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A review on superstructure optimization approaches in process system engineering

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ABSTRACT

In this paper, we survey the main superstructure-based approaches in process system engineering, with a particular emphasis on the existing literature for automated superstructure generation. We examine both classical and more recent representations in terms of generality, ease of use, and tractability. We also discuss the implications that different representations may have on strategies for algebraic modeling and optimization. We then review the state-of-the-art in software implementations to support synthesis. Finally, we examine the use of evolutionary—recently referred to as superstructure-free—approaches, in which algorithmic procedures dynamically generate and evaluate candidate process structures.

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1. Introduction

2 Conceptual process design is a central pillar of chemical engineering, concerning the definition, simulation, optimization, and 3 control of chemical processes. This design task involves the syn-4 thesis of complex chemical processes through the integration of 5 simpler unit blocks characterized by physical and chemical prop-6 erties. Methodological developments in process synthesis has been 7 addressed by the Process Systems Engineering (PSE) community 8 (Klatt and Marguardt, 2009; Cremaschi, 2015; Grossmann and Har-9 10 junkoski, 2019), which has developed powerful mathematical optimization and simulation tools to address chemical process de-11 sign and control problems. In particular, Mixed-Integer Nonlinear 12 Programming (MINLP) and Generalized Disjunctive Programming 13 (GDP) techniques are well-suited to problems involving selection 14 among discrete process alternatives with nonlinear process phe-15 16 nomena (Grossmann, 1989; Grossmann et al., 2000; Grossmann, 2002; Trespalacios and Grossmann, 2014; Chen and Grossmann, 17 2019). 18

Two main approaches exist for conceptual process design: hierarchical decomposition (Douglas, 1985; Siirola and Rudd, 1971) and superstructure synthesis (Umeda et al., 1972; Chen and Grossmann, 2017), with superstructure synthesis preferred for its systematic evaluation of a large space of structural alternatives

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(Saif et al., 2009; Barnicki and Siirola, 2004; Westerberg, 2004). Hi-24 erarchical decomposition involves a sequential procedure in which 25 the process design is progressively defined in stages (or levels). 26 At each level, specific decisions are made based on engineering 27 judgement and rules-of-thumb, starting with broader decisions 28 of the greatest consequence. For detailed reviews on hierarchical 29 decomposition approaches see the works of Dimian (2003) and 30 Goh and Ng (2015). However, interactions between decisions at 31 different detail levels (e.g. separation design and heat integration) 32 are difficult to capture with hierarchical decomposition (Duran 33 and Grossmann, 1986b; Lang et al., 1988). In contrast, superstruc-34 ture synthesis attempts to solve the simultaneous design prob-35 lem as a mathematical programming problem. Hybrid approaches 36 combining ideas from both hierarchical decomposition and math-37 ematical programming have also been studied by Daichendt and 38 Grossmann (1997) and more recently by Zhang et al. (2016). 39 Targeting techniques are also available, which identify a pri-40 ori characteristics of advantageous structures by analyzing phys-41 ical properties of the chemical system; these have been applied 42 to great effect in heat exchanger networks (Linnhoff and Hind-43 marsh, 1983; Hohman, 1971), and in heat and water integration 44 (Klemeš and Kravanja, 2013). The composite curves diagram in 45 pinch analysis (Linnhoff and Hindmarsh, 1983) and the attainable 46 region-based methods, introduced by Horn (1964) and popular-47 ized by Glasser et al. (1987), are among the most notable target-48 ing techniques, used in the design of heat exchanger networks 49 and reaction-separation systems. More recent contributions by 50 Feinberg and Ellison (2001) and Frumkin and Doherty (2018) ex-51 tend ideas of the latter beyond their geometric origins. 52

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Fig. 1. Abbreviated timeline of superstructure synthesis representations.

53 Superstructure-based process synthesis, introduced in 54 Umeda et al. (1972), involves three main sequential steps: (i) 55 the postulation of a superstructure, which encapsulates the set of all feasible alternative process structures; (ii) the translation 56 57 of the superstructure into a mathematical programming model; and (iii) the computation of an optimal structure by solving the 58 59 mathematical optimization model. The approach gained traction 60 first in subsystems (Sargent and Gaminibandara, 1976; Grossmann and Sargent, 1976), then in general flowsheet design (Kocis and 61 Grossmann, 1989). Early reviews in the area can be found by 62 Nishida et al. (1981), Westerberg (1991), and Bagajewicz and 63 Manousiouthakis (1992). 64

An inherent limitation of superstructure-based approaches is 65 the need to define an initial superstructure to capture all the de-66 sired alternatives. A poorly-constructed superstructure may omit 67 several feasible or optimal process flowsheets. Moreover, the choice 68 of representation may impact tractability of the resulting op-69 70 timization formulation (Yeomans and Grossmann, 1999). In response, the community has developed two main approaches: (a) 71 72 automated superstructure generation methods, and (b) evolution-73 ary "superstructure-free" approaches. In automated superstructure 74 generation, the superstructure is constructed from a set of alterna-75 tives via deterministic algorithmic procedures; on the contrary, in the superstructure-free approach, candidate structures are dynam-76 ically generated during the search process. 77

In this paper, we provide a critical review of the state-of-the-78 79 art in superstructure based synthesis, with a focus on the methods and tools available to generate appropriate superstructure repre-80 81 sentations. We then compare these approaches to superstructurefree design strategies. The rest of the paper is organized as fol-82 83 lows. In Section 2, we survey the representations and algorithmic procedures proposed in the literature to automate the generation 84 of the superstructure of a given process. We also describe algorith-85 mic post-processing procedures proposed to reduce the complexity 86 or the redundancy of superstructure representations, and to trans-87 88 late the superstructure into a mathematical programming formulation. In Section 3, we discuss implications of the superstructure 89 representation on modeling and solution strategies. In Section 4, 90 we review current software implementations for process synthesis. 91

Then, in Section 5, we briefly summarize superstructure-free approaches. Methodological conclusions and final remarks follow in9292939394

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2. Superstructure representations

