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Florian Monlau, Eric Trably, Abdellatif Barakat, Jérôme Hamelin, Jean-Philippe Steyer, et al.. Two-Stage Alkaline-Enzymatic Pretreatments To Enhance Biohydrogen Production from Sunflower Stalks. Environmental Science and Technology, 2013, 47 (21), pp.12591 - 12599. 10.1021/es402863v . hal-02647473

**HAL Id: hal-02647473**

**<https://hal.inrae.fr/hal-02647473>**

Submitted on 8 Aug 2023

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# Two-stage alkaline-enzymatic pretreatments to enhance biohydrogen production from sunflower stalks

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Due to their rich composition in carbohydrates, lignocellulosic residues represent an interesting source of biomass to produce biohydrogen by dark fermentation. Nevertheless, pretreatments should be applied to enhance the solubilization of holocelluloses and increase their further conversion into biohydrogen. The aim of this study was to investigate the effect of thermo-alkaline pretreatment alone and combined with enzymatic hydrolysis to enhance biohydrogen production from sunflower stalks. Low increase of hydrogen potentials from  $2.3 \pm 0.9$  mL  $H_2 \cdot g^{-1}$  VS to  $4.4 \pm 2.6$  mL  $H_2 \cdot g^{-1}$  and  $20.6 \pm 5.6$  mL  $H_2 \cdot g^{-1}$  VS were observed with raw sunflower stalks and after thermo-alkaline pretreatment at 55°C, 24h, 4% NaOH and 170°C, 1 h, 4% NaOH, respectively. Enzymatic pretreatment alone showed an enhancement of the biohydrogen yields to 30.4 ml  $H_2 \cdot g^{-1}$  initial VS whereas it led to 49 mL  $H_2 \cdot g^{-1}$  initial VS and 59.5 mL  $H_2 \cdot g^{-1}$  initial VS when combined with alkaline pretreatment at 55°C and 170°C, respectively. Interestingly, a diauxic effect was observed with sequential consumption of sugars by the mixed cultures during dark fermentation. Glucose was first consumed and, once glucose was completely exhausted, xylose was utilized by the microorganisms, mainly related to *Clostridium* species.

## Graphical abstract

## 37 **Introduction:**

38 Development of renewable energy such as hydrogen has recently taken a considerable place in the scientific community due to oil crisis  
39 and the wish of mitigating global warming by reducing greenhouse gas emission. Biohydrogen production by dark fermentation of  
40 lignocellulosic substrates appears to be one of the most promising ways, especially when using agricultural residues since they are cheap,  
41 abundant and provide new incomes to farmers through a profitable reuse of the residues.<sup>1,2</sup> Among them, sunflower stalks are present in  
42 large quantities and represent renewable and low-cost raw materials for the production of biofuels such as biohydrogen.<sup>3</sup> In particular,  
43 holocelluloses (hemicelluloses and cellulose) which are polymers of pentose and hexose simple sugars can be efficiently converted into  
44 biohydrogen by dark fermentation.<sup>4</sup> Fermentative biohydrogen can be produced by either pure or mixed bacterial cultures. Even though  
45 pure cultures exhibit higher hydrogen yields, the high costs for maintaining these pure cultures restrict the development of industrial  
46 applications. Mixed cultures such as anaerobic sludge are easier to be used since they do not require sterile conditions, present a high  
47 metabolic flexibility and can therefore transform a wide range of feedstock.<sup>5</sup> However, direct conversion of lignocellulosic substrates into  
48 hydrogen is recalcitrant due to the intrinsic structure of the organic materials, and so far, only very low hydrogen yields of 1, 3 and 9 ml  
49 H<sub>2</sub> g<sup>-1</sup>VS have been reported for wheat straws, cornstalks and corn straws, respectively.<sup>1</sup> The main bottleneck of using lignocellulosic  
50 biomass by dark fermentation is to convert holocelluloses into readily fermentable products as previously reported.<sup>2,6</sup> Recent studies<sup>1,6</sup>  
51 suggested that hydrogen yields correlate strongly with the content in easily accessible sugars of the organic substrates. Hydrolysis of  
52 cellulosic biomass is thus required since most of the hydrogen-producing bacteria find soluble substrates much easier to degrade.<sup>7</sup>  
53 Among hydrolysis technologies that convert holocelluloses into soluble sugars, two conventional methods using mineral acids or  
54 enzymes are commonly used. Enzymatic hydrolysis is considered as an efficient, energy saving and environment-friendly process.  
55 Recently, hydrogen yields from poplar leaves were increased from 15.04 to 44.92 mL H<sub>2</sub> g<sup>-1</sup> dry materials after pretreatment with 2%  
56 Vicozyme L (mixture of arabinase, cellulase, β-glucanase, hemicellulase and xylanase).<sup>8</sup> However, the accessibility of holocelluloses to  
57 the enzymes for further conversion into fermentable sugars is limited by the lignin content and the cellulose crystallinity.<sup>8,9,10</sup>  
58 Consequently, additional pretreatments need to be applied prior to the enzymatic attack to reduce this strong physical barrier and enhance  
59 holocellulose hydrolysis.<sup>11</sup> Alkaline pretreatments are known to remove efficiently lignin and lignin-hemicellulose complex, and thus can  
60 increase enzymatic hydrolysis of holocelluloses.<sup>9,10</sup> Combining alkaline pretreatment with enzymatic hydrolysis appears to be a  
61 promising approach to enhance hydrogen production from lignocellulosic residues. So far, alkaline pretreatment followed by enzymatic  
62 hydrolysis has been widely investigated for bioethanol production<sup>3,12</sup> and, to our knowledge, only one study investigated alkaline  
63 pretreatment combined with enzymatic hydrolysis for biohydrogen production of lignocellulosic residues and using anaerobic mixed  
64 cultures.<sup>13</sup> In this study, alkaline pretreatment (4 % NaOH (w/v) at 100°C for 2h) was combined with enzymatic hydrolysis (cellulases  
65 from *Trichoderma Reesei* at 20 U g<sup>-1</sup>) to enhance biohydrogen production from bagasse.<sup>13</sup> A hydrogen yield of 300 mL H<sub>2</sub> g<sup>-1</sup> VS  
66 (Volatile Solids) was observed compared to 31 mL H<sub>2</sub> g<sup>-1</sup> VS with only enzymatic hydrolysis. Nevertheless, the use of hemicellulases  
67 was not considered in their study although fermentative biohydrogen can be produced from both hemicelluloses and cellulose.  
68 The objectives of our study were: (1) to investigate the effect of thermo-alkaline pretreatment (55°C, 24h, 4% NaOH or 170°C, 1h, 4%

69 NaOH) or two-stage thermo-alkaline and enzymatic pretreatments on biohydrogen production, (2) to monitor the dynamics of the  
70 bacterial communities supporting the fermentation process of the sugars released from enzymatic hydrolysis.

