

209 *monocytogenes*, thus being classified into category 1.3 according to the EU
210 microbiological criteria (European Commission, 2005). Nevertheless, without any
211 further control intervention *L. monocytogenes* can survive on the product (Figure 1,
212 control batch). Indeed, Hereu et al. (2012) reported that the pathogen did not suffer any
213 significant reduction on a dry-cured ham of a water activity of 0.92, and only 1 log
214 reduction after 60 days of storage at 8 °C in products with a water activity of 0.88. The
215 water activity of dry-cured ham in the present study was between these two values and
216 the time for 1 log reduction was 88 days. The Food Safety and Inspection Service
217 (FSIS, 2015) will consider a water activity of ≤ 0.85 at the time the product is packed to
218 be a post-lethality treatment and to be an antimicrobial treatment if the establishment
219 provides supporting documentation that *L. monocytogenes* is reduced by at least 1 log
220 before the product leaves the establishment. Thus, to enhance the die-off, some
221 intervention technologies, such as the ones proposed in this study, could be needed.

222 Figure 1 shows *L. monocytogenes* counts in dry-cured ham with the three types of films
223 during the storage at 8°C. The estimated inactivation kinetics parameters are
224 summarised in Table 2. The active packaging with Enterocin A-films exerted an
225 immediate bactericidal effect over the pool of *L. monocytogenes* strains artificially

226 inoculated onto the dry-cured ham, reducing the counts of *L. monocytogenes* by 1.5 log
227 units in just the 5 days. After about 2 weeks of storage, a 2-log reduction was achieved.
228 The Enterocin A-active film was able to further reduce *L. monocytogenes* counts all
229 over the storage period, with the die-off rate (k_{max} , days⁻¹) being 4.2-fold higher when
230 compared to the control-film batch without antimicrobial. According to the model fit, a
231 tail occurred after 92 days of storage (with a CI₉₅ between 71-114 days). However, at
232 the end of the storage study, after ca. 6 months, *L. monocytogenes* was below the
233 quantification limit but detected in the 4 g sample unit, which represented a
234 concentration 4 log lower when compared to the final concentration observed in the
235 control batch (ca. 5 log CFU/g). Therefore, the results of the challenge test in dry-cured
236 ham confirmed the *in-situ* efficacy of the antimicrobial active film. The application of
237 Enterocin A-antimicrobial active films could facilitate the accomplishment of the zero-
238 tolerance policy. If used in dry-cured ham the product could fall into Alternative 1
239 operating procedure considered within the US Listeria rule (which combines a post-
240 lethality kill step with an antimicrobial agent; 9 CFR 417.4 and 430.4; FSIS, 2015),
241 which would allow the producer to label the product with the claim “enhanced
242 protection against *L. monocytogenes*”. This is in contrast with the results of Hereu et al
243 (2012), which reported a more limited antimicrobial effect of nisin-added polyvinyl film
244 applied in dry-cured ham of two different values of water activity (0.92 and 0.88).
245 Contrary to nisin (E234, GRAS recognized notice nº 000065), Enterocin A is not an
246 authorized food additive and is not yet recognized as GRAS. However, its more
247 powerful antilisterial activity when used in active packaging compared to nisin, points
248 out its potential as reliable antimicrobial to be considered for antimicrobial packaging.
249 Enterocin A, nisin and some other bacteriocins produced by lactic acid bacteria have
250 already been assayed for its antilisterial effect when added in antimicrobial packaging
251 intended for other type of meat products, especially those products that support the
252 growth of the pathogen. The Enterocin A active polyvinyl alcohol films were tested on

253 cooked ham and fermented sausages (Marcos et al., 2007; Marcos et al., 2013).
254 Enterocin 416K1 from *Enterococcus casseliflavus* IM416K1, entrapped in an organic
255 hybrid coating applied to LDPE (low-density polyethylene) were assayed on
256 contaminated frankfurters and fresh soft cheeses (Iseppi et al., 2008). Bacteriocins
257 from *L. curvatus* CRL705 active films were tested on wiener sausages (Blanco Massani
258 et al. 2008, Blanco Massani et al. 2013 and Blanco Massani et al. 2014), while
259 bacteriocin 32Y from *L. curvatus* 32Y, coated in polythene (PE) film, on pork steak and
260 ground beef (Mauriello et al., 2004) and sakacin A from *L. sakei* DSMZ 6333, included
261 in active pullulan films, on turkey breast (Trinetta et al., 2010). Montiel et al (2019)
262 applied enterocin directly to the surface of dry-cured ham and observed a reduction of
263 2-log of *L. monocytogenes* after 14 days of storage at 7°C when compared to control
264 ham. This lethal effect was of the same order as the effect reported in the present
265 study using active films. Therefore, this is the first time that an effective antimicrobial
266 film based on Enterocin A is proved for dry-cured ham.