In this section we present the different techniques proposed 96 in the literature to generate and optimize the superstructure of a 97 given chemical process. Selection of the appropriate superstructure 98 representation is a necessary prerequisite in automated superstruc-99 ture generation. Over the years, several representations and gen-100 eration approaches have been proposed in literature (see Fig. 1); 101 these can be divided into two classes: the traditional approaches 102 proposed in the 1990s, and newer representations developed after 103 the turn of the millennium. The traditional approaches involve net-104 work or graph representations in which the chemical process is di-105 vided into stages (or states) and tasks. These interlinked states and 106 tasks describe the progressive transformation of the inputs (or raw 107 materials) into the desired outputs (or final products) by means 108 of sequential operations (or functions). Computer-aided generation 109 of alternatives in these approaches can be done with means-ends 110 analysis (Siirola et al., 1971). 111

In recent years, new challenges and opportunities-detailed in 112 the following review papers-have spurred renewed interest in 113 process design, leading to the development of several new super-114 structure representations. There have been efforts to design more 115 sustainable processes (Martin and Adams II, 2019) for the circular 116 economy (Avraamidou et al., 2020). Interest in process intensifica-117 tion renewed interest in representations able to capture selection 118 and integration of physical and chemical phenomena, in contrast to 119 traditional equipment-oriented superstructures (Sitter et al., 2019; 120 Tula et al., 2019a; Tian et al., 2018a). At the same time, equipment 121 size reductions from process intensification have led to interest in 122 modular process units (Baldea et al., 2017), with applications in the 123 oil and gas industry (Tsay et al., 2018). New superstructures that 124 aim to simplify solution strategies and software platforms to sup-125 port the use of these new representations have also arisen (Mitsos 126 et al., 2018; Tula et al., 2019b). Finally, Ryu et al. (2020) explic-127 itly examines the interactions needed to synthesize a process em-128



Fig. 2. State-Task Network (STN) superstructure for a 3 component sharp split distillation sequence.



Fig. 3. P-graph network superstructure (PNS) for a 3 component sharp split distillation sequence.

bedding multiple different representations. In the following subsections, we elaborate on both traditional and new representations and the tools available for their automatic generation. A summary of case studies investigated using these representations can
be found in Appendix A, Table A.2.

134 2.1. State-task network representation

The state-task network (STN) representation (see Fig. 2) was 135 136 first introduced in Kondili et al. (1993) for multi-product/multipurpose scheduling problems, and extended to process flowsheet 137 138 design by Yeomans and Grossmann (1999), in which the representation is applied to the synthesis of distillation sequences with 139 and without heat integration. The STN representation consists of 140 a directed graph with two main classes of nodes: states and tasks. 141 States, as their name implies, represent a physical or compositional 142 state of the feeds, intermediates, or products. The transition be-143 tween these states is accomplished through processing tasks. A su-144 145 perstructure task can be conditional or common to all the alternative structures; this distinction is only made when the superstruc-146 147 ture is translated into a mathematical programming formulation.

For conceptual design, the processing tasks also need to be as-148 149 sociated with equipment selection. Due to its origins as a multiproduct scheduling representation, the STN supports variable task-150 151 equipment (VTE) assignment, in addition to the more traditional 152 one task-one equipment (OTOE) assignment. In VTE, a single piece 153 of equipment may perform multiple different processing tasks (e.g. batch reactors that perform both reaction and mixing tasks), and 154 the final equipment-task assignment is given by the optimization 155 156 result. However, OTOE is far more common in overall flowsheet design, with each task associated a priori to a piece of equipment. In 157 158 that way, the superstructure more closely resembles a process flow diagram with conditional flow paths. The STN-OTOE representation 159

is still commonly used today, and has inspired new representations 160 that build on its ideas. As previously introduced, the STN can be 161 constructed by taking into account all of the tasks needed to convert a process through means-ends analysis (Siirola et al., 1971), 163 and connecting them via associated intermediate states. 164

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2.2. P-Graph representation

The process graph (P-graph) concept first appeared in 166 Friedler et al. (1992a). As such, it is a contemporary to the 167 STN, with many similarities between the two representations. The 168 P-graph is a bipartite graph (see Fig. 3), whose vertices consist of 169 material (M-type) and operating unit (O-type) nodes. An operating 170 unit accepts one or multiple input materials, and produces one 171 or more outputs. P-graph material nodes correspond to STN state 172 nodes; P-graph operating units, to STN tasks. 173

Drawing upon ideas from graph theory, 174 Friedler et al. (1992b) show that combinatorially feasible process structures are subgraphs of the P-graph that satisfy the following system of axioms. 177

Axiom S1. Every final product of the process is represented by a 178 M-type vertex in the graph. 179

Axiom S2. A M-type vertex represents a raw material, if and only 180 if it has no incoming incident arcs. 181

Axiom S3. Every operating unit defined in the synthesis problem182corresponds to an O-type vertex in the graph.183

Axiom S4. There exists at least one path from each operation unit 184 node to a node representing a final product. 185

Axiom S5. Every material node should represent an input or an 186 output to/from at least one operating unit node. 187



Fig. 4. State-Equipment Network (SEN) superstructure for a 3 component sharp split distillation sequence.

188 Axiom S1 ensures that all desired products appear in the superstructure, while Axiom S2 defines which nodes are the raw mate-189 rial input nodes. Axiom S3 ensures that all considered operating 190 units appear in the graph. Axiom S4 requires that each operating 191 192 unit be connected to at least one final product, i.e. there are no irrelevant operations. Finally, Axiom S5 enforces that every mate-193 194 rial node is connected to at least one operating unit node, i.e. there 195 are no irrelevant materials. The set of structures described by these 196 axioms is closed under union, and the superstructure corresponds to the union of all the structures. 197

198 The P-graph methodology distinguishes itself among early su-199 perstructure representations by providing a systematic algorithm for generating the P-graph (Friedler et al., 1993). The computa-200 201 tional complexity of this algorithm is polynomial in the number of the materials and in the maximal degree of its vertices 202 203 (Friedler et al., 1993). An accelerated branch-and-bound (ABB) 204 strategy was also developed to exploit the P-graph representa-205 tion by restricting the search to combinatorially feasible structures and solving the relaxations at branched nodes in reduced space 206 207 (Friedler et al., 1996). It is noteworthy that contemporary to this, 208 the same motivations guided development of the logic-based outer 209 approximation algorithm for Generalized Disjunctive Programming 210 (Türkay and Grossmann, 1996) (see also Section 3.3). Connections between the P-graph representation and GDP formulations were 211 212 subsequently explored in Brendel et al. (2000).