71

## 72 **Experimental**

### 73 **Feedstocks:**

74 “Serin” sunflower stalks were dried at 37°C for 48 h and milled to a particle size of 2-3 mm using a SM-100 cutting mill. Total Solids  
75 (TS) and Volatile Solids (VS) were analysed according to the APHA standard methods.<sup>14</sup> All measurements were carried out in  
76 duplicates.

### 77 **Thermo-alkaline and enzymatic pretreatments**

78 Thermo-alkaline pretreatments were performed on sunflower stalks at an initial solid organic load of 35 g<sub>TS</sub> L<sup>-1</sup>. At 55°C, pretreatment  
79 was performed in 500 mL flasks with 4% NaOH (g/100g<sub>TS</sub>) for 24 hours, in a “Edmund Butler” heating shaker series SM-30-control with  
80 an agitation speed of 150 rpm. Pretreatment was performed at 170°C in a 1 L Zipperclave autoclave series 02-0378-1 (Autoclave France)  
81 with 4% NaOH for 1 hour under an agitation speed of 150 rpm. After pretreatment, the liquors were separated from the solid fraction by  
82 filtration through a 0.25 mm sieve. Biological Hydrogen Potentials (BHP) batch tests were carried out on total, liquid and solid fractions  
83 of the residual solids after alkaline pretreatment (Fig. 1). The remaining liquors were kept at 4°C for further chemical analysis and the  
84 solid fractions were washed several times with distilled water to remove water soluble compounds, and then dried at 40°C for 24 h. This  
85 washing step allowed removing phenolic compounds which are known to inhibit or deactivate enzymes.<sup>15</sup> Solid fractions were kept at  
86 4°C for further chemical analysis and enzymatic hydrolysis. Concerning enzymatic hydrolysis, untreated and dried alkaline-pretreated  
87 solid fractions of sunflower stalks were autoclaved during 20 min at 121°C. This sterilization step was required to avoid consumption of  
88 the sugars released during enzymatic hydrolysis by indigenous microorganisms present naturally in lignocellulosic substrates.<sup>16</sup>  
89 Enzymatic hydrolysis of the untreated and alkaline-pretreated solid fractions was performed at a solid organic load of 50 g remaining TS  
90 L<sup>-1</sup> in flasks incubated at 35°C in an “Edmund Butler” heating shaker series SM-30-control under 150 rpm agitation. The pH was  
91 buffered at 5 using 50 mM of 2-(N-morpholino) ethanesulfonic acid (MES) buffer. Cellulase from *Trichoderma reesei* (Sigma-Aldrich),  
92 β-glucosidase from *Aspergillus niger* (Sigma-Aldrich) and xylanase from *Thermomyces lanuginosus* (Sigma-Aldrich) were added at a  
93 concentration of 50 U g<sup>-1</sup> TS, 25 U g<sup>-1</sup> TS and 50 U g<sup>-1</sup> TS, respectively. After enzymatic hydrolysis, BHP tests were performed on the  
94 total fraction (residual solids + liquor rich in xylose and glucose).

### 95 **Biochemical analysis:**

96 All samples were milled using a cutting miller Ika Werke MF 10 basic, and a 1 mm mesh. Total Kjeldahl Nitrogen (TKN) was titrated  
97 using Buchi 370-K after mineralization of the samples. Proteins were determined by multiplying TKN by 6.25. The carbohydrate  
98 composition of the untreated and solid fractions of pretreated sunflower stalks were measured using strong acid hydrolysis adapted from  
99 Effland (1977).<sup>17</sup> Samples (200 mg) were hydrolyzed with 12 M H<sub>2</sub>SO<sub>4</sub> for 2h at room temperature. They were then diluted to reach an

100 acid concentration of 1.5 M and kept at 100°C for 3 h. The insoluble residues were separated from the supernatant by filtration with a  
101 GFA-WHATMAN glass fiber filter. The insoluble residues were washed with 100 mL of deionised water and then placed in a crucible.  
102 The crucible and the glass fiber filters were dried at 100°C during 24 h and then placed at 550°C during 2 h to determine the Klason  
103 lignin content. The supernatant was filtrated with nylon filters (0.2 µm) and analyzed for quantification of sugars by High-Pressure  
104 Liquid Chromatography (HPLC).

105 HPLC analysis was used to quantify monosaccharides (glucose, xylose, arabinose, glucuronic and galacturonic acids). The analysis was  
106 performed with a combined Water/Dionex system, using a Biorad HPX-87H column at 50°C and a refractive index detector. The eluent  
107 corresponded to a 0.005 M H<sub>2</sub>SO<sub>4</sub> solution continuously pumped under a flow-rate of 0.3mL.min<sup>-1</sup>. The system was calibrated with  
108 glucose, xylose, arabinose, glucuronic and galacturonic acids standards (Sigma–Aldrich).

109 Cellulose and hemicellulose contents were estimated on the basis of monomeric sugar contents. Cellulose is a polymer of glucose while  
110 hemicelluloses consist of branched chains of monomeric sugars composed mainly of pentoses such as xylose, arabinose. Consequently,  
111 the cellulose and hemicellulose contents were estimated as follows:

$$112 \text{ Cellulose (\% TS)} = \text{Glucose (\%TS)} / 1.11 \quad (1)$$

$$113 \text{ Hemicelluloses (\% TS)} = [\text{Xylose (\%TS)} + \text{Arabinose (\%TS)}] / 1.13 \quad (2),$$

114 where 1.11 is the ratio of the molecular weights of glucose to glucan (180/162) and 1.13 is the ratio of the molecular weights of xylose  
115 and arabinose to xylan (150/132).

#### 116 **Metabolites and byproducts contents**

117 Volatile Fatty Acids (VFA) composition, *i.e.* acetic (C2), propionic (C3), butyric and iso-butyric (C4 and iC4), valeric and iso-valeric (C5  
118 and iC5) and caproic (C6) acids were determined in the liquid phase using a gas chromatograph (GC-3900, Varian) equipped with a  
119 flame ionization detector. The concentrations of non-VFA metabolic byproducts such as lactate and ethanol and other byproducts  
120 (furfural, 5-hydroxymethylfurfural) were measured by HPLC analysis and refractometric detection (Waters R410). The components  
121 were separated in an Aminex HPX-87H column (Biorad) maintained at 35°C. The eluent corresponded to 0.005 M H<sub>2</sub>SO<sub>4</sub> and flow-rate  
122 was 0.4 mL.min<sup>-1</sup>. Total phenols in the liquid fraction of alkaline pretreated samples were determined using a microtube test  
123 (Spectroquant, Merck) followed by a 4-aminoantipyrine colorimetric measurement after a two-hundred dilution.