267 The active antimicrobial packaging consisting of LAE-film, applied to a concentration
268 equivalent to the maximum EU dose authorized for cooked meat products (i.e., 160
269 mg/kg, European Commission, 2014) did not exert an immediately bactericidal effect
270 (Figure 1). The die-off rate (expressed by the k_{max} , Table 2) was slightly higher (1.65-
271 fold) when compared to the control batch. However, the treatment could not be
272 considered cost-effective in terms of *L. monocytogenes* reduction because more than
273 50 days of storage at 8 °C would be necessary to cause 1 log reduction before
274 releasing the product to the market to make this intervention compatible with
275 Alternative 1 of US *Listeria* rule. The lower efficacy of LAE- films in the product-specific
276 approach when compared to Enterocin A-films is in accordance with the results
277 obtained in *in vitro* assays.

278 On RTE-products where *L. monocytogenes* is able to growth, EVOH29-films containing
279 10% LAE were able to reduce 4 log the growth of *L. monocytogenes* on infant formula

280 milk after 6 days at 4°C and exerted a bacteriostatic effect, inhibiting *L. monocytogenes*
281 growth, in RTE-surimi stick after 10 days 4°C (Muriel-Galet et al., 2012; Muriel-Galet et
282 al., 2015). Besides, bactericidal effects to *L. innocua* have been observed when LAE
283 was applied at higher concentrations (c.a. 6-fold, compared to this study) as coating of
284 polylactic acid films together with chitosan, and not filled into the polymer. The coating
285 composed by chitosan 0.388 mg/cm² and LAE 0.388 mg /cm² was able to reduce 2.4
286 log the counts of *L. innocua* on RTE-dely turkey meat while a coating with chitosan
287 1.94 mg/cm² and LAE 0.388 mg/cm² was able to reduce counts by 4.6 log, thus while
288 chitosan enhanced the action of high LAE concentrations, coating facilitated the
289 contact with the food surface (Guo et al. 2014). In cooked ham slices vacuum stored at
290 4 °C wrapped with pullulan film containing LAE (2% w/v of the film solution), *L.*
291 *monocytogenes* Scott A was strongly inactivated from 5.6 log CFU/cm² to undetectable
292 levels after 24h. The levels of *L. monocytogenes* were kept below the detection limit for
293 2 weeks followed by a slight increase of the pathogen concentration at the end of 28
294 days of storage (Pattanayaiying et al. 2015). LAE is a synthetic surfactant that has
295 been reported to disrupt the membrane lipid bilayer, alter metabolic processes and
296 hampers the cellular cycle without cellular lysis (Bakal and Díaz, 2005). The
297 bactericidal effect of pullulan film with 2% LAE applied to cooked ham was higher than
298 that observed in this study with PVOH film with 8.5% LAE applied on dry cured ham,
299 possibly due, apart from product effect to the higher migration rate from film to product,
300 facilitating higher interaction with food.

301 **4. Conclusions**

302 Sliced dry-cured ham is not considered a product of high-risk regarding *L.*
303 *monocytogenes* because it does not support its growth. Nevertheless, the potential of
304 the pathogen to contaminate and to survive in dry-cured ham during the shelf life
305 makes Enterocin A active films an interesting technology to efficiently reduce *L.*
306 *monocytogenes* levels and to facilitate the compliance with “zero tolerance” policies.

307

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329 **Table 1:** Strains of *Listeria monocytogenes* used to inoculate sliced dry-cured ham.