The mathematical rigor unpinning the P-graph methodology is a key advantage of the approach; however, its closed implementation and complex notation limit its accessibility to a chemical engineering audience. For more detail, recent reviews on the P-graph approach may be found by Lam (2013) and Friedler et al. (2019).

218 2.3. State-equipment network representation

In the state-equipment network (SEN) representation (see Fig. 4), introduced by Smith and Pantelides (1995), the superstructure nodes are states and equipment, with task assignment to the equipment determined as an optimization result. For some problem classes, e.g. distillation sequence design, SEN requires fewer operator (equipment/task) nodes than the equivalent STN repre-224 sentation. For a three-component system with sharp separations, 225 the SEN requires two equipment nodes versus four task nodes for 226 the STN; for a four-component system, the ratio is four to 10 for 227 the SEN and STN, respectively. However, with the SEN, the com-228 binatorial complexity is found in the equipment interconnections, 229 so it is more effective when the equipment selection is known a 230 priori (Yeomans and Grossmann, 1999), as in distillation sequences 231 and reactor selection (Ramapriya et al., 2018). 232

Note that multiple logically-equivalent SEN variants may be 233 possible with differing assignment of potential tasks to the equip-234 ment, as seen in Section 2.3 for a distillation sequence superstruc-235 ture. Variant 1 (Fig. 4a) has a more intuitive flow pattern, with the 236 first separation taking place in the first column, and the second 237 separation taking place in the second column. Variant 2 (Fig. 4b) 238 groups the tasks by the split taking place, with the A|B separation 239 in the first column, and the B|C separation in the second column. 240 As a result, variant 2 potentially has less physical property vari-241 ation between discrete task selections at either the condenser or 242 reboiler end of the column, with a high concentration of the same 243 pure component. This could improve computational performance 244 in optimization algorithms. The relative merits of these two vari-245 ants remains an open question. 246

Related to both the STN and SEN is the Resource-Task Network 247 (RTN) representation, introduced by Pantelides (1994), in which 248 the resource nodes can refer to material states (as in the STN) 249 and/or equipment (as in the SEN). The RTN is more common in 250 process scheduling applications, but can be useful in simultane-251 ous scheduling and design problems. We omit a detailed discussion 252 here and refer the interested reader to recent reviews on schedul-253 ing formulations (Harjunkoski et al., 2014; Brunaud et al., 2020). 254

The recent Processing Step-Interval Network, proposed by 255 Bertran et al. (2016), can also be seen as an extension of the 256 STN/SEN, with influence from early heat exchanger network models (Yee and Grossmann, 1990). The representation adds structure 258 and nuance to the states through the use of processing intervals. 259 An example of its use can be found in Garg et al. (2019) for the production bio-succinic acid. 261



Fig. 5. State-Space Representation (SSR) superstructure for a 3 component sharp split distillation sequence. Boxes represent state-space operators. Arrows represent state variables that are inputs to or outputs from their respective operators.

262 2.4. State-space representation

The state-space representation (SSR) was adapted from the 263 concept of "state space" in system theory (Zadeh and Des-264 265 oer, 1979). In the state-space approach, the design problem is posed as identification of the properties of the input-state-output 266 relations between input and output variables (Bagajewicz and 267 Manousiouthakis, 1992). The input/output variables are defined by 268 269 the process engineer, while the input-state-output relations be-270 tween variables yield a given structure. For process synthesis, the structure involves sequential applications of two classes of func-271 272 tions, namely (a) mixing and splitting of streams in the distribution network, and (b) unit operations which determine the process 273 274 operator.

The SSR was motivated by the ability to easily generate 275 276 complex distillation configurations such as Petlyuk columns. In 277 Bagajewicz and Manousiouthakis (1992), the SSR for a distillation network is introduced as the integration of heat- and 278 mass-exchanger operations. The state space approach was fur-279 ther extended by Wilson and Manousiouthakis (2000), which 280 281 explores the limits of discretization of the design space. An-282 other similarly-motivated extension was recently developed by 283 Liesche et al. (2019).

The SSR is characterized by matrix operations involving the 284 285 state variables. The numerical structure of these matrix operators ultimately translates to a physical process structure. Visualization 286 287 of the SSR (see Fig. 5) involves abstract boxes representing the op-288 erators, interconnected by the state variables serving as inputs to 289 or outputs from these operators. The mathematical convenience of 290 the matrix-operator interpretation has gained the SSR significant popularity in process integration (mass/heat/work exchange) appli-291

cations (see Table A.2). In Saif et al. (2009), a comprehensive survey on the applications of the SSR methodology to optimization of membrane and hybrid membrane process systems for wastewater treatment is presented. 295

The SSR is a very general representation, but given its abstractness and lack of supporting software tools, it has seen limited uptake outside of its proven area of process integration (Fig. 6). 297 298

2.5. R-graph representation

Farkas et al. (2005b.c) adapt the SEN-OTOE to create the R-300 graph representation, in which nodes correspond to the inlet and 301 outlet ports of each candidate process unit. The inlet ports function 302 as multi-stream mixers, while the outlet ports correspond to split-303 ters. Directed edges between the ports represent process streams. 304 which always originate from an outlet port and end at an in-305 let port. The R-graph representation also features source and sink 306 units, corresponding to raw materials and products, respectively. 307 The source unit only has an outlet port, while the sink unit only 308 has an inlet port. By definition, all R-graph nodes must be con-309 nected to another node in the graph. 310

The R-graph is motivated by modeling concerns that may arise 311 in the traditional STN or SEN approach. First is the problem of mul-312 tiplicity and redundancy, whereby a superstructure encodes multi-313 ple equivalent solutions, needlessly increasing the computational 314 cost of the search algorithm. These redundant structures are eas-315 ily created when unit bypasses are possible. In addition, no unique 316 algebraic description is generally available for a given superstruc-317 ture. Simple algebraic transformations can give rise to an infinite 318 number of mathematical programming formulations that all yield 319 the same engineering solution. 320

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Fig. 6. R-graph superstructure for a 3 component sharp split distillation sequence.



Fig. 7. GMF superstructure for a 3 component sharp split distillation sequence.