#### 124 **Accessible surface area and porosity**

125 Nitrogen adsorption–desorption was performed on a micromeritics ASAP 2010 volumetric apparatus at 77 K. Before adsorption  
126 measurements, samples (0.5–0.3 g) were outgassed at 373 K under vacuum during 72 h. Specific surface area and porosity of the samples  
127 were evaluated using the BET method.<sup>18</sup>

#### 128 **Biochemical Hydrogen Potential (BHP) tests**

129 The H<sub>2</sub> production experiments were carried out in batch in 600 mL glass bottles. An anaerobically digested sludge was pretreated by  
130 heat shock (90°C, 15 min) and then used as inoculum. One milliliter of the inoculum (final concentration around 250 mg-COD L<sup>-1</sup>) was  
131 added into a culture medium (final working volume of 200 mL) containing 100 mM of 2-(N-morpholino) ethanesulfonic acid (MES)

132 buffer, 5 g VS.L<sup>-1</sup> of untreated or pretreated sunflower stalks. The initial pH was adjusted to 5.5 using HCl 1 M. In a first series of  
133 experiments, BHP tests were performed on thermoalkaline pretreated samples and on the separated liquid and solid fractions to determine  
134 the part of hydrogen originating from both fractions. In a second series of experiments, BHP tests were performed only on the solid  
135 residues after alkaline pretreatment with or with no enzymatic hydrolysis. All BHP tests were performed in duplicates. Once prepared,  
136 the flasks were bubbled with nitrogen to obtain anaerobic conditions, and closed with air impermeable red butyl rubber septum-type  
137 stoppers. Bottles were then incubated at 35°C. Two milliliters of the mixed cultures were periodically collected and centrifuged (13,000  
138 rpm, 10 min). The supernatants were stored at 4°C for further metabolites analysis.

#### 139 **DNA extraction, PCR amplification and CE-SSCP fingerprinting**

140 Two milliliters of the cultures were collected after 40 h and 92 h of incubation from all batch experiments. Microbial cells were then  
141 centrifuged at 12,100 g for 15 min. Genomic DNA was extracted and purified using the Wizard Genomic DNA Purification kit  
142 (Promega). DNA purity and quantity in the extracts were measured by spectrophotometry (Infinite NanoQuant M200, Tecan). 16S rRNA  
143 genes were amplified for further fingerprinting analysis using Capillary Electrophoresis Single Strand Conformation Polymorphism (CE-  
144 SSCP) as described elsewhere.<sup>19</sup> Fingerprint normalization and comparison were performed using the StatFingerprint library<sup>20</sup> of the R  
145 software version 2.10.1.<sup>21</sup>

#### 146 **Identification of microbial communities by pyrosequencing**

147 Comparison of fingerprints led to the selection of one genomic DNA representative for each experimental condition. Identification of the  
148 main dominant bacterial populations was performed by pyrosequencing of the V4-V5 regions of the 16S rRNA gene (Molecular  
149 Research Laboratory, TX, USA). An average of 5161 sequences per sample was obtained, and sequence data derived from the  
150 sequencing process was processed using a proprietary analysis pipeline (Molecular Research Laboratory, TX, USA). Sequences were  
151 first clustered at 3% of divergence and then taxonomically classified using BLASTn against a curated GreenGenes database.

152

## 153 **Results and discussion:**

### 154 **Effect of thermo-alkaline and two-stage alkaline-enzymatic pretreatments on biochemical and structural features**

155 To investigate the biochemical changes induced by the thermo-alkaline pretreatment, variations in proteins, uronic acids, hemicelluloses,  
156 cellulose and Klason lignin contents were estimated (Figure 1). Uronic acids which are constituents of hemicelluloses and pectins were  
157 removed at 64% after alkali treatment at 55°C, and were totally removed at 170°C, as a consequence of the cleavage of the lignin-  
158 hemicellulose linkages through uronic acids, so-called lignin-carbohydrate complexes (LCC). LCC remain the main obstacle for the  
159 utilization of lignocellulosic biomass.<sup>4</sup> Their cleavage makes holocelluloses more accessible for enzymatic hydrolysis and microbial  
160 fermentation. Thermo-alkaline pretreatment at 170°C was found efficient to solubilize proteins since 54% were removed. Significant  
161 hemicelluloses removals of 26% and 58% were observed after thermo-alkaline pretreatment at 55°C and 170°C, respectively. In contrast,

162 it was shown less than 8% of cellulose removal after thermo-alkaline pretreatment at both 55°C and 170°C. Finally, high lignin removals  
163 of 22% and 36% were observed after thermo-alkaline pretreatment at 55°C and 170°C, respectively. Such results are in accordance with  
164 previous studies reporting that alkaline pretreatment is efficient to delignify and remove partly lignin and hemicelluloses whereas  
165 cellulose is preserved.<sup>9,10</sup> As a result of such concomitant and similar removal of lignin and holocelluloses, no significant variation of the  
166 lignin content ranging from 32.2 to 33.5 g/100g remaining VS was observed between alkaline pretreated solids and untreated sunflower  
167 stalks. In contrast, a relative increase of 24% and 60.5% of the cellulose content compared to raw sunflower stalks was observed after  
168 alkaline pretreatment at 55°C and 170°C, respectively. This result shows that cellulose was less removed compared to the other  
169 compounds during thermo-alkaline pretreatments.

170 Table 1 shows the structural features such as accessible surface area (SA) and pore volume (Vp) of the untreated and alkaline-pretreated  
171 solid fractions of the sunflower stalks. Low increase of SA and Vp was observed after thermo-alkaline pretreatment at 55°C. SA  
172 increased from 1.55 m<sup>2</sup> g<sup>-1</sup> TS (sunflower stalks) to 1.59 m<sup>2</sup> g<sup>-1</sup> TS and Vp increased from 0.083 cm<sup>3</sup> g<sup>-1</sup> TS (sunflower stalks) to 0.106  
173 cm<sup>3</sup> g<sup>-1</sup> TS. Thermo-alkaline pretreatment at 170°C was found more efficient in increasing SA and Vp with final values of 2.55 m<sup>2</sup> g<sup>-1</sup> TS  
174 and 0.235 cm<sup>3</sup> g<sup>-1</sup> TS, respectively. Similarly, Gharpuray et al. (1983) observed an increase of the accessible surface area from 0.64 to 1.7  
175 m<sup>2</sup> g<sup>-1</sup> TS by pretreating wheat straw at 100°C with 10% NaOH (w/w) during 30 min.<sup>22</sup>