Strain	Pulsotype	Serotype
EF 051005/3/A	S2	1/2a
EF 151105/2/A	S4-2	1/2b
EF 010207/24/A	S12-1	1/2c
EF 270406/1/A	S7-2	4b

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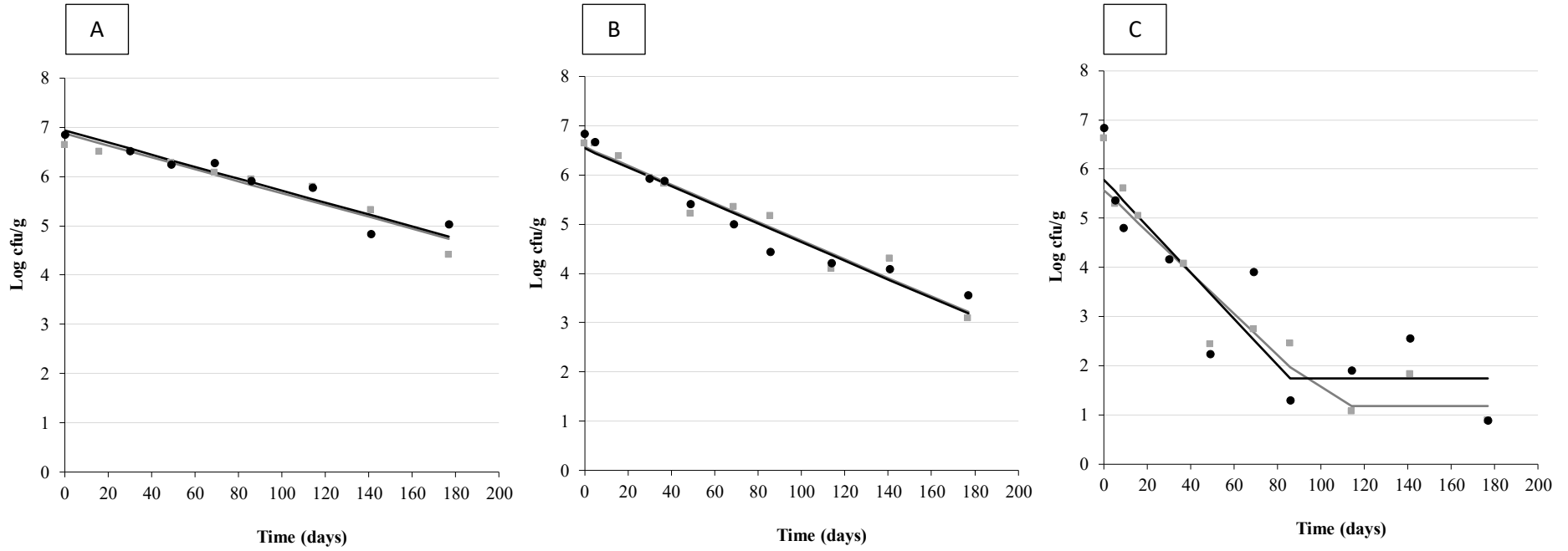
Table 2. Kinetic parameters^a of the inactivation of *Listeria monocytogenes* in dry-cured ham without (control) and with antimicrobial active packaging during the storage at 8°C.

	Kinetic parameter (units)	estimate (standard error)	CI ₉₅	Goodness of fit			
				n	RSS	RMSE	R ² _{adj}
Control	Log <i>N</i> ₀ (Log CFU/g)	6.82 (0.09)	6.62 - 7.03	16	0.622	0.211	0.91
	<i>k</i> _{max} (days ⁻¹)	0.026 (0.002)	0.022 - 0.031				
LAE	Log <i>N</i> ₀ (Log CFU/g)	6.55 (0.09)	6.36 - 6.73	21	1.259	0.257	0.95
	<i>k</i> _{max} (days ⁻¹)	0.043 (0.002)	0.039 - 0.048				
Enterocin_A	Log <i>N</i> ₀ (Log CFU/g)	5.85 (0.29)	5.25 - 6.44	22	10.194	0.732	0.86
	<i>k</i> _{max} (days ⁻¹)	0.110 (0.014)	0.080 - 0.140				
	<i>t</i> _{shift} (days)	92.5 (10.3)	70.9 - 114.1				

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358 **Figure 1:** *Listeria monocytogenes* inactivation in dry-cured ham without antimicrobial (A), LAE (B) and Enterocin A (C) active packaging during
359 the storage at 8°C. Dots are the observed counts, while lines correspond to the fit of the inactivation kinetic model (i.e., Log-linear for A and B,
360 Log-linear with tail for C). Different colors correspond to 2 batches.

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