Farkas et al. (2005b) address superstructure multiplicity by 321 proposing techniques to consider only R-graphs that are non-322 isomorphic. They then introduce the "basic" GDP (BGDP) model 323 in the spirit of the GDP formulation in Yeomans and Gross-324 mann (1999), but exploiting the R-graph to avoid introduc-325 326 ing additional logical relations that would be required to define certain substructures. Kocis and Grossmann (1988) and 327 Szitkai et al. (2002) perform a computational analysis on litera-328 329 ture synthesis problems, demonstrating the procedures to build 330 the BGDP and various mathematical representations (Farkas et al., 2005c). The methodology is then applied to distillation column de-331 332 sign and optimization by Farkas et al. (2005a).

As with the P-graph approach, the R-graph exploits mathematical properties of graphs to improve solution strategy performance. Here, the R-graph also takes advantage of logical representability benefits conferred by GDP modeling. However, no software tools exist to support the R-graph approach, and the modern-day benefits of BGDP over a traditional GDP are an open question given the prevalence of linear preprocessing for logical relations (Fig. 8).

340 2.6. Generalized modular framework representation

The generalized modular framework (GMF) representation was introduced by Papalexandri and Pistikopoulos (1996) to simplify



Fig. 8. Group contribution based flowsheet for 3 component sharp split distillation sequence.

superstructure generation with an aim to identify advantageous 343 structural alternatives without needing to explicitly pre-postulate 344 them, much like the state-space representation. GMF was also first 345 developed with a focus on mass and heat exchange networks, with 346 a later distillation sequencing example by Proios et al. (2005) (see 347 Fig. 7). GMF is one of the first major representations to explicitly 348 facilitate design of reactive separation systems (Papalexandri and 349 Pistikopoulos, 1996). The reaction-separation superstructure intro-350 duced by Linke and Kokossis (2003) can be seen as a extension 351 based around similar ideas. More recently, GMF has also been ex-352 tended to explore operability issues of design (Tian et al., 2018b). 353



Fig. 9. UPCS representation for a 3 component sharp split distillation sequence.

354 2.7. Group contribution based methodology

355 The group contribution based process flowsheet syntheapproach is detailed by d'Anterroches and Gani (2004, 356 sis 357 2005), drawing inspiration from group contribution methods in thermodynamic property prediction for molecular design 358 (Fredenslund, 2012). In property prediction, a function is developed 359 relating the contribution of different molecular groups (atoms with 360 different bonding relationships) to the value of a physical property 361 of interest. For molecular design, this prediction function is used to 362 363 determine the optimal molecular groups that constitute a poten-364 tially novel molecule. Applied to flowsheet synthesis, a group can be represented by a process unit or a set of units, with the goal to 365 366 determine which collection of process units contribute to give the best flowsheet performance. The approach, computer-aided flow-367 368 sheet design (CAFD), is illustrated for the design of a distillation 369 column by d'Anterroches and Gani (2005).

370 As with molecular design, a difficulty of this method is obtaining parameters for the prediction function that determines the 371 contribution of various potential process groups to an overall de-372 sign objective, and their ability to satisfy process specifications. 373 374 However, if parameters are found that give accurate predictions, 375 evaluation of different process alternatives is generally computationally inexpensive. Tula et al. (2014, 2015) present a recent 376 overview of the CAFD framework (Fig. 9). 377

378 2.8. Phenomena-building block approach

In the early 2010s, renewed interest in process integration 379 380 and nontraditional process units led to the development of the phenomena-building block (PBB) approach by Lutze et al. (2013), 381 extending phenomena-centric ideas promoted by Hauan and 382 Lien (1998). As with earlier strategies like the state-space and GMF 383 384 representations, PBB allows for a broader design space that can automatically generate processes with novel combinations of chemi-385 386 cal and physical phenomena taking place within process units. A major challenge with approaches that attempt to propose novel 387 388 equipment is the selection of an appropriate optimization objective function. As a proxy, many methods use thermodynamic insights, 389 390 seeking to minimize either energy or exergy use in the process. 391 Kuhlmann and Skiborowski (2016) propose use of development of an PBB equipment database as one solution to this challenge. 392 Other strategies avoid this problem entirely by proposing screening 393 394 rules that leave a tractable set of promising candidate flowsheets 395 to evaluate (Holtbruegge et al., 2014). However, these screening rules may require simplifying assumptions about the process 396 397 to be made, and may prematurely exclude advantageous process structures. 398

2.9. Unit, port, conditioning stream representation

The unit, port, conditioning stream (UPCS) representation was 400 introduced by Wu et al. (2016), consisting of three elements: (a) 401 units, which can be general process units, source units, or sink 402 units; (b) ports, which correspond to unit inlets and outlets, and 403 serve as multi-stream mixers and splitters; and (c) conditioning 404 streams, which link outlet and inlet ports, while also handling temperature and pressure change operations. 400

The UPCS representation is heavily influenced by ideas in the 407 STN, the P-graph, the R-graph, and the more recent unit operationport-state (UOPSS) superstructure (Zyngier and Kelly, 2012). The 409 UPCS thus continues the tradition of drawing inspiration from the process scheduling literature (Kelly, 2004; 2005). 411

As in the P-graph method, Wu et al. (2016) describe an algo-412 rithm to generate a UPCS superstructure. First, the set of consid-413 ered process units are selected based on knowledge of the applica-414 ble reaction and separation tasks. Next, inlet and outlet ports are 415 defined for each unit, and streams are created to connect each out-416 let port to all inlet ports. From this fully-connected starting point, 417 the authors describe four rules to prune invalid and unnecessary 418 connections, based on the set of "minimal" and "feasible" compo-419 nents for each port. Minimal components are those that must be 420 present at an inlet or outlet port. For example, a reactor $A + B \rightarrow C$ 421 would be ineffective without components A or B, so those would 422 be considered minimal components for the reactor inlet port. Fea-423 sible components are those that may be present at a given port. 424 All minimal components are also feasible, but a reactor inert I may 425 be considered feasible but not minimal. 426

 Rule 1. All minimal components for outlet ports should be feasible
 427

 for connected inlet ports.
 428

Rule 2. All minimal components for inlet ports should be feasible429in at least one connected outlet port.430

Rule 3. All outlet ports connected to a reactor inlet port must con-431tain at least one feasible component that is minimal for the reactor432inlet.433

Rule 4. All minimal components for a separator inlet port must be434feasible in connected outlet ports.435

Rule 1 ensures that inlet ports do not receive infeasible com-436 ponents from connections to outlet ports. Rule 2 ensures that each 437 inlet port receives its necessary components. Rule 3 reduces the 438 number of streams connected to a reactor inlet. It is worth not-439 ing that in some systems, inerts may be important to the reaction 440 controllability, so care should be given to which components are 441 deemed feasible versus minimal. Rule 4 avoids unnecessary mix-442 ing and separation by preventing, among other possibilities, a pure 443 component at a separator outlet from being immediately remixed 444 into the separator inlet. 445

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Fig. 10. Building block-based superstructure for a 3 component sharp split distillation sequence.