176 In addition, enzymatic hydrolysis of the raw sunflower stalks and the residual solids obtained after alkaline pretreatment was further  
177 investigated by estimating the solubilization of cellulose and hemicelluloses to glucose and xylose which are the two main monomeric  
178 sugars found in holocelluloses (Figure 1). A low enzymatic hydrolysis of hemicelluloses (12%) and cellulose (35%) was observed on raw  
179 sunflower stalks. After thermo-alkaline pretreatments, the enzymatic hydrolysis yields increased for both cellulose and hemicelluloses.  
180 Indeed, after alkaline pretreatment at 55°C and enzymatic hydrolysis, an increase of 45% cellulose and 56% hemicelluloses  
181 solubilization was observed. After alkaline pretreatment at 170°C and enzymatic hydrolysis, a higher increase of 51% and 82% was  
182 observed for cellulose and hemicelluloses, respectively. Similar results were previously reported by combining alkaline-enzymatic  
183 pretreatment on spruce and where enzymatic hydrolysis of both cellulose and hemicelluloses was substantially enhanced.<sup>23</sup> Several  
184 factors may explain the increase of enzymatic hydrolysis after thermo-alkaline pretreatment. First, the increase of accessible surface area  
185 and pore volume, as previously observed after thermo-alkaline pretreatment, can enhance the efficiency of enzymatic hydrolysis.  
186 Consistently, good correlations between pore volume, accessible surface area and enzymatic digestibility of lignocellulosic residues were  
187 previously reported.<sup>24</sup> Gharpuray et al. (1983) showed that the specific surface area can impact biomass digestibility: an increase of the  
188 accessible surface area resulted in higher hydrolysis yields.<sup>22</sup> However, the low increase of both accessible surface area and pore volumes  
189 between raw sunflower stalks and sunflower stalks alkaline-pretreated at 55°C suggested that probably other factors were favorable for  
190 enzymatic hydrolysis. Among them, removal of pectins (polymers of uronic acids) after thermo-alkaline pretreatment might explain the  
191 increase of enzymatic hydrolysis efficiency. As described elsewhere, removal of pectins in hemp was shown to increase enzymatic  
192 hydrolysis by 26%.<sup>25</sup> Even though thermo-alkaline pretreatment did not change the lignin content in the solid residues, a physical  
193 redistribution of the lignin probably occurred with a cleavage of the LCC, that play a key role for enzyme accessibility and further  
194 biomass digestibility.

## 196 Biohydrogen performances

### 197 Effect of thermo-alkaline and two-stage alkaline-enzymatic pretreatments on biohydrogen yields

198 Gas product analysis of Biological Hydrogen Potential (BHP) tests showed that only H<sub>2</sub> and CO<sub>2</sub> were produced during dark  
199 fermentation, with no detectable CH<sub>4</sub> in the biogas. This suggests that heat shock treatment (90°C, 15 min) of the inoculum was efficient  
200 to suppress methanogens from anaerobic sludge. A low hydrogen yield of 2.3 ± 0.9 mL H<sub>2</sub>.g<sup>-1</sup> VS was observed for the raw sunflower  
201 stalks (Table 1). A small increase in hydrogen yields to 4.4 ± 2.6 mL H<sub>2</sub>.g<sup>-1</sup> VS and 20.6 ± 5.6 mL H<sub>2</sub>.g<sup>-1</sup> VS were observed after thermo-  
202 alkaline pretreatments at 55°C and 170°C, respectively. Similar results were obtained by pretreating grass with 0.5% NaOH (w/v) boiled  
203 for 30 min with an increase of the hydrogen yield from 4.4 mL H<sub>2</sub>.g<sup>-1</sup> dry grass for the untreated sample to 19.3 mL H<sub>2</sub>.g<sup>-1</sup> dry grass after  
204 treatment.<sup>11</sup> Alkaline pretreatment (0.4% NaOH, 24 h, room temperature) of sweet sorghum stalks led also to an increase of hydrogen  
205 potentials (127 mL H<sub>2</sub>.g<sup>-1</sup> VS compared to 52 mL H<sub>2</sub>.g<sup>-1</sup> VS for untreated).<sup>26</sup> The enhancement of hydrogen yields coincided with an  
206 increase in soluble sugars after alkali pretreatment compared to raw sweet sorghum stalks with a sugar concentration of 2.23 and 0.86  
207 g.L<sup>-1</sup>, respectively.<sup>26</sup>

208 Biohydrogen potentials of separated liquid and solid fractions obtained after thermo-alkaline pretreatment at 55°C and 170°C were  
209 further investigated to determine from which fraction the biohydrogen was produced (Table 1). At 55°C, biohydrogen production from  
210 the liquid and solid fractions was similar with 2.6 and 2 mL H<sub>2</sub>.g<sup>-1</sup> VS, respectively. In contrast, at 170°C, biohydrogen yield of the liquid  
211 fraction was twice higher than solid fraction with 11.4 and 5.1 mL H<sub>2</sub>.g<sup>-1</sup> VS, respectively. To analyze the performances of biohydrogen  
212 production on these different fractions, biohydrogen yields were expressed in terms of initial sugar contents (glucose, xylose and  
213 arabinose) according to the amount of holocelluloses present in the different fractions (total, solid and liquid) as shown in Table 1.  
214 Concerning the liquid fractions, hydrogen yields of 0.344 and 0.865 mol H<sub>2</sub>.mol<sup>-1</sup> hexose were obtained after 55°C and 170°C  
215 pretreatments, respectively. Nevertheless, the hydrogen yields from the liquid phase remained lower than the values commonly reported  
216 in the literature with simple sugars and mixed cultures, *i.e.* 2 mol H<sub>2</sub>.mol<sup>-1</sup> glucose and 1.92–2.25 mol H<sub>2</sub>.mol<sup>-1</sup> xylose.<sup>19, 27</sup> Two  
217 hypotheses can be formulated to explain these results. The first one is that soluble sugars released in the liquid phase are present in the  
218 form of oligomeric and monomeric sugars. Recently, Quéméneur et al. (2011) showed the impact of the low carbohydrate structure  
219 where di- and tri-saccharides affected significantly hydrogen production, and longer chains of oligomers lowered the hydrogen yields.<sup>28</sup>  
220 The second hypothesis is the generation of byproducts during thermo-alkaline pretreatments such as furfural, 5-HMF and phenol  
221 compounds. Even though no byproducts of sugar degradation (furfural and 5-HMF) were detected in the liquid phase after thermo-  
222 alkaline pretreatments, phenols coming from lignin degradation accumulated in the liquid phase at a low concentration of 25.7 mg L<sup>-1</sup>  
223 and 42.7 mg L<sup>-1</sup> at 55°C and 170°C, respectively (data not shown), and phenolic compounds were previously shown to negatively impact  
224 biohydrogen production from xylose using mixed cultures<sup>15,19,29</sup>.

225 Concerning the solid fractions, low hydrogen yields of 0.043 and 0.081 mol H<sub>2</sub>.mol<sup>-1</sup> hexose were obtained, respectively, with raw  
226 sunflower stalks and after alkaline pretreatment at 55°C. The increase of the hydrogen yields to 0.380 mol H<sub>2</sub>.mol<sup>-1</sup> hexose after thermo-



227 alkaline pretreatment at 170°C on the solid fraction was likely due to the increase of the accessible surface area as shown in Table 1.  
228 However, these hydrogen yields remained low likely because of the nature of the sugars present in the solid fractions which are in their  
229 polymeric and not monomeric form. Since low hydrogen potentials were obtained whatever the solids, enzymatic hydrolysis was  
230 performed on raw sunflower stalks as well as on the solid fractions after alkaline pretreatment of the straws at 55°C and 170°C to  
231 enhance the solubilization of holocelluloses into monomeric sugars.