446 By shifting temperature and pressure change complexity to the 447 streams, UPCS generates visually simpler superstructures than the 448 STN-OTOE. Use of ports also reduces bypass redundancy, as with 449 the R-graph representation. However, even after screening with the 450 described connectivity rules, automated superstructure generation 451 techniques often produce many more interconnections than are active in the final solution. As a result, the authors also introduce 452 453 simplification strategies that reduce the number of conditioning streams that must be considered. These simplifications are made 454 based on engineering judgement and restrict the generality of the 455 strategy. However, they reflect real optimization tradeoffs between 456 the generality of a superstructure representation, the fidelity of 457 the physical property calculations, and the computational tractabil-458 459 ity of its solution. By distinguishing between minimal and feasible 460 components, the UPCS provides more chemical engineering nuance than the P-graph, while also providing a general algorithm for gen-461 462 erating its representation.

463 2.10. Building block-based superstructure

464 The building block-based superstructure (BBS) (Demirel et al., 2017) is the most recent contribution that attempts to provide 465 a very general representation, capable of capturing aspects of 466 novel equipment design. The representation consists of a two-467 dimensional grid of blocks, pictured in Fig. 10. Each block rep-468 resents a control volume, capable of admitting flow across its 469 470 boundaries to/from its adjacent blocks. Flow across these bound-471 aries can be fully restricted, semi-restricted (to represent mem-472 brane/separation systems), or fully open. Each block admits raw 473 material feed into and product withdrawal from the control volume, as well as chemical reactions. Each block also admits tem-474 475 perature and pressure change operations. The control volume of each block is assumed to be well-mixed, with uniform composi-476 477 tion, temperature, and pressure in its exit streams.

478 Unlike the graph-based representations, the BBS approach prioritizes generality and graphical accessibility over solution 479 tractability. By allowing a broad range of operations in each grid 480 cell, the BBS permits the representation of diverse equipment de-481 482 signs without the need to explicitly postulate alternatives, including novel combinations of phenomena that may lead to new equip-483 484 ment designs. Moreover, the two-dimensional grid layout facilitates an elegant visualization of the optimal structure. Discretiza-485

tion in the spatial domain for plug flow reactors and membranes 486 can also be represented as a series of linked grid blocks. However, 487 the structure of the BBS creates a difficult mathematical programming problem. 489

The BBS therefore challenges the state-of-the-art in modeling 490 and solution techniques. To tackle tractability considerations, two **49**1 main avenues of investigation have arisen: new solution tech-492 niques tailored to the block-grid structure and the careful appli-493 cation of problem-specific engineering expertise. Symmetry is a 494 prominent feature of the BBS, due to the versatility of is blocks. 495 Each block in the BBS is identical, except the boundary blocks, 496 which have fewer interconnections. Li et al. (2018) therefore pro-497 pose symmetry-breaking constraints to reduce the resulting com-498 binatorial redundancy. Iterative strategies that explore partitions of 499 the feasible region in a "frame-by-frame" manner have also been 500 proposed (Li et al., 2018). However, as with most problems, spe-501 cialized process knowledge can be a much more powerful tool. 502 By carefully applying domain restrictions, e.g. pre-specifying flow 503 directions, block boundaries, raw material/product block identi-504 ties, reaction blocks, etc., the problem can be made much more 505 tractable. To aid in this, Li et al. (2018) proposes the use of "jump 506 streams" to connect arbitrary blocks with each other, avoiding the 507 need for specifying empty blocks to accomplish the desired con-508 nectivity. An example of their use can be seen in Fig. 10, where the 509 distillate and bottoms of the first column are connected to the feed 510 of the second column. Engineering knowledge also plays a role in 511 superstructure generation. In general, it is an open question how 512 many rows and columns should be postulated in the initial su-513 perstructure. For the special case of distillation sequence design, 514 the number of BBS rows should correspond to the number of col-515 umn trays to be considered. In this example, the BBS representa-516 tion, pre-specified for the three component sharp split distillation 517 sequence design, resembles the SEN variant 1 (see Fig. 4a). How-518 ever, successive restrictions of the design space based on engineer-519 ing knowledge can compromise solution novelty-a central feature 520 of the BBS representation-and so these restrictions should be ap-521 proached carefully. Ultimately, the BBS provides an initial start-522 ing point for approaching the central tradeoff in superstructure-523 based synthesis (between generality, model fidelity, and tractabil-524 ity) that emphasizes the former two factors, and the solution strat-525 egy should be tailored accordingly. 526

527 3. Modeling and solution strategies

This paper is focused primarily on discussing different super-528 529 structures, but we will briefly touch on the modeling and solution strategies here, because they can often be a factor in selection of 530 531 the representation. The classic approach involves posing a mathematical programming formulation as a large-scale mixed-integer 532 nonlinear programming (MINLP) problem (Grossmann et al., 2000). 533 Discrete decision variables capture structural alternatives; continu-534 535 ous variables, the process conditions (e.g. temperatures, flowrates, pressures, and equipment sizes). This formulation, expressed 536 within an algebraic modeling platform, would then be sent to a 537 numerical solver to obtain optimal values of the decision variables. 538 In general, process design is a computationally difficult prob-539 540 lem, with nonconvex functions involved describing the process 541 units and their interconnections. These complications can lead to 542 intractable formulations, which modelers often address by impos-543 ing simplifying assumptions (e.g. ideal thermodynamics and linear approximations) or tailored restrictions of the search space. 544 545 Grossmann and Santibanez (1980) address the use of linear ap-

proximations in superstructure optimization problems. In addition, more general advanced strategies have been developed to effectively model and solve this difficult class of problems. In the following subsections, we present several themes common among these strategies: logic-based modeling, surrogate models, and decomposition algorithms.

552 3.1. Logic-based modeling

553 Process design problems offer significant mathematical structure in the discrete domain, a feature exploited by the graph-based 554 555 superstructures (P-graph, R-graph, UPCS). Likewise, the structural relationships described by a superstructure can be encoded 556 557 through logic-based modeling. Generalized Disjunctive Programming (GDP) (Raman and Grossmann, 1994) offers an intuitive way 558 559 to express the logical-OR (disjunctive) relationship between differ-560 ent process alternatives, while also capturing the connection between these logical clauses and the algebraic relations that de-561 scribe each respective alternative (Chen and Grossmann, 2019). 562 563 GDP also allows imposition of logical statements; for example, that 564 selection of a cheaper reactor necessitates feed pretreatment.

GDP is an extension of disjunctive programming from the op-565 566 erations research community (Balas, 2018) to allow for nonlinear algebraic relationships. Therefore, it unlocks a suite of solution 567 strategies that may be applied to the synthesis problem, including 568 systematic reformulations to different MINLP representations that 569 570 may yield improved computational performance (Trespalacios and Grossmann, 2014). GDP modeling also preserves logical structure 571 for tailored decomposition algorithms (see Section 3.3). 572

573 3.2. Surrogate models

In process design, many process unit alternatives may fea-574 575 ture complex first-principle models describing transport, thermodynamic, and/or kinetic relationships that are relevant to the prob-576 577 lem, but too computationally expensive to include directly in the optimization formulation. In this case, surrogate models (or meta-578 579 models) pay a key role-replacing these expensive models with a 580 more tractable approximation that is trained with simulated data 581 from the model, or with experimental measurements (Cozad et al., 2014). Standard optimization algorithms can then be applied us-582 ing the surrogate models, as in Mencarelli et al. (2019), or trust 583 584 region-based methods can be used (Eason and Biegler, 2016). If the surrogate does not provide derivative information, then derivative-585 free "black box" algorithms may be necessary (Rios and Sahini-586 dis, 2013). 587

Different classes of surrogates can be used, ranging from lin-588 ear surrogates to Gaussian processes to artificial neural networks 589 (ANNs). In Super-O, piecewise linear representations of different 590 process segments can be used as the building blocks of a super-591 structure optimization (Bertran et al., 2016). Henao and Maravelias 592 (2010, 2011) introduce a surrogate-based superstructure framework 593 based on the STN-OTOE approach. Fahmi and Cremaschi (2012) in-594 tegrate GDP and ANNs-the trained ANN surrogates are substituted 595 in place of the first-principle models in a GDP formulation. Kriging 596 interpolators have also been used (Davis and lerapetritou, 2015; 597 Caballero and Grossmann, 2008). Recently, Schweidtmann and Mit-598 sos (2019) introduced a framework for global optimization of su-599 perstructure synthesis problems with ANNs. 600

Note that in this work, we do not touch on training and parameter estimation concerns associated with using surrogate models. Instead, we refer the reader to a recent review paper in the area of surrogate modeling for process design (McBride and Sundmacher, 2019). 605

3.3. Decomposition algorithms

Decomposition algorithms that partition a problem into multi-607 ple tractable subproblems are commonly used to tackle large-scale 608 optimization challenges. Classic examples of this include the Outer 609 Approximation (OA) (Duran and Grossmann, 1986a) and General-610 ized Benders Decomposition (GBD) (Geoffrion, 1972) algorithms, 611 which separate the design problem into a master problem that 612 solves a linear approximation of the full space problem and a sub-613 problem that evaluates a fixed flowsheet configuration taking into 614 account the nonlinear relationships. At each iteration, the solution 615 of the master problem proposes a new realization of the discrete 616 variables for the subproblem, and the nonlinear subproblem so-617 lution, if feasible, gives new candidate solution points. The sub-618 problem solution also gives new variable values at which to add 619 linearizations to augment the master problem; OA and GBD differ 620 in the generation of these linearizations. Termination occurs when 621 the solution of the master problem converges with the solution of 622 the subproblem. 623

This two-level decomposition between discrete flowsheet se-624 lection and detailed evaluation remains the most common theme 625 among decomposition strategies for process design. Kocis and 626 Grossmann (1989) present a specialized MINLP decomposition ap-627 proach for synthesis based on Lagrangean decomposition. The dis-628 crete elements of an MINLP for process synthesis usually de-629 scribe logical relationships between superstructure alternatives. 630 With GDP, decomposition may be applied directly on this log-631 ical layer. The logic-based outer approximation (LOA) algorithm 632 (Türkay and Grossmann, 1996) exploits this structure to solve 633 the nonlinear subproblems in reduced space, avoiding zero-flow 634 numerical challenges present in MINLP formulations. Logic-based 635 branch and bound (LBB) (Lee and Grossmann, 2000) does the same 636 to solve node relaxations in reduced space, as with the ABB strat-637 egy for P-graph (Friedler et al., 1996). 638

Note that strategies presented in this section differ from hi-639 erarchical decomposition (Douglas, 1985) in that the decomposi-640 tion takes place within an computational solution framework with 641 mathematical guarantees on convergence to optimality. In particu-642 lar, LBB and a global optimization extension to LOA, GLOA (Lee and 643 Grossmann, 2001), offer convergence guarantees to within an ϵ tol-644 erance. The other discussed decomposition strategies assume con-645 vexity, yielding a numerical heuristic for nonconvex chemical pro-646 cess flowsheet problems. Hybrid strategies have also been pro-647 posed in which physical insights are used as rules of thumb to 648 screen the solution space before applying a mathematical program-649 ming algorithm (Bommareddy et al., 2011). 650

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651 4. Software implementations

Well-established commercial software tools exist for process 652 653 simulation, but not yet for process synthesis (Tula et al., 2018). As a result, standard industrial practice for synthesis remains ei-654 655 ther trial-and-error using simulators, guided by engineering intuition or an expert system package, or the development of special 656 purpose implementations in algebraic modeling systems. However, 657 to provide general capabilities for systematic superstructure syn-658 659 thesis, new tool sets are needed.