232

233 After enzymatic pretreatment of raw sunflower stalks, a maximal cumulative hydrogen production of 30.4 ( $\pm$  3.8) mL H<sub>2</sub>.g<sup>-1</sup> VS was  
234 reached which was 13-fold higher than untreated sunflower stalks. Coupling alkaline-pretreatment with enzymatic hydrolysis led to a  
235 significant increase of the hydrogen yields compared to enzymatic hydrolysis alone with 59.9 ( $\pm$  2.6) mL H<sub>2</sub>.g<sup>-1</sup> VS and 80.9 ( $\pm$  3.0) mL  
236 H<sub>2</sub>.g<sup>-1</sup> VS at 55°C and 170°C, respectively. Such increase of hydrogen production was concomitant to the increase of enzymatic  
237 hydrolysis through the release of soluble monomer sugars (ie glucose and xylose). Hydrogen yields of 0.562, 0.959 and 1.158 mol H<sub>2</sub>.mol<sup>-1</sup>  
238 <sup>1</sup> hexose were obtained after enzymatic hydrolysis <sup>1</sup> of raw sunflower stalks and alkaline pretreated sunflower stalks at 55°C and 170°C,  
239 respectively. Although a substantial increase was observed, these results remained lower than the average values of 2 mol H<sub>2</sub>.mol<sup>-1</sup>  
240 glucose and 1.92–2.25 mol H<sub>2</sub>.mol<sup>-1</sup> xylose commonly reported in the literature when using mixed cultures.<sup>19,27</sup> These results suggest that  
241 a part of holocelluloses was still not degraded during the dark fermentation process. Interestingly, if hydrogen potentials were expressed  
242 by considering only the initial content in soluble sugars monomers (ie xylose and glucose) released after enzymatic pretreatment,  
243 hydrogen yields ranged from 1.97 to 2.14 mol H<sub>2</sub>.mol<sup>-1</sup> soluble sugars, in strict accordance with data previously published. Thus,  
244 hydrogen was mainly produced from soluble sugar monomers released during enzymatic hydrolysis which is also in accordance with the  
245 literature.<sup>6,26</sup>

246 Furthermore, once the maximum cumulative hydrogen production was reached, microbial metabolites were also analyzed. The  
247 fermentation metabolites produced with or without enzymatic hydrolysis of sunflower stalks and for the three conditions (raw, solid  
248 residue from alkaline treatment at 55°C and 170°C) were only acetate and butyrate (data not shown). This suggests that H<sub>2</sub> was produced  
249 only by the well described metabolic fermentative H<sub>2</sub>-producing pathways of acetate and butyrate. Butyrate as well as acetate production  
250 are indeed typical of a dark fermentation process when using substrates rich in carbohydrates.<sup>30</sup>

### 251 **General remarks on biohydrogen potentials**

252 To assess the advantage of combining thermo-alkaline pretreatment with enzymatic hydrolysis, results were expressed according to the  
253 initial VS, as shown in Figure 2. In the case of thermo-alkaline pretreated stalks, the hydrogen produced from the liquid fraction after  
254 thermo alkaline pretreatment and the hydrogen produced from the solids alkaline-pretreated at 55°C and 170°C and with or without  
255 enzymatic hydrolysis were considered separately. Moreover, a theoretical hydrogen potential (100 L H<sub>2</sub>.kg<sup>-1</sup> initial VS) was calculated by  
256 considering the content of holocelluloses in sunflower stalks and a hydrogen production of 2 mol H<sub>2</sub>.mol<sup>-1</sup> eq glucose as commonly  
257 observed with mixed cultures.<sup>16</sup>

258 As mentioned previously, a hydrogen yield of 30.4 mL H<sub>2</sub>.g<sup>-1</sup> initial VS was obtained after enzymatic pretreatment of sunflower stalks,

259 which was 13-fold higher than raw sunflower stalks ( $2.3 \pm 0.9 \text{ mL H}_2\text{.g}^{-1}$  initial VS). When considering combined thermo-alkaline  
260 pretreatment at 55°C and 170°C with enzymatic hydrolysis, hydrogen potentials were respectively 21 to 26-fold higher than with untreated  
261 stalks. In both cases, the main part of hydrogen was coming from the enzymatic-alkaline-pretreated solid fraction which corresponded  
262 respectively to 81% and 95% of total biohydrogen production. When considering the initial VS content, coupling thermo-alkaline  
263 pretreatment at 170°C with enzymatic hydrolysis was not substantially beneficial compared to 55°C since hydrogen yields increased only  
264 from 49 to 59.5 mL H<sub>2</sub>.g<sup>-1</sup> initial VS. Overall, hydrogen yields obtained after enzymatic hydrolysis with or without coupling with thermo-  
265 alkaline pretreatments remained always lower than the highest hydrogen yields that can be expected if holocelluloses would have been  
266 fully converted to H<sub>2</sub> during the dark fermentation process. In addition, and to make the process economically viable, the effluents of the  
267 H<sub>2</sub> fermentation process should also be considered for further valorisation as either hydrogen by photo-fermentation or methane by  
268 anaerobic digestion.<sup>4,31</sup>

269

### 270 **Bacterial community analysis**

271 By investigating the metabolic routes of the dark fermentation process, a diauxic behavior of the mixed culture was observed on the  
272 consumption of soluble sugars (ie glucose and xylose) released after enzymatic hydrolysis. Glucose was first consumed and, once glucose  
273 was completely exhausted, xylose was utilized by the microorganisms (Fig. 3). Such diauxic effect has been well described with pure  
274 cultures, but to our knowledge, no study reported such effect with complex mixed cultures. Diauxic growth usually occurs when bacterial  
275 cells of an individual species are exposed to multiple carbon sources leading to a catabolic repressive effect that does not permit  
276 simultaneous consumption of all sugars, *i.e.* sugars are sequentially consumed resulting in two successive exponential growth phases that  
277 are separated by an intermediate lag phase. Glucose is a preferred substrate for many microorganisms, and is responsible of a common  
278 catabolic repression which is commonly called the “glucose effect”.<sup>32</sup> In mixed culture, several bacterial populations with different  
279 substrate affinities can use indifferently all sugars, and various microbial populations can very probably use several carbon sources  
280 simultaneously.<sup>33</sup> Therefore, a diauxic behaviour could result from a diauxic growth but also from a shift of highly specific microbial  
281 populations. To support the hypothesis of a diauxic catabolic repression effect, a bacterial analysis of the H<sub>2</sub>-producing bacteria present in  
282 mixed culture was performed at two experimental times: 40 h and 92 h, corresponding to the end of glucose and xylose consumption,  
283 respectively (red arrows in Figure 3). The number of sequences analyzed per sample ranged from 3980 to 6366 and the number of  
284 identified species varied between 23 and 34 according to the sample. The bacterial species with a relative abundance above 1% at 40 h and  
285 92 h in the dark H<sub>2</sub> fermentation batch are summarized in Table 2.