660 To be successful, our community needs software tools to accommodate two classes of users: general users who wish to tackle 661 an understood problem, and advanced users whose design chal-662 lenges lead them to push the state-of-the-art. The former desire a 663 664 tool with an accessible interface that will consistently deliver re-665 liable answers for their analyses. The latter, frequently academics 666 or researchers at national labs and major corporations, demand all 667 of the above in addition to the ability to adapt or extend the tool for unknown or unforeseen challenges. The needs of general users 668 669 limits technology transfer from academia into industry. Academic software rarely benefits from the funding required to create an el-670 671 egant user interface. Moreover, the finesse required to reproduce academic results often necessitates hiring a student from the rel-672 evant research group. On the other hand, without investing in ad-673 674 vanced functionality and flexibility for advanced users, innovation 675 in the tool will eventually stagnate, and these users may opt to develop a more capable alternative. Developers must balance these 676 677 issues among other considerations when choosing where to devote 678 limited resources.

Actively developed synthesis software packages include Pro-679 CAFD (Tula et al., 2017), P-Graph Studio (Friedler et al., 2019), 680 MIPSYN (Kravanja and Grossmann, 1990), SYNOPSIS (Tian et al., 681 682 2018b), and Pyosyn (Chen et al., 2019), all of which find their roots in academia. ProCAFD is the most sophisticated of these tools in 683 684 its support of general users, with a graphical user interface and 685 the ability to automatically generate process alternatives from a 686 set of raw materials, products, and reactions. It builds upon preexisting work in the ICAS (Gani et al., 1997) tool set. P-Graph Stu-687 688 dio also features a graphical interface; however, it is less adapted 689 to chemical engineering use, requiring more user input to set up the problem. MIPSYN, on the other hand, has a simple graphical 690 interface, but includes a notion of chemical engineering unit mod-691 els to aid the user. MIPSYN poses synthesis problems as MINLP 692 693 or reformulations of GDP models (Ropotar and Kravanja, 2009), which are solved via an integration with the GAMS algebraic mod-694 695 eling platform (Brook et al., 1988). SYNOPSIS and Pyosyn are both newer synthesis frameworks, created as part of two Department 696 697 of Energy projects: RAPID (Bielenberg and Palou-Rivera, 2019) and IDAES (Miller et al., 2018), respectively. SYNOPSIS is built upon the 698 699 GMF superstructure representation, though the tool itself has not yet been publicly released. As with MIPSYN, an integration with 700 GAMS allows solution of the resulting MINLP models. Pyosyn, on 701 702 the other hand, does not prescribe a choice of superstructure, instead focusing on support for high level modeling representations 703 704 and solution strategies. Pyosyn supports GDP modeling with the open-source Pyomo.GDP (Chen et al., 2018) library, which also en-705 706 ables a suite of solution schemes (Chen and Grossmann, 2019). 707 Specialized chemical engineering support is provided by the IDAES 708 unit model library (Lee et al., 2018), with network representation capabilities using Pyomo.Network. 709

Most of the described tools have a closed-source code base, with some providing free academic licenses upon request. This has the advantage of protecting intellectual property and generating a revenue stream to fund continued research, general user-oriented features such as improved graphical interfaces, and customer support. However, the community must also support open platforms that allow for prototyping of new innovations and integration of 716 these tools with existing capabilities; otherwise, it risks stagnation 717 as in the process simulation domain. 718

5. Superstructure-free approaches

Given the challenges of properly generating and solving the su-720 perstructure synthesis problem, evolutionary "superstructure-free" 721 approaches have been a longstanding fixture of chemical engineer-722 ing practice (Nishida et al., 1981). Boonstra et al. (2016) discuss the 723 distinction between superstructure-based and superstructure-free 724 approaches. Superstructure-free approaches also tend to adopt a 725 two-level decomposition approach, separating the discrete topolog-726 ical decision and the detailed flowsheet evaluation, as detailed in 727 Section 3.3. However, instead of a mathematical programming ap-728 proach to propose flowsheets from the combinatorial search space, 729 an evolutionary algorithm dynamically generates alternative struc-730 tures, which are then evaluated by an optimization algorithm. 731 Preuss et al. (2014) compare use of an evolutionary algorithm for 732 the upper level and a purely MILP-based approach. 733

Voll et al. (2012) describe a two-phase hybrid proce-734 dure, combining an evolutionary algorithm and a determinis-735 tic optimization phase for the energy supply system problem. 736 Neveux (2018) present a similar approach: a structure is generated 737 according to the following mutation rules: (i) block addition be-738 tween two existing blocks, (ii) block removal, and (iii) permutation 739 of two streams. An NLP is then solved to evaluate the performance 740 of the structure generated. Machine learning has also been pro-741 posed as a flowsheet identification technique (Zhang et al., 2019). 742

Superstructure-free approaches avoid the need for integer vari-743 ables to model the on/off state of a unit. This often expedites the 744 rate at which new candidate flowsheets are generated. However, 745 rigorous lower-bounding guarantees to assert mathematical opti-746 mality without exhaustive enumeration are lost. In applications for 747 which these mathematical lower bounds are unimportant or out-748 weighed by other considerations, superstructure-free approaches 749 can be a valuable search heuristic. 750

6. Conclusions

Process design is a central challenge of chemical engineering, 752 for which superstructure optimization is a powerful analysis tool. 753 When selecting the correct superstructure representation for a 754 given design problem, the relevant factors are generality, ease of 755 use, and tractability. The representation must capture the relevant 756 choices in processing unit or phenomenological alternatives, clearly 757 represent the space of options, and support formulation of a math-758 ematical programming problem that is amenable to available opti-759 mization strategies. In this review, we present the main contribu-760 tions that led to development of the existing representations, and 761 offer the reader our perspective on their relative strengths with re-762 spect to different criteria. We discuss algorithms that exist for au-763 tomated generation of both the process alternatives as well as their 764 superstructure representation. We also discuss implications that a 765 choice of representation can have on the modeling and solution 766 phases of superstructure-based synthesis. 767

Finally, we highlight the central tradeoff that exists in tack-768 ling superstructure optimization problems: between the generality 769 of the representation, the fidelity of the process unit/phenomena 770 models, and the tractability of solution strategies. The systematic 771 and integrated analysis of alternative structures is the key advan-772 tage of the superstructure-based approaches; however, they often 773 yield large-scale non-convex mathematical programming formula-774 tions, which are difficult to solve. We highlight various model-775 ing and optimization strategies that aim to overcome this chal-776 lenge. In some cases, authors have chosen to pursue evolution-777

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lable 1
Acronyms.

ANN	Artificial neural network
RCDP	Rasic generalized disjunctive problem
CAFD	Computer aided flowsheet design
CAMD	Computer aided molecular design
GDP	Generalized disjunctive programming
GMF	Generalized modular framework
MINLP	Mixed integer nonlinear programming
NLP	Nonlinear problem
OTOE	One task-one equipment
PBB	Phenomena building blocks
PSE	Process system engineering
SEN	State equipment network
SSR	State-space representation
STN	State-task network
UOPSS	Unit-operation-port-state superstructure
UOSS	Unit-operation-stock superstructure
UPCS	Unit, port, conditioning stream
VTE	Variable task-equipment

778 ary "superstructure-free" approaches in which alternative process structures are dynamically generated and evaluated from a base 779 case flowsheet. This may lead to faster search speeds in the dis-780 crete design space, at the expense of losing finite time mathemat-781

ical convergence guarantees. 782

783 **Author Statement**

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Declaration of Competing Interest 792

The authors declare that they have no known competing finan-793 cial interests or personal relationships that could have appeared to 794 influence the work reported in this paper. 795

Appendix A. Superstructure synthesis case studies 796

Table A.2 summarizes literature case studies that have been ex-797 798 amined with each representation. We denote with "*" those examples involving solution of an MINLP or nonlinear GDP, "•" those in-799 volving solution of an MILP (including linear approximation of an 800 MINLP), and "--" where the problem was solved by other means. 801

able A.2 uperstructure design examples and case studies.		R-graph
	 Pierce and Realff (1996): multi-chip module scheduling and design Caballero and Grossmann (2001): 5 hydrocarbon distillation sequence Tao et al. (2003): azeotropic separation design Ahadi-Oskui et al. (2006): cogeneration power plant, 32 alternatives 	GMF

(continued on next page)

idie A.2 (continuea)	
STN	• Karuppiah et al. (2008): corn-based ethanol plant synthesis
	* Drobež et al. (2009): biogas process design
	 Henao and Maravelias (2011): plant subsystems using surrogate models (amine scrubbing, malic anhydride)
	 Martin and Grossmann (2013): biorefinery optimization
	• Wang et al. (2014): thermal power plant design
	- Halim and Srinivasan (2006): waste minimization
	• Liu et al. (2006): process retrofit downstream
	bioprocessing
	• Voll et al. (2013): distributed energy system design
	(linearized MINLP)
	• Vance et al. (2013): sustainable energy supply chain, 21 structures
	• Heckl et al. (2015): multi-period design for corn processing
	• Ong et al. (2017): biorefinery design (linearized MINLP)
	 Edeleva and Stennikov (2018): energy systems
	optimization
	• How et al. (2018): biomass supply chain network
	design
P-Graph	• Aviso and Tan (2018): polygeneration
	• Eles et al. (2018): plant energy supply
	• Lnin et al. (2019): neat-integrated water network
	Bartos and Bertok (2019): production line balancing
	- XII et al. (2015): downstream bioprocess design
	• Several other examples exist with a similar modeling
	and solution approach: automotive ammonia production.
	biomass networks, benzaldehvde production, carbon
	capture storage, reaction pathway identification,
	enterprise wide supply, steam supply, and heat
	integration. We refer interested readers to the recent
	review paper of Friedler et al. (2019).
	• Smith and Pantelides (1995): ethylbenzene production
	- Dunnebler and Pantelides (1999): thermally linked
	Linke and Kokossis (2007): extension for Denhigh
	reaction systems
SEN	* Nie et al. (2012): scheduling and dynamic optimization
	of batch processes
	* Moreno-Benito et al. (2016): batch process development
	with dynamics
	 Cui et al. (2017): coal-based methanol distillation
	sequence
	• Madenoor Ramapriya et al. (2018): biorefinery design
	• Bagajewicz et al. (2002): water treatment network, 8
	process units
	design, 3 process units
	• Liao et al. (2010): hydrogen distribution network
	retrofit, moderate size
	* Zhou et al. (2012b): water allocation with heat
	integration
State-Space	• Zhou et al. (2012a): hydrogen distribution network
	design for hydrotreating
	• Sair and Elkamer (2013): memorane network design
	Process units
	- Pichardo and Manousiouthakis (2017): hydrogen
	production from natural gas
	* Böcking et al. (2019): membrane network design with
	experimental validation
R-graph	• Emhamed et al. (2007): desalination facility location
	• Proios et al. (2005): 4 component heat-integrated
	distillation sequence design
	Algusane et al. (2006): reactive adsorption column
	design
GMF	Damartzis et al. (2016): amine-based CO2 capture
	process design

- Tian et al. (2018c): heat exchanger network synthesis with safety and operability
- * Tian et al. (2020): methyl tert-butyl ether (MTBE) reactive distillation

(continued on next page)

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Table STN Table A.2 (continued)

Process Group	 Tula et al. (2015): hydrodealkylation of toluene Lucay et al. (2015): mineral concentration Kuhlmann and Skiborowski (2017): ethanol dehydration Kuhlmann et al. (2018): transesterification of propylene carbonate
PBB	- Garg et al. (2019): bio-succinic acid production * Kuhlmann et al. (2019): ethyl tert-butyl ether (ETBE) production
UPCS	 Wu et al. (2017): bio-process design (25 binaries) Fasahati et al. (2019): cyanobacteria biorefinery Peng et al. (2019): concentrated solar power plant design
	 Ng et al. (2019): lignocellulosic biorefinery design Matsunami et al. (2020): solid drug manufacturing Li et al. (2018): process integration
Building Block	• Li et al. (2018): fuel gas network synthesis-4 headers, 5 sinks

The references in the table below are curated from the list of articles citing each representation's source publication, as identified by their respective publishers. See Table 1 for definition of acronyms.

then respective publishers, see ruble 1 for demittion of defonym

805 Supplementary material

Supplementary material associated with this article can be
found, in the online version, at doi:10.1016/j.compchemeng.2020.
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