286

287 For all samples, the bacterial community was dominated by members of the *Clostridium* genus with an average of 92% of the total  
288 abundance. The composition of the bacterial communities in this study was similar to the ones reported in previous studies carried out in  
289 dark fermentation systems.<sup>19,34</sup> For instance, in granular sludge of H<sub>2</sub>-producing bioreactor using sucrose as substrate, 69.1% of the clones  
290 were affiliated to four *Clostridium* species.<sup>32</sup> Similarly, a proportion of *Clostridium* species of 85.8% was observed during dark

291 fermentation of xylose and after heat shock pretreatment (90°C, 10 min) of the anaerobic mixed culture inoculum.<sup>19</sup>  
292 During the glucose phase consumption, a specific enrichment of *Clostridium butyricum* amongst the other *Clostridium* species was  
293 observed with proportions varying from 80.3 % to 92.9%. In contrast, during xylose consumption, even though *Clostridium butyricum*  
294 remained the main dominant species, other *Clostridium* species clearly outcompeted. More particularly, and except for *Clostridium*  
295 *bifermantans*, the relative abundance of *Clostridium butyricum* decreased between 40 h and 92 h, while the abundance of minority species  
296 such as *Clostridium roseum*, *Clostridium aciditolerans*, *Clostridium saccharoperbutylacetonicum* and *Clostridium tunisiense* increased  
297 after 40 h. Consequently, the diauxic effect observed on glucose/xylose consumption was not only related to a diauxic growth of  
298 *Clostridium butyricum* but also to the development of highly competitive *Clostridium* species during the change of sugar degradation  
299 pathway. This result suggests that the diauxic effect could be common to the whole *Clostridium* genus. Diauxic effects were previously  
300 reported on ethanol production from glucose/xylose mixture using pure cultures, ie. *Saccharomyces cerevisiae* and *E. coli*<sup>35,36</sup>. So far, and  
301 to our knowledge, such diauxic effect has not been so clearly reported with fermentative mixed cultures. In general, diauxic effect can be  
302 avoided by the use of mixed cultures instead of pure cultures since the presence of various bacterial populations enhances the possibilities  
303 to convert concomitantly a large range of substrates due to microbial diversity, metabolic flexibility, and the possibility of specific  
304 individual ecological niches.<sup>35</sup> In this study, the heat shock pretreatment initially applied on anaerobic sludge led not only to the complete  
305 suppression of *Archaea* methanogens, but also to a strong selection of *Clostridium* species with a low final number of bacteria species  
306 ranging from 23 to 34 only. This observation is in accordance with Baghchehsaraee et al. (2008) who showed that heat pretreatment (80°C  
307 or 95°C) of inocula led to a substantial decrease of bacterial diversity.<sup>37</sup> Comparatively, much higher numbers of bacteria ranging from  
308 114 to 164 were reported on three granular and non-granular mesophilic cultures which were not heat treated.<sup>38</sup>

309

## 310 Acknowledgements

311 The authors are grateful to ADEME, the French Environment and Energy Management Agency, for financial support in the form of F.  
312 Monlau's PhD grant.

313

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421

## 422 TABLES and FIGURES CAPTIONS

423  
424  
425 **Table 1** Accessible surface area (SA), Volume pores (Vp) Sugars contents in equivalent hexose (g eq hexose.g<sup>-1</sup> VS) and biohydrogen potentials originating  
426 from total, liquid and solid fractions of raw sunflower stalks (SS) and alkaline-pretreated sunflower stalks at 55°C(SS 55°C) and 170°C (SS 170°C) with or  
427 without enzymatic hydrolysis  
428

429 **Table 2** Repartition of the bacterial population in % of order, genus and species during dark fermentation process at 40 h and 92 h after enzymatic  
430 hydrolysis of raw sunflower stalks (SS), alkaline pretreated sunflower stalks at 55°C (SS, 55°C) and at 170°C (SS, 170°C).  
431

432 **Figure 1** Scheme of pretreatment strategies used and biochemical composition of raw sunflower stalks (SS) expressed in g/100g initial VS and of the solid  
433 fractions after thermo-alkaline pretreatments at 55°C (SS 55°C) and at 170°C (SS 170°C) expressed in g/100g initial VS and in g/100g remaining VS.  
434 Values correspond to means of two replicates of independent values ± standard deviation.

435 **Figure 2** Impact of pretreatments on the origin of the biohydrogen production (ml H<sub>2</sub>.g<sup>-1</sup> initial VS) for raw sunflower stalks and solid residue of alkaline  
436 pretreated sunflower stalks at 55°C and 170°C with or without enzymatic hydrolysis. Values correspond to means of two replicates of independent values ±  
437 standard deviations (error bars).  
438

439 **Figure 3** Evolution of sugars monomers consumption (ie glucose and xylose) released from enzymatic hydrolysis during H<sub>2</sub> fermentation in mixed culture  
440 (a) from raw sunflower stalks (b) from solid residue of sunflower stalks pretreated at 55°C, 24 h, 4% NaOH (c) from solid residue of sunflower stalks  
441 pretreated at 170°C, 1 h, 4% NaOH. Values correspond to means of two replicates of independent values ± standard deviations (error bars).

443 **Table 1** Accessible surface area (SA), Volume pores (Vp) Sugars contents in equivalent hexose (g eq hexose.g<sup>-1</sup> VS) and biohydrogen potentials originating from total, liquid and solid fractions of raw sunflower  
 444 stalks (SS) and alkaline-pretreated sunflower stalks at 55°C(SS 55°C) and 170°C (SS 170°C) with or without enzymatic hydrolysis

Conditions	Fractions	Structural features		Sugars content (g eq hexose. 100g <sup>-1</sup> VS)	Biohydrogen potentials	
		SA (m <sup>2</sup> .g <sup>-1</sup> remaining TS)	Vp (cm <sup>3</sup> .g <sup>-1</sup> remaining TS)		mL H <sub>2</sub> .g <sup>-1</sup> VS	mol H <sub>2</sub> .mol <sup>-1</sup> eq hexose
SS	Total	1.55	0.083	43.5	2.3 ± 0.9	0.043
SS (55°C)	Total			43.5	4.4 ± 2.6	0.081
	Liquid			6.1 (14%) <sup>a</sup>	2.6 ± 0.2 (57%) <sup>b</sup>	0.344
	Solid	1.59	0.106	37.4 (86%) <sup>a</sup>	2 ± 0 (43%) <sup>b</sup>	0.043
SS (170°C)	Total			43.5	20.6 ± 5.6	0.380
	Liquid			10.6 (24.3%) <sup>a</sup>	11.4 ± 0.3 (69%) <sup>b</sup>	0.865
	Solid	2.55	0.235	32.9 (75.7%) <sup>a</sup>	5.1 ± 0.4 (31%) <sup>b</sup>	0.125
SS + Enzymes	Total			43.5	30.4 ± 3.8	0.562
SS (55°C) + Enzymes	Total			50.2	59.9 ± 2.6 <sup>c</sup>	0.959
SS (170°C) + Enzymes	Total			56.1	80.9 ± 3.0 <sup>c</sup>	1.158

445 <sup>a</sup> Percentage of total glucose originating from the liquid and solid fractions. In the liquid fraction, sugar content in equivalent glucose was calculated according the removal of holocelluloses  
 446 in the initial total fraction.

447 <sup>b</sup> Percentage of biohydrogen potentials originating from the liquid and solid fractions

448 <sup>c</sup> Biohydrogen potentials are expressed in ml H<sub>2</sub>.g<sup>-1</sup> remaining VS

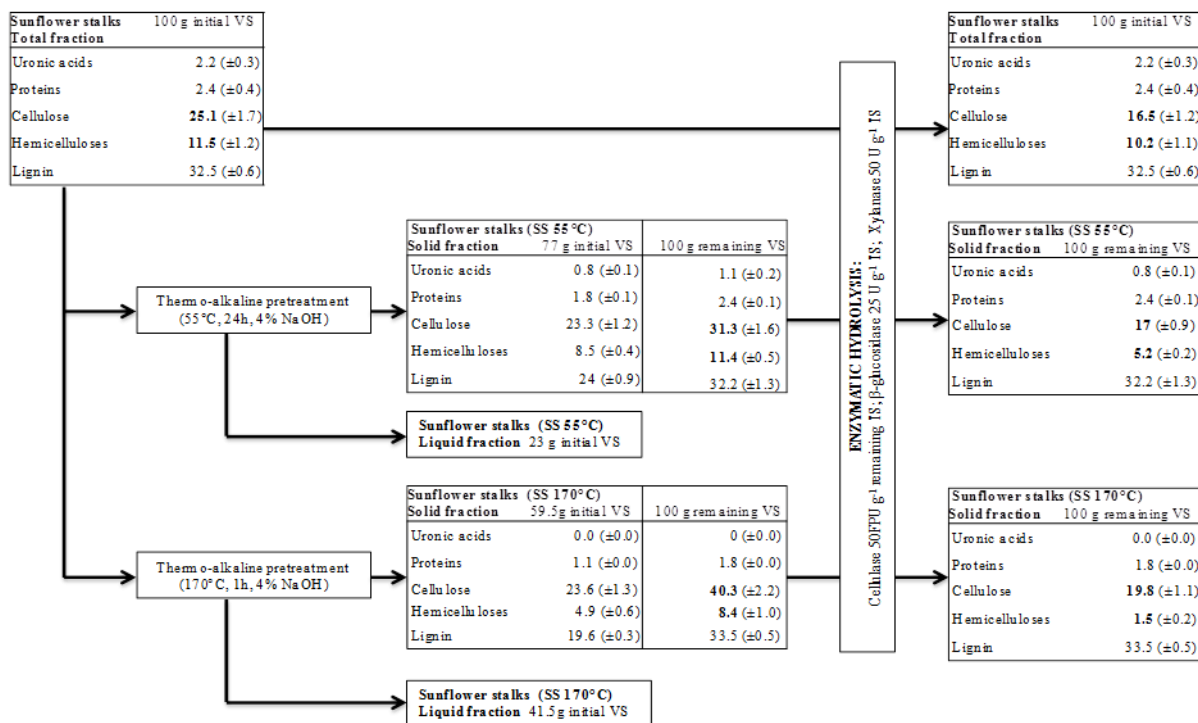
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452 **Table 2** Repartition of the bacterial population in % of order, genus and species during dark fermentation process at 40 h and 92 h after enzymatic hydrolysis of raw sunflower stalks (SS), alkaline pretreated  
 453 sunflower stalks at 55°C (SS, 55°C) and at 170°C (SS, 170°C).

	<b>Conditions</b>					
	<b>SS 40 h</b>	<b>SS 92 h</b>	<b>SS (55°C) 40 h</b>	<b>SS (55°C) 92 h</b>	<b>SS (170°C) 40 h</b>	<b>SS (170°C) 92 h</b>
<b>Number of sequencing</b>	6366	4715	4791	6172	3980	4940
<b>Number of species</b>	26	28	23	34	25	30
<b>% ORDER / Genus species<sup>a</sup></b>						
<b>CLOSTRIDIALES</b>	<b>91</b>	<b>92</b>	<b>96</b>	<b>92</b>	<b>85</b>	<b>95</b>
<i>Clostridium butyricum</i>	89.0	72.3	92.9	60.3	80.3	71.6
<i>Clostridium perfringens</i>	0.0	0.0	0.0	9.7	0.0	0.1
<i>Clostridium roseum</i>	0.4	6.2	0.7	6.7	0.7	13.5
<i>Clostridium aciditolerans</i>	0.9	1.5	0.5	6.5	1.5	1.5
<i>Clostridium saccharobutylicum</i>	0.0	0.0	0.0	2.7	0.0	0.1
<i>Clostridium tertium</i>	0.2	0.8	0.8	1.9	0.6	0.4
<i>Clostridium lundensis</i>	0.0	0.4	0.0	1.7	0.0	0.4
<i>Clostridium peptidivorans</i>	0.2	0.6	0.1	1.1	0.4	0.2
<i>Clostridium saccharoperbutylaceticum</i>	0.3	3.3	0.3	1.1	0.5	2.6
<i>Clostridium tunisiense</i>	0.1	1.0	0.1	0.3	0.0	3.5
<i>Clostridium bifermentans</i>	0.0	0.0	1.0	0.1	0.9	0.3
<i>Clostridium thiosulfatireducens</i>	0.0	3.2	0.0	0.0	0.0	0.2
<i>Clostridium botulinum</i>	0.0	1.7	0.0	0.0	0.0	0.4
<i>Clostridium paraputrificum</i>	0.0	1.0	0.0	0.0	0.0	0.1
<b>BACILLALES</b>	<b>8</b>	<b>7</b>	<b>3</b>	<b>5</b>	<b>13</b>	<b>4</b>
<i>Rummeliibacillus pycnus</i>	0.0	0.0	0.6	3.0	0.0	0.0
<i>Sporolactobacillus racemilacticus</i>	0.0	0.0	0.0	1.1	0.0	1.0
<i>Bacillus ginsengihumi</i>	7.9	7.0	2.0	0.6	13.3	3.0
<b>Others</b>	<b>1</b>	<b>1</b>	<b>1</b>	<b>3</b>	<b>2</b>	<b>1</b>

454 <sup>a</sup> Among the species observed, only species with a relative abundance above 1% are represented in the table



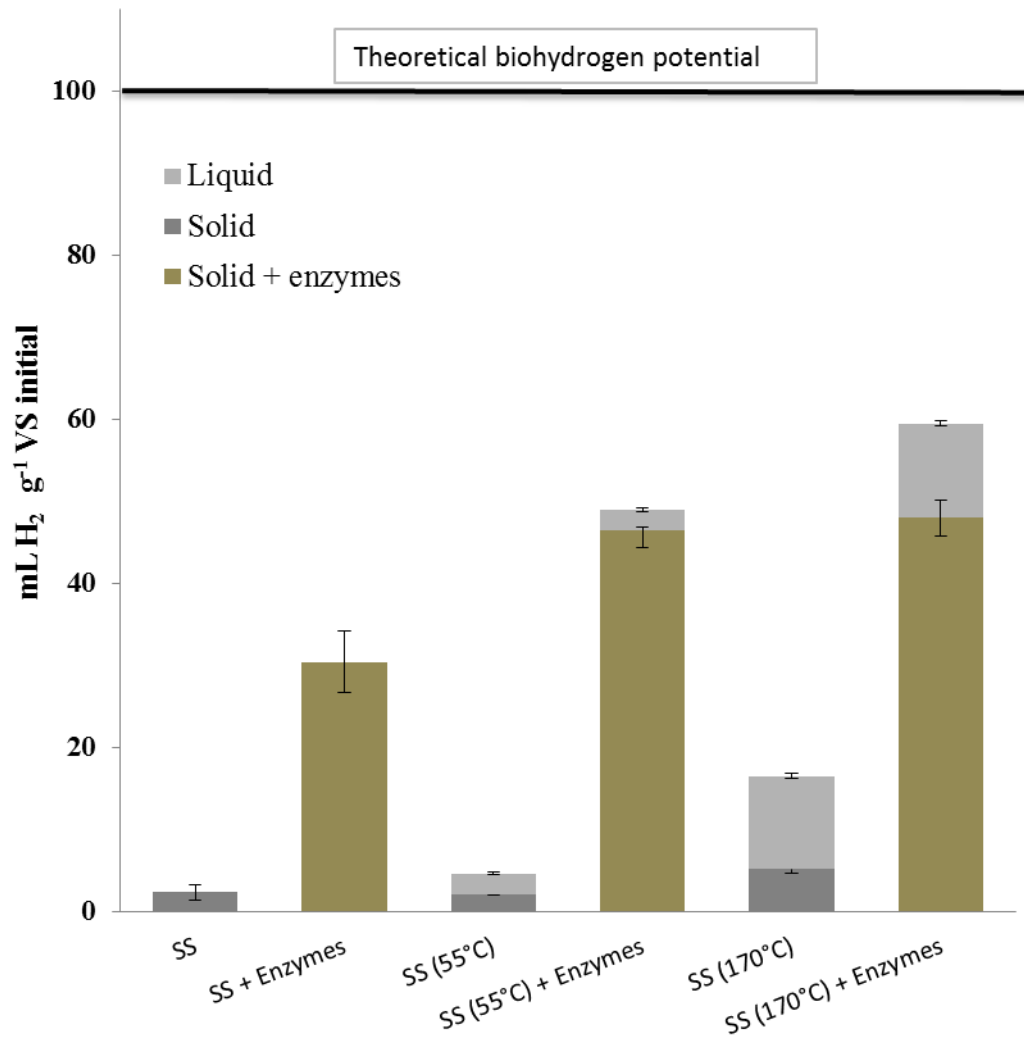
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458 **Figure 1** Scheme of pretreatment strategies used and biochemical composition of raw sunflower stalks (SS) expressed in g/100g initial VS and of the solid  
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 460 Values correspond to means of two replicates of independent values ± standard deviation.

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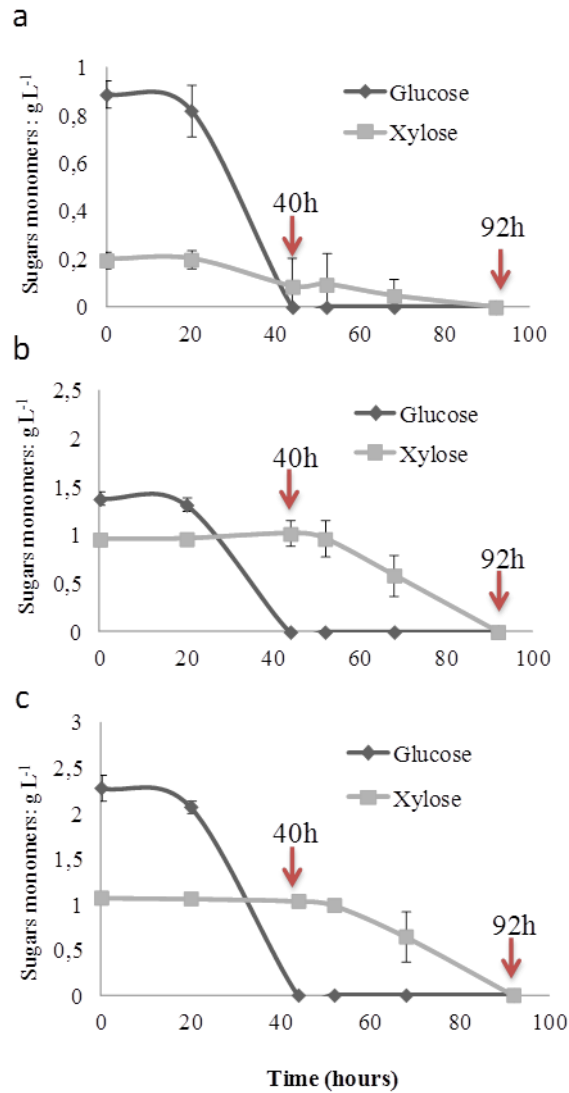




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464 **Figure 2** Impact of pretreatments on the origin of the biohydrogen production (mL H<sub>2</sub>·g<sup>-1</sup> initial VS) for raw sunflower stalks and solid residue of alkaline  
465 pretreated sunflower stalks at 55°C and 170°C with or without enzymatic hydrolysis. Values correspond to means of two replicates of independent values ±  
466 standard deviations (error bars).

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471 **Figure 3** Evolution of consumption of monomeric sugars (ie glucose and xylose) released from enzymatic hydrolysis during H<sub>2</sub> fermentation in mixed  
 472 cultures (a) from raw sunflower stalks (b) from solid residue of sunflower stalks pretreated at 55°C, 24 h, 4% NaOH (c) from solid residue of sunflower  
 473 stalks pretreated at 170°C, 1 h, 4% NaOH. Values correspond to means of two replicates of independent values ± standard deviations (error bars).